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PARTICIPATORY MANAGEMENT OF PROTECTED AREAS IN THE CARPATHIAN ECOREGION

Part II: Guidelines for stakeholder involvement
in protected area management

Alina Ioniță, Erika Stanciu

PARTICIPATORY MANAGEMENT OF PROTECTED AREAS IN THE CARPATHIAN ECOREGION

Part II: Guidelines for stakeholder involvement in protected area management

1st Edition



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The handbook is addressed mainly to the protected area practitioners working at the local level (staff of protected area Administrations, custodians, etc) but could be equally useful to the decision-makers working in nature conservation field at regional or national level, to students or teachers and to anyone interested in developing participatory processes or exploring the concepts, rationale and tools which are associated with the participatory approach for the management of nature protected areas.

Several other experts have brought their significant contribution to the elaboration of this handbook by providing useful comments and recommendations, revising different draft versions of this assessment: Erika Stanciu, Cristain Papp, Hildegard Meyer.

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List of abbreviations and acronyms

CBD -	Convention on Biological Diversity
CER -	Carpathian Ecoregion
CCPAMETT -	the Carpathian Countries Protected Area Management Effectiveness Tracking Tool
IUCN -	International Union for Conservation of Nature
MP -	Management Plan
NGO -	Non-governmental Organization
NP -	National Park
NPA -	National Park Administration
PA -	Protected Area
PAA -	Protected Area Administrators (includes all forms of management bodies, like for e.g. administrations, custodians, other)
PA-BAT -	Protected Area Benefit Analysis Tool
PA4LP -	Protected Areas for a Living Planet Programme
PoWPA -	Programme of Work on Protected Areas
RAPPAM -	Rapid Assessment and Prioritization of Protected Area Management
WWF-DCP -	World Wide Fund for Nature Danube-Carpathian Programme

Foreword

“Participation, like democracy, has meant many things to many people. The opportunities for participation are there to be grasped but only if all those involved have a common understanding and share a common language.”
(Wilcox D., 1994)

Why focus on the social dimension of PA management?

The term “local communities”, which is very common in the protected area management theory and practice, defines a very heterogeneous cluster of individuals, informal groups, institutions, organizations, etc, usually having in common the geographical area where they are situated and, which is considered as “local” relative to the PA. Each of these individuals, groups and institutions are defined by specific interests, roles, responsibilities and rights. Therefore, protected areas and their neighboring territories, where the “local communities” exist, should be regarded as a “zone of competing and cooperating social and political actors making demand on the available natural resources” (Cline-Cole, 2001 cited by Secretariat of the CBD, 2009, p.29). Hence, a more careful look to the social and economic context of a territory designated as a protected area could allow for a more effective management.

Protected areas are most often “fragmented” by territorial - administrative limits, which assign responsibilities to different decision-makers and separate - often competing and divergent - interests of economically, socially and politically heterogeneous, inconsistent human communities. The establishment of formal protected area boundaries with the aim of protecting/conserving them, can’t simply nullify the already existing economic, historical, cultural, social links which are connecting them with the “local communities”. The management of PAs has to be aware of these aspects and to balance them with the conservation aims. In the same time, the negative impact a new protected area may have on the socio-economic and ecologic system of a “local community”, by altering or annihilating these links has to be carefully considered and mitigated or compensated, so that protected areas don’t become a limiting factor for locals.

Irrespective of the PA category, a significant part of the PA management activities come to respond to the social-economic interactions inside a PA or in its neighborhood, aiming to have biodiversity protection/conservation recognized/accepted as an important pillar of sustainable development. Shaping and permanently reshaping protected area management actions can only be done by knowing and following the dynamic of the socio-economic dimension of a PA. This dimension should be considered by the PA management authorities as seriously

as any other management activity aiming to conserve habitats and species (*e.g. habitat mapping, monitoring of protected species, internal zoning and PA design, etc*), from the earliest phase of “pre-management”, before the protected area is legally established, and throughout the **management cycle**.

