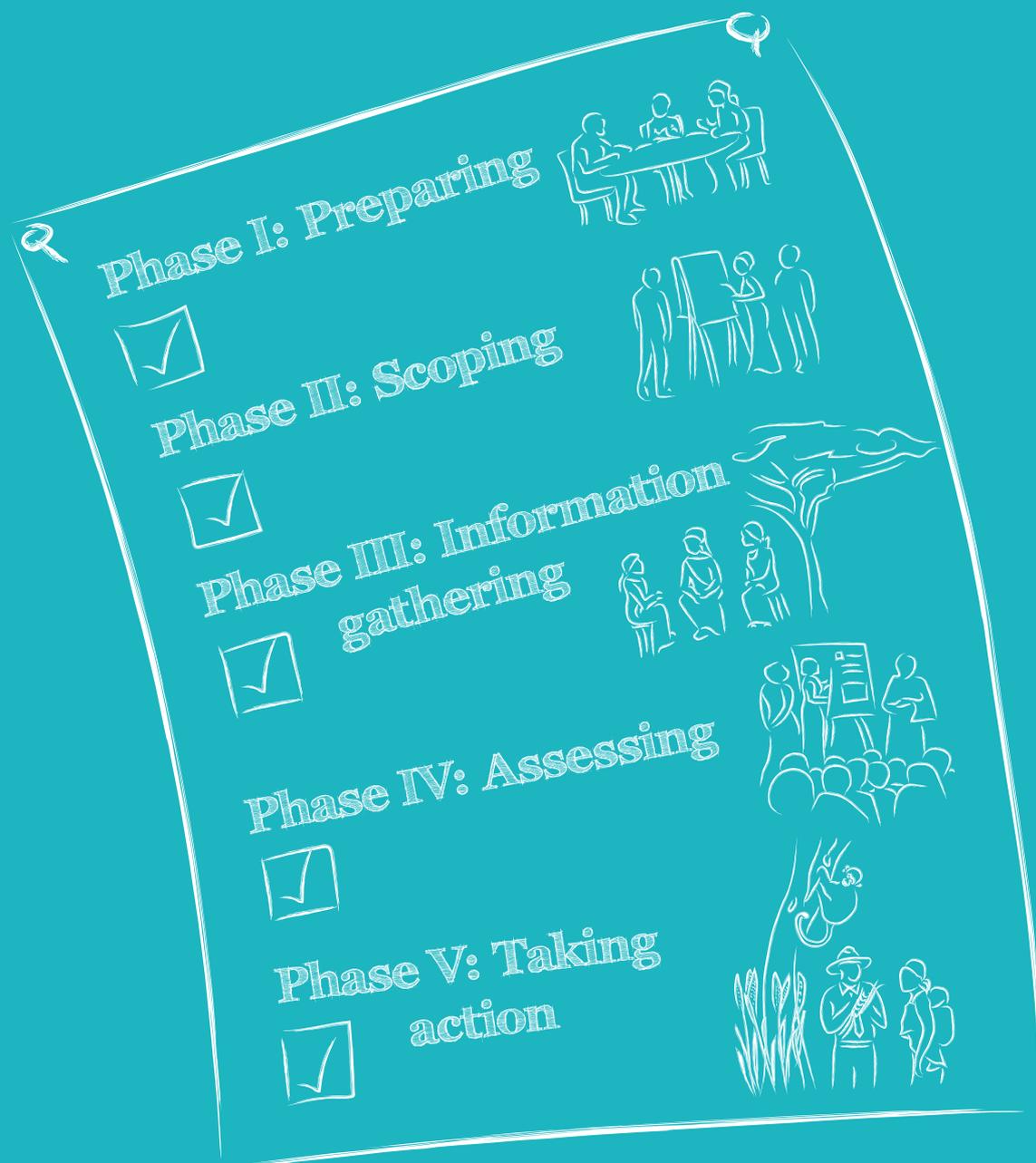


# Social Assessment for Protected and Conserved Areas (SAPA)

Revised & expanded  
2<sup>nd</sup> edition

Methodology manual for SAPA facilitators



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## Background

In April 2013, IIED in partnership with Fauna and Flora International (FFI) and the UN Environment World Conservation Monitoring Centre (UNEP-WCMC), launched a project to develop and pilot the Social Assessment for Protected Areas methodology (SAPA). It responded to i) concerns that some protected areas are imposing an overall negative impact on some local stakeholder groups, ii) the need to better understand, strengthen and promote the positive contribution of protected areas to local livelihoods, and iii) the need for a relatively simple, rapid, standardised and low-cost approach for assessing social impacts. Following the experience of piloting in five countries (Kenya, Uganda, Ethiopia, Gabon and Zambia) we published the first edition of this methodology manual for SAPA facilitators. This second edition has been fully revised to incorporate learning from further piloting, and to strengthen the elements of the methodology that focus on the governance and equity of protected areas and on taking action. For clarity, we have also changed the full name of the methodology to Social Assessment for Protected and Conserved Areas – but its name remains SAPA for short.

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# Foreword

This second edition of our SAPA methodology manual is the product of ten years of work. The process formerly started in 2008, with a workshop to review approaches, methodologies and tools for social assessment of protected areas (PAs), jointly convened by IIED, UNEP-WCMC, The Nature Conservancy and CARE (for whom I was working at that time). But the origins of this work go back to the 2003 World Parks Congress, which focused attention on the contribution of PAs to reducing poverty (and avoiding harm) and the need to share benefits equitably. This raised the question of how we would know if a PA was achieving this. Although there had, by then, been quite a lot of research on the benefits and costs of PAs, the results were conflicting: some studies presented a positive picture and others a negative one, sometimes of the same PA. Part of the problem were major differences in methodology: in terms of information gathering tools, who provided the information and who assessed it. SAPA was a direct response to this challenge.

Drawing on elements of the existing methodologies that we had earlier reviewed, we developed a beta version of the SAPA methodology in 2014. In partnership with FFI and WCS, we field tested it at eight sites in Africa during 2014–2016. This was a great learning process during which we made many adjustments, culminating in the release of the SAPA methodology manual in early 2016.

This second edition is fundamentally the same SAPA methodology with a couple of significant improvements. We have expanded the section on relevant governance issues and the final ‘taking action’ phase to increase uptake of the ideas for action generated by an assessment. This edition has also been thoroughly edited to make it easier to follow. Last but not least, we have extended the range of sites where SAPA might be used to include conserved areas (CAs) that have not been formally designated as PAs. For this reason, we have changed the methodology’s long form name to Social Assessment for Protected and Conserved Areas, but it remains SAPA for short.

Over the last three years, we have been working with our partners on GAPA, a dedicated governance assessment methodology that uses essentially the same multi-stakeholder process as SAPA but has qualitative information-gathering methods that are better suited to exploring governance issues. SAPA and GAPA both aim to enhance the effectiveness and equity of conservation — in other words, deliver better ecological and social outcomes — but have different entry points. While GAPA focuses on governance issues that shape conservation policies, strategies and plans and their implementation, SAPA’s entry point is the social outcomes of policy/strategy/plan implementation. SAPA addresses governance issues only to the extent that they are directly relevant to social outcomes.

The release of this second edition coincides with a series of new opportunities for SAPA, including a new project supporting roll out in Kenya, Uganda, Liberia and Malawi and recommendation of SAPA by the German development bank KfW, which supports more than 300 PAs worldwide. We are excited about the potential for strengthening conservation practice across many sites, and using standardised assessment data from multiple sites to build a broader, more balanced picture of the social impacts of PAs/CAs, and the opportunities social assessment provides for improving the effectiveness and equity of PA/CA conservation.

It is hard for us to keep track of where SAPA is being used; so we would really appreciate your feedback and are happy to provide remote technical support where needed.



Phil Franks, London, October 2018

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# Acronyms

<b>CA</b>	conserved area
<b>CBD</b>	Convention on Biological Diversity
<b>FFI</b>	Fauna & Flora International
<b>GAPA</b>	Governance Assessment for Protected and Conserved Areas
<b>GPS</b>	geographical positioning system
<b>IIED</b>	International Institute for Environment and Development
<b>IUCN</b>	International Union for Conservation of Nature
<b>METT</b>	Management Effectiveness Tracking Tool
<b>NGO</b>	non-governmental organisation
<b>ODK</b>	Open Data Kit
<b>PA</b>	protected area
<b>PoWPA</b>	CBD's Programme of work on protected areas
<b>PRA</b>	participatory rural appraisal
<b>RAPPAM</b>	rapid assessment and prioritisation of protected area management methodology
<b>SAPA</b>	Social Assessment for Protected and Conserved Areas
<b>UNEP-WCMC</b>	United Nations Environment Programme World Conservation Monitoring Centre
<b>WCS</b>	Wildlife Conservation Society
<b>WPC</b>	World Parks Congress
<b>UNEP-WCMC</b>	United Nations Environment Programme World Conservation Monitoring Centre
<b>WCS</b>	Wildlife Conservation Society
<b>WPC</b>	World Parks Congress

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## Section A: Introducing SAPA

This manual provides detailed guidance for assessing the social impacts — positive and negative — of protected areas (PAs) and other conserved areas (CAs) and any related conservation and development activities. The manual describes the relatively simple and low-cost Social Assessment for Protected and Conserved Areas (SAPA) methodology, which is intended for use at site level.

SAPA can be used with PAs and CAs of any kind. This includes PAs governed and managed by government agencies, communities and the private sector. SAPA is a multi-stakeholder assessment for use by PA/CA managers, communities living within and around a PA/CA or other stakeholders and rightsholders at local and national levels. The goal of SAPA is to help increase and more equitably share the positive social impacts and reduce the negative social impacts of conservation. Our assumption in developing the SAPA methodology is that site-level actors will propose, plan and facilitate the assessment; we have written this methodology manual for these users. In most cases, there will be a need for technical support from a national or state-level organisation with social research expertise — for example, a non-governmental organisation (NGO), university or consultancy — especially for the household survey. However, there should be no need for international consultants.

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

### Using the SAPA manual

The rest of Section A contains background information on social assessment and an introduction to the key concepts that underpin SAPA. It is important to understand key concepts before you use SAPA, but if you want to see an overview of the SAPA methodology, skip to Section A3, starting on page 15.

Section B provides detailed step-by-step guidance on how to use the SAPA methodology. We use colour-coded tabs throughout to help you locate the different SAPA phases quickly. A colour-coded key is on the next page. Skip to the start of Section B on page 23 to dive straight into guidance on how to undertake SAPA at your site.

The Annexes contain suggested terms of reference for the SAPA facilitation team, templates for use during particular SAPA activities, and sample meeting and workshop agendas.

You can also find further templates and supporting resources at [www.iied.org/sapa](http://www.iied.org/sapa).

**Phases and main activities of SAPA, and the pages on which you will find them**

**PHASE I: PREPARING** .....25

- 1.1. Feasibility check
- 1.2. Planning the assessment
- 1.3. Community mapping
- 1.4. Reviewing existing information
- 1.5. Stakeholder analysis
- 1.6. Selecting and training the facilitation team

**PHASE II: SCOPING** .....35

- 2.1. First community meetings
- 2.2. First stakeholder workshop

**PHASE III: INFORMATION GATHERING** .....46

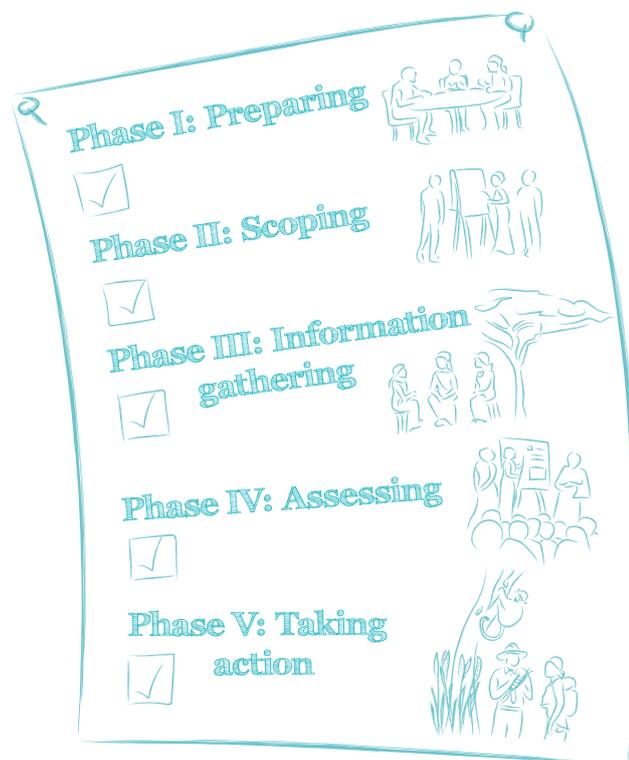
- 3.1. Planning information gathering and sampling
- 3.2. Developing the household survey questionnaire
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- 4.1. Second community meetings
- 4.2. Second stakeholder workshop

**PHASE V: TAKING ACTION** .....74

- 5.1. Communicating results
- 5.2. Planning action
- 5.3. Monitoring progress
- 5.4. Progress review



# 1. Background to SAPA

The landmark recommendation on PAs and poverty from the 2003 World Parks Congress (WPC) includes the principle that: “Protected areas should strive to contribute to poverty reduction at the local level, and at the very minimum must not contribute to or exacerbate poverty.”

This recommendation responded to the view that, despite much progress in the social dimension of conservation in the 1990s, there were concerns that PAs could — and should — do more to contribute to poverty reduction and that some PAs impose an overall negative impact on some local people when all positive and negative impacts are taken into account. The principle of “do good where possible and avoid harm” underpins social assessment.

Responding to such concerns and other key recommendations from the 2003 WPC, parties to the Convention on Biological Diversity (CBD) agreed a programme of work on protected areas (PoWPA) in 2004. The first activity under Goal 2.1 on equity and benefit sharing is: “Assess the economic and socio-cultural costs, benefits and impacts arising from the establishment and maintenance of protected areas, particularly for indigenous and local communities...”.

Since the late 1990s, there has been many academic publications on the social impacts of PAs.<sup>1</sup> Initially documenting mainly negative impacts, over time studies have documented a much more varied picture.<sup>2</sup> However, most used complex and costly research methodologies, which are not practical for many PA/CA managers. Additionally, in the absence of a standardised methodology, assessments of the social impacts of similar — sometimes the same — PAs/CAs often arrived at different conclusions.

The need for a relatively simple, rapid, standardised and low-cost approach for assessing the social impacts of PAs was increasingly evident, and in 2008, IIED with UNEP-WCMC, The Nature Conservancy and CARE launched the SAPA initiative to address this need. In 2010, the SAPA initiative prepared and published a comprehensive review of rapid methodologies for social assessment of conservation initiatives, including some methodologies that had already been used in conservation and some that might be applicable to conservation with some adaptation.<sup>3</sup> Drawing on these methodologies, IIED, working in partnership with United Nations Environment Programme World Conservation Monitoring Centre (UNEP-WCMC), Wildlife Conservation Society (WCS) and Fauna & Flora International (FFI), launched a project to develop and pilot the SAPA methodology in April 2013.

The result is a multi-stakeholder social assessment methodology with the primary goal of helping increase and more equitably share positive social impacts — and reduce negative social impacts — of conservation on communities living within and around a PA/CA. In the first phase of SAPA (2013–15), the focus was PAs and the methodology was piloted in five countries (Kenya, Uganda, Ethiopia, Gabon and Zambia). Based on this experience, we released the first edition of the SAPA methodology manual in early 2016. It has been downloaded over 1,000 times across more than 50 developing and middle-income countries. This new and updated second edition has relatively minor adjustments to the structure of the process (but not the process itself) to align it with our more recently developed governance assessment process, some strengthening of the assessment’s governance element and further elaboration of guidance for the taking action phase, based on user feedback.

1 For example, see West *et al.* (2006)

2 Franks and Small (2016b)

3 Schreckenberg *et al.* (2010)

## 2. Understanding SAPA

This section focuses on understanding SAPA, including the terms social assessment, human wellbeing, social impact, governance and equity.<sup>4</sup>

### 2.1 Protected areas and other conserved areas

According to the CBD, a PA is a “geographically defined area which is designated or regulated and managed to achieve specific conservation objectives”. In this manual, we consider “specific conservation objectives” in the broadest sense as inclusive of conservation objectives of stakeholders and rightsholders from global to local levels. In other words, they range from conserving a globally important species to conserving ecosystem services that make an important contribution to the wellbeing of communities at local level.

The International Union for Conservation of Nature (IUCN) system for classifying PAs allows for any combination of seven PA management categories and four PA governance types (see Figure 1). This embraces a huge range of possibilities, only limited by the fact that many countries’ national policy and legal frameworks restrict the definition of a ‘protected area’ to areas that have been formally recognised by national conservation authorities. This excludes many areas that, while not formally recognised, are managed with conservation objectives, often alongside other objectives. With growing awareness of the importance of such areas, the CBD has developed a definition that will, once adopted (expected in November 2018), provide formal recognition as ‘other effective area-based conservation measures (OECMs).<sup>5</sup> For the purposes of this manual, we have abbreviated this term to conservation area (CA). SAPA is equally applicable to PAs and CAs, so long as the SAPA feasibility criteria are met.

### 2.2 Stakeholders, rightsholders and actors

The term ‘stakeholders’ is often used to refer to anyone with an interest, concern or right defined in statutory law or customary law and tradition, in relation to a particular activity or initiative.

In the context of a PA/CA, stakeholders are individuals and groups who have interests and concerns related to the management and governance of the area and any related conservation and development activities. Rightsholders are individuals and groups who have legal or customary rights to land and/or natural resources within or around the area.

In some contexts, it is important to make a clear distinction between stakeholders and rightsholders, but in many situations, we use the terms together. Where this is the case in this document, we use the shorter term ‘actors’ to make for easier reading. In other words, stakeholders + rightsholders = actors.

<sup>4</sup> For further explanation, see Franks *et al.* (2018)

<sup>5</sup> CBD defines OECMs as “a geographically defined area other than a Protected Area, which is governed and managed in ways that achieve positive and sustained long-term outcomes for the in situ conservation of biodiversity, with associated ecosystem functions and services and, where applicable, cultural, spiritual, socioeconomic, and other locally relevant values.” (CBD/SBSTTA/22/L.2)

Figure 1: PA management categories and governance types

GOVERNANCE TYPE	A. GOVERNANCE BY GOVERNMENT			B. SHARED GOVERNANCE			C. PRIVATE GOVERNANCE			D. GOVERNANCE BY INDIGENOUS PEOPLE AND LOCAL COMMUNITIES	
	Federal or national ministry or agency in charge	Sub-national ministry or agency in charge	Government-delegated management (eg to an NGO)	Transboundary governance	Collaborative governance (various forms of pluralist influence)	Joint governance (pluralist governing body)	Conserved areas established and run by individual landowners	... by non-profit organisations (eg NGOs, universities)	... by for-profit organisations (eg corporate landowners)	Indigenous peoples' conserved areas and territories – established and run by indigenous peoples	Community conserved areas and territories – established and run by local communities
Ia. Strict nature reserve											
Ib. Wilderness area											
II. National park											
III. Natural monument											
IV. Habitat/species management											
V. Protected landscape/seascape											
VI. Protected area with sustainable use of natural resource											

Source: Borrini-Feyerabend *et al.* 2013

## 2.3 Social assessment

**Social impact assessment** (social assessment for short) is the process of analysing and managing the intended and unintended social consequences — both positive and negative — of planned interventions (policies, programmes, plans or projects).

There are several reasons for assessing the social impacts of a PA/CA:

- As a **health check**, to identify positive and negative social impacts that need some attention
- As a **diagnostic**, to understand the underlying causes of problems and identify actions that could improve the situation, and
- For **monitoring and evaluation**, to establish a baseline for social impacts and their overall contribution to human wellbeing against which changes can be tracked over time.

Unlike many studies of positive and negative impacts, social assessment — and specifically SAPA — looks at how a positive or negative impact differs among local people according to factors such as wealth, ethnicity, age and gender. This is important because an overall positive

impression of the social impacts of conservation often hides serious inequity in their distribution, with negative impacts falling more on poorer people, particularly women, and benefits going more to wealthier people, particularly men.

Although SAPA is designed primarily to strengthen conservation practice at site level, it is possible to combine SAPA results from different sites to report against national and global targets.

## 2.4 Human wellbeing

Wellbeing is not just the inverse of poverty or another term for livelihoods; it is a broader way of looking at the quality of human life. In this manual, we use the three-dimensional framework of human wellbeing (see Box 1), which includes material, relational and subjective wellbeing.<sup>6</sup>

### Box 1. The three dimensions of human wellbeing

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

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

**Subjective wellbeing:** Cultural values, norms and belief systems, notions of self, individual and shared hopes, fears and aspirations, levels of satisfaction or dissatisfaction, trust and confidence.

Adapted from White (2009)

## 2.5 Social impact

The term 'social impact' refers to the impacts of a policy, programme, project or another initiative that directly affects one or more of the three dimensions of wellbeing. In the context of biodiversity conservation, using a wellbeing framework as the basis of social assessment rather than a poverty framework makes a real difference. This is because some of the most significant benefits of conservation — for example, maintaining cultural values/practices — contribute to the relational and subjective dimensions of wellbeing and may be overlooked from a poverty or livelihoods perspective.

In English and some other languages, we often refer to positive impacts on wellbeing as 'benefits' and negative impacts on wellbeing as 'costs'. However, 'cost' suggests a negative impact with a monetary value and seems to exclude other types of negative impact. 'Benefit' is a broader term, but when used together with 'cost', it tends to be understood narrowly as referring to impacts with a monetary value. For this reason, this manual avoids the term 'costs' and the phrase 'benefits and costs' and only uses the term 'benefit' when it is interpreted broadly.

6 See White (2009) for more information

This level of caution regarding key terms is equally important when translating them into the national language of the country where the assessment takes place and the languages of local communities. Translations of the term ‘positive social impact’ must convey the idea of a broad range of monetary and non-monetary impacts (see Table 1).

**Table 1: Examples of monetary and non-monetary social impacts of a PA/CA at site level**

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

## 2.6 Governance

Governance is about power, relationships and accountability. It is about who makes decisions, how they make them, how resources are allocated and how actors have their say and hold those in power to account.

Governance is distinct from management. Governance is about who defines objectives and how, and the allocation of responsibility and accountability for delivering on these objectives. Management is about what is done to achieve these objectives and includes defining and allocating lower-level objectives, responsibilities and accountabilities.

Governance quality is about how the governance arrangements of a PA/CA perform in terms of principles of good governance. IUCN has defined a good governance framework for PAs with five principles and 40 key considerations.<sup>7</sup> In our Governance Assessment for Protected and Conserved Areas (GAPA) methodology, IIED has condensed this to 11 good governance principles (Box 2).<sup>8</sup> In its information-gathering phase, SAPA includes questions on five of these 11 principles, which are particularly relevant to social impact assessment.