Shaping the interactions between local communities and protected areas in support of conservation means, to a considerable extent, *influencing people’s behavior* (*e.g. by adopting a shared vision and conservation goals, by changing their attitude in a supportive and open one, by making them to care and get involved, to change their actions, etc.*). To successfully balance the interests, objectives and attitudes of the diverse social actors, the following should be considered in the protected area management process:

- The diversity of needs, goals (with their associated interests), perceptions, points of view and knowledge directing the actions people take on nature/environment (*e.g. a **peat bog** can mean: natural history treasure for a scientist, recreational space for tourists, barren land for farmers, an industrial resource for miners, an obstacle for developers, an educational area for a biology teacher, a simple task for a forester, a curiosity for general public...etc.*);
- The social interactions (between people, groups) within a community or wider territory influencing activities with impact on the environment.

Right from the early, pre-management planning phase, a preliminary identification of the existing links between the natural and social systems can help in identifying the main interests/stakes and the corresponding stakeholders. This should facilitate the communication with them and should help in anticipating threats to the PA management. Early, open communication is an essential factor for building trust and a supportive attitude of stakeholders. Ensuring the continuity of this approach over time, throughout the management cycle/process, will bring partners, supporters and friends and will support the successful achievement of PA management objectives.

In conclusion, increasing complexity of the socio-economic environment, that needs to be tackled by the PA management, calls for interdisciplinary and multidisciplinary knowledge and the use of a great variety of specific tools. Analysis of social and economic indicators and a territorial analysis should be associated with the use of sociological methods (*e.g. stakeholder analysis, surveys, interviews, focus groups, etc*) for collecting and analyzing “soft data”. These analyses should be integrated into the strategic planning and management process of protected areas.

INTRODUCTION

The PoWPA requirements on participatory management

Specific requirements on stakeholder involvement

The “*limited public participation and stakeholder involvement*”, the “*lack of horizontal cooperation among stakeholders*”, the “*lack of effective partnerships*” and the “*lack of synergies at the national and international levels*” are some of the obstacles to the implementation of the Convention on Biological Diversity (CBD), as identified in its Strategic Plan (2004).

The Programme of Work on Protected Areas (PoWPA) was developed to support the successful achievement of the CBD objectives, by focusing solely on the *in situ* conservation and it was adopted in 2004 by 188 Parties to the Convention.

The PoWPA comprises 4 main elements and 16 goals¹, aiming to improve the establishment, planning, management, assessment, monitoring and governance for PAs, as well as the equitable sharing of benefits and costs.

Programme Element 2 - “**Governance, Participation and Equitable Benefit Sharing**“, which is focused on the issue of participatory governance, includes two goals, one of which is particularly and directly referring to ***stakeholder involvement***:

▪ **Goal 2.2.: To enhance and secure involvement of indigenous people and local communities and relevant stakeholders**

¹Secretariat of the CBD (2004), CBD PoWPA web page: <http://www.cbd.int/protected/pow/learnmore/intro/>

The target of Goal 2.2 is:

“Full and effective participation by 2008, of indigenous and local communities, in full respect of their rights and recognition of their responsibilities, consistent with national law and applicable international obligations, and the participation of relevant stakeholders, in the management of existing, and the establishment and management of new, protected areas”.

In this respect, the Parties and the Executive Secretary suggested the following **activities**:

- The elaboration of *“national reviews of the status, needs and context-specific mechanisms for involving stakeholders (...) in protected areas policy and management (...) at the level of national policy, protected area systems and individual sites”* (activity 2.2.1.);

- The implementation of *“specific plans and initiatives to effectively involve local communities and stakeholders at all levels of protected areas planning, establishment, governance and management”* (activity 2.2.2.);

- *“Identifying and removing barriers preventing adequate participation”* (activity 2.2.2.);

- Promoting *“an enabling environment (legislation, policies, capacities, and resources) for the involvement of (...) local communities and relevant stakeholders in decision making and the development of their capacities and opportunities to establish and manage protected areas”* (activity 2.2.4.);

- Making available to Parties *“case-studies, advice on best practices and other sources of information on stakeholder participation in protected areas”* (activity 2.2.6.);

- Engaging *“local communities and relevant stakeholders in participatory planning and governance”* (activity 2.1.5.).

Connections with other PoWPA objectives

Although having a different focus, the other goals of the PoWPA are also promoting participatory approach as a means to: promote equity and equitable benefit sharing in PAs (Goal 2.1), support the development of PA systems (Goal

1.1), improve PA planning and management effectiveness (Goal 1.4) and to integrate PAs in their broader landscapes and sectors (Goal 1.3).