<sup>7</sup> Borrini-Feyerabend *et al.* (2013)

<sup>8</sup> Franks and Booker (2018)

### Box 2: GAPA's 11 principles of good PA/CA governance

1. **Recognition and respect for the rights of all relevant actors**
2. Recognition and respect of all relevant actors and their knowledge, values and institutions
3. **Full and effective participation of all relevant actors in decision making**
4. **Transparency supported by timely access to relevant information in appropriate forms**
5. Accountability for fulfilling responsibilities and other actions and inactions
6. Access to justice, including effective dispute resolution processes
7. Effective and fair enforcement of laws and regulations
8. **Effective measures to mitigate negative impacts on indigenous peoples and local communities**
9. **Benefits equitably shared among relevant actors based on one or more agreed targeting options**
10. Achievement of conservation and other objectives
11. Effective coordination and collaboration between actors, sectors and levels.

Note: the SAPA methodology considers the five good governance principles in **bold**

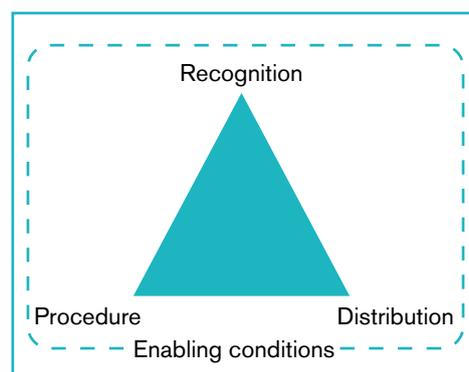
## 2.7 Equity and justice

Target 11 of the CBD's strategic plan includes the statement that PAs should be "effectively and equitably managed" by 2020.<sup>9</sup> In plain English, equity simply means fairness. It is closely related to justice, particularly the concept of social justice.

Building on research on equity in payments for ecosystem services and environmental justice, IIED and a broad group of organisations working in conservation at the international level have developed a framework for understanding and assessing equity in PA/CA governance and management (Figure 2). We consider equity to have three dimensions:

- **Recognition**, which is about acknowledging and respecting rights and the diversity of different actors' identities, knowledge systems, values and institutions.
- **Procedure**, which is about actors' participation in decision making, transparency, accountability and processes for dispute resolution.
- **Distribution**, which is about the allocation of benefits across the set of actors and avoiding or at least reducing negative impacts.

Figure 2: The three dimensions of equity



<sup>9</sup> CBD Strategic Plan 2011–2020. See [www.cbd.int/sp/](http://www.cbd.int/sp/)

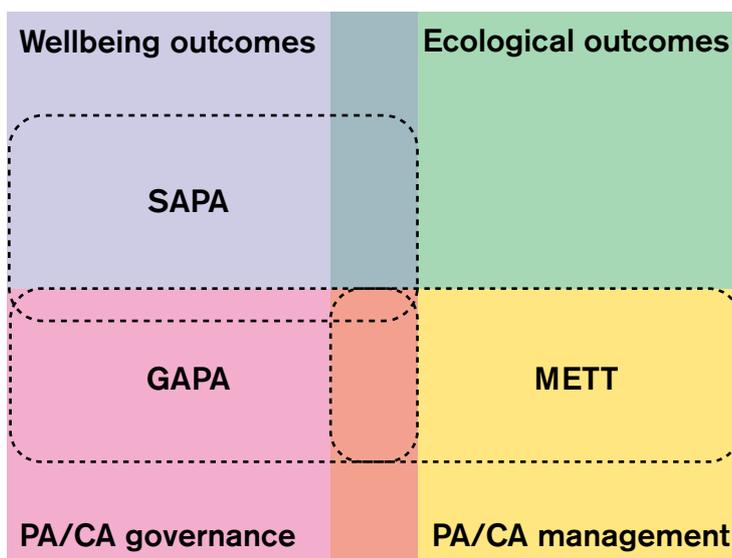
Historically, conservation has focused mainly on the distribution dimension of equity. A key feature of this equity framework is the greater emphasis on the recognition and procedure aspects. Within each dimension, the framework identifies a set of priority issues, which are framed as principles. In the context of conservation, equity principles are essentially a subset of principles of good governance. Principles 1–9 of our framework of good governance principles are also equity principles (Box 2).

## 2.8 Social assessment, management effectiveness and governance assessment

SAPA provides an in-depth understanding of the impacts of conservation on human wellbeing at a local level, the distribution of these social impacts and ideas for improving the situation. In basic terms, SAPA also looks at the relative contribution of conservation to local peoples' wellbeing versus other factors such as weather, service provision and market access that affect wellbeing.

Beyond social assessment, conservation actors have many other information needs. In particular, PA/CA managers are often encouraged to conduct two related assessment processes: PA management effectiveness assessment (eg using the Management Effectiveness Tracking Tool - METT) and governance assessment (eg using GAPA).<sup>10</sup> Figure 3 shows the relationship between SAPA, METT and GAPA specifically, illustrating that the three types of assessment tell us different things. For example, if you want to know about PA/CA management, you should undertake a METT assessment. If you want to know about the wellbeing outcomes of a PA/CA, you should undertake SAPA.

Figure 3: Relationship between SAPA, GAPA and METT



10 Franks and Booker (2018)

### 3. SAPA methodology: an overview

This section gives you an overview of the methodology. In broad terms, any assessment methodology has four key elements: analytical framework, research design, process and methods. We introduce these elements of the SAPA methodology and the key roles of convenor, host and facilitator.

Note that, although we appear to use the terms methodology, method and tool interchangeably, there is a logical order to these terms (see Box 3) and in this SAPA manual we use them accordingly.

#### Box 3. Clarifying the meaning of the terms methodology, method and tool

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

**Method:** An information/data gathering or analysis activity — for example, focus groups, semi-structured interviews, survey or participatory rapid appraisal (PRA) methods.

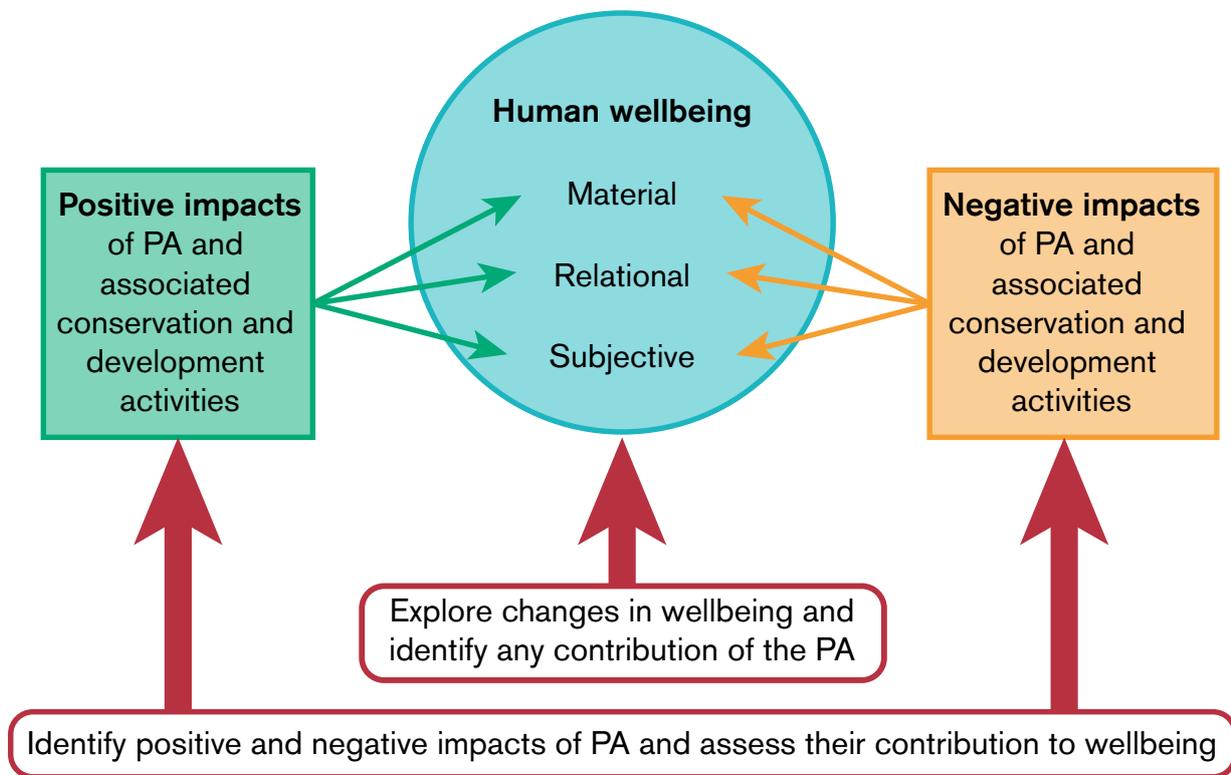
**Tool:** Specific information/data-gathering or analysis instrument used within a method.

#### 3.1 Analytical framework

The analytical framework for an assessment includes:

**Key concepts and their inter-relationship.** In the case of SAPA, this framework shows the relationship between social impacts and the three dimensions of human wellbeing (see Figure 4). The framework also shows the two complementary approaches to assessing the contribution of PA/CA social impacts to human wellbeing that we use in SAPA. The first (the central red arrow) explores how wellbeing of local men and women has changed over a certain period (improved, deteriorated, no change) and the more significant factors that have contributed to this change. On the positive side, this could include things like improved market access and on the negative side, drought and crop pests. This line of enquiry provides information on the significance of PA/CA-related factors versus other factors, although only in so far as any of these factors have contributed to a change in wellbeing. The second approach — the main emphasis of SAPA (represented by the left and right red arrows) — is to explore the main positive and negative impacts of the PA/CA on the wellbeing of local men and women over the same period and how significant these have been.

Figure 4: SAPA analytical framework: key concepts and their inter-relationship



**Principles** against which we can assess performance (in this case of PA/CA conservation). Principles are broad statements that describe a desired way of working or situation. In the case of assessing the impacts of PAs on human wellbeing, one overarching principle is simply “do good where possible and cause no harm”.

**Assessment questions** expand the framework to address specific information needs. For SAPA, there are three broad standard assessment questions directly related to social impacts (the main focus of the assessment) and five standard questions related to governance (see Box 4). The methodology also allows for the inclusion of site-specific questions that respond to key actors’ specific information needs, so the assessment can be tailored to the needs of a specific site.

**Box 4: SAPA standard assessment questions****Social impact**

1. What is the overall contribution to human wellbeing of the PA/CA and related conservation and development activities?
2. What are the more significant negative impacts of the PA/CA and related conservation and development activities?
3. What are the more significant positive impacts of the PA/CA and related conservation and development activities?

**Governance**

4. **Rights:** To what extent are any PA/CA-related rights of local women and men recognised and respected?
5. **Participation:** To what extent are local women and men able to participate in PA/CA-related decision making?
6. **Transparency:** To what extent do local women and men have timely access to relevant information?
7. **Negative impact mitigation:** To what extent are there effective measures to mitigate negative impacts on local women and men?
8. **Benefit sharing:** To what extent are PA/CA-related benefits equitably shared within and between local communities?

## 3.2 Research design

When undertaking a social assessment, the research design should enable you to determine the contribution of the initiative (in our case, PA/CA conservation and any related conservation and development activities) versus other factors that affect wellbeing such as an increase in food prices or insecurity. The assessment needs to determine the extent to which an impact can be attributed to the PA/CA and any related conservation and development activities.

For some types of social impact, the contribution/attribution issue is not difficult. For example:

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

However, for many social impacts, the contribution/attribution issue is much more complex. There may be several factors contributing to a given type of impact — for example, where both a PA/CA and local government are supporting road improvements or where natural ecosystems within the PA/CA are helping communities adapt to climate change alongside other adaptation measures such as more climate-resilient crops. Even where there is just one factor, and this is clearly

related to the PA/CA, there is the question of what the situation would look like without the PA/CA. In technical terms, we call this the 'counterfactual'.

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

SAPA sidesteps this complex issue with the simple rule that the counterfactual is what the community members believe it would be. This will depend on the type of impact: it may be what they imagine the situation would be without the PA/CA, or if the PA/CA had been recently created, the situation before the PA/CA was established. This is a common approach in social research; in technical terms, it is called a 'reflexive comparison'. It introduces an element of subjectivity that could bias the results, but there are important counter-arguments. Firstly, SAPA does not aim to determine the actual quantity or quality of a PA's positive and negative contributions to wellbeing; it simply tries to identify ways to reduce negative impacts and increase — and more equitably share — benefits. In other words, it aims to improve the situation.

Secondly, people's perception of equity is important because:

- a. A sense of equity/fairness is integral to subjective wellbeing, and
- b. A sense of equity/fairness or inequity/unfairness shapes the opinions and actions of individual people towards a PA/CA. For example, a sense of unfairness can be significant motivation for poaching and other illegal activities.

When a sense of equity/inequity at community level rises to higher levels of governance, it can be a powerful factor in shaping the opinions and actions of key decision makers. This is an important consideration where the challenges faced by PAs increasingly have a political dimension.

### 3.3 Process

A process is a set of activities linked by design to achieve something more than any one activity. In this case, 'something more' is an assessment of the social impacts of a PA/CA which, in turn, informs action to improve the situation; most of the activities are specific methods for gathering and analysing information/data (see Table 2). In SAPA, the methods are all linked to a stakeholder analysis designed to ensure that all key actors are effectively engaged in all aspects of the assessment, from design through to analysing and interpreting the results and developing and implementing ideas for action to improve the situation. This is often referred to as a multi-stakeholder process.

SAPA's multi-stakeholder process is important as it increases the accuracy and credibility of results, enhances transparency and ownership of the assessment and builds support for taking

action and accountability for implementing agreed actions. The effectiveness of SAPA can be compromised if key actors resist the multi-stakeholder process. There is a need for care and sensitivity to manage the process and develop an atmosphere of shared problem solving, while avoiding conflict and finger-pointing.

The SAPA process has five phases with a total of 19 main activities — six preparation activities, two for scoping, five for information gathering, two for assessing results and four to support taking action in response to the results (see Table 2).

An assessment report is produced at the end of Phase IV, but this is not the end of the process, which then moves to the all-important taking action phase. Phases I-IV will take two to four weeks (depending on the size of the PA) if the assessment is full-time, but we suggest users implement the SAPA process on a part-time basis over a longer period of up to three months (see Table 2). This will enable key participants to have adequate notice for the activities that involve them.

Our time estimates for the SAPA process assume that the household survey is conducted using Open Data Kit (ODK) software, which enables enumerators (the individuals undertaking the survey) to enter responses directly onto mobile phones or tablets and then upload this data to a web-based platform. The initial set-up requires some investment of time, but once everything is set up, ODK simplifies the process, removing the need for hard copy questionnaires or manual data entry. If it is not possible to use ODK, it will take another two to four weeks for data entry and error checking.

Phase V (taking action) focuses on what actors do with the results of the assessment and is deliberately included as an integral part of the SAPA process to build support and accountability for action. Phase V is open-ended, but we recommend that the convenor — in other words, the organisation that organises and funds the SAPA assessment — should commit to actively facilitating Phase V for at least six months after producing the assessment report (see Section B5).

### 3.4 Methods and tools

The standard SAPA process uses a classic mixed methods approach, with a combination of six different methods and four tools for gathering information, assessing results and generating ideas for action to respond to at least some of the results. Embedded within the overall SAPA process, we use these methods in the order presented in Table 3; each method informs the subsequent methods.

Table 2: SAPA process, timeframe and outputs/outcomes

Phases and main activities		Timeframe	Outputs
<b>PHASE I – PREPARING</b>			
1.1	Feasibility check	Week 1	» Decision to go ahead or not
1.2	Planning the assessment	Week 1	» Assessment plan
1.3	Community mapping	Weeks 2-3	» Community map
1.4	Reviewing existing information	Weeks 2-3	» Site profile
1.5	Doing stakeholder analysis	Week 4	» Stakeholders analysis
1.6	Facilitation team selection and training	Weeks 1-4	» Facilitation team trained
<b>PHASE II – SCOPING</b>			
2.1	First community meetings	Week 5	» Priority impacts identified
2.2	First stakeholder workshop	Week 6	» Site-specific assessment questions
<b>PHASE III – INFORMATION GATHERING</b>			
3.1	Planning information gathering and sampling	Week 6	» Information gathering and sampling plan
3.2	Developing the household survey questionnaire	Week 7	» Draft questionnaire
3.3	Enumerator training	Week 7	» Trained enumerators
3.4	Conducting the household survey	Weeks 8-9	» Survey data in Excel spreadsheet
3.5	Analysing household survey data	Week 10	» Survey results in PowerPoint
<b>PHASE IV – ASSESSING</b>			
4.1	Second community meetings	Week 11	» Social impacts and related governance challenges clarified and validated
4.2	Second stakeholder workshop	Week 12	» Practical ideas for action
<b>PHASE V – TAKING ACTION</b>			
5.1	Communicating results	Months 4-12	» Results report shared with assessment participants and other key actors
5.2	Action planning	Months 4-15	» Social impact action plan (optional) » Results presented at planning meetings of key actors
5.3	Monitoring progress	Months 4-onwards	» Monitoring and learning systems of key actors strengthened
5.4	Progress review workshop	Months 9-15	» Progress report shared with assessment participants and other key actors

Table 3: SAPA methods and tools

Method	Tools	Objective of the method
Stakeholder analysis	Stakeholder analysis template (Annex 2)	» To identify key stakeholder groups that should be engaged in SAPA and participants for the two stakeholder workshops
First community meetings	Weighted ranking <sup>11</sup> SAPA impact scoping tool (Activity 2.1)	» To identify the most significant impacts in a community » To identify the more significant impacts across all communities
First stakeholder workshop	Agenda for first stakeholder workshop (Annex 3)	» To ensure that key SAPA actors have a good understanding of SAPA, including the process to be used and their role in this process » To identify why actors are interested in participating in SAPA, and what specific information they would like to get from SAPA
Household survey	Survey questionnaire template (Annex 2)	» To generate information on the relative importance to different household types (by location, size, wellbeing, ethnicity, source of livelihood, etc) of the most significant social impacts
Second community meetings		» To share the results of the SAPA household survey with communities and review and validate these results » To address any assessment questions targeted at the community meetings » To explore ideas for action to: - reduce negative social impacts and increase, and more equitably share, positive social impacts - improve benefit sharing, recognition of rights, participation in decision making, transparency of information, and/or mitigation of negative impacts (depending on the questions you included in the scorecard)
Second stakeholder workshop	Agenda for second stakeholder workshop (Annex 3)	» To share the key results from the SAPA household survey and community meetings with workshop participants » To address any assessment questions targeted at the second stakeholder workshop » To review, refine and add to ideas for action to: - reduce negative social impacts and increase, and more equitably share, positive social impacts - improve benefit sharing, recognition of rights, participation in decision making, transparency of information, and/or mitigation of negative impacts (depending on the questions you included in the scorecard).

### 3.5 Key roles: convenor, host and facilitator

There are three key roles in undertaking an effective assessment of almost any kind.

**Convenor:** This is the organisation that invites people to participate in an activity, event or initiative and sets the agenda (with inputs from other key actors). The ability of an organisation to convene a social assessment — its convening power — will depend on how well it is respected by all the key actors. When selecting a convenor, it is important to consider whether the convening organisation can be trusted by key actors to deliver a successful and fair outcome. A convenor must be interested in the objectives of the assessment and believe in the value of a multi-stakeholder process. It will typically be known by all actors and have a good understanding of the PA/CA. The convening organisation will usually nominate one staff member as an assessment coordinator, who will coordinate its convening role.

**Host:** The host organisation or individual formally receives the participants in the assessment or an activity of the assessment. For example, the PA/CA management or local government might host a stakeholder workshop and community leaders or the local administration might host a community meeting. If there are concerns that the host might bias an event or activity, co-hosting is an option. For example, a local NGO might co-host a SAPA assessment with PA/CA managers to boost people's confidence in the process.

**Facilitator:** This individual helps engage people in a process or activity. Their ability to successfully facilitate a multi-stakeholder assessment like SAPA will depend on their experience and facilitation skills. Other important characteristics include trustworthiness and independence. Key actors participating in the assessment should perceive a facilitator as neutral — in other words, able to ensure a fair process not biased to the interests of a particular actor. Where contracting a third-party facilitator is not an option, it may be acceptable to have individuals who are not individually neutral but who make up a team that is seen as collectively independent and representative of multiple perspectives. The facilitators' role in an assessment is very practical; they should work as a team to undertake the tasks set out in this manual to achieve the objective(s) of the assessment.

In most assessments, the facilitators will need help with data collection — for example, from notetakers at stakeholder workshops and community meetings and enumerators for household surveys. In research, we call these research assistants. Since data collection activities are usually conducted in the local language, and to keep cost to a minimum, these research assistants are usually recruited from within the local communities.

## Section B: Step-by-step guidance

This section of the SAPA manual provides detailed guidance for each of the 19 main activities of the SAPA process (see Table 2, repeated here from Section A). For each activity, the guidance explains its objective, the time required, who should facilitate, who should participate, background information, the specific tasks of the facilitator to prepare for and implement the activity and the expected output. Remember this is only guidance — we recommend everyone undertaking a SAPA take a flexible approach that it suited to their local context (see Box 5).

### Box 5. A flexible approach to SAPA

Although this section provides detailed, step-by-step guidance on how to use the SAPA methodology, we recommend that users take a flexible approach to SAPA. Follow the guidance as much as possible but undertake the steps in a way that makes sense to your local context. Make sure you are guided by the expertise of all actors involved in the SAPA process, especially your facilitation team.

Phases and main activities of SAPA, and the pages on which you will find them

<b>PHASE I: PREPARING</b> .....	<b>25</b>
1.1. Feasibility check	
1.2. Planning the assessment	
1.3. Community mapping	
1.4. Reviewing existing information	
1.5. Stakeholder analysis	
1.6. Selecting and training the facilitation team	
<b>PHASE II: SCOPING</b> .....	<b>35</b>
2.1. First community meetings	
2.2. First stakeholder workshop	
<b>PHASE III: INFORMATION GATHERING</b> .....	<b>46</b>
3.1. Planning information gathering and sampling	
3.2. Developing the household survey questionnaire	
3.3. Enumerator training	
3.4. Conducting the household survey	
3.5. Analysing household survey data	
<b>PHASE IV: ASSESSING</b> .....	<b>64</b>
4.1. Second community meetings	
4.2. Second stakeholder workshop	
<b>PHASE V: TAKING ACTION</b> .....	<b>74</b>
5.1. Communicating results	
5.2. Planning action	
5.3. Monitoring progress	
5.4. Progress review	

Table 2: SAPA process, timeframe and outputs/outcomes

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5.4	Progress review workshop	Months 9-15	» Progress report shared with assessment participants and other key actors

# 1. Phase I: Preparing

## 1.1 Feasibility check

A multi-stakeholder assessment process requires certain conditions to work in a constructive, effective and fair way. Work begins with a feasibility check to determine whether it is appropriate and feasible to use the SAPA methodology with the proposed PA/CA. If the conclusion is positive, Phase I proceeds with planning the assessment, putting together a basic profile of the PA/CA, undertaking an initial stakeholder analysis and selecting and training the small facilitation team to undertake the tasks in Phases II–V.