Thus, as defined by the Goal 2.1, participatory forms of governance are meant to contribute to an equitable sharing of benefits that the PA offer or arise from the management of PAs. Hence, the PoWPA urges for a participatory assessment of such benefits and for the development of governance mechanisms that are facilitating their equal sharing among the local communities, consistent with their rights.

To the purpose of Goal 1.1, the Parties to the Convention propose to “conduct national-level reviews of existing and potential forms of conservation and their suitability for achieving biodiversity conservation goals, including innovative types of governance for protected areas” with “the full and effective participation of indigenous and local communities and relevant stakeholders” (activity 1.1.4). Such forms should be “recognized and promoted through legal, policy, financial, institutional and community mechanisms” (activity 1.1.4).

To the purpose of effective site-based planning, Goal 1.4 proposes: a “science based” and “highly participatory process, involving (...) local communities and relevant stakeholders, (...) in accordance with the ecosystem approach”, with the integration of “relevant ecological and socio-economic data required to develop effective planning processes” (activity 1.4.1).

At the same time, **the Strategic Plan of the Convention on Biological Diversity** acknowledges the “need to mainstream the conservation and sustainable use of biological resources across all sectors of the national economy, the society and the policy-making framework” as “a complex challenge at the heart of the Convention.” One of its strategic goals is creating “a better understanding of the importance of biodiversity and of the Convention” and a “broader engagement across society in implementation.” The main objectives proposed by the Strategic Plan of the CBD to achieve this goal would be:

- The implementation of communication, education, and public awareness strategies and the promotion of public participation in support of the Convention (activity 4.1);

- The effective involvement of local communities in the implementation of CBD at national, regional and international levels (activity 4.3);
- The engagement in partnerships of key actors and stakeholders, including the private sector to implement the Convention and to integrate biodiversity concerns into their relevant sectoral and cross-sectoral plans, programmes and policies (activity 4.4).

The CBD considers the active involvement of stakeholders, their horizontal cooperation and the development of partnerships as a challenging but essential means to achieve an effective designation, management and integration of protected areas in their wider (local, regional and national) territories. It is thus acknowledged that protected areas can no longer contribute to effective conservation of biodiversity without having the social-economic and ecological information integrated in their management plans and without taking into account the needs of local communities, integrated in the site-based planning and management through an active involvement of the relevant stakeholders.

To enhance and secure the full and effective participation of local communities and relevant stakeholders in decision-making concerning the establishment, planning, management and governance of existing and newly declared protected areas / protected area systems, the PoWPA proposes:

- The elaboration of national, regional and local level reviews and case studies aiming to identify the existing limitations and pre-conditions for stakeholder involvement;
- The elaboration and implementation of specific/subsequent plans for stakeholder involvement;
- The development of an appropriate enabling environment for participatory decision-making;
- The elaboration and adoption of best practice and guidelines for stakeholder involvement, and;
- The development of stakeholder capacities to get involved in the management of protected areas.

About the guidelines

”Guidelines for stakeholder involvement in the protected area management” (hereafter referred to as ”Guidelines”) was developed on the basis of a preliminary assessment of the enabling context and current status of stakeholder involvement in the management of PAs in the Carpathian countries². Its content is therefore adapted to the specific context of the Carpathian Ecoregion.

What do the guidelines aim for?

The guidelines are, first of all, designed as a **practical tool**, aiming to support especially PA practitioners in the Carpathian Ecoregion in developing a participatory management, in line with the requirements of the CBD-PoWPA.

The guide can be equally useful to those who are taking the first steps towards the development of a participatory PA management and to those who are willing to improve their management practices towards an enhanced and more effective stakeholder involvement. The methodology of analysis and planning presented in **Section II** is recommended to be used for the (pre)-feasibility check for the establishment of a new PA, for the preliminary evaluation of the PA context during the management planning phase, in the elaboration of project proposals or management plans, in the monitoring phase and in the assessment of management effectiveness. The theoretical information presented in the guide can help practitioners improve their knowledge on the issue of participatory management.