### Objective

To determine whether SAPA is an appropriate methodology for assessing the social impacts of the target PA/CA.

### Time required

Half a day.

### Who facilitates?

The organisation that is initiating the idea of doing the social assessment at the target PA/CA (the convenor) should organise and facilitate the feasibility assessment.

### Who participates?

The convenor may not necessarily be the organisation in charge of managing the PA/CA — for example, the convenor might be an NGO with a strong interest in the PA/CA — but they should always do the feasibility assessment in consultation with the PA/CA managers to maximise ownership of the process and the chances of results being applied.

### Background information

SAPA is designed to be widely applicable to PAs/CAs of any governance type, management category and ecological context, including marine and terrestrial.

The first criterion for the feasibility check is that SAPA should only be used with a PA/CA that has been in existence and with operational management and governance systems for at least two years. This is to ensure that local actors have sufficient awareness and understanding of the PA/CA and some experience of its social impacts to be able to make a meaningful input to the social assessment. The two years should be taken from when the PA/CA started activities on the ground, not the time of legal establishment.

The other feasibility criteria relate to the nature of the SAPA methodology, which:

- Relies on a multi-stakeholder process that may not be viable where there is deep distrust or conflict between PA/CA management and communities living in and/or around the area, and

- Requires PA/CA managers and the other key actors to meet face-to-face at least once during the assessment process. This may not be practical with very large PAs/CAs where travel between communities and towns is difficult and costly. In such cases, we suggest assessing a clearly defined zone of the PA/CA and its neighbouring communities.

The success of SAPA also assumes that:

- There are adequate human and financial resources to conduct the assessment in line with the process laid out in this manual. Based on experience to date, the cost of conducting SAPA ranges US\$5,000–15,000 per site, depending on the size of the area and the relative cost of working in that country. This excludes the time costs for members of the SAPA facilitation team, which are assumed to be an in-kind contribution from key actors.
- PA/CA managers and other key actors will be willing and able to implement at least some of the ideas for action to improve social impacts and/or PA/CA governance.

### Task

Review the feasibility of undertaking SAPA using the template in Annex 2 and the criteria in the template that relate to the target PA/CA and its socioeconomic context.

### Output

Completed feasibility check.

## 1.2 Planning the assessment

### Objective

To ensure that the assessment will be implemented as a high-quality multi-stakeholder process in line with the guidance in this users' manual while also being well adapted to the needs of the key actors and the context of the target PA/CA.

### Time required

Half a day.

### Who facilitates?

The organisation that is convening the assessment alongside the SAPA lead facilitator.

### Who participates?

Planning should be done in consultation with the key actors who will host some of the assessment meetings.

### Background information

A plan for a specific initiative like SAPA should unpack each main activity into several more specific activities we call 'tasks' in this manual. Using a standard work planning approach, the convenor and SAPA lead facilitator should describe the following for each activity:

- The **lead person**, who is responsible for ensuring the activity is implemented
- **Supporting persons**, who will help implement the activity (and often do most of the work)
- Any specific **output** of the specific activity (though not all activities have an output)
- **Timeframe** for implementation of the activity — for example, using a weekly Gantt chart (time chart) format.

### Tasks

1. The convenor should identify the SAPA lead facilitator. This may be someone from the convening organisation or a third party. Either way, this person should conform with the facilitator profile outlined in Annex 1.
2. The SAPA lead facilitator, relevant convening organisation staff (and other facilitators if they have already been identified) should all read this manual.
3. The SAPA lead facilitator and/or convenor should develop a draft plan for implementing Phases I–IV of the SAPA process, based on the 15 main activities listed in Table 2.

### Output

Completed draft plan for implementing SAPA.

## 1.3 Community mapping

### Objective

To help ensure that SAPA includes all relevant communities.

### Time required

At least one day, depending on how much information is available.

### Who facilitates?

A staff member of the convening organisation and/or the SAPA lead facilitator.

### Who participates?

It is always a good idea to ask key local and national actors for help on producing a community map — particularly as they may have existing maps that they can share.

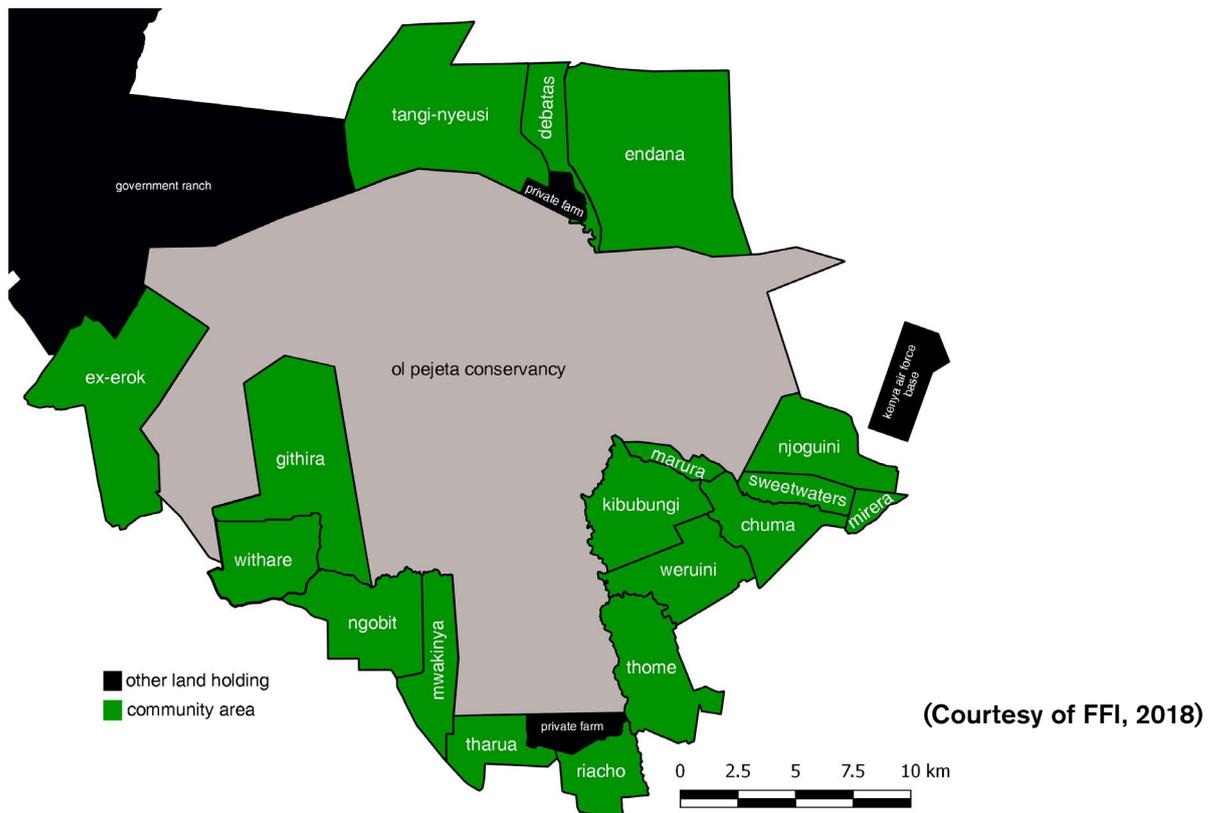
### Background information

A critically important input to the assessment is a map of the PA/CA boundaries and basic physical features of the area (roads, rivers, shorelines in the case of marine areas) overlaid with a 'community map' that shows the location and boundaries of communities within and surrounding the PA/CA. Some communities — especially of indigenous peoples — will be self-defined; but in most cases, communities are defined by the administrative local government units.

As a minimum, a community map should show the lowest level of local administrative/community unit. If possible, it should also show the level above this, together with all the units within it, bearing in mind that at this stage, you have not decided how far from the PA/CA boundary the assessment should extend.

If the PA/CA does not yet have a such a map, producing one will be an extra activity. We have not included the time and cost for this mapping in our estimate of resources needed for SAPA. Although this community map is very useful for planning and creating maps of some of the SAPA results, it is possible to do SAPA without one.

Map 1: OI Pejeta Conservancy and adjacent communities, Kenya



**Tasks**

1. If one does not already exist, produce a community map using a geographical positioning system (GPS) to survey the boundaries of all communities that border the PA/CA, including boundaries between communities and those between communities and the PA/CA. Be sure to involve community members in this mapping process to maximise accuracy and minimise the risk of creating conflict.
2. Arrange for a competent geographical information system laboratory to generate a map of the community boundaries that can be overlaid on the base map of the PA/CA and surrounding areas and print several copies.

**Output**

Map of the PA/CA and surrounding communities. See Map 1 as an example.

## 1.4 Reviewing existing information

### Objective

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

### Time required

At least one day, depending on how much information is available and how thorough the convenor wants to be in doing the review.

### Who facilitates?

Ideally, the SAPA lead facilitator would undertake this review of existing information so that s/he is aware of all the relevant background information and can share this information with the rest of the facilitation team. Where this is not possible, a staff member of the convening organisation can do this review.

### Who participates?

It is always a good idea to ask key local and national actors for ideas on relevant information and where to find it.

### Background information

The review of existing information serves five important functions.

1. To inform the design of the assessment — for example, with respect to:
  - Selecting a sample of communities that will give a representative picture of social, cultural and ecological differences across the area, and the distribution of different types of PA/CA-related social impacts
  - Selecting sample households for the household survey
  - Tailoring methods and tools to the cultural context — for example, cultural norms in some places may prohibit or inhibit one social group to speak in front of another (such as women speaking in front of men, young people speaking in front of elders/leaders)
  - Identifying appropriate wellbeing indicators
  - Planning fieldwork logistics — for example, accessibility of communities, likely weather conditions, and
  - Planning fieldwork to minimise any inconvenience to communities.
2. To identify relevant information and knowledge that will be an input to the assessment, including:
  - Previous assessments of social impacts of the PA/CA that can inform impact prioritisation
  - Gender analysis at site and/or higher levels

- Geospatial (geographical information system) data that can be used to generate relevant maps, and
  - Traditional knowledge of indigenous and local communities.
3. To build actor ownership and credibility of the assessment by recognising and respecting their information and knowledge.
  4. To minimise political issues that could hamper the SAPA process and/or bias the results.
  5. To minimise frustration that may be caused if SAPA is seen to be repeating previous studies.

#### Box 6. Types of information to look out for during Activity 1.4

PA management plans

PA management effectiveness assessments

Studies of ecosystem services

Previous social or environmental impact assessments

Socioeconomic baseline surveys

Other social research

Impact evaluations of conservation and development projects related with the PA

Demographic information from national censuses

Household lists that may be held by local government/leaders, and

Maps of PA/CA features and local government/administrative units (in digital form if possible).

### Tasks

1. The convenor and/or SAPA lead facilitator should speak to key individuals (PA/CA management, local government officials, community leaders, NGOs and so on) to identify sources of information that may be relevant. As this is mainly a factual conversation, a phone call may be enough to get the necessary information. These conversations also provide an opportunity to ask key informants about the social impacts of the PA/CA and any related conservation and development activities. This way you can start to identify key issues that are likely to emerge and key actors that should be included in the SAPA process.
2. The convenor and/or SAPA lead facilitator should obtain and review relevant documents and other sources of information (see examples in Box 6). As a minimum, they should extract and summarise key information into a basic site profile. There is a template in Annex 2.
3. The convenor and/or SAPA lead facilitator should use the site profile and community map (from Activity 1.3) to propose the overall geographic scope of the assessment. You will also need to be informed by the available resources and logistical constraints: in a large PA/CA, you may have to focus on one zone/area.

4. The convenor and/or SAPA lead facilitator should use the site profile to identify the range of related conservation and development activities that may be present alongside the core PA/CA conservation programme. In this context, related means any activity that has been designed to contribute to or affect conservation — for example, sharing certain PA-derived benefits. It can also mean any conservation and development activities that are affected by conservation of the PA/CA, such as a water scheme that takes water from a source within the PA. The convenor and/or SAPA lead facilitator should propose the overall scope of related conservation and development activities that will be included in the assessment.

### Outputs

- Completed site profile.
- Proposed (geographical) scope of the SAPA.

## 1.5 Stakeholder analysis

### Objective

To identify key actors that should be engaged in SAPA and participants for the first stakeholder workshop (in Phase II).

### Time required

1.5 hours.

### Who facilitates?

The convening organisation is responsible for conducting a good stakeholder analysis. If possible, the SAPA lead facilitator should help with this stakeholder analysis.

### Who participates?

To do a stakeholder analysis properly, the convenor will need to involve key actors who have a range of interests and perspectives in the PA/CA. This can be done by individually seeking their views or (preferably) by inviting some of them to participate in a meeting to undertake the stakeholder analysis exercise.

### Background information

The term ‘stakeholder analysis’ has long been used for a method for identifying individuals and groups with interests in and/or influence over a particular initiative. In this context, the term ‘stakeholder’ has always included rightsholders. In this manual, we use the term ‘actors’ when referring to both groups but retain the term ‘stakeholder analysis’ for this specific method and the title of the two workshops.

SAPA relies on engaging all relevant actors for several reasons, including to:

- Maximise the accuracy of results

- Ensure their credibility, and
- Build commitment to using SAPA information to improve the PA/CA's social and governance performance.

A stakeholder analysis aims to assess both the interest of organisations/groups in the issue in question, and their influence in terms of being able to bring about changes related to the issue.

By group, we mean people who have similar interests and influence. Within the community, the stakeholder analysis is conducted at this group level as it is impossible to consider the interests and influence of every individual.

A good stakeholder analysis is key to a good assessment. Even if you have previously completed a stakeholder analysis for PA/CA management planning process or a project related with the PA/CA, you should repeat the exercise. This is because the SAPA stakeholder analysis has specific parameters that a previous stakeholder analysis is unlikely to have fully addressed. Specifically, you are looking for organisations or groups that have an interest in the wellbeing of people living within and around the PA. In the context of social assessment, you are also looking at the social impacts of any related conservation and development activities that have been designed to contribute to the objectives of the PA/CA.

The SAPA stakeholder analysis aims to characterise the interest and influence of each actor or group of similar actors on a four-point scale: high, medium, low or zero. Key actors/groups of actors are those that score medium or high for interest in PA/CA-related social impacts. The success of the SAPA process relies on engaging as many of these actors as possible.

At community level, there will be different types of groups:

- Geographically defined sub-units such as villages, units of local government and chiefdoms
- Interest groups: socially defined groups that have specific interests such as women who are permitted to harvest basket-making materials from a PA/CA or fishers who fish within a PA/CA, and
- Marginalised groups: socially defined groups that have PA/CA-related interests, but little or no influence on PA/CA-related decision making, such as some women, youth and ethnic minorities.

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

### Tasks

1. Using the stakeholder analysis template in Annex 2, the convenor or SAPA lead facilitator should start by identifying state actors — in other words, state or parastatal organisations (or specific departments within them) that have a significant interest in the positive and/or negative social impacts of the PA/CA and any related conservation and development activities. Examples are national agencies including environmental and conservation authorities, departments of local government, some universities and research organisations. Write the actors names on separate cards.

2. For each actor identified, discuss and agree its current level of interest in the positive and/or negative social impacts of the PA/CA, and any related conservation and development activities. Interest can be judged as high (\*\*\*), medium (\*\*), low (\*) or zero ( ). If, after some discussion, participants conclude that the interest is zero, then drop the actor from the analysis: zero interest means that they are not, by definition, a stakeholder/actor.
3. Discuss and agree each actor's level of power to influence decision making affecting the positive and/or negative social impacts of the PA/CA and any related conservation and development activities, marking it as high (\*\*\*), medium (\*\*), low (\*) or zero ( ).
4. Repeat tasks 1-3 for non-state actors that have a significant interest in the positive and/or negative social impacts of the PA/CA and any related conservation and development activities. This broader category may include:
  - a. Communities located within and/or around the PA/CA (which may be represented through existing local leadership arrangements)
  - b. Indigenous people's organisations
  - c. Community-based organisations, such as farmers' cooperatives and women's associations
  - d. Social groups within communities that have specific common interests (interest groups)
  - e. Social groups within communities that tend to be marginalised in decision making (marginalised groups), such as some women, ethnic minorities, religious minorities and youth
  - f. NGOs, and
  - g. Private sector organisations — for profit and not-for-profit.

## Outputs

Completed stakeholder analysis using the template in Annex 2. There is also a picture of a completed stakeholder analysis in this Annex.

## 1.6 Selecting and training the facilitation team

### Objective

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

### Time required

Two days for training.

### Who facilitates?

The convenor and SAPA lead facilitator should select the facilitation team using the terms of reference in Annex 1. The SAPA lead facilitator should train the team if s/he is an experienced SAPA facilitator; if not, an external SAPA expert should run the training. For more information on experts in your area, contact IIED or FFI (see back cover for contact details).

## Who participates?

All individuals who will be part of the facilitation team.

## Background information

SAPA uses a multi-stakeholder process for enhancing the accuracy and credibility of results and building key stakeholders' commitment to use the information generated. This multi-stakeholder approach is reflected in the methods and the people who facilitate the process. A facilitation team is normally composed of three to six people. In an ideal world, facilitators would all be third parties with no links to key actors and their interests. Third party facilitators might be individuals from a local university or have experience working for NGOs or the government, but importantly are not related with these organisations at present.

We understand that the costs of using third party facilitators can be prohibitive. In many cases, an acceptable alternative is to aim for a team that is collectively regarded as neutral/balanced even though its members are drawn from key actor groups — for example, the team could include a balance of state actors from a conservation authority and/or local government and non-state actors from NGOs, community-based organisations and/or research organisations. Such an approach may even strengthen ownership of the process if all key actors feel they have one of their people in the team.

Our assumption in developing the SAPA methodology is that local consultants or staff of key actors can facilitate the process with limited technical support from an external expert with relevant social research expertise, such as an NGO, university or national consultant. There should be no need for international consultants. The external expert may have been trained at a SAPA training course or, if they are experienced in social research, they should be able to conduct the training based on this manual.

## Tasks

1. The convenor and SAPA lead facilitator should select the other facilitation team members according to the terms of reference in Annex 1.
2. The convenor or SAPA lead facilitator should organise the logistics of a two-day training course for all facilitation team members based on the SAPA methodology and identify a suitable trainer if the SAPA lead facilitator does not have the necessary experience.
3. The trainer should conduct a two-day training course for all facilitation team members based on this SAPA methodology manual. See Annex 3 for a proposed programme for this training course.

## 2. Phase II: Scoping

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

### Space

The spatial boundary is the geographic area within and around the PA/CA where SAPA will look for social impacts. Key actors will already have determined the boundary as part of the stakeholder analysis activity and obtained or created a map of communities within this area.

### Time

Unlike environmental impact assessment, which tries to predict future impacts, SAPA looks at impacts that have already been experienced. How far back you ask communities to consider — the recall period — can vary according to local circumstance, but we recommend three to five years. In practical terms, a good way of defining this period is to identify an event in the last three to five years that everyone in the community can remember. When defining the recall period in preparation for the first community meetings (Activity 2.1), the convenor and facilitation team should balance the desire to capture periodic impacts that may happen only occasionally versus accuracy. Remember that people's ability to accurately recall will diminish the further back in time you ask them to recall.

### Issues (of social impact and governance)

The scope of issues to be covered by SAPA is determined by:

- The social impacts we want the assessment to look at, defined through a ranking exercise during the first community meeting (Activity 2.1)
- The eight standard assessment questions we saw in Box 4 (page 17), on:
  - The overall contribution to wellbeing of the PA/CA and related conservation and development activities
  - The more significant negative and positive impacts of the PA/CA and related conservation and development activities, and
  - The extent to which:
    - a. PA/CA-related rights of local women and men recognised and respected
    - b. local women and men can participate in PA/CA-related decision making
    - c. local women and men have timely access to relevant information
    - d. there are effective measures to mitigate negative impacts on local women and men, and
    - e. PA/CA-related benefits are equitably shared within and between local communities.
- Any site-specific questions that may be added during the first stakeholder workshop (Activity 2.2).

Scoping is all about focusing the assessment on the most important issues and reducing its cost and complexity to align with available human and financial resources. However, where you use scoping to narrow the focus of an assessment, there is always a risk that you will miss important issues that — for whatever reason — are not identified in the scoping process. The household survey and second community meeting have both been designed to identify, and to some extent cover, any such gaps.

## 2.1 First community meetings

### Objectives

1. To identify and prioritise positive and negative impacts on human wellbeing of the PA/CA and any related conservation and development activities from the local community's perspective.
2. To identify community representatives and help prepare them to participate in the first stakeholder workshops.

### Time required

Maximum three hours for each community meeting, excluding travel time.

### Who facilitates?

Two members of the SAPA facilitation team — a man and a woman who speak the relevant local language — facilitate the community meetings. If the team has two such men and women, they could conduct two meetings in different places on the same day; but to ensure consistency in the approach to this key scoping activity, this is better avoided. Facilitators may want to recruit a local person to take notes, as we do not advise using sound or video recording at these meetings. Although we do not formally use these notes in the process, they could be helpful later.

Community leaders should host and help organise the meetings if they can be relied on to follow our guidance on who to invite.

### Who participates?

The first community meetings should take place at sample communities in the geographical area SAPA is targeting. These must be carefully selected to provide a representative picture of the variation across the target area — for example, communities with different socioeconomic situations and types of PA/CA-related social impacts. This is called non-random, purposive sampling. The fact that communities are not chosen at random means that we cannot draw conclusions about social impacts on the whole population within the target area, but this is acceptable for the purposes of this scoping exercise.

Even at a small PA/CA with little difference in socioeconomic context and similar related social impacts across the target area, it is important to have meetings in at least two communities. This allows for triangulation — cross-checking the accuracy of information provided — and is useful if one of the community meetings does not go as planned, due to low turn-out or a delayed start. At a larger PA/CA, or one with great diversity of socioeconomic context and related social impacts, it may be necessary to have up to six community meetings.

Invitations to community meetings should be limited to members of the specific sample communities that have been selected and, if possible, to around 15 men and 15 women. Make sure that you invite a representative group of people so there is a balance of men and women, wealthier and poorer people, younger and older people and different ethnic groups. Groups with major differences in livelihood strategies should also be represented — for example, agriculturalists, forest-dependent people, pastoralists and fisherfolks.

### Background information

Meetings in the sample communities represent the first part of scoping in the SAPA process. They ensure that the assessment process is driven by community perspectives, which is fundamental to the SAPA approach. Holding community meetings before the first stakeholder workshop (see Activity 2.2) allows you to ask communities to select the people who will represent them at the first stakeholder workshop. It also gives these representatives a basic orientation to the SAPA methodology ahead of the stakeholder workshop, enabling them to participate more effectively alongside other stakeholders who may be more familiar with this type of workshop.

In the first community meeting, groups of men and women will separately identify the positive and negative impacts on wellbeing of the PA/CA and any related conservation and development activities (PA/CA-related social impacts) that have been of greatest significance over the defined recall period. This is done using a PRA weighted ranking tool.<sup>12</sup> It is important that women and men do this separately because the PA/CA may impact them in different ways and their views about the significance of impacts can differ.