Given the importance of considering and integrating the socio-economic dimension for the management of PAs and the PoWPA requirements underlined in the previous sections, the guidelines aim to:

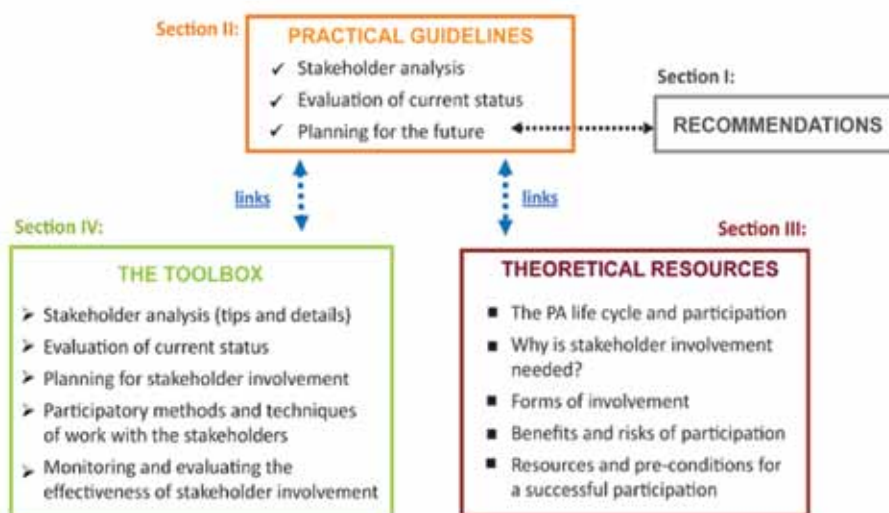
- Clarify the meaning of “full and effective participation”, “highly participatory process”, “active stakeholder involvement”, as referred to in the PoWPA, by synthesizing the basic theory of participatory management presented in Section III;
- Provide guidelines and recommendations for practitioners to “enhance

²*Participatory Management of Protected Areas in the Carpathian Ecoregion – Part I: Rapid Assessment and Recommendations* (Alina Ioniță, Erika Stanciu, 2012), undertaken by WWF-DCP Vienna, in the framework of the Protected Areas For a Living Planet Programme, with the financial support of the MAVA Foundation.

and secure the involvement of local communities and relevant stakeholders” in the management of PAs (see **Section I** and **Section II**);

▪ Provide tools to be used in undertaking PA level/PA network assessments of the status, limitations and pre-conditions for an effective stakeholder involvement (See **Section IV**).

What does the handbook include?



What is included in the guidelines?

Section I: General recommendations for the site-level decision-makers to enhance stakeholder involvement in the management of PAs, as resulting from the Rapid Assessment Study (WWF, 2012).

Section II: Guidelines for planning stakeholder involvement in the management of protected areas

This section presents a simple, easy to use methodology of analysis and planning for stakeholder involvement in the management of PAs and for the actual implementation of participatory management. This section will guide

you in choosing / designing adequate means/activities for a better and more effective involvement of stakeholders, according to their importance, in the PA management process. The methodology is structured in two phases and 4 steps: (1) stakeholder identification, (2) stakeholder analysis and classification, (3) evaluation of current status of stakeholder involvement and (4) development of a stakeholder involvement plan. Additional information on each of these steps is presented in **Section IV**.-

Section III: Theoretical background

This section presents a synthetic review of the theoretical and conceptual background that should help you gain a better understanding of the concept of “participatory management”, in relation with the PA live cycle and with the concept of PA “governance”. You will find here the meaning of some fundamental concepts and learn more about some guiding principles, about the benefits and risks of stakeholder involvement, forms/levels of participation, types of PA governance, role of participation throughout the PA management cycle and about the resources needed to develop a participatory management.

Section IV: Participatory management toolbox

While Section II will guide you in undertaking a simplified but easy to use analysis and planning, by referring to this section you can always add more details to the stakeholder analysis and go more into depth, while gaining a better understanding of the method and of some practical tools. Therefore, in the toolbox you find the same issues as in Section II, but with more details for each of them. The additional tools and guidelines presented in this section can be used to develop a stakeholder involvement plan, in implementing it and in evaluating the effectiveness of participation. You will use this section if you want to improve your knowledge on the method that is briefly presented in the guidelines and on other tools that are useful in your daily management activities.

Information for an easy use

For a better integration of Sections I – IV, the guide includes active links, helping you to navigate and access the information easily, while working with the practical guidelines.