Each community meeting will generate lists of the PA/CA-related social impacts (negative and positive) — with separate scoring of importance in terms of wellbeing from men and women. This is the output of the meeting. After the community meetings, the SAPA facilitation team will analyse this data to identify the most important social impacts (up to ten positive and ten negative) across all communities, treating the views of men and women and different communities as equally important. We provide a SAPA impact scoping tool for this purpose, including an explanation of how it works and detailed guidance on how to use it.<sup>13</sup>

### Tasks: planning and preparing for the community meetings

The SAPA facilitators need to do the following to prepare for the community meetings.

1. Select the sample communities to generate a full picture of the diversity of socioeconomic situations and PA/CA-related social impacts. Key factors to consider include:
  - b. Differences in culture and ethnic identity
  - c. Different types of PA/CA-related positive impacts and their spatial distribution
  - d. Different types of PA/CA-related negative impacts and their spatial distribution, and
  - e. Differences in the main livelihood strategies – agriculturalist, pastoralist, fishing, etc.
2. Decide which members of the SAPA facilitation team will facilitate each meeting, bearing in mind:

<sup>12</sup> Newing *et al.* (2011)

<sup>13</sup> You can download the tool from: [www.iied.org/sapa](http://www.iied.org/sapa)

- c. Who has attended SAPA training for this activity
  - d. The need for one male and one female facilitator for each community meeting, and
  - e. The need to conduct the meeting(s) in the appropriate local language.
3. Discuss and agree on how to translate the key terms — positive social impact, negative social impact and wellbeing — into the local language. Be careful that you capture the full meaning of the key terms.
  4. Agree the recall period over which you will ask community members to recall PA/CA-related social impacts and how to explain this to community members; if possible, reference a memorable event.
  5. Decide whether to start the impact ranking exercise with negative or positive impacts. It is usually best to start with what people feel most strongly about; if you start with issues that people feel are relatively insignificant, they may feel that the meeting has a hidden agenda.
  6. At least one week before a community meeting is scheduled to take place, arrange for the community to be informed of the meeting in the normal way, explaining that it is about PA/CA-related social impacts (using the agreed terms). Make sure that the people invited represent the social diversity of the community (see 'Who participates' above).
  7. As a team, discuss how many community representatives there will be space for at the first stakeholder workshop. Ensure at least one woman and one man are invited from each sample community. Where most of the other workshop participants are likely to be men, it is better to invite two women for each man from each sample community. This affirmative action also helps women to feel more empowered to speak.
  8. Prepare the materials and equipment necessary for the community meetings:
    - a. White sheets of paper (A4 size)
    - b. Coloured marker pens
    - c. Beans
    - d. White plastic cups
    - e. Notebook(s) and pen(s)
    - f. Camera.

### Tasks: conducting community meetings

The SAPA facilitators need to undertake the following tasks to facilitate the community meetings.

1. **Opening:** Follow normal procedures for opening this kind of meeting. As participants introduce themselves, ask them to say which community they come from to check how many people (if any) are from outside the specific community targeted for this meeting.
2. **Purpose of the meeting:** Explain that the SAPA facilitators are here to discuss the positive and negative social impacts of the PA/CA and activities that are related to it. Explain that the purpose of this work is to find ways to reduce the negative impacts and increase, and more equitably share, positive impacts, and that work is being done with other communities as well.

Be sure to use the agreed translation for positive and negative social impacts and wellbeing, and check that the meaning of these terms is clear to everyone.

3. **Overview of the PA/CA:** Clarify which PA/CA the assessment is focusing on and its geographic boundaries. Summarise in brief the history of this PA/CA, who owns it and who manages it. Do not assume that everyone knows this as very often community members — and particularly women — do not have a clear picture. Do not go into details of different activities of the PA/CA and any supporting projects to avoid the possibility of biasing the discussion of impacts.
4. **Assessment activities:** Explain the activities that will involve the community and roughly when these should take place:
  - a. A community meeting to discuss important social impacts that should be studied in more detail (today, in the next part of this meeting).
  - b. A stakeholder workshop to introduce the assessment to key stakeholders and agree on the questions that the assessment will try to answer. Mention when this will take place and note that you will invite key representatives of this community to participate.
  - c. A small household survey to collect more detailed information from a sample of people. Clarify that the SAPA facilitation team will pick people at random and will not interview everyone. Explain when this will take place, particularly in this community.
  - d. A second community meeting to share the results of the survey and discuss ideas for action to improve the situation —in other words, to reduce negative impacts and increase, and more equitably share, positive impacts. Explain roughly when this will take place.
  - e. A second stakeholder workshop to share results with key stakeholders and identify specific ideas for action to improve the situation. Explain roughly when this will take place and note that you will invite the same community representatives to participate.
5. **Seeking approval to proceed:** Discuss with community members whether they are happy to proceed with this assessment. Facilitate discussion to achieve a consensus. If yes, proceed to the next step. If no, and you cannot reassure the participants through discussion, then you cannot continue with this meeting and must select another community. Note that obtaining the communities' free, prior and informed consent to conduct social research is a key requirement for SAPA and must not be skipped.
6. **Preparing for group work:** If there are more than 15 men and 15 women, the SAPA facilitation team or local host should explain that the next part of the meeting will take about two hours and that it is normally done with just 15 men and 15 women. Ask the group to select those who are willing to remain for this exercise, ensuring a balance of poorer and wealthier, older and younger people and so on. Then thank the others for coming to the meeting. With those who remain, explain that each gender group is going to do the same thing but separately, as men and women often have different ideas and priorities. Then invite one of the groups to move to a nearby location.
7. **Social impact ranking exercise:** The guidance below assumes that the discussion starts with negative impacts and is repeated with positive impact, but you could do it the other way around, depending on what you agreed in the planning. Go through steps a) to e) for each:

- a. Facilitate a discussion to identify the negative social impacts of the PA/CA and any related conservation and development activities. If there is some doubt over whether the impact is PA/CA-related, ask whether the impact is just an issue for people living near the PA/CA or if it also affects people living further away (in which case it is probably not PA/CA-related). Clarify that we are focusing on impacts that people have seen over the last X years (the agreed recall period) and not hopes for the future, which you will discuss at the next community meeting.
  - b. Write each impact on a separate sheet of paper using the appropriate local or national language. If some people cannot read, ask for two or three volunteers to do simple drawings for each impact on the same card as the words, if possible while the discussion continues. Check that the proposed negative impact is an appropriate suggestion in terms of being something that directly affects human wellbeing, genuinely PA/CA-related and experienced within the agreed recall period. If it fails one of these tests, put the card to one side and explain why.
  - c. Ask for more suggestions of negative impacts and use probing questions to get more examples until participants feel they have mentioned all the important negative impacts. Record each new example on a separate sheet of paper in writing and, if necessary, with a simple drawing. Make sure that you and the other participants clearly understand each suggestion, but do not let the discussion go into details of particular problems or possible solutions.
  - d. Once you have written (and if necessary, drawn) all the impacts on sheets of paper, review them with participants. If there are impacts that are the same, or very similar, suggest combining these by grouping the papers together. Doing this ensures that, when they rank them, they will not under-rate an impact by splitting their votes between similar impacts.
  - e. Put the sheets of paper for negative impacts on the ground where participants can see them and put a plastic cup on each with a stone inside to weight it down. Explain that everyone will be given one bean for every two impacts, rounded up — so, two beans for four impacts, three beans for five impacts and so on. Give the participants their beans and explain that they should put one bean on each of the impacts they feel have most affected the wellbeing of their household over the last X years (the agreed recall period). Make sure that participants understand that they should put just one bean on each important impact and that they can return unused beans to you. When everyone has voted, count the beans and write the number of beans for each impact on the sheet of paper for that impact. This number represents the number of people in the group who feel that this is an important impact. The plastic cups make it difficult to see the number of votes for a given impact, helping avoid deliberate manipulation of the exercise — for example, people putting beans on the same cards as the community leaders.
8. **Group discussion:** Ask if participants agree that this ranking provides a good picture of how women (or men for the male group) feel. If there are some concerns, ask what the gaps/problems are with the ranking. If there are any aspects of the impacts or their ranking that you as a facilitator do not clearly understand, ask for clarification.
  9. **Identifying group representatives:** Help the group members identify one person from the group (or possibly two in the case of women, for moral support) to represent their group at the first stakeholder workshop.

10. **Plenary discussion:** Bring men and women back together in a circle. If this is not acceptable culturally, skip this activity and go to 11. Put the negative and positive impacts from men and women on the ground in order of importance, so that everyone can see them. If there are more than ten impacts, limit this feedback to the top ten negative and ten positive impacts from each group. Start by summarising the negative impacts and move to positive impacts. Ask participants for comments on any big differences in the ranking done by women and men. Use probing questions to help them explain the differences. Take good notes of this discussion.
11. **Closing:** Thank everyone for coming and close the meeting in the appropriate way. Remind them that the assessment will be collecting more information over the next few months from a sample of households and roughly when the next community meeting to discuss the results and ideas for actions to improve the situation will take place.

### Tasks: analysing the social impact ranking data

1. Following the community meetings, the SAPA lead facilitator or another team member should enter the impact ranking data into the SAPA impact scoping tool.
2. Follow the instructions in the tool to determine the priority social impacts the communities believe should be taken forward for more in-depth assessment.

### Outputs

- As a minimum, notes from the plenary discussion, and if possible a short report of each meeting (preferably typed).
- Completed SAPA impact scoping tool.

## 2.2 First stakeholder workshop

### Objectives

1. To ensure that the key actors participating in SAPA have a good understanding of the SAPA methodology, including the process to be used and their role in this process.
2. To understand why different actors are interested in participating in SAPA and what specific information they would like to get from SAPA.

### Time required

Half a day. Where people are likely to arrive late, we suggest that the invitations propose an earlier start and/or a late lunch to be sure that there will still be four hours available for the workshop. Note: if there is a need for a lot of translation for participants who are not familiar with the main language of the workshop, allow at least another hour.

### Who facilitates?

Members of the SAPA facilitation team facilitate the workshop. All team members should attend the workshop even if they are not facilitating it, as it is an important opportunity to learn about

the PA/CA and its social impacts and to begin to understand the relationship between different actors and the political dynamics.

### Who participates?

Participation in the workshop should be focused on the key actors, with the total number of participants not exceeding 45 people. As we described in Phase I (Activity 1.5), the stakeholder analysis defines key actors as those who have medium or high interest and/or influence in PA/CA-related social impacts. For this first workshop, you should give priority to actors with medium to high interest. Include the male and female community representatives selected at the first community meetings. This means you will have to leave out (for now) those with relatively low interest even if they have high influence; but you will invite these key actors to the final workshop, where the assessment results should increase their interest.

### Background information

This multi-stakeholder workshop includes the second part of the scoping process, which is about identifying key actors' information needs that SAPA can address. As in other types of research, evaluation and assessment, these information needs are framed as questions that the assessment should try to answer — in other words, the assessment questions.

SAPA has two types of assessment question:

- Standard assessment questions, which are fundamental to SAPA and the same for all sites (see Box 4, page 17). Questions 1–3 relate to social impacts and questions 4–8 relate to governance issues that are particularly relevant for responding to the results of SAPA.
- Site-specific questions that PA/CA management and other key actors want SAPA to answer. These are generated during this event. Most of these are likely to fit under the standard assessment questions, but sometimes a question will be posed that is different and important enough to become an additional assessment question. This process enables the different actors interested in the assessment to tailor SAPA to the context and information needs of a specific site while also generating standardised results that may be compared across sites.

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

In the interests of maximising the chances of key people participating and of minimising costs, the workshop is designed to take just half a day. If participants need to travel, they will only need to spend one night at the workshop venue. This assumes that travel to the venue takes no more than around four hours.

Conduct the workshop in one language but invite participants to speak in other languages with translation if they will feel more comfortable. If there are participants who do not understand the workshop language, arrange for someone to sit next to them to quietly translate and allow adequate time for this. This is important, not only because people cannot participate if they do not understand, but also because failing to address their need for translation amounts to tokenism which, in effect, is denying that they are legitimate actors.

During the workshop, some actors may ask whether SAPA can also assess the threats to the PA/CA from the activities of local people and complain that SAPA is one-sided if it cannot also look at this other side. The answer is that there are other methodologies and tools to assess threats to conservation — notably PA/CA management planning, which should be done for every PA/CA, and PA/CA management effectiveness assessment.

### Tasks: planning and preparing for the first stakeholder workshop

To prepare for this workshop, the convenor and SAPA facilitators need to do the following.

1. Develop a list of invitees based on the stakeholder analysis. Invite a representative of all actors and groups of actors that have a medium to high level of interest according to the results of the stakeholder analysis. If there are fewer than 45, and resources allow, you can also invite some actors in the low-interest category, prioritising those who will have more influence over implementing resulting ideas for action.
2. Invite participants in the appropriate way — for example, by letter, email or phone — at least one week before the meeting with a clear explanation of the costs you can reimburse, such as allowances, travel costs or fuel, to avoid unrealistic expectations and bad feelings.
3. Prepare in advance:
  - a. SAPA overview presentation.<sup>14</sup>
  - b. Presentation giving an overview of the PA/CA and any community outreach activities based on the PA/CA profile compiled in Activity 1.3. A PA/CA manager should prepare and present this, if s/he can keep to time and avoid saying anything to bias the assessment or cause other key actors to have a negative reaction.
  - c. Presentation summarising the priority social impacts identified through the community meetings, including the priorities of men and women as well as the overall prioritisation. This presentation should start with a map showing the PA/CA, the geographic coverage of the assessment and the different locations of the sample communities.
4. Finalise the agenda based on the agenda for first stakeholder workshop in Annex 3 and identify facilitators for each session. Decide who will take notes and write a short workshop report.
5. Prepare all the equipment and materials necessary for the workshop:
  - a. LCD projector and screen
  - b. Flip chart papers and three marker pens
  - c. Camera.

### Tasks: conducting the first stakeholder workshop

1. **Opening:** Welcome and open the workshop in accordance with local custom. Ask participants to introduce themselves and the organisation, community or group they represent.
2. **Introducing the workshop:** The convenor or SAPA lead facilitator should explain the objectives of the stakeholder workshop (see 'Objectives' above).

<sup>14</sup> See examples at [www.iied.org/sapa](http://www.iied.org/sapa)

3. **Explaining SAPA:** The convenor or SAPA facilitation team should use the overview presentation to introduce the SAPA methodology, including the assessment process and eight SAPA standard assessment questions (see Box 4, page 17). Allow time for questions.
4. **Overview of the PA/CA:** Invite the PA/CA manager(s) to present an overview of the PA/CA. This should include related conservation and development activities that will be covered by the assessment. Allow time for questions and points of clarification.
5. **Priority social impacts – feedback from community meetings:** The SAPA lead facilitator should explain the community meetings (Activity 2.1) and their results, using the presentation prepared before the meeting. Then facilitate a discussion among participants on their overall impressions of these results, significant differences between communities and between men and women and the explanation for these differences. Ask if any important impacts have been missed. Note that the prioritisation of social impacts comes from the affected communities and should not be changed during or after this stakeholder workshop. However, facilitators may consider including additional social impacts proposed during the workshop in the household survey if there is a good explanation for why they were not raised in the community meetings — for example, cultural or political sensitivities.
6. **Group exercise – understanding actors' interests in SAPA and their information needs:** The facilitation team should split the participants into three or four groups: 1) local government, 2) PA/CA management, 3) community and 4) other non-state actors such as conservation and development NGOs and private sector. If you have enough facilitators, split the community representatives into separate women's and men's groups. There should be a maximum of 15 people per group, so subdivide large stakeholder groups if necessary. Facilitators should ask their group:
  - a. **Objectives for SAPA:** Why are you interested in participating in SAPA? A good way to present this is to ask participants to complete the statement "SAPA can help my organisation/community ...". Group members can propose different reasons why they are interested in SAPA. Note all the reasons on flip chart paper.
  - b. **Questions for SAPA:** What specific questions should SAPA to try to answer? A good way to present this is to ask participants to complete the statement "To do or achieve this (the responses from the first question), we will need to answer the following questions ...". You may end up with as many as ten questions. Note all the questions on flip chart paper. To keep the discussion on track, be sure to clarify that a social assessment like SAPA is designed to assess impacts on local people's wellbeing and issues of governance that are directly related to social impacts — particularly issues of rights, participation, transparency, negative impact mitigation and benefit sharing. Remind participants that there are many questions SAPA cannot answer, such as on threats to the PA/CA from activities of local people, but other good tools like PA/CA management planning can do this.
  - c. Ask someone from the group to use the flip chart notes to present the group exercise discussion to the other workshop participants in plenary. The facilitator should brief the chosen presenter so that they are clear to only present the highlights of the group discussion, to avoid long presentations.

7. **Plenary presentations and discussion:** Each group should present the highlights of their group discussion to the other workshop participants. Once all the presentations are finished, remind participants that this exercise aims to ensure that SAPA responds to the local context and local information needs, and ask the workshop participants to reflect on the differences in why participants are interested in SAPA and their information needs.
8. **Next steps:** The convenor or SAPA lead facilitator should explain to workshop participants that the facilitation team will review the information captured in today's workshop discussions to develop a plan for information gathering. This plan will show how different information gathering methods will be used to understand the social impacts of the PA/CA, governance issues related to these impacts and any specific site-related questions on social impacts or governance. Before finishing, provide an overview of the next steps in the SAPA process including:
  - a. A small household survey to collect more detailed information from a sample of people. Clarify that the SAPA facilitation team will pick people at random and will not interview everyone. Mention when this will take place.
  - b. A second community meeting to share the results of the survey and discuss ideas for action to improve the situation — in other words, to reduce negative impacts and increase, and more equitably share, positive impacts. Mention when this will take place.
  - c. A second stakeholder workshop to share results and develop specific ideas for action to improve the situation. Mention when this will take place and note that you will invite all workshop participants to participate.
9. **Closing:** The convenor, facilitation team or host should thank everyone for coming and close the workshop in the appropriate way.

## Outputs

- As a minimum, compile flip chart notes from the plenary discussions and group exercise into one document. This should include any suggestions of additional positive or negative social impacts from the perspective of men and/or women, the different reasons actors are interested in SAPA (objectives for SAPA) and a list of the specific questions that actors are interested in SAPA addressing (questions for SAPA to address).
- A brief workshop report (desirable but not essential), including notes from the notetakers.

## 3. Phase III: Information gathering

With SAPA, the main method for information gathering is a household survey. However, questionnaire-based surveys are not a good method for capturing rich qualitative information that is only likely to emerge through discussions between people. So, while the household survey is the main information-gathering method, SAPA also uses the second community meeting(s) and the second stakeholder workshop to gather qualitative information. We describe these methods in Section B4, as they primarily serve the purpose of information assessment.

The household survey is the most time-consuming and costly part of the SAPA methodology. To minimise the resource requirement and time demands on the people interviewed, we make the survey as short as possible, being very focused in deciding what questions to include.

The value of the SAPA household survey lies in its ability to provide a more accurate picture of the views of local people — and the diversity of these views — than a group discussion or workshop, which are prone to bias as we note in Table 4. With its mixed methods, SAPA tries to strike a balance between quantitative and qualitative information. In this type of social research, quantitative information has two advantages: numbers are a very powerful way to communicate a message and where several sites have conducted an assessment and generated a standardised quantitative data, it is easy to aggregate results by analysing across sites. In a conservation context, aggregation is important for giving authorities an overall picture of an issue at system level; at global level, it allows agencies like UNEP-WCMC to track progress against global conservation targets such as Aichi Target 11 of the CBD strategic plan.

The convenor and/or SAPA lead facilitator may have enough expertise in social survey design — as well as the time and resources — to facilitate developing and conducting the household survey. If not, the convenor will need to employ a social researcher from a local or national university, research organisation or NGO who has the necessary expertise to help with this phase of the SAPA process.

### 3.1 Planning information gathering and sampling

#### Objective

To develop a plan for gathering information that summarises the social impacts to be investigated, the questions to be addressed and the methods to be used for each question.

#### Time required

Half a day. We recommend holding this in the afternoon after the first stakeholder workshop (Activity 2.2), as the issues will still be fresh in everyone's minds.

#### Who facilitates?

The convenor and/or SAPA lead facilitator should facilitate development of the information gathering plan, with external technical advisor if required.

Table 4: Key characteristics of SAPA information gathering methods<sup>15</sup>

Method	Strengths	Limitations/weaknesses
<p><b>Household survey:</b> a one- to-one structured interview with respondents from sample households based on a questionnaire that ensures each question is asked in the same way no matter who is doing the interview. A questionnaire is not a conversation, but rather a question and answer session.</p>	<ul style="list-style-type: none"> <li>» Gathers information in a standard and mostly quantitative form</li> <li>» Analysis can be relatively simple compared with analysis of information from semi-structured interviews</li> <li>» Provides information on views and behaviour of a population</li> <li>» Enables easy comparison of the responses of different social groups/communities</li> <li>» Relatively quick to do</li> </ul>	<ul style="list-style-type: none"> <li>» Designing a questionnaire is challenging; questions must be framed carefully to avoid biasing answers</li> <li>» No flexibility; you cannot make changes once the survey begins</li> <li>» Poor at providing information on why things are the way they are</li> <li>» May be inappropriate in some cultures</li> <li>» May raise fears of government surveillance, leading to biased answers</li> </ul>
<p><b>Community meeting:</b> a meeting of people from a given community (however community is defined) that may include using one or more PRA tools to encourage discussion and generate specific outputs.</p>	<ul style="list-style-type: none"> <li>» A method many people are familiar with</li> <li>» Using standardised PRA tools enables easy comparison of views of different social groups, and generation of standardised outputs</li> <li>» Relatively quick to do</li> </ul>	<ul style="list-style-type: none"> <li>» Risk of responses being biased by group effects (eg people just agreeing with their leaders, women being unwilling to express their views in public)</li> <li>» Risk of bias depending on who attends the meeting, as facilitators have no control over who is invited and who attends</li> </ul>
<p><b>Stakeholder workshop:</b> a meeting of representatives of different actors/groups of actors. May include the use of one or more PRA tools or other types of tool to encourage discussion and generate specific outputs.</p>	<ul style="list-style-type: none"> <li>» Enables deeper discussion between participants compared to more traditional meetings</li> <li>» A method that many people are familiar with, using standardised tools to enable easy comparison of views of different stakeholder groups and generation of standardised outputs</li> <li>» Relatively quick to do</li> </ul>	<ul style="list-style-type: none"> <li>» Risk of responses being biased by group effects (eg people just agreeing with their leaders, women being unwilling to express their views in public)</li> <li>» Risk of domination of relatively powerful elites if participation is not based on a properly conducted stakeholder analysis</li> <li>» Bringing stakeholders together in one place can be expensive if some travel long distances</li> </ul>

15 See Newing *et al.* (2011) Section 2 for more detail on these and other relevant social research methods

## Who participates?

The whole SAPA facilitation team and, if possible, the convenor.