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SECTION I:

**GENERAL RECOMMENDATIONS
FOR THE SITE LEVEL DECISION-MAKERS**

“In a nutshell: ‘participatory management needs participatory roots!’ i.e., some measures of participatory democracy internal to the relevant social actors.”

(Grazia Borrini Feyerabend, 2007)

Effective engagement of different social actors in the management of natural resources, as in any other public sector, is strongly linked to the social and political background of a society. Efforts to develop a participatory approach to the management of protected areas in the Carpathian countries are therefore influenced by some characteristics of the social and political environment, mostly deriving from their historical background, as resulting from the assessment study (Ioniță, Stanciu, 2012):

- **Lack of tradition for public participation and a poor civic culture**, transposed in a low level of awareness at the level of civil society and general public on the importance of getting actively involved in decision-making;
- **Insufficiently developed and weak civil society and its low accountability** (specifically regarding the NGO sector);
- **Low level of public awareness** concerning the role and the importance of PAs **and insufficient political will** to support their effective management;
- **Strong orientation of the society in the direction of immediate economic development and rapid improvement of living standard** as a priority, based sometimes on the irrational exploitation of natural resources, even when these are protected;
- **Relatively high level of political influence on almost all sectors;**
- **Increasing fragmentation and important changes in the land ownership** within PAs;
- **Low level of stakeholder involvement** in the designation of PAs and their management planning;
- **Insufficient human and organizational capacity of PAAs** (insufficient

personnel, lack of specialized knowledge for communication and participatory management);

- **Predominance of government managed PAs**, together with some primary forms of co-management and the existence of multiple stakeholder bodies (in Romania, Ukraine, Slovakia, Serbia, Poland), but which, in most cases, does not ensure a full representativeness of relevant stakeholders and have a rather formal role in practice;

- **Low commitment for achieving the PoWPA requirements concerning stakeholder involvement and PA governance.**

These general characteristics reflect the lack of “participatory roots” and the challenging background conditions for the development of participatory management of protected areas, emphasizing the need to tailor and develop a specific approach to improve the present situation.

In line with the goals and the broader aims of the PoWPA, some recommendations emerged for the national and site level as a result of the assessment (Ioniță, Stanciu, 2012) undertaken in 2010 in the 7 Carpathian Countries regarding the enabling environment for participatory PA management, existing forms of PA governance and the level of stakeholder involvement. The assessment has also identified some issues and barriers for stakeholder involvement in the management of PAs.

Even though, according to the study, the social structures, including the specific legislative and administrative framework for PA management are not providing the appropriate framework and are not fully supportive for participatory management, site administrations can achieve some significant progress in improving their relationship with stakeholders and in fostering their involvement in the PA management. A step by step approach for developing more participatory forms of governance should be based on collecting continuously good quality information, development of knowledge and trust with targeted stakeholders, capacity building and collaboration.

A proper enabling legislative and administrative-institutional environment

is very important for effective and efficient stakeholder involvement. But even if the enabling conditions are not secured, it is still possible to significantly improve stakeholder acceptance for protected areas and active involvement in their management.

The following recommendations aim to support development and improvement of participatory management practices at the site level:

! Improve your human capacity. Choose staff members carefully, making sure that they have a good understanding and the right attitude for their delicate mission and improve their capacity to communicate.

- **Train your staff in** communication and at least one of your staff members in community outreach and public relations/communication. All PAA staff should have some basic knowledge concerning communication with the stakeholders;

- **Convince and motivate your people to communicate effectively;**

Skills and qualities of the PA staff working with stakeholders should be at least: a positive attitude, ability for communication, negotiation, patience, honesty, respect, etc.

More on this issue you will find in Section III – **Resources and prerequisites for stakeholder involvement.**

! Get to know your stakeholders. Undertake stakeholder analysis when planning or starting a new project and permanently monitor your relation with them.

Identify stakeholders and target groups carefully. Try to see which are the relevant stakeholders for each PA management theme and analyze them by considering all relevant criteria for prioritizing future actions and for allocating resources effectively. Strategic planning for stakeholder involvement has to take into account first of all those who are having or might have significant impact / influence on the PA values and on the PA management and those who are directly affected.

More on this issue: Section II - **Step 1** and **Step 2** and Section IV – Participatory management toolbox – Analysis tools – **Stakeholder analysis**.

! Initiate dialogue in an early management stage and develop a permanent, open dialogue with stakeholders.

- If you are already in the management planning phase or in the management implementation phase you might have to allocate special attention to recovering the “handicap” of establishing the PA or planning for its management without public information and consultation. If that’s the case in your PA, try to initiate dialogue and communicate as soon as possible, by **initiating information and awareness campaigns** for the local communities and key stakeholder groups, by being open and transparent, by making your aims and your role known and accepted;

- **Help people understand and accept your mission.** Stakeholders are aware of their interests but not necessarily aware of the role and interests of the management authority, i.e of the importance of the PA and the specific role of the PAA as decision-making body. They should learn of the PAA mission and activities and should be able to understand the extent to which their own interests are compatible with objectives of the PA management. The main role of information is that of improving knowledge, understanding and raising awareness among key stakeholders;

- **Communicate permanently** through periodical newsletters, information on what the PAA is doing (not only things that have been accomplished but also concerns, ideas, initiatives, organized and up-coming events, celebrations, etc.). Make your activity as transparent as possible, as **transparence is essential to build trust** for a sustainable, longterm partnership with your stakeholders;

- **Develop communication and stakeholder involvement systematically.** Just as for any other management objective, stakeholder involvement has to be developed through a systematic approach, starting with the identification and prioritization of PA stakeholders, learning and understanding their needs and interests, designing effective means for their involvement,

monitoring and evaluating results and adjusting your measures.

Therefore it is recommended to:

- *Identify and analyze stakeholders;*

- *Assign roles and responsibilities* in the management process for each stakeholder, in a participatory way, by negotiating and agreeing on their means and types of involvement. Make it clear when results of some actions depend on stakeholders' pro-active attitude and involvement, in order to avoid their unrealistic expectations or confusions;

- *Develop a clear strategy* for what type of information should be communicated to the different stakeholders, on the means and periodicity of communication and agree on that together with them;

Use the results of stakeholder analysis to design your strategy for communication and stakeholder involvement;

- *Choose the most effective ways of communication*, according to the purpose, to the target group, to the context (e.g. public meetings give you the opportunity to have feed-back but are more costly and time consuming and, if not organized and moderated properly, these might generate conflicts, confusion, disinterest or apathy);
- *Define your message very carefully; make it clear and meaningful* (for meetings, information materials, etc). The message and means of communication used have an essential role in making you convincing. Emphasize the need for feedback and dialogue;
- **Evaluate** the costs and benefits of stakeholder involvement and **monitor** their evolution over time.

- *Allocate financial resources for stakeholder involvement activities* (e.g. for information);

- *Establish, together with your stakeholders, the best available means for communication, the situations when the information should be made publicly available;*

- *Try to get feed-back from stakeholders, especially during meetings, through proper facilitation process. Make your communication a dialogue not just simple one-way information transfer;*

- *Evaluate the effectiveness of stakeholder involvement permanently.*

Note:

! In these guidelines you will find more detailed information on how to undertake each of these steps.

! Participatory approach should be used for identifying the specific values of your PA, even if there is a list of values established in the designation process.

! Use a participatory process for identifying threats to the PA and its management and the stakeholders associated to these threats. Try to understand their motivation and interests.

! Enhance the involvement of and improve communication with the consultative/ scientific/technical boards/councils/committees and make them work to your favor.

Use them to get relevant information and knowledge and to communicate your aim and mission to the general public. Consultative boards or similar structures, where stakeholders are represented, can be transformed, on the basis of non-formal agreements, in *permanent working groups*, specialized in different fields of management (e.g. the management of ecosystems and natural resources, tourism, environmental education, etc). The initiative for establishing such groups doesn't necessarily need a legislative background; these could be designed in a flexible manner, according to the needs and context of each PA. The establishment of such groups could also give the stakeholders involved a sense of responsibility and active contribution.

When choosing the members of such boards, take into account the principle of *inclusiveness*, so that each interest is given a voice.

! Evaluate periodically the impact of your participatory processes and design measures to increase their effectiveness (try to check by means like e.g. surveys, the effects of your actions: the level of information and awareness, the lasting and effectiveness of some partnerships you have facilitated, etc). This will help in designing more effective and efficient approaches, in line with the specific context of your PA and adapting your communication strategies accordingly.