## Background information: assessment questions

As we described in Section B2.2, there are two types of SAPA assessment question:

- Standard assessment questions (see Box 4, page 17). Questions 1–3 relate to social impacts and 4–8 relate to governance issues that are particularly relevant to successfully responding to SAPA. As described in Section A2.7, these governance issues are also the key equity issues.
- Site-specific assessment questions that PA/CA management and other key actors want SAPA to answer, generated by the first stakeholder workshop.

The SAPA process aims to minimise the resource requirement and time demands on the people involved in interviews, meetings and workshops, including community members, by making them as short as possible. Remember that each additional question adds to the time and cost of the assessment, responses to questionnaires become less reliable the longer it gets, and that many of the key people you want for the stakeholder workshops will not stay beyond one day (if that). This requires the facilitation team to be focused when deciding what questions to include based on their importance to key actors and relevance to the main purpose of SAPA, which is increasing, and more equitably sharing, the positive impacts of conservation and reducing the negative impacts.

At this point in the SAPA process, there are three information-gathering methods still to be used: the household survey, the second community meeting and the second stakeholder workshop. Research and project monitoring and evaluation are often criticised for giving too much emphasis to methods like surveys that generate quantitative information and not enough emphasis to qualitative information. SAPA tries to strike a balance: the survey generates quantitative information and the community meetings and stakeholder workshops generate qualitative information.

The information gathering plan specifies which method or combination of methods you will use to gather information on each assessment question (see Annex 2 for a template). This plan ensures that all the key questions are covered by at least one of the three information-gathering methods. In deciding which method is most suitable for a given question, you need to consider the key characteristics of each method (see Table 4).

## Background information: sampling plan

Our survey aims to give us a representative picture of the views of household heads or their spouses who live within the target area of the assessment. When conducting a survey, the set of all households is called the 'sampling frame' and we must randomly select households to interview. Then within this sample of households, we need to interview roughly equal numbers of adult women and men to get a picture of the different perspectives of men and women.

How many households should be sampled in the SAPA survey depends on the size of the population that lives within the target area — in other words, in the communities included in the assessment — and the degree of variability in responses that is likely across these communities.

Experience to date suggests that the sample size should be a minimum of 100 households for sites with a population of fewer than 1,000 households and relatively low variability. Where there are larger populations and/or high variability, you will need a sample of at least 250 households. This is a little lower than the number that would normally be proposed — for example, Rea and Parker (1997) suggest a sample size of 357 for a population of 5,000 with a 95 per cent confidence level (5 per cent confidence interval). However, SAPA also checks the accuracy of results by presenting them back to the sample communities for validation (Activity 4.1).

To make things easier in terms of logistics, you can use ‘cluster sampling’ where you randomly sample households within specific geographic areas (clusters) so that the households to be interviewed are close together. The other key logistical consideration in sampling is whether there are lists of all households within the communities. Where there are such lists, you can randomly select households to interview from it. If you do not have such lists and cannot sample randomly, you can still go ahead but must recognise that the sample is not truly random. Table 5 presents the full range of sampling approaches that we have used to date, with the underlying assumption that one enumerator needs to interview at least four people per day.

**Table 5: Guidance for sampling**

Sampling approaches	Strengths/limitations
<p>1. <b>Cluster sampling – random.</b> Divide the target area into 2–6 zones. Within each zone, randomly select X communities. Then, within each community randomly select 5 households. X will be determined by the number of zones and the total sample size that you want. For example, with 3 zones and a total sample of 180 households (60 households per zone) you would select 12 communities and interview 5 households in each community.</p>	<p>This is the best approach from a statistical perspective, but the method requires lists of all households in the selected communities. If there are no such lists and you have the time and resources, you can ask the leaders of the selected communities to make household lists.</p> <p>Since the communities are selected randomly, it is not very practical in places where some communities are extremely inaccessible. If you need to avoid such communities because of logistical constraints, use methods 3 or 4.</p>
<p>2. <b>Cluster sampling – semi-random.</b> As #1 above, but if household lists are not available, enumerators must choose the households to be interviewed within the selected communities while they are doing the survey. They must try to ensure a representative sample, especially with respect to household wellbeing — in other words, they should interview a mix of wealthier people with better quality houses and poorer people with poorer quality houses.</p>	<p>This approach will probably be the most widely used since it is relatively easy to obtain lists of all communities within an area, but more difficult to obtain reliable lists of households in each community.</p> <p>The major limitation of this approach is the risk of introducing bias when selecting the households to interview within the target villages.</p>

<p><b>3. Cluster sampling – non-random.</b> As #2 above, but the X communities to be surveyed are deliberately selected taking account of ease of access but at the same time trying to avoid bias by ensuring that sampled villages provide a representative picture of the situation in the zone. Within each community, randomly select 5 households if a household list exists. If not, as in #2, enumerators must select households trying to ensure a representative sample.</p>	<p>This approach has even more risk of bias but can still be acceptable providing the target communities are carefully selected to capture, as well as possible, the full range of situations across the area with respect to PA/CA-related social impacts — in other words, taking account of different types of social impact and distance from the PA/CA boundary, which may determine the extent to which people experience these impacts.</p>
<p><b>4. Quadrat sampling.</b> As with ecological sampling, you can randomly place quadrats of a certain size across the communities that are included in the assessment and note the GPS coordinates for the four corners of each quadrat. Enumerators then visit each quadrat and interview every household that is located within the quadrat using a GPS to find the boundaries of the quadrat on the ground. For example, in a SAPA pilot in Kenya, the team used 800x800m quadrats.</p>	<p>Where there are no household lists, this method can be a very practical alternative but is only suitable in relatively flat land where you know in advance that all communities and households are easily accessible.</p> <p>This method requires that you have a good community map showing PA/CA boundaries, the boundaries of any communities within the PA/CA and the boundaries of all communities around the PA/CA that are to be included in the assessment.</p>
<p><b>5. 100% sample.</b> In cases where there are fewer than 100 households living within the community/communities that are to be included in the assessment, the survey should aim to include every household.</p>	

**Tasks: standard assessment questions**

The facilitation team should undertake the following tasks, using the information gathering plan template in Annex 2 to summarise the output.

1. Take the most important negative social impacts generated in Activity 2.1 (the first community meetings) using the SAPA impact scoping tool and insert them into Section I of the information gathering plan. Do the same for the positive social impacts.
2. Develop governance statements tailored to the specific context of the assessment for all the themes associated with rights, participation, transparency and mitigation of negative impacts or benefit sharing. The examples in Table 6 will help show you how to do this. For each statement the interviewee is asked whether they agree with it, disagree with it, or are neutral (ie they have no opinion either way). You do not have to use the same type of statement — your statements should focus on aspects of the theme that you believe are most important at your site. Once you have developed the statements, enter these into Section I of the information gathering plan template in rows 4-8.

Table 6: Examples of statements for each governance theme

Theme	Example statement	Comment
<b>RIGHTS</b>		
1. Rightsholders' awareness and understanding of their rights	Some members of the [insert name] community have a right to [insert a specific right that is applicable]	Applicable where at least some in the community are have this right — eg to harvest use a resource from within the PA
2. Duty of actors to acknowledge and not interfere with a right	PA staff are aware of my/my community's right to [insert a specific right]  PA staff interfere with me/us exercising my/my community's right to [insert a specific right]	The term 'respect' means not interfering with a rightsholder exercising a right
3. Remedies for rights violations — eg enforcement measures, penalties	Reports of improper behaviour by law enforcement staff are investigated and appropriate action is taken	SAPA and other studies have highlighted a problem in some countries of law enforcement staff violating the law and/or local people's human rights. This can also be a problem for conservation where it creates resentment that motivates people to do illegal activities
<b>PARTICIPATION</b>		
4. Processes for selection of representatives	Our representative for meetings with PA/CA staff on [insert a relevant issue] has been properly selected — eg by election	There may be different community representatives for different PA/CA issues — eg human-wildlife conflict, benefit sharing. Focus on one. Start by asking if they know the representative. If not, the statement is not applicable
5. Two-way communication between representatives and the actors they represent	Communication between representatives and the community members they represent is good	If the person says there are no community representatives, then you cannot use this type of statement
6. Influence of community inputs on decisions that are made	Decisions that are made by the PA/CA managers are often influenced by suggestions from local communities	You could make this more specific by focusing on a particular type of decision
<b>TRANSPARENCY</b>		
7. Information sharing processes, activities, technologies, materials and capacity	There are meetings at least once a year between PA/CA staff and community members which keep the community well informed about [insert a key issue]	This theme focuses on the effectiveness of ongoing information sharing processes. The statement could focus on a particular information sharing system such as text messaging

Theme	Example statement	Comment
8. Availability of key information (other than information on actors' performance)	Communities share with PA/CA managers key information on [insert type of information they are expected to share]	Themes 8 and 9 focus on important types of information that key actors should be sharing with other actors. The first is a responsibility of communities — eg sharing information on resource harvesting with the PA/CA staff. The second is a responsibility of PA/CA managers — eg sharing information on how they deal with arrested people. Both are as much about promoting accountability as transparency
9. Availability of information on actors' performance in fulfilling their responsibilities	PA/CA managers share with communities information on [insert type of information they are expected to share]	
<b>MITIGATION OF NEGATIVE IMPACTS</b>		
10. Monitoring negative impacts as they occur and reporting to the responsible actors	There is a good system for collecting information on incidents of livestock/crop damage by [insert a damaging animal]	
11. Whether and how the responsible actors respond to avoid/reduce negative impacts	In response to incidents of crop damage by [insert a damaging animal], PA/CA staff [insert the action they are supposed to take]	This is about whether there is a response and what the response is, but not whether the response is effective in reducing the impact — eg the level of crop damage — as this is an impact rather than a governance issue
12. Outcome of mitigation measures — negative impacts avoided/reduced	Measures to reduce crop damage by [insert a damaging animal] are working well	
<b>BENEFIT SHARING</b>		
13. Content of the benefit sharing strategy and process	The scheme for sharing PA/CA revenue with communities should prioritise people who [insert the name of a target group]	The statement is based on what the policy actually says. A follow-up question will also be needed. In effect this statement is looking at whether people know the policy and feel that the scheme is being implemented according to the policy.
14. How benefit allocation decisions are made, and who makes them	Women have as much influence as men in determining the allocation of [specify a type of benefit]	Specify a type of benefit where women should have the same influence as men in determining how the benefits are allocated across and within communities
15. Integrity of benefit sharing, including avoidance of elite capture, nepotism and corruption	Benefits are allocated fairly without any bias	This question is about improper bias as opposed to bias caused by an official targeting strategy that people may disagree with. If the person disagrees, there should be a follow-up question asking about what kind of bias exists

### Tasks: site-specific assessment questions

The facilitation team should undertake the following tasks, using the information gathering plan template in Annex 2 to summarise the output.

1. Take the list of any additional site-specific questions developed at the first stakeholder workshop (Activity 2.2) and review each question to ensure the SAPA facilitation team members understand them clearly. Write each question on a separate sheet of paper or card.
2. Prepare four headings each on separate sheets of paper or card:
  - i. Social impact questions that SAPA can address
  - ii. Governance questions that SAPA can address
  - iii. Other questions that the SAPA survey could address that are not about PA/CA-related social impacts and governance.<sup>16</sup>
  - iv. Questions that SAPA should not address because they do not fall under the three categories above.
3. Take each of the site-specific assessment questions proposed in the stakeholder workshop and discuss which of the four headings it falls under. Repeat for all the questions, combining any that say more or less the same thing. For any question in category iv, note the reason why it will be excluded from the assessment so that, in the spirit of full transparency, you can provide feedback to the actor(s) who proposed it.
4. For each additional social impact question (category i), consider whether it is:
  - A social impact question that fits under one of the standard assessment questions and can be answered using the format of Section C of the household survey questionnaire. If so, put it in Section I of the information gathering plan under the relevant standard question.
  - A social impact question that does not fit under one of the standard questions and/or cannot be answered using the format of Section C of the questionnaire. If so, put it in Section II of the information gathering plan and decide which will be the primary source of information: household survey (Section D), second community meeting or second stakeholder workshop. Your choice will depend on the type of question and the strengths and weaknesses of each method (see Table 4).
5. For each additional governance question (category ii), consider whether it is:
  - A governance question that fits under one of the standard questions and can be answered using the Likert scale format of Section E of the questionnaire. If so, put it in Section I of the information gathering plan under the relevant standard question.
  - A governance question that does not fit under one of the standard questions and/or cannot be answered using the standard Likert scale approach of Section E of the questionnaire. If so, put it in Section II of the information gathering plan and decide which method will be the primary source of information: household survey (Section F), second community meeting or second stakeholder workshop. Again, your choice will

<sup>16</sup> This recognises that conducting a household survey can lead to pressure from other interests to add extra questions. If such additions substantially increase the length of the interview, this will undermine the accuracy and increase the cost. You must carefully manage this trade-off.

depend on the nature of the question and the strengths and weaknesses of each method (see Table 4).

6. Return to category iii and discuss whether to include any of these other additional questions in the household survey. Keep in mind that an interview based on the SAPA questionnaire template without extras takes around 45 minutes. We advise not to go over one hour in the interests of accuracy and so that you can complete at least four interviews a day.

### Tasks: the sampling plan

It is important that at this stage the facilitation team (with support from third party technical advice, if necessary) develop the sampling plan for the household survey. You should do this before developing the household survey (Activity 3.2), training the enumerators (Activity 3.3) or testing the household survey (also Activity 3.3) to ensure facilitators have a clear picture of the logistics needed to conduct the survey. The facilitation team should undertake the following tasks, using Section III of the information gathering plan template in Annex 2 to summarise the output.

1. Drawing on information about community locations, accessibility, population size and any other relevant information you reviewed while planning the assessment during Activity 1.2, choose one of the sampling approaches described in Table 5 and follow the guidance for that approach when you conduct the household survey (Activity 3.4).
2. Estimate how many days it will take to complete the survey using your chosen sampling approach. Assume that one team of enumerators can do four or five interviews in one day (four if travel time between households is likely to be more than around 20 minutes).
3. Decide how many enumerator teams you will need. More teams will enable you to do the survey quicker.

### Outputs

- Completed information gathering plan.
- Sampling plan.

## 3.2 Developing the household survey questionnaire

### Objective

To draft a questionnaire for testing in the enumerator training and then use in the household survey on PA/CA-related social impacts and related governance issues.

### Time required

One day.

**Who facilitates?**

The SAPA lead facilitator, with technical support as needed.

**Who participates?**

The SAPA lead facilitator, with technical support as needed.

**Background information**

The SAPA household survey template in Annex 2 provides the overall survey structure and many of the questions that you will use, along with the additional questions you developed in Activity 3.1. The template has seven sections (A to G). Square brackets [] indicate where you need to add information to customise the questionnaire.

**Section A: Respondent profile**

This first section of the questionnaire gathers basic data about the person being interviewed (respondent) and their household. You will only need to make minor additions to this section.

**Section B: Factors affecting household wellbeing**

Since this section comes before the questionnaire zooms in on PA/CA-related issues, it can explore, in broad terms, the factors that have caused wellbeing of the household to improve or deteriorate in recent years. This aims to determine whether there are any PA/CA-related social impacts that change over time to a degree that is comparable to other types of impact on wellbeing — for example, from changing weather conditions, illness, gaining/losing employment or changes in food prices. This addresses the first SAPA standard assessment question and corresponds with the central red arrow of the SAPA analytical framework (see Figure 4, page 16).

A measure of the PA/CA's overall effect on wellbeing compared to other factors affecting wellbeing helps to counter the inevitable tendency of a focused assessment to exaggerate the importance of the impacts it is exploring. A limitation of this question is that it implicitly focuses on factors affecting wellbeing that change over time — say, from one year to the next — and so respondents may not mention positive impacts that do not vary over time such as access to clean water. However, as long as you keep this limitation in mind when interpreting the results, the question can still be useful.

You will only need to make minor additions to this section.

**Section C: Priority PA/CA-related social impacts**

At this point, the questionnaire focuses on respondents' perceptions and opinions of specific PA/CA-related social impacts, starting with those identified through the community meetings as priorities of men and of women and goes on to ask about any other important impacts that were not captured at the community meetings.

After exploring negative and positive impacts, there is a question about the overall impact of these negative and positive social impacts of the PA/CA on wellbeing. This provides a different

perspective on the first SAPA assessment question in Section B (on the overall contribution of conservation and related activities to wellbeing).

In this section, you will need to add the negative and positive impacts actors identified as the most significant as well as the PA/CA name and recall period.

### **Section D: Other PA/CA-related social impacts**

This section covers any site-specific questions on social impacts that emerged from the first stakeholder workshop that were not covered in Section C. This is where you can craft questions with several specific responses, so it is best for questions where the answer is more factual than a matter of perception or opinion. As a minimum, we include a few questions on human-wildlife conflict to ensure we capture any negative social impacts of such conflict and have some idea of the extent to which community members attribute any such impacts to PA/CA-resident wildlife as opposed to wildlife largely living outside the PA/CA. Other questions that may appear here relate to issues that are important to a minority of people in one or two communities but not generally considered important and therefore did not emerge from the scoping process as priorities.

### **Section E: PA/CA governance**

This section of the SAPA questionnaire — a governance (and equity) scorecard — covers five major aspects of governance: participation, transparency, rights, negative impact mitigation and benefit sharing.

For SAPA, we propose using three themes for each of the five aspects of governance and use the statement based Likert scale approach where interviewees can either agree with the statement, disagree or be neutral. The statements are in the information gathering plan developed under Activity 3.1.

### **Section F: Other PA/CA governance issues**

This section covers any important site-specific questions on governance issues that emerged from the first stakeholder workshop that were not covered in Section E. This section is best for questions where the answer is more factual than a matter of opinion — for example, a question on whether a respondent knows of the existence of a committee that enables community participation in decision making, whether they know their representative on that committee or whether they know who in their community has been allocated a certain form of benefit, such as access to a resource from the PA/CA or school bursary.

In this section, you can craft questions with several specific responses. To keep the interview as short as possible and the data analysis as simple as possible, use a multiple-choice approach that offers three to five alternative responses for a given question. That said, open questions can be very useful for probing deeper into why the respondent feels the way they do. However, be aware that one open question can add at least a minute to the length of an interview.

### **Section G: Other issues**

This section provides for any other questions that emerged from the first stakeholder workshop that are neither social impact nor governance questions (see the last section of the information

gathering plan in Annex 2). You can use simple questions, or the statement-based approach described in Section E.

### Task

The SAPA lead facilitator, with support from a technical advisor if required, should develop a first draft of the household survey questionnaire using the information gathering plan (developed in Activity 3.1) alongside the questionnaire template in Annex 2 or the ODK questionnaire template.<sup>17</sup> If using hard copies, try to keep the length to no more than four pages (in other words, two sheets of double-sided paper).

### Output

Draft questionnaire to test in the enumerator training (Activity 3.3).

## 3.3 Enumerator training

### Objective

To have a team of trained enumerators who can carry out the household survey efficiently and accurately.

### Time required

One day.

### Who facilitates?

The convenor and/or SAPA lead facilitator should undertake the enumerator training, with external technical advisor if required.

### Who participates?

Enumerators must be able to speak the local language(s) and since the questionnaire will be written in the country's national language, they must also be able to read and write in this language. Taking these factors and cost into account, a good option is to recruit young people who have just left secondary school, college or university. During the training, you are likely to find that one or two of the trainees cannot do the job to the necessary standard. For this reason, we suggest that you initially recruit more enumerators than you need and select those who perform better.

### Background information

We strongly recommend that enumerators work in pairs: a man to interview men and a woman to interview women. While one enumerator interviews, the other can record the responses. This helps to ensure more accurate results, as women will speak more freely to another woman. It

<sup>17</sup> Available at [www.iied.org/sapa](http://www.iied.org/sapa)

also avoids going against cultural norms. If the enumerators are not experienced, working in pairs allows them to help each other.

### Tasks: preparing for enumerator training

1. Recruit the enumerators, taking into account language requirements and the need for a gender balance. Initially recruit a few more than you plan to employ, as experience suggests that not all will be able to do the job effectively. Ensure that they understand they are on trial and the terms and conditions, should they be selected.
2. Organise a one-day training event for all enumerators at least two days before the survey is due to start to allow time for making changes to the questionnaire after testing it in the training.

### Tasks: enumerator training and questionnaire testing

1. Provide an overview of SAPA. Use the presentation that you developed for the first stakeholder workshop (Activity 2.2).
2. Provide an overview of the questionnaire in hard copy. Explain the overall structure of sections and read through it one question at a time, checking enumerators understand each one.
3. Show the enumerators how to use the smartphones or tablets if using ODK, or a GPS if using hard copy questionnaires.
4. Divide the enumerators into man/woman pairs. In their pairs, ask the individual you believe to be stronger to interview the other one, filling in the responses as if they were interviewing a community member. Take note of the time when each pair starts and finishes and any adjustments to the questionnaire that are needed.
5. Repeat the exercise the other way around.
6. Bring all the enumerators back together and:
  - a. Ask them to comment on how they found the exercise and for any suggestions to improve it, taking note of these.
  - b. Explain that you will make some final adjustments to the questionnaire to address the issues they have raised.
  - c. Select those you want to continue and inform them.
  - d. Explain the plan for the survey: where it will start, how it will proceed and how many days you expect it to take. Ask if they have any questions.
7. Make adjustments to the questionnaire as necessary to address the issues that came up in the testing. At the very least, you will usually need to clarify some questions, and/or some of the statements used in the governance section.

### Output

Trained enumerators ready to conduct the household survey.

## 3.4 Conducting the household survey

### Objectives

To provide a more accurate picture of PA/CA-related social impacts and related governance issues, and the diversity of views on these issues within and across communities.

### Time required

One week.

### Who facilitates?

The enumerators undertake the SAPA household survey, with support from the convenor, SAPA lead facilitator, facilitation team members and/or the researcher recruited for this purpose.

### Who participates?

The selection of respondents of the household survey should be informed by the sampling plan — see Activity 3.1.

### Background information

Even with experienced enumerators who clearly understand all aspects of the questionnaire, some enumerators will make mistakes. They may explain questions the wrong way or skip questions and so on. You can spot most errors of this type by checking the completed questionnaires and it is crucial that facilitators do this at the end of the first day to ensure that any mistakes and misunderstandings are resolved before the survey continues. This is very easy with ODK: if enumerators upload the data — for example, via mobile phone network — at the end of day one, the facilitators can review the data on the ODK website and easily spot gaps and inconsistencies between different enumerators, which may suggest misunderstanding. With ODK, it is even possible to modify the questionnaire at the end of Day 1. With hard copies, this would require reprinting or manually editing each copy.

Even if there is no intention of mapping some of the SAPA results, it is good practice to georeference all interviews by taking a GPS reading at the location where the interview takes place. Where ODK is used with a smartphone or tablet that has an internal GPS, the ODK application will automatically take a GPS reading.

Getting the respondent's permission to proceed with the interview and use the information provided has always been good practice in social research; it is also a formal legal requirement in many developing countries and in most developed countries. For data to be considered anonymous under data protection law the data should not be traceable to a specific person by any means. This implies that you cannot have the name of the respondent in the database and that any georeferencing of data using a GPS must not be so precise that the respondent can be identified. In other words, interviews should not be conducted at their house. For practical purposes, we interpret this as no nearer than 10m.

With the questionnaire in the first edition of the SAPA manual, we found that interviews tended to take around 45 minutes, but that this reduced to as little as 30 minutes once the enumerators became more experienced. With a doubling in the number of governance questions, the SAPA questionnaire in this second edition should take no more than five minutes longer, unless other non-SAPA related questions have been included. For reasons of research ethics as well as the issues of accuracy and cost we discussed earlier, we strongly advise against questionnaires that take longer than one hour.

## Tasks

1. If using hard copies, the SAPA lead facilitator should print out enough copies for the SAPA household survey, based on the sample size plus some spare copies (as inevitably a few get lost or damaged), and distribute these to the enumerator teams.
2. Enumerators should follow the sampling plan and aim to do four to five interviews a day, keeping roughly a 50:50 balance between men and women. This means that they will sometimes interview the wife of the head of household even if the male head of household is around. Do not try to interview them together or where one can overhear the other.
3. The convenor and/or SAPA lead facilitator — or the social researcher they employed — should carefully check the completed questionnaires or ODK dataset at the end of Day 1, looking for signs of enumerators misunderstanding or skipping a question and provide them with feedback where necessary.
4. As the survey continues, the facilitators and/or researcher should regularly check in with the enumerators, asking for general feedback on how it is going as well as any problems. This is very easy in the era of mobile phones except where there is no network.

## Output

Survey data ready for data entry and/or analysis.

## 3.5 Analysing household survey data

### Objective

To produce a summary of the assessment's main preliminary findings that can be presented at the second stakeholder workshop and form the basis of a brief assessment report.

Note that the guidance in this section only covers the basic analysis that is needed to present preliminary results at community meetings and the second stakeholder workshop. After the workshop (or even before where there is time and capacity) you can do a more detailed analysis that includes tests for statistical significance. Mapping some of the results can be extremely valuable in communicating findings where there is strong spatial variation — for example, in benefit distribution or incidence of human-wildlife conflict.<sup>18</sup>

18 See Franks and Small (2016b)

**Time required**

Five days.

**Who facilitates?**

The convenor and/or SAPA lead facilitator should analyse the household survey data, with an external technical advisor if required.

**Who participates?**

The SAPA facilitation team should help with interpreting the data — including any descriptive statistics and visualisations of the results.

**Background information**

Entering the data from printed copies of the questionnaire into an Excel spreadsheet is a time-consuming process that may take up to a week of one person's time. Using the ODK eliminates this whole data entry stage, as enumerators enter the interview data directly into smartphones or tablets and the ODK software aggregates the data from each interview into one Excel spreadsheet.

Data analysis can also be very time consuming but doing the basic analysis we describe in this manual — which does not include statistical analysis — can take as little as one day and at most three days. We recommend you use the computer program SPSS or its free equivalent, PSPP.<sup>19</sup> More ambitious analysis can include statistical analysis, but this is not necessary to achieve the objectives of SAPA. For a basic analysis using SPSS or PSPP, the only analysis functions you will need to use are:

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

**Tasks: data entry**

Using ODK eliminates the need for manual data entry. Where manual data entry is needed, the facilitators or a dedicated data entry person will need to do the following.

1. Before starting to enter data into an Excel spreadsheet, complete coding of the questionnaire so that the responses to as many questions as possible are in numerical form (0, 1, 2 and so on). For open questions that have different types of response, you should identify categories of similar response and assign a number to each category, including an 'other' category for responses that do not fit into any of the defined categories. For questions that are completely open-ended such as suggestions on how to improve people-park relations, leave the data as text.

<sup>19</sup> See [www.gnu.org/software/pspp](http://www.gnu.org/software/pspp)

2. Enter the data into an Excel spreadsheet with variable names along the top (expressed in simple short form) and households (cases) down the left-hand side — in other words, as rows. Make sure there are no commas in any text. Where there are missing values, leave the cell blank, including where there is no response because the question is not applicable to the respondent — in other words, not applicable is treated as a missing value.
3. Once you have entered all the data into the spreadsheet, check for and fix any obvious data entry errors.
4. Save the excel file in CSV format, ideally as a SAPADData.csv file.

### Tasks: data analysis

1. Open the data analysis programme (either SPSS or PSPP) and import the CSV data file created by ODK or at the end of manual data entry.
2. View the variables in SPSS/PSPP. Using the coding sheet, add value labels where needed to help identify the different responses by name. Check that the 'measure' is correct. This should be 'scale' or 'ordinal' for numbers and 'nominal' for text that has not been coded with a number.
3. Conduct a basic SAPA analysis, which follows the structure of the questionnaire, focuses on the key variables listed in Table 7. For each variable except the social context variables, the analysis should be disaggregated by gender and wellbeing status (and any other variable of social differentiation) using cross-tabulation analysis (in SPSS/PSPP) or pivot tables (in Excel). For cross-tabulation by wellbeing status, use the food security variable (per cent skipping meals), taking people responding 'never' as having higher wellbeing and the other three categories (merged into one category) as lower wellbeing (or poorer). If for some reason the food security variable does not provide reliable results, use one of the asset indicators.
4. Create a PowerPoint presentation to summarise the results from your analysis, using graphs and figures where appropriate.

### Outputs

- Excel spreadsheet with the data and data analysis.
- PowerPoint summary of results using graphs and figures where appropriate.<sup>20</sup>

<sup>20</sup> Download a template for this presentation and examples from other sites from: [www.iied.org/sapa](http://www.iied.org/sapa)

Table 7: Basic analysis of the SAPA household survey

Survey selection	Survey question	Analysis to be performed
A: community profile	1.1	Gender: % male, % female respondents
	1.2	Ethnicity: % of each ethnic group
	1.3	Age: average age of respondents
	2.3	Origin: % of respondents born within community area, % migrated into the area
	3.1	Average number of people in a household
	3.2	Average number of children in a household
	4.1	Skipping meals: % reporting each category of response
	4.2	Housing materials: % reporting each category of response
	4.3	Influence over decision making: % reporting each category of response
	4.4	Feeling of security: % reporting each category of response
	4.5	Overall wellbeing: % reporting each category of response
B, C and D: social impacts	5	Change in wellbeing: % reporting a change and main causes of this change
	6	For each negative impact: % reporting impact as high or medium significance
	7	For each positive impact: % reporting impact as high or medium significance
	8.1	Overall impact on wellbeing: % reporting overall impact as positive, neutral or negative
	8.2	Contribution of PA/CA to wellbeing: % reporting increase, no change or decrease
	9.1	Crop damage by wildlife: % reporting damage in the last year
	9.2	Livestock damaged by wildlife: % reporting damage in the last year
	9.3	Problem animals: % reporting each different type of problem animal
	9.4	Attribution: % believing problem animal spends all/most of its time within the PA
	10	Results of any other social impact questions in Section D
E and F: PA/CA governance	11.1-3	Rights statements 1–4: % reporting each category of response
	12.1-3	Participation statements 1–4: % reporting each category of response
	13.1-3	Transparency question 1–4: % reporting each category of response
	14.1-3	Impact mitigation question 1–4: % reporting each category of response
	15.1-3	Benefit sharing question 1–4: % reporting each category of response
	16	Results of any other governance questions in Section F
G: other	17	Results of any other questions in Section G

## 4. Phase IV: Assessing

### 4.1 Second community meetings

#### Objectives

1. To share the results of the SAPA household survey with communities and review and validate these results.
2. To address any assessment questions targeted at the community meetings.
3. To identify ideas for action to:
  - a. Reduce negative social impacts and increase, and more equitably share, positive social impacts of the PA/CA and any related conservation and development activities, and
  - b. Strengthen PA/CA governance, in particular with regard to (a).

#### Time required

Maximum three hours for the meeting (excludes travel time).

#### Who facilitates?

The SAPA lead facilitator and other selected members of the facilitation team.

#### Who participates?

Conducted in the same communities as the first round of community meetings, ideally, with the same participants. You need not limit the number to 30 this time, but it is still important to ensure that participants are community members representing different social groups (wealthier, poorer, younger, older and so on) and that there is a gender balance.

#### Background information

The second community meetings are the last community-level activity of the assessment. Although you expect that most participants will have attended the first community meeting, you must assume that there will be some who did not and so spend some time at the start explaining the background to the SAPA assessment.

These meetings are for reviewing and validating the household survey results with communities, gathering additional information and identifying ideas for actions that will reduce negative impacts and increase, and more equitably share, positive impacts. Use these second community meetings for any assessment questions that are better addressed by group discussion than by one-to-one household interviews. Any questions of this type will have been identified in the list of site-specific questions produced after the first stakeholder workshop and included in the information gathering plan.

Sharing the research results with communities involved in the research is an important principle of good research practice. However, these second community meetings only serve this purpose for the two to six communities that were selected for the community meetings. This does not mean you should forget about wider dissemination of the results to other communities, but this comes later as part of the Phase V (Activity 5.1).

We deliberately limit the length of this activity to around three hours because it is hard for community members (and facilitators) to maintain focus for longer than this without a substantial break. In the allowed time, you will need to focus on the more important issues — for example, discussing the positive and negative impacts that at least one third of the men or women from within or near this community rated as medium or high.

Careful thought needs to go into how best to present survey results according to the local context. In developed and some developing countries, rural communities may be familiar with PowerPoint presentations, tables, graphs and mathematical concepts such as percentages and averages. However, in many rural situations — especially with poorer people and women — this is not the case and you should use more appropriate communication methods such as simple diagrams on flip charts and verbal descriptions using familiar concepts and terms.

In the first community meetings, the focus was the impact ranking exercise, which was recorded on paper as part of the process. At these second meetings, there is a lot more emphasis on discussion; it is important to take good notes, particularly of the ideas for action to address the assessment results.

An idea for action does not need to specify who will do the action, as this will be discussed in Phase V. Ideas for action can range from broad statements of intention, such as measures should be taken to share benefits from tourism more fairly, to very specific activities such as posting employment opportunities on village notice boards. Generally, the more specific they are, the better.

When exploring ideas for action, remember that you are not only looking for actions that might be taken on by the community. Community members will also have ideas for action by PA/CA management, local government and/or other stakeholders. Some ideas may be relevant and practical; others may not be. When ideas are not relevant or practical, it is important to discuss why and not just dismiss them.

In some cases, the ideas for action will be technical interventions that directly address impacts —for example, measures to reduce crop damage by wildlife. However, in many cases, the impact itself and/or the underlying problem will be a governance issue, and ideas for action will include governance actions such as measures to improve information flow and increase community participation.

Although the purpose of the meeting is to get ideas from participants, facilitators can suggest an idea where this seems appropriate, only recording it if community members endorse it.

Ideas for action that emerge from community meetings will become an input to the second stakeholder workshop (Activity 4.2); specifically, the session where participants — including community representatives — formulate their final list of ideas for action.

You do not need to split the community meeting(s) into separate groups of women and men. This is because it is useful for the participants to see the different perspectives that emerge

from the household survey, and it is important for participants to discuss significant differences. However, this can make facilitation quite challenging, particularly when numbers exceed around 20. Facilitators will need actively manage the discussion to avoid domination by a few individuals, encouraging strong participation of women, youth and other groups who are often reluctant to contribute to discussions.

### **Tasks: planning and preparing for the second community meetings**

The convenor and facilitation team need to undertake the following tasks to prepare for each of the community meetings.

1. Decide which facilitation team members will facilitate each community meeting, bearing in mind:
  - b. Who has attended the SAPA training for this activity
  - c. The need for one male and one female facilitator for each meeting
  - d. That meetings should be conducted in the appropriate local language, and
  - e. The need for a notetaker.
2. Discuss and agree which results from the household survey you are going to present. Structure this presentation as follows:
  - c. Negative PA/CA-related social impacts and related governance results, including significant differences between women and men, and wealthier and poorer respondents
  - d. Positive PA/CA-related social impacts and related governance results, including significant differences between women and men, and wealthier and poorer respondents
  - e. Governance results on rights, participation and transparency, including significant differences between women and men, and wealthier and poorer respondents
  - f. Overall impact of PA/CA conservation on human wellbeing, including significant differences between women and men, and wealthier and poorer respondents.

We suggest that you summarise the key results on flip chart paper and verbally present from these sheets. Leave enough space between the results to add ideas for action that participants suggest during the meeting. We advise against preparing a table with two columns (results and ideas for action) as this will need a landscape format and use more paper, which can be difficult to handle in a village-level meeting. Do not use a video or projector unless you are very sure that all participants will be familiar with this technology. For each community meeting, focus on results that are specific to the zone where the community is located, although for certain issues you may want to compare with results from other areas. This means you will be presenting slightly different results according to the communities you are visiting.

3. Discuss and agree what information/ideas you feel it is appropriate for the facilitators to contribute to the discussion of ideas for action.
4. Review the list of site-specific assessment questions that you developed after the first workshop to identify any questions that specified the second community meetings as the primary assessment method.

5. At least one week before a community meeting is scheduled to take place, make the appropriate arrangements to inform community members of the meeting. Using the agreed terms, explain to those you invite that it is a follow-up to the earlier meeting on PA/CA-related social impacts. Make sure that the people you invite represent the social diversity of the community (see 'Who participates?' above).
6. Discuss as a team how many community representatives there will be space for at the second stakeholder workshop. Ideally, around half the participants should be from community level, including at least one woman and one man from each community. As with the first workshop, if most of the other workshop participants are likely to be men, we suggest inviting two women and one man from each sample community. Such affirmative action helps women feel more empowered to speak.
7. Agree who will take photos, if participants agree to permit photos. Focus on photos of participants that clearly show the process used and participants actively engaging in it. These will be useful when presenting results and for the final report.
8. Prepare the materials necessary for the community meetings:
  - Flip charts
  - Coloured marker pens
  - Notebook(s) and pen(s) for the notetakers
  - Camera.

### Tasks: conducting community meeting(s)

1. **Opening:** Follow normal procedures for opening this kind of meeting. As participants introduce themselves, ask each to say which community they have come from to check how many people (if any) are from outside the community targeted for this meeting. Explain that, unlike the first meeting, you are not going to split into separate meetings for women and men because it is important to share views. Ask participants to be aware of how much they talk in the meeting and if they find they are talking a lot, to try and listen for a while to give others an opportunity to contribute. Remind everyone that they should be respectful of different opinions.
2. **Purpose of the meeting:** Explain that this meeting is to discuss the results of a study on the positive and negative impacts of the PA/CA on human wellbeing and that the purpose of this work is to find ways to reduce the negative impacts and increase, and more equitably share, the positive impacts. Be sure to use agreed translations for positive and negative social impacts and wellbeing, and check that everyone is clear about their meaning. Remind participants that the SAPA process is interested in impacts of all activities related to the PA/CA, including conservation management and any community, conservation and development programme(s) or activities that are related to the PA/CA. Emphasise that there are many types of positive and negative social impacts, including some that affect the whole community and some that are specific to individuals and that we are interested in all of these types of impact.
3. **Overview of the PA/CA:** Clarify which PA/CA the assessment is focusing on and its geographic boundaries. Also, briefly summarise the history of this PA/CA, who owns the area, who manages it and other relevant information.

4. **Assessment activities:** Explain that this work to assess the social impacts of the PA/CA started some weeks/months ago. Remind participants of the process:
- a. Community meeting(s) to discuss important social impacts that should be studied in more detail. Remind people when this took place in this community.
  - b. A stakeholder workshop to introduce the assessment to key actors (including community representatives) and agree on the questions that the assessment will try to answer. Remind people when this took place.
  - c. A small household survey to collect more detailed information from a sample of people, including from this community. Ask people who were interviewed to raise a hand.
  - d. Second community meeting(s) to share the results of the household survey and discuss ideas for action to reduce negative impacts and increase, and more equitably share, positive impacts (this meeting).
  - e. A second stakeholder workshop to share results with key actors (including community representatives) and identify ideas for action. Explain when this second workshop will take place.
  - f. Action planning and implementation. Note that this will take place over the next 12 months.
5. Results and ideas for action: Divide this session into four parts:
- vi. Negative PA/CA-related social impacts and related governance results
  - vii. Positive PA/CA-related social impacts and related governance results
  - viii. Governance results on rights, participation and transparency
  - ix. Overall impact of PA/CA conservation on human wellbeing

For parts i – iii, summarise, one by one, the key results for this community's geographic area. Where necessary, seek clarification to ensure that both community members and facilitators understand the result. Then check if participants agree with the result. If there is disagreement, try to understand why, and how common this view is among those present at the meeting. If there is a consensus that the result is wrong, make a cross next to it on the flip chart to show that it has been not been validated. Make sure someone is taking good notes of the discussion so that you have a record of reasons for results being rejected.

Where there are possibilities for action to improve the situation by community members, PA/CA management and/or other key actors, facilitate a discussion of the possible actions, making an appropriate contribution as agreed during preparation. Do not leave this discussion of ideas for action until all results have been presented as participants will get frustrated — in other words, do it with each result or at least at the end of each of the four parts of the meeting. Write the ideas on the flip chart papers next to the result that they relate to and in a different colour. Make sure that the notetaker is taking good notes.

For part iv, proceed as for i–iii, including where participants agree with — or validate — the result, but without discussing ideas for action as you are simply presenting a summary of the overall impact of everything discussed in parts i–iii.

6. Additional assessment questions (if any): If your information gathering plan lists the second community meeting as the primary method for a question, this is the time to discuss it.
  - g. Facilitate a discussion of the question to get different views from different participants. If there are important differences in views, facilitate further discussion to explore the reasons for these differences. Ask follow-up questions as necessary to get a deeper understanding. Make sure that the notetaker takes detailed notes.
  - h. Briefly discuss ideas from community members for actions to improve the situation. Make sure that a notetaker is taking good notes.
7. Wrapping up
  - h. Any other questions. Ask participants if they have any questions or issues they want to raise with the facilitators or PA/CA managers.
  - i. Manage expectations. Clarify that the ideas of action generated in this meeting are important, but it is down to the key actors, including communities, to implement them.
  - j. Next steps. Remind participants that there will be a second stakeholder workshop soon. Give them the date, advise them how many representatives they can send and ask them to nominate them. Be sure to record their names and phone numbers.
  - k. Closing. Thank participants for attending this meeting and close it in the normal way.

### Tasks: updating the PowerPoint of assessment results

After all the community meetings have been completed, update your PowerPoint presentation.

1. Delete any result that was rejected by all communities. If some accepted and some rejected it, add a question mark and a note in the notes section to explain.
2. For each of the four parts, add a slide with ideas for action suggested by community members.
3. Summarise other key points from the community meetings in the notes section, including ideas for action.

### Outputs

- Photographs of the flip charts with ideas for action that were added during the meeting.
- Updated PowerPoint of the final validated results and ideas for action from the community.
- As a minimum, a record of notes taken during the community meeting(s) (preferably typed).
- If possible, a short report from each community meeting.

## 4.2 Second stakeholder workshop

### Objectives

1. To share key results from the household survey and second community meetings with representatives of key actors.
2. To address any assessment questions targeted at the second stakeholder workshop.
3. To add to the communities' ideas for action for:
  - a. Reducing negative social impacts and increasing, and more equitably sharing, positive social impacts of the PA/CA and related conservation and development activities.
  - b. Strengthening governance of the PA/CA, in particular with regard to (a).

### Who facilitates?

Members of the SAPA facilitation team facilitate this workshop; all team members should attend the workshop and help answer questions from workshop participants.

### Who participates?

The same people who attended the first stakeholder workshop should also attend this one. You should invite all actor groups with a medium to high interest level and all those with and medium to high influence. If fairly junior staff represented key stakeholder at the first workshop, invite staff from higher levels in management of their organisation to this final workshop to build senior management buy-in. However, be cautious about inviting people whose seniority makes other participants reluctant to speak.

You could also invite actors with low interest but medium to high influence — particularly those who might help address some of the issues that emerge from the assessment. For example, staff of some local government development departments may not see the PA/CA as very relevant to their interests, but they could support development activities that, in turn, support conservation. This workshop will hopefully stimulate their interest and willingness to offer relevant support.

### Time required

One day.

### Background information

This second stakeholder workshop completes the assessing phase and is the last opportunity to gather and analyse new information.

The focus of this workshop is sharing the results of the assessment with representatives of key actors and further developing ideas for action to improve the situation, building on what has come from the sample communities. In some cases, workshop participants may be comfortable calling these recommendations, but we advise against this because some ideas for action will need

to be passed up the management hierarchy to more senior levels for approval and workshop participants can be reluctant to offer recommendations to their seniors.

Whereas the community meetings included an objective to review and validate the assessment results, this stakeholder workshop does not. SAPA is, by nature, an assessment of PA/CA-related social impacts from the perspective of communities where validation takes place at the second community meetings. Workshop participants are, however, encouraged to comment on the results.

Facilitators bring information from the community meetings into this stakeholder workshop through the PowerPoint presentation of the assessment results, which by this stage will include the communities' ideas for action. Since the workshop participants will probably share and discuss some of the results with their colleagues, it is important to develop and disseminate a short report of the assessment results as soon as possible after this workshop to avoid the spread of misleading information (see Activity 5.1). Some participants may ask for an electronic copy of the PowerPoint presentation that you prepare for this workshop and this is fine. However, before sharing this PowerPoint, make sure that you have clarified any points that were queried during the workshop, and if some findings are sensitive, you may have to produce two PowerPoint presentations — one for internal use and one for external sharing where, although the results are not changed, the wording might be adjusted to be less direct while still retaining the meaning.

### **Tasks: planning and preparing for the second stakeholder workshop**

The convenor and SAPA facilitation team need to undertake the following tasks to prepare for the second stakeholder workshop.

1. Develop a list of invitees (see 'Who participates?' earlier in this section).
2. Invite participants in the appropriate way — for example, by letter, email or phone — at least one week before the workshop with clear explanation of the costs you can reimburse, such as allowances, travel costs and fuel to avoid unrealistic expectations and bad feeling.
3. Prepare in advance:
  - a. A SAPA overview presentation<sup>21</sup>
  - b. Updated presentation of key results from the household survey and key information gathered from community meetings structured in five sections:
    - i. Social context (very brief overview for the benefit of conservation actors)
    - ii. Negative PA/CA-related social impacts and related governance results, including significant differences between women and men, and wealthier and poorer.
    - iii. Positive PA/CA-related social impacts and related governance results, including significant differences between women and men, and wealthier and poorer.
    - iv. Governance results on rights, participation and transparency, including significant differences between women and men, and wealthier and poorer.
    - v. Overall impact of PA/CA conservation on human wellbeing, including significant differences between women and men, and wealthier and poorer.

21 For an example, see [www.iied.org/sapa](http://www.iied.org/sapa)

- c. A list of any site-specific questions included in the information gathering plan as questions to be addressed at this workshop. Discuss and agree with fellow facilitators the section (ii–v) where each should be addressed and how to address the questions if this is not obvious.
4. Finalise the agenda using the relevant template in Annex 3 and identify facilitators for each session. Decide who will take notes and write up the short workshop report.
5. Make sure you have all the necessary equipment and materials:
  - a. Projector and screen
  - b. Flip chart papers and marker pens
  - c. Ten hard copies of the PowerPoint slides that summarise key results from the household survey and key information gathered from community meetings, including ideas for action. Print these in handout mode (six slides to a page) and make sure every facilitator has a copy for the workshop (they will need it for Task 5 below).

### Tasks: conducting the second stakeholder workshop

1. **Opening:** Welcome and open the workshop in accordance with local custom. Ask participants to introduce themselves and the community, organisation or institution they represent.
2. **Introducing the workshop:** The convenor or SAPA lead facilitator should explain the workshop objectives (see 'Objectives' above).
3. **Overview of SAPA:** Present an overview of the SAPA methodology. This presentation should include the SAPA standard assessment questions (see Box 4, page 17), any site-specific assessment questions and a brief overview of the PA/CA. This should include any related conservation and development activities that are covered by the assessment. Make sure everyone is clear on the assessment's geographic and time scope or recall period. Allow time for questions and points of clarification.
4. **SAPA results:** Present the results in the five sections (i–v). Pause between the different sections to allow for questions or clarification. Ask workshop participants to be patient and not comment on the results, as they will do this in groups after the presentation.
5. **Group exercise:** reactions and ideas for action: Split participants into four groups: communities, local government, PA/CA management and other conservation and development actors, including NGOs and the private sector. There should be no more than 15 people per group; subdivide large groups if necessary but try not to exceed five groups. Each group should have a few hard copies of the results presentation as reference. Starting with Section ii and taking one section at a time:
  - a. In their smaller groups, facilitate participants to:
    - ii. React to any the results that they feel are particularly important and/or controversial. Summarise points on a flip chart.
    - iii. Discuss any site-specific questions that fall under this section.

- iv. Review the ideas for action proposed at the community meetings. Where there is a consensus that an idea is inappropriate or impractical, removed it, ensuring the notetaker records the reason.
  - v. Identify and add other ideas for action if there is consensus in the group that they are appropriate and practical. Remember, they do not need to say who will do the action but should be as specific as possible in describing the proposed action.
- b. Ask someone from the group to present the group discussion to the other workshop participants in plenary using the flip charts. The facilitator should brief the chosen presenter so that they are clear to only present the key points/highlights of the group discussion to avoid long presentations that may make the meeting over-run.
3. **Plenary presentations and discussion:** Each group should present the highlights of their group discussion to the other workshop participants. Once all the presentations are finished, ask the participants to reflect on any significant differences between what the groups have presented.
4. **Next steps:** Explain to participants that the SAPA process now moves from the information gathering and assessing phases into the taking action phase. Ask participants to proactively contribute to this phase by sharing the SAPA results with their organisation or community, and (where appropriate) building some of the suggested ideas for action into their workplans. Explain that the convenor will support the process for another 12 months, focusing on communicating the results, action planning and monitoring progress. If possible, the convenor should briefly explain any specific tasks that have already been planned — for example, presenting results at national level or a dedicated action planning workshop.
5. **Closing:** The convenor, SAPA facilitation team or host should thank everyone for coming and close the workshop in the appropriate way.

### Outputs

- Updated PowerPoint presentation including ideas for action and information relating to site-specific questions that were discussed.
- A brief workshop report (desirable but not essential), compiled from the notetakers' notes.

## 5. Phase V: Taking action

All too often, there is little or no action in response to an assessment of the social (and environmental) impacts of an initiative and the report that follows. After the first cycle of using SAPA during 2015–16, a follow-up survey revealed that most sites took some action in response to the assessment results, but that this depended more on the commitment of individuals at site level than institutionalised buy-in. To increase the likelihood of assessment leading to action, this chapter provides guidance for a systematic approach to building and sustaining this linkage.

The starting point for Phase V is the following four key outputs of Phases I–IV:

- A list of validated social impacts and related governance challenges
- A list of practical ideas for action that have broad support from key actors
- Increased trust between key actors arising from working together on the assessment, and
- A baseline of social impact and governance indicators for monitoring change over time.

Phase V is all about how to harness these four outputs of Phases I–IV to increase and more equitably share positive social impacts and reduce negative social impacts. Remember that we are talking about social impacts of both the PA/CA and its management, and any related conservation and development activities. As a result, some ideas for action will have direct social impacts, such as more employment opportunities, and others — such as making information on job opportunities more accessible — will aim to strengthen governance.

Research provides evidence of the need for the action, but the level of uptake of recommendations from research — in this case, SAPA's ideas for action — depends on more than seeing the evidence and having the human and financial resources to implement them. The following are also critically important:

- Political support from senior decision makers
- Effective monitoring and learning processes that can promote accountability for action, enable effectiveness of the action to be enhanced and emerging problems resolved and inform policy development above site level (in some cases), and
- Actors' willingness to work together to make a success of the action.

In Phase V, not only do you need to communicate the assessment results to the people who can make use of them at site level. You also need to communicate evidence of the need for action to higher levels, monitor and review progress and learn from this. These are the key activities of this final phase, all of which continue to emphasise the multi-stakeholder approach.

SAPA may start as a standalone process, but it should end with social assessment being mainstreamed within key actors' management information systems at site level. Phase V is where this mainstreaming takes place. To reach this point and achieve the other objectives of this final phase will take at least 12 months, at which point one cycle of the SAPA process comes to an end.

During Phase V, it is crucial that the convenor and facilitators continue to support the activities we describe in this chapter. There needs to be an exit strategy for these convening and facilitating roles to wind down towards the end of Phase V, although the organisations performing these roles will often continue to be engaged in supporting the PA/CA.

After the end of the SAPA process, we expect that key site-level actors will continue to monitor progress, learn from the experience and feed this information into annual planning and PA/CA management planning as part of normal planning processes. There is no need to repeat the whole SAPA process to monitor progress, but we suggest a full repeat of SAPA every five years, aligned with the PA/CA planning cycle where possible.

## 5.1 Communicating the results

### Objective

To communicate results of SAPA to key actors and to encourage the implementation of the ideas for action generated by the assessment.

### Time required

You should communicate the SAPA results in the three months following the assessment. It should take two to three days to prepare the communications outputs and several more days to organise sharing them through, for example, presentations at meetings. The convenor or SAPA lead facilitator can do this on a part-time basis around their other duties.

### Who facilitates?

The convenor or SAPA lead facilitator should coordinate these communication activities, but a range of people can implement them, according to the skills required.

### Who participates?

There are three key audiences for the results of a SAPA assessment. Sections A–C below provide a summary of these audiences and the communication methods you could use to share the assessment results. You do not need to restrict yourself to these methods. Feel free to use other methods, particularly more innovative and creative ways to share the SAPA results.

#### A. Key actors at site/local level who have influence in relevant planning processes

Relevant planning processes include not only PA/CA management planning, but also planning by other key actors at local level that is relevant to the PA/CA and related conservation and development activities, such as planning by local government, NGOs and/or tourism operators. You will have identified these actors during the stakeholder analysis in Phase II (scoping) and ideally many of them will have attended the second stakeholder workshop. For this audience, we recommend producing two specific communication products:

- A full PowerPoint presentation in the national language based on the presentation of results developed for the second stakeholder workshop and updates made after the workshop. This presentation serves as the complete record of the assessment results.
- A brief report of no more than four pages of A4 sized paper, in the national language. Planners/decision makers rarely read anything longer than a few pages.

## B. Higher-level decision makers who influence financial and political support for action

Higher-level decision makers such as senior PA/CA managers, local government leaders and senior of private sector and donor agency staff are unlikely to have attended the second stakeholder workshop or to have the time to sit through a full presentation of the assessment results. For this audience we recommend:

- A brief report in the national language: essentially the same report in A, adjusted for the higher-level audience.
- A short PowerPoint presentation in the national language. This should be much shorter than the full PowerPoint presentation — a maximum of ten slides — highlighting key points and ideas for action. For the presentation to share technical information and convince the audience of the credibility and importance of the results, it must have clear messages, nice formatting, photos of key activities and graphics summarising the results.

## C. Wider audience of actors at site/local level

There are at least three reasons why you should communicate the assessment results to a wider audience of actors in and around the PA/CA:

- **Actor engagement:** The degree to which local level actors can influence PA-related planning will depend on the PA/CA governance type (state, shared, private or community). There are, however, many other ways to engage site-level actors in PA/CA-related activities. For example, local people might be involved in monitoring and reporting human-wildlife conflict, illegal activities, misconduct of officials or the receipt of benefits such as legalised harvesting of forest products. SAPA generates and shares information on these issues with local actors to strengthen implementation. A lack of information sharing can result in misleading rumours and suspicion, disrupting conservation and causing conflict.
- **Transparency:** Whatever the specific issues raised by the assessment, openly sharing the results is important for building trust, which is integral to the SAPA process.
- **Research ethics:** Sharing the results of research with people who contribute to these results is a key element of the code of conduct of researchers and donors who fund research and, in many countries, a legal requirement.

To define the wider target audience, you will need to refer back to the stakeholder analysis; specifically, your analysis of actors with a medium to high level of interest in PA/CA-related social impacts. Reaching all will be impossible; even reaching a substantial proportion can be challenging and costly, so you will need to think creatively to achieve the best coverage with the available resources. For this wider audience, we suggest three possible communication methods/tools:

- A brief report in the local language based on the report written for planners/decision makers. For this wider audience, you will need to carefully manage expectations, explaining that ideas for action are only suggestions and not yet commitments.
- Community meetings where a summary of results is verbally presented to communities beyond those who were involved in the assessment. To minimise costs, this presentation could be

combined with another community meeting. Even so, the cost of visiting many communities to make these presentations may be prohibitive.

- Radio and web-based media: for many years in developing and developed countries, agriculture and other sectors have used radio programmes to disseminate important information. More recently, web-based information platforms and social media are increasingly performing this role and you could use them to share SAPA results.

## Tasks

1. Finalise the full PowerPoint presentation of SAPA results based on the presentation of results developed for the second stakeholder workshop and updates made after the workshop. You can edit the key points, if necessary, to make sure they are clear and avoid any language that might offend or cause conflict. Be careful, however, to keep editing to a minimum so that the participants from the second stakeholder workshop can recognise the results. If some findings are sensitive, you may have to produce two PowerPoint presentations:
  - Version 1 (for internal use): the full findings including sensitive or contested results, and
  - Version 2 (for external sharing): you might tone down the wording of some statements to avoid counter-productive reactions.
2. Send the full results presentation as a handout (with six slides per page) to all second stakeholder workshop participants so they have all the relevant information and explain that there will also be a written report. This should preferably be Version 1, but if you have to use Version 2, be transparent and explain that it has been edited and why, but that the key messages have not changed. It is important to do this as soon as possible after the meeting to reduce the risk of SAPA results getting misrepresented.
3. Prepare a brief report in the national language, ideally no longer than four A4 pages (2,000 words). If necessary, create slightly different versions for target groups A and B. A short report like this will contain less information than the full PowerPoint presentation, focusing on what you consider to be the more important issues. Make sure you use the same structure as the PowerPoint though, so that readers can easily refer to the PowerPoint for further details.
4. Prepare a short version of the PowerPoint presentation with a maximum of ten slides. Keep the number of words on each slide to the minimum needed for the audience to understand the point. You can put extra information in the notes section, which a presenter can read if necessary. This short presentation should focus on the points in the brief report that are more important for higher-level decision makers to be aware of.
5. Before finalising the report and short PowerPoint, share drafts for comment with the facilitation team, at least one person in the convening organisation and an appropriate person in the host organisation(s). Edit both products to address any comments but avoid making any substantive changes to the results as participants may view this as tampering with them, which could damage the credibility of the assessment.
6. Arrange for the brief reports to be circulated to target audiences A and B in an appropriate way. Where possible, arrange meetings to present and discuss the results and provide the report as a handout at the end.

7. The convenor should organise a meeting to discuss options for communicating the results to a wider local-level audience. This could include a report in the local language (only appropriate where literacy rates are high), verbal reports at community meetings and radio/web-based media. Make this plan for local dissemination as soon as possible and at least within three months of the assessment. Bear in mind that the momentum for taking action can quickly disappear if nothing happens and trust will be eroded. At this team meeting, you could also discuss opportunities to engage in key actors' planning processes (see Activity 5.2).
8. Implement the plan for communicating the results to the wider audience at local level.

## Outputs

- Final PowerPoint presentation of the assessment results, possibly with two versions.
- Short PowerPoint presentation of the key assessment results.
- Brief four-page narrative report of the assessment results, possibly in two versions.

## 5.2 Action planning

### Objective

To enable key actors to effectively plan appropriate actions that will contribute to the assessment objectives: increased and/or more equitably shared positive social impacts and decreased negative social impacts.

The main focus of this action planning step is ensuring that existing planning processes of PA/CA management and other key actors take on board some of the ideas for action. The main emphasis is annual planning, but there may also be some simple low/no-cost actions that they could include in their monthly work plans. We might call this mainstreaming through existing planning processes. The relevant actors may invite input from the governance assessment on their own initiative, but often the person(s) responsible for this step of the assessment will need to actively seek an invitation to attend the relevant planning events.

Where assessment participants are looking for a stronger and faster response to the assessment results, you could organise a dedicated action planning workshop to develop a specific social impact action plan. Such a workshop will enable a more systematic, transparent process for prioritising actions based on clear criteria, such as feasibility, cost and likelihood of success, and developing detailed plans for implementing these priority actions and monitoring progress.

### Time required

Action planning should take place in the 12 months following the second stakeholder workshop as opportunities arise. We estimate this will require around two weeks over the 12 months. If you decide to hold a dedicated social action planning workshop, do this as soon as possible after the second stakeholder workshop. You will need about a week for this, including a couple of days for finalising the action plan.

### Who facilitates?

If the SAPA lead facilitator is still available, s/he could help facilitate the presentation of assessment results at planning events and, if desired, a dedicated action planning workshop. Otherwise the convenor and/or host(s) can provide the necessary facilitation.

### Who participates?

Planning is difficult to do in a large meeting. If there is a dedicated action planning workshop, you should invite participants from the second stakeholder workshop, limiting numbers to 15–20. As reflected in the proposed agenda (see Annex 3), this workshop builds on the second stakeholder workshop, so participants should be people who attended the second workshop.

### Background information

The final output of the second stakeholder workshop is simply a set of results relating to the eight SAPA standard assessment questions (Box 4, page 17) and any site-specific questions and a set of ideas for action that are expected to increase and more equitably share positive impacts and reduce negative impacts. These ideas may be vague and there may be no clear indication of which actors might lead or support their implementation. This is not only because of lack of time to develop the ideas for action at the second stakeholder workshop. It is also because many of the participants at the second stakeholder workshop may not be in a position to make commitments without referring back to higher authorities. Because there is no plan for action at the end of Phase IV, you will not have established accountability for implementing any proposed actions. Without Phase V, assessment risks becoming another study that took up actors' time and resources and yielded little in return.

### Tasks

1. Organise a meeting of the SAPA lead facilitator, convenor, host and local leaders to:
  - b. Identify annual planning and other events of relevant organisations where you can discuss results and plan actions. Decide who could support each event and who will seek make a presentation at the event.
  - c. For each event, develop a suitable presentation and strategy for encouraging uptake of relevant actions, including which actions to promote as priorities and arguments for their importance in terms of social impact and conservation.
  - d. Review the arguments for and against organising a dedicated social impact planning workshop. If there is a consensus in favour, and funding, plan the event and develop the invitation list, which should include most of the participants of the second stakeholder workshop plus higher-level managers who can commit their organisations to take action.
2. Attend the targeted planning events to present the assessment results and promote uptake of priority actions.
3. Subject to the conclusion of 1c, organise and facilitate a social impact action planning workshop and produce a workshop report including a social impact action plan. This one- or two-day event should comprise the following:

- a. Presentation and discussion of the assessment results, including ideas for action.
- b. Review of any progress to date in implementing actions suggested by the assessment — in other words, actions actors have taken up without incorporating them in plans.
- c. Identification of priority actions for the short term (next 12 months) and other important actions for the medium term (Years 2–3). Start the session with a discussion of the criteria for prioritising actions. Once these are agreed, move to a voting process. Look at both timeframes together so you do not lose actions that may be judged lower priority because they are important but less urgent.
- d. Planning for priority actions. Where an idea for action is broadly defined, the first step in planning is usually defining a more specific set of activities/tasks to be implemented. Once the action is unpacked in this way, you can use a standard planning process.
- e. Planning for monitoring progress in a way that maintains a multi-stakeholder approach yet is simple enough for all key actors to be able to do it.
- f. Reminders of next steps: remind participants of agreed activities, including whether key actors need to incorporate activities into their regular plans.

## Outputs

- Priority actions are incorporated into plans of the key actors.
- A social impact action plan comprising a one-year plan of priority actions with clearly defined timeframes and responsibilities and an initial list of actions for the following year (optional).

## 5.3 Monitoring progress

### Objective

To prepare a monitoring plan and enable key actors to collect and analyse the information they need to monitor progress in responding to key results of the assessment.

### Time required?

Two weeks over the course of the year.

### Who facilitates?

The convener or lead facilitator can facilitate the development of the monitoring plan. Thereafter, because monitoring must continue well beyond the timeframe of the assessment, it is better that one or more of the key actors take on overall responsibility for monitoring.

### Who participates?

Monitoring relies on information from a number of different sources. The people who have this information, or control access to it, should therefore be considered to be participants in the monitoring system.

## Background information

Monitoring is collecting and analysing data and information (quantitative and/or qualitative) about change over time with reference to an initial situation (the baseline). There are four basic types of monitoring for reviewing progress. These relate to the four levels of a logframe:

- **Activity monitoring** monitors the extent to which planned activities have been implemented and the quality of implementation.
- **Output monitoring** monitors the quantity and quality of the direct outputs of planned activities. Often called deliverables, outputs are results that are fully under the control of the actors who have committed to deliver them.
- **Outcome monitoring** monitors the actions of people and organisations that are likely to be influenced by one or more of the planned activities but are beyond the actors' control.
- **Impact monitoring** monitors changes in wellbeing and/or biodiversity and ecosystem health that are expected to be at least partially caused by one or more outcomes.

The level of complexity of the monitoring plan will vary according to the available capacity and resources but bear in mind that a plan that is so laborious it is largely ignored is of no value. In other words, keep monitoring as simple as possible, especially in the first year.

## Tasks

1. **Activity and output monitoring:** During each planning event where you present SAPA results and participants plan actions, for each main action the convenor or SAPA lead facilitator should facilitate a brief discussion of information actors could collect in the coming year to show whether and how the action has been implemented and outputs delivered. The discussion should also determine who will collect and who will analyse the data. This is a basic activity monitoring plan and can be documented in a simple table.
2. **Outcome and impact monitoring:** Although this can be done in various ways, the simplest is to simply repeat the SAPA household survey. You should do this in exactly the same way in all respects other than interviewing different people, assuming it will not be practical to find and re-interview exactly the same people (if it is practical, then this is the best option). Since it is normally difficult to detect changes at outcome and impact level within a year, we suggest repeating the survey around two and a half years after the initial survey, so the results can feed into to the third annual planning cycle. The task for Year 1 is to plan for this repeat survey and include this in the monitoring plan.

## Output

Monitoring plan.

## 5.4 Progress review workshop

### Objectives

1. To review the progress of actions that have already been taken on, how to address constraints encountered and identify tasks and targets for completing the action.

2. To identify additional actions for implementation in the coming year, which actors should be involved and targets for completing these actions.

### **Time required**

One day.

### **Who facilitates?**

The convenor should facilitate this workshop or ask for support from the SAPA lead facilitator or other team members, where they are available.

### **Who participates?**

Participants of the second stakeholder workshop (Activity 4.2), plus higher-level managers who committed their organisation, institution or business to taking action(s) in Activity 5.2 and local leaders.

### **Background information**

Resources permitting, the SAPA process should conclude with a one-day workshop of key actors to review progress with the objectives listed above. Ideally, this workshop should take place halfway through Phase V, six months after the second stakeholder workshop. At this stage, the workshop would also provide a good opportunity to review the process of mainstreaming SAPA into relevant actors' management information and planning systems, although this is not on the proposed agenda.

This workshop aims to review progress and constraints of the ideas for action that actors agreed to implement at the broad level, without going into details of specific tasks. Our assumption is that the actors who agreed to work on the action will take note of the findings and suggestions from this review workshop and adjust the specifics of their implementation plans accordingly.

The workshop adopts an 'appreciative' approach, which asks participants to make a self-assessment of progress on a four-point scale (fully achieved, mostly achieved, partially achieved, no progress). The facilitator will ask participants to provide evidence for the score. Although s/he will generally encourage critique of the evidence, the facilitator will only step in and query the evidence and ask for consensus where an action has been assessed as fully achieved. This approach makes for efficient use of limited time. Although it runs the risk that participants exaggerate progress, it tries to ensure that they do not be judge an action as concluded until it is successfully completed.

### **Tasks: workshop preparation**

1. Develop a list of invitees (see 'Who participates?' above).
2. Invite participants in the appropriate way — for example, by letter, email, phone call etc — at least one week before the workshop with a clear explanation of the costs you can reimburse, such as allowances, travel costs or fuel, to avoid unrealistic expectations and bad feeling.

3. Prepare in advance:
  - a. SAPA overview presentation<sup>22</sup>
  - b. Updated presentation of key results excluding ideas for action<sup>22</sup>
  - c. Cards summarising the findings and existing ideas for action (in different colours).
4. Finalise the agenda based on the agenda in Annex 3 and identify facilitators for each session. Decide who will take notes and write up a short workshop report.
5. Make sure you have all the necessary equipment and materials:
  - a. Projector and screen
  - b. Flip chart papers and marker pens
  - c. Four hard copies of the final PowerPoint presentation summarising key results of the assessment including ideas for action. Print these in handout mode (six slides to a page) and make sure every facilitator has a copy for the workshop (they will need it for Task 6 below).

### Tasks: conducting the progress review workshop

(See suggested agenda in Annex 3)

1. **Opening:** Welcome and open the workshop in accordance with local custom. Ask participants to introduce themselves and the community, organisation or institution they represent.
2. **Introducing the workshop:** The convenor or SAPA lead facilitator should explain the objectives of this workshop (see 'Objectives' above).
3. **Overview of SAPA:** Present an overview of the SAPA methodology and assessment process. The presentation should include the SAPA standard assessment questions (Box 4, page 17), any site-specific assessment questions and a brief overview of the PA/CA and/or zone that you focused on for the assessment. This should also include related conservation and development activities that are included in the assessment
4. **Review of SAPA Results:** Present the findings in three parts, excluding ideas for action:
  - a. Negative PA/CA-related social impacts and related governance results, including significant differences between women and men, wealthier and poorer people and so on.
  - b. Positive PA/CA-related social impacts and related governance results, including significant differences between women and men, wealthier and poorer people and so on.
  - c. Governance results on rights, participation and transparency, including significant differences between women and men, wealthier and poorer people and so on.
5. **Progress review in groups:** Split into three groups: negative impacts, positive impacts and governance. If there are less than 20 participants, do this and the following step in plenary.
  - f. In their smaller groups, participants review the existing ideas for action, checking that they are clear and specific. If they are not, clarify them as necessary.

<sup>22</sup> For an example, see [www.iied.org/sapa](http://www.iied.org/sapa)

- g. Taking the ideas for action one by one, group members assess the level of progress to date in completing the action and mark the action as follows:
- ✓ = fully achieved
  - 😊 = mostly achieved
  - 😐 = partially achieved, some work still to be done
  - 😞 = not yet addressed, but remains relevant for the coming year
  - ✕ = to be dropped as the action is no longer relevant or is not practical.
- h. Ask groups if they have any more ideas for action for implementation in the coming year. Add them on new cards if there is a consensus within the group.

## 6. Plenary discussion

- g. The first group presents its assessment and the actions they propose for the coming year.
- h. Members from the other groups make suggestions if they do not agree with the actions. Discuss any proposed changes to the assessment or actions until consensus is reached.
- i. For each action, discuss and agree a specific, measurable, achievable, realistic and timebound (SMART) target that is achievable within a year and they use to assess progress of the action.
- j. For each priority actions, discuss, agree and note on the action card which stakeholders should work together on it and who should take overall responsibility for implementation.
- k. Repeat a) to d) above for the other groups.

## 7. Next steps

- h. Summarise the actions that participants have prioritised for the coming year.
- i. Discuss how this action plan can be shared more widely.
- j. Discuss how to encourage implementation of these actions.

8. **Closing:** Thank participants for attending the workshop and close it in the normal way.

## Output

Brief workshop report.

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# Annex 1: SAPA facilitators' terms of reference

## SAPA facilitation team

The role of the team is to facilitate an assessment of the social impacts of the target PA/CA and its associated conservation and community development activities using the SAPA methodology.

**Who is on the team?** The SAPA facilitation team will normally have three to six members from at least two of the following:

- Staff of the PA/CA management authority
- Members of local communities
- Staff of local and/or national NGOs
- Staff of other key stakeholders, or
- Researchers from universities.

### Selection criteria

Every member should be:

- Willing and able to devote the necessary time (minimum eight days over a 6–12-week period).
- Able to speak and read the language in which team meetings will be conducted, so there is no need for interpretation within the team.

The team as a whole should have:

- At least one member should be experienced in social surveys using questionnaires so that they can lead the design of the SAPA household survey and oversee the local enumerators who will be recruited to conduct the survey.
- At least one man and one woman should have strong in community meeting facilitation skills.
- At least one member should have a good knowledge of the PA/CA's management objectives and conservation strategies.
- At least one member should have a good knowledge of community activities linked to the PA/CA that are designed to deliver benefits or reduce costs.
- All members who are to be engaged in activities at community level should have the appropriate language skills.
- Gender balance: the team must have enough women to ensure a man and woman can work together conducting community meetings, as they will sometimes need to split these workshops into separate meetings for men and women.

## SAPA lead facilitator

One of the facilitation team members should be designated as overall team leader (SAPA lead facilitator) who is responsible for the efficient organisation quality of the assessment process. This job will normally take up around 30 days over the 6–12-week period. If the team leader's time availability is constrained, s/he can delegate some of his/her responsibilities to other team members.

## Annex 2: Templates

### Protected/conserved area profile template

Name of the PA/CA or group of contiguous PAs/ CAs to be assessed	
Year of establishment for each PA/CA » Legally » On the ground	
Designation of each PA/CA: park, reserve, conservancy, sanctuary, etc	
Area of each PA/CA in Km <sup>2</sup>	
Owner (s) of each PA/CA	
Manager(s) of each PA/CA	
IUCN governance type of each PA/CA	
Main threats to conservation	
Underlying causes of main threats to conservation	
PA/CA management plan (s): » Timeframe of the current plan » Start of the next planning cycle	
Border communities, number of: » Villages » Local government/administrative units	
People living in PA/CA (if any): » Number of people » Their main sources of livelihood	
People bordering the PA/CA: » Number of people bordering local government/ administrative units » Their main sources of livelihood	
Permanent platforms for stakeholder participation in PA/CA-related planning/decision making	
Permitted resource use within the PA/CA (if any)	
Number of people employed in PA/CA management » From local community » From outside	

Number of people employed in other conservation related work » From local community » From outside	
Other important positive impacts on local people's wellbeing	
Important negative impacts on local people's wellbeing	

## SAPA feasibility assessment template

Criteria	Yes/No	Comment
PA/CA has been in existence with management and governance systems in place and functioning for at least two years		If no, do not do SAPA
PA/CA managers and other key actors are willing to work together on the assessment to maximise the accuracy <sup>23</sup> and credibility of results and likelihood of action		If no, do not do SAPA
The risk that conducting the SAPA will create conflict between actors or exacerbate conflicts is very small		If no, do not do SAPA
Key actors are committed to discussing and addressing issues of social impact, including negative impacts		If no, do not do SAPA
It will be logistically possible for representatives of all key actors to have a one-day face-to-face meeting at least once during the process		If no, focus on one zone/area of the PA/CA
The convening organisation can allocate someone able to take on the overall coordination of the assessment who has the necessary skills and time (20–30 days over 12 weeks)		If no, do not do SAPA
The convening organisation can arrange for a third-party facilitation team that all key actors will regard as neutral or made up of key actors that can be collectively perceived as neutral		If no, do not do SAPA
The facilitation team includes equal numbers of men and women		If no, find at least one female team member
The convening organisation is willing and able to support the follow-up activities of Phase V (taking action) for at least one year after the end of Phase IV (assessing)		If no, do not do SAPA
There are adequate financial resources to conduct all five phases of the assessment		If no, do not do SAPA

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

## Stakeholder analysis template

Stakeholder group	Likely interest in PA/CA-related social impacts	Likely influence over PA/CA- related social impacts
State-governed	High(***), medium(**), low(*)	High(***), medium(**), low(*), or zero ( )
Non-state-governed	High(***), medium(**), low(*)	High(***), medium(**), low(*), or zero ( )

## Sample stakeholder analysis

**Notes:**

- Yellow cards indicate the name of the stakeholder group.
- Pink cards illustrate level of interest.
- Blue cards indicate level of influence.

STAKEHOLDER GROUP	INTEREST	INFLUENCE
Government & Private Sector		
Local Community	***	*
Health Centres III, II	*	-
CENTRAL GOVT	***	***
KISORO DLG	***	***
LC III Local Govt	***	**
PARISH COUNCILS	**	-
UWA	***	***

## Template for SAPA information gathering and sampling plan

### I. SAPA standard assessment questions

#### Impacts on human wellbeing (assessed through household survey Sections B and C)

1. What is the overall contribution to human wellbeing of the PA/CA and related conservation and development activities?
2. What are the more significant negative impacts of the PA/CA and related conservation and development activities? *Insert negative impacts below*
  - 
  - 
  - 
  - 
  -
3. What are the more significant positive impacts of the PA/CA and related conservation and development activities? *Insert positive impacts below*
  - 
  - 
  - 
  - 
  -

#### Governance (assessed through household survey Section E)

4. To what extent are any PA/CA-related rights of local women and men recognised and respected? *Insert statements based on the three rights themes*
  - 
  - 
  -
5. To what extent are local women and men able to participate in PA/CA-related decision making? *Insert statements based on the three participation themes below*
  - 
  - 
  -
6. To what extent do local women and men have timely access to relevant information? *Insert statements based on the three transparency themes below*
  - 
  - 
  -
7. To what extent are there effective measures to mitigate negative impacts on local women and men? *Insert statements based on the three impact mitigation themes below*
  - 
  - 
  -

8. To what extent are PA/CA-related benefits equitably shared within and between local communities? *Insert statements based on the three benefit sharing themes below*

- 
- 
- 

## II. Additional site-specific questions

Impacts on human wellbeing	Data gathering method
1. <i>insert site-specific questions from first stakeholder workshop (if any)</i>	<input type="checkbox"/> Household survey <input type="checkbox"/> Community meeting <input type="checkbox"/> Stakeholder workshop
2. <i>insert site-specific questions from first stakeholder workshop (if any)</i>	<input type="checkbox"/> Household survey <input type="checkbox"/> Community meeting <input type="checkbox"/> Stakeholder workshop
3. <i>insert site-specific questions from first stakeholder workshop (if any)</i>	<input type="checkbox"/> Household survey <input type="checkbox"/> Community meeting <input type="checkbox"/> Stakeholder workshop
Governance	Data gathering method
4. <i>insert site-specific questions from first stakeholder workshop (if any)</i>	<input type="checkbox"/> Household survey <input type="checkbox"/> Community meeting <input type="checkbox"/> Stakeholder workshop
5. <i>insert site-specific questions from first stakeholder workshop (if any)</i>	<input type="checkbox"/> Household survey <input type="checkbox"/> Community meeting <input type="checkbox"/> Stakeholder workshop
6. <i>insert site-specific questions from first stakeholder workshop (if any)</i>	<input type="checkbox"/> Household survey <input type="checkbox"/> Community meeting <input type="checkbox"/> Stakeholder workshop
Other	Data gathering method
7. <i>insert site-specific questions from first stakeholder workshop (if any)</i>	<input type="checkbox"/> Household survey <input type="checkbox"/> Community meeting <input type="checkbox"/> Stakeholder workshop
8. <i>insert site-specific questions from first stakeholder workshop (if any)</i>	<input type="checkbox"/> Household survey <input type="checkbox"/> Community meeting <input type="checkbox"/> Stakeholder workshop
9. <i>insert site-specific questions from first stakeholder workshop (if any)</i>	<input type="checkbox"/> Household survey <input type="checkbox"/> Community meeting <input type="checkbox"/> Stakeholder workshop

## III. Sampling plan

**Sampling approach** *(select one)*

- Cluster sampling
- Cluster sampling (semi-random)
- Cluster sampling (non-random)
- Quadrat sampling
- 100% sample

Desired sample size (number of households):

Estimated number of days required to conduct household survey:

Estimated number of enumerator teams (team = one male, one female):

## SAPA household survey questionnaire template

Use the script below to introduce yourself, explain why you are doing the survey and what is involved.

“Hello, I am doing a survey on behalf of [insert name of the organisation that is convening the assessment]. I would be grateful if you would answer a few questions about the positive and negative impacts of the [insert PA/CA name] on the wellbeing of your household. The information that you provide will be kept strictly confidential. The interview lasts 30–45 minutes. Do you agree to be interviewed? If so, is this an appropriate time? Do you have any questions about the process before we start?”

### SECTION A: Respondent social profile

#### 1. Respondent

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

#### 2. Geographic location

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

#### 3. Size of household

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

#### 4. Household wellbeing

- 4.1 In the past year how often has your household skipped lunch and/or supper due to food shortage? (tick one)
- Never .....  Some days in every month .....
- Only a few days in the worst months.....  Every day .....
- 4.2 What materials have been used to build the walls of your main house (tick one):
- 4.2.1 Walls [insert 3-4 options]
- a) .....  b).....  c) .....  d) .....
- 4.2.2 Roof [insert 2-4 options]
- a) .....  b).....  c) .....  d) .....

- 4.3 How much influence do you feel that you have on decision-making in your community (tick one)  
 a) High                       b) Medium                       c) Low                       d) None
- 4.4 How secure do you feel from the risk of theft of your property? (tick one)  
 a) Very Secure                       b) Secure                       c) Insecure                       d) Very Insecure
- 4.5 How is the wellbeing of your household in general (“how’s life”)? (tick one)  
 a) Good                       b) Average/Not Bad                       c) Bad                       d) Very bad

**SECTION B: Factors affecting household wellbeing**

**5. Change in general wellbeing**

- 5.1 How has the general wellbeing of your household changed over the last [insert number of years] years? (tick one)  
 a) Improved                       b) No change                       c) Worse
- 5.2 If there was a change, what were the main causes of this change? (List in order of their significance)  
 a).....  
 b) .....  
 c).....

**SECTION C: Specific PA/CA-related social impacts**

Explain that you are now going to ask about specific positive and negative impacts of [insert PA/CA name] that may have affected the wellbeing of their household during the last [insert number of years using the same recall period as in question 5.1] years. Explain that we got this list of impacts from meetings with communities.

For each impact, ask “How important is this negative (or positive) impact to your household?”. Explain that they can answer high, medium, low or zero importance and that their answer should be based on what they have actually experienced over this period. As in the rest of this questionnaire, be sure that you use the agreed words for positive and negative social impacts and wellbeing.

**6. Negative impacts**

- 6.1 Impact Rating (tick one box per line)
  - 6.1.1 [insert negative impact number 1]  
 a) HIGH                       b) MEDIUM                       c) LOW                       d) ZERO
  - 6.1.2 [insert negative impact number 2]  
 a) HIGH                       b) MEDIUM                       c) LOW                       d) ZERO
  - 6.1.3 [insert negative impact number 3]  
 a) HIGH                       b) MEDIUM                       c) LOW                       d) ZERO
  - 6.1.4 [continue as above for all the negative impacts identified as more significant]

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

**7. Positive Impacts**

7.1 Impact Rating (tick one box per line)

7.1.1 [insert positive impact number 1]

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

7.1.2 [insert positive impact number 2]

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

7.1.3 [insert positive impact number 3]

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

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

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

**8. Overall impact on household wellbeing**

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

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

9.2 How has the contribution of [insert PA/CA name] to your household wellbeing changed in the last [insert number of years using the same recall period as in question 5.1] years? (tick one)

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

**SECTION D: Other social impact issues**

**9. Human wildlife conflict**

- 9.1 Have your crops been damaged by wild animals in the last year?
- 9.2 Have your livestock been damaged by wild animals in the last year?
- 9.3 If yes, what animal has been most damaging [insert options for wild animals]? (tick one)  
 .....  .....  .....  Other .....
- 9.4 If yes, how much time does this wild animal spend inside/outside the [insert PA/CA name] when not causing damage to people's crops or livestock? (tick one)  
 All the time inside  All the time outside   
 Most of the time inside  Most of the time outside

**10. Other social impact questions**

- 10.1 [insert a question and a set of 3–5 options for responses]
- 10.2 [insert a question and a set of 3–5 options for responses]
- 10.3 [insert a question and a set of 3–5 options for responses]

**SECTION E: PA/CA governance**

Key: A = agree, N = neutral, D = disagree

**11. Rights**

- 11.1 [insert a statement based on the first rights theme] A  N  D
- 11.2 [insert a statement based on the second rights theme] A  N  D
- 11.3 [insert a statement based on the third rights theme] A  N  D

**12. Participation**

- 12.1 [insert a statement based on the first participation theme] A  N  D
- 12.2 [insert a statement based on the second participation theme] A  N  D
- 12.3 [insert a statement based on the third participation theme] A  N  D

**13. Transparency**

- 13.1 [insert a statement based on the first transparency theme] A  N  D
- 13.2 [insert a statement based on the second transparency theme] A  N  D
- 13.3 [insert a statement based on the third transparency theme] A  N  D

**14. Mitigation of negative impacts**

- 14.1 [insert a statement based on the first mitigation theme] A  N  D
- 14.2 [insert a statement based on the second mitigation theme] A  N  D
- 14.3 [insert a statement based on the third mitigation theme] A  N  D

**15. Benefit sharing**

- 15.1 [insert a statement based on the first benefit sharing theme] A  N  D
- 15.2 [insert a statement based on the second benefit sharing theme] A  N  D
- 15.3 [insert a statement based on the third benefit sharing theme] A  N  D

**SECTION F: Other PA/CA governance issues/questions**

- 16.1. [insert a question and a set of 3–5 options for responses]
- 16.2. [insert a question and a set of 3–5 options for responses]
- 16.3. [insert a question and a set of 3–5 options for responses]

**SECTION G: Other issues**

- 17.1. [insert a question as in 16 or a statement as in 15]

Explain that you have now come to the end of the survey. Thank the respondent for their time.

## Annex 3: Workshop agendas

Suggested PowerPoint presentations for an overview of key concepts and an overview of the SAPA methodology can be found at [www.iied.org/sapa](http://www.iied.org/sapa), along with templates to help you prepare presentations for other sessions.

### Agenda for SAPA facilitation team training (Activity 1.6)

Time	Session description	Notes	
<b>DAY ONE</b>			
1	09:00–09:45	Overview of key concepts and the SAPA methodology	
2	09:45–11:15	Stakeholder analysis	You can do the stakeholder analysis during this session
	11:15–11:30	Break	
3	11:30–13:00	First community meetings	Practice the group exercise with members of the facilitation team acting as community members
	13:00–14:00	Lunch	
4	14:00–15:30	First stakeholder workshop	Practice the group exercise with members of the facilitation team acting as stakeholders
	15:30–15:45	Break	
5	15:45–17:00	Developing the information gathering plan	Practice with the examples of impact and questions generated in the earlier sessions
<b>DAY TWO</b>			
6	09:00–09:15	Recap of Day 1	
7	09:15–11:15	SAPA household survey	
	11:15–11:30	Break	
8	11:30–13:00	Using the Open Data Kit (ODK) Data analysis	You will need two Android smartphones plus internet connection. Set up ODK on your computer and phones in advance
	13:00–14:00	Lunch	
9	14:00–14:45	Second community meetings	A relatively short session as it does not involve practice
10	14:45–15:30	Second stakeholder workshop	A relatively short session as it does not involve practice
	15:30–15:45	Break	
11	15:45–17:00	Reporting, dissemination, action planning	

## Agenda for first stakeholder workshop (Activity 2.2)

	Time	Session description	Notes
1	09:30–09:45	Opening and introductions	
2	09:45–10:10	Overview of the SAPA methodology	
3	10:10–10:30	Overview of PA/CA area community outreach activities	Based on the site profile that you prepared in Activity 1.4. Be sure to go through the presentation with the presenter to ensure s/he will keep to time
	10:30–11:00	Break	
4	11:00–11:30	Feedback on community meetings	
5	11:30–12:30	Understanding actors' interests in SAPA and their information needs (groupwork)	
6	12:30–13:00	Understanding actors' interests in SAPA and their information needs (plenary presentations and discussion)	
7	13:00–13:15	Next steps and closing	

## Agenda for second stakeholder workshop (Activity 4.2)

	Time	Session description	Notes
1	09:30–09:50	Opening and introductions	
2	09:50–10:10	Overview of the SAPA methodology	
3	10:10–11:00	Results from the SAPA household survey and community meetings	
	11:00–11:30	Break	
4	11:30–13:00	Group discussion on participants' reactions and ideas for action	
	13:00–14:00	Lunch	
5	14:00–14:30	Group discussion on participants' reactions and ideas for action continued	
6	14:30–15:30	Plenary presentations of group discussions on participants' reactions and ideas for action	
7	15:30–16:00	Next steps and closing	

## Agenda for optional social impact action plan workshop (Activity 5.2)

	Time	Session description	Notes
1	09:30–09:50	Opening and introductions	
2	09:50–10:10	Overview of the SAPA methodology	
3	10:15–11:00	Presentation and discussion of the assessment results, including ideas for action	
	11:00–11:30	Break	
4	11:30–13:00	Development of prioritisation criteria and identification of priority actions	
	13:00–14:00	Lunch	
5	14:00–15:30	Planning for priority actions	
	15:30–16:00	Break	Facilitators clean up the action plan during break
6	16:00–16:45	Review of the action plan and addition of monitoring activities	
7	16:45–17:00	Next steps and closing	

## Agenda for progress review workshop (Activity 5.4)

	Time	Session description	Notes
1	09:30–09:50	Opening and introductions	
2	09:50–10:10	Overview of the SAPA methodology	
3	10:15–11:00	Presentation and discussion of the assessment results, excluding ideas for action	
	11:00–11:30	Break	
4	11:30–13:00	Progress review in three groups	
	13:00–14:00	Lunch	
5	14:00–14:30	Progress review in three groups wrap up	
6	14:30–16:00	Plenary discussion	
	16:00–16:30	Break	Facilitators clean up the action plan during break
7	16:45–17:00	Next steps and closing	

# Notes

# Acknowledgements

The social assessment methodology described in this manual is the product of ten years' work that began with a workshop in 2008 to discuss the methodologies and methods that might be appropriate for assessing the social impacts of protected areas (PAs). In particular, we would like to thank Kate Schreckenber of the University of Southampton, the author of the main output of this first phase of the process: a review of methodologies that have been or could be used to assess the social impacts of PAs. We would also like to acknowledge the support of the Howard G Buffett Foundation to CARE for developing one the methodologies that has proved particularly relevant to SAPA methodology.

With support from the UK Government's Darwin Initiative, the second phase of the SAPA initiative took the methodology from a collection of ideas to detailed step-by-step guidance, which we piloted with PAs in Kenya, Gabon, Zambia, Uganda and Ethiopia, releasing the first edition of the SAPA manual in 2016. In particular, we would like to thank Nancy Ingutia and Ben Mwangi of Ol Pejeta Conservancy in Kenya, Yves-Eric Moubagou and Paul Loundou of WCS in Gabon, Evelyn Mugume of Kasese District Government in Uganda and Julius Byarubagaruka of the Uganda Wildlife Authority, Teshale Nega of Wildlife for Sustainable Development in Ethiopia, Tadessa Hailu of Population Health and Environment Ethiopia Consortium, Teddius Bulongo, community leader at Mumbwa Game Management Area in Zambia, and Donald Chikumbi, Emelda Hachoofo and Grant Simuchimba of Copperbelt University in Zambia. We would also like to thank David Wilkie of WCS, Neil Burgess of UNEP-WCMC and Helen Anthem and Helen Schneider of FFI for their substantial inputs of advice and guidance as members of the SAPA Technical Advisory Group, and Brian Child, Biodiversity Panel Member of the Scientific and Technical Advisory Panel of the Global Environment Facility, for his interest and guidance in Zambia.

This second edition of the SAPA manual has two important additions: a governance scorecard and a stronger phase on taking action to help increase uptake of the ideas for action and monitor progress. Both draw heavily on learning from the development of SAPA's sister methodology – GAPA – and we would particularly like to thank our GAPA partners, Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) in the Philippines and Bangladesh, Northern Rangelands Trust and Maasai Mara Wildlife Conservancies Association in Kenya, the University of Mbarara in Uganda, and IUCN's Global Protected Areas Programme and Eastern and Southern Africa Regional Office.

This manual provides detailed guidance for using the Social Assessment for Protected and Conserved Areas (SAPA) methodology. SAPA is a relatively simple and low-cost methodology for assessing the positive and negative impacts of a protected or conserved area (PA/CA) and related conservation and development activities on the wellbeing of communities living within and around the PA/CA. It is a multi-stakeholder assessment for use by PA/CA managers, communities and other local level actors to help increase and more equitably share positive social impacts, and reduce negative social impacts. The methodology uses a combination of i) community meetings to identify significant social impacts, ii) a short household survey to explore these impacts and related governance issues in more depth, and iii) community meetings and stakeholder workshops to validate the survey results, explore other key issues, generate ideas for action and review progress. SAPA can be used with PA/CAs of any kind.



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## Toolkit

November 2018

**Biodiversity; Poverty**

*Keywords:*

Protected areas, conservation, social assessment, equity



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