More on this issue: in Section II – **Step 3** and in Section IV – **D. Monitoring and evaluating the effectiveness of stakeholder involvement.**

! Be flexible and get prepared to adapt your stakeholder involvement plan according to the context.



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Training course on *Forest Certification* - Working in groups

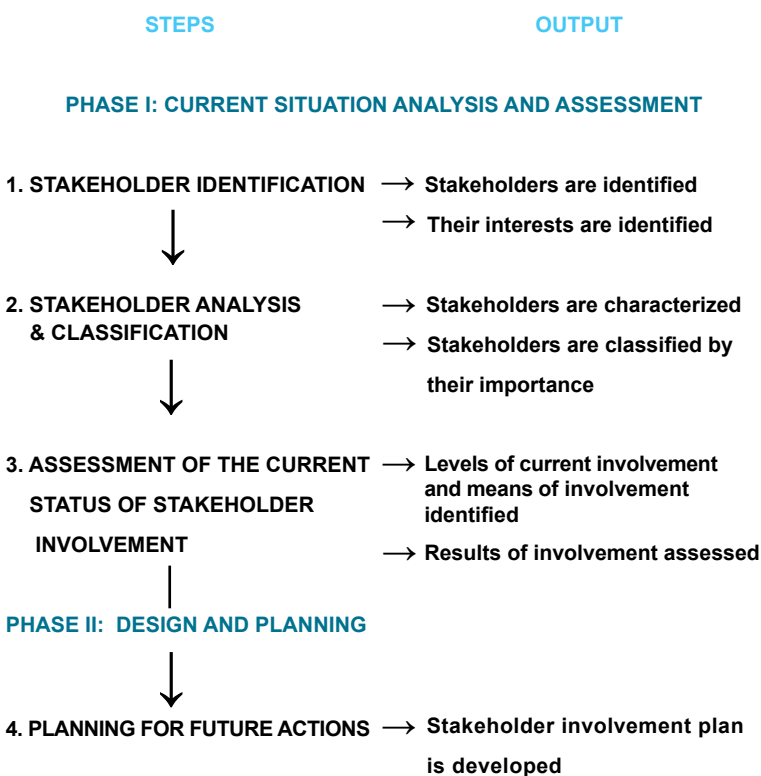
SECTION II:

**GUIDELINES FOR PLANNING STAKEHOLDER INVOLVEMENT
IN THE MANAGEMENT OF PROTECTED AREAS**

Content and how to use the Guidelines

The Guidelines present a methodology for planning effective stakeholder participation in the management of PAs, structured in **2 phases** (analysis and planning) and **4 steps** (Fig. 1).

Fig. 1 – Steps in the planning of stakeholder involvement in the management of a PA



For each step the guidelines presents:

- The aim (**What for?**);

- The reasoning/rationale and usefulness (**Why?**);
- Stakeholders to be involved (**Who?**);
- Responsible group for performing the activity and stakeholders/experts to be involved (**Who?**);
- The recommended moment in the management cycle when the step should be taken (**When?**);
- Methods to use and actions to implement (**How?**);
- Resources and prerequisites necessary to achieve each step (**What with?**).

Notes:

! Certain key terms and concepts used in the guidelines are presented in a very simple way, to help PA managers to better understand and adopt them. For most of these terms there are thorough studies and comprehensive publications which are providing additional information, if necessary.

! For each step, additional information is available in **Section IV**. The methodology is presented in a more structured manner, including additional steps and criteria, in **Annex I**.

PHASE I: ANALYSIS AND ASSESSMENT OF THE CURRENT SITUATION

Step 1: Preliminary context analysis. Stakeholder identification

What for?

This step is necessary to identify all the relevant actors (i.e. individuals, groups of individuals, institutions or other legal bodies) that are interacting with your PA and/or with the PAA, and which can influence directly or indirectly its management, by **starting from the PA context**. The aim is to identify **key stakeholders**, whose involvement should be a priority, by considering the specific context of your PA.

Why?

In order to achieve your management objectives with the best use of time and resources, your approach need to be targeted/focused on the most relevant audience. “There are many kinds of “publics” and the important thing is to identify who they are in your particular situation” (Thorsell, 1995, cited by Thomas L. and Middleton J., 2003). Therefore, it is critical to have a correct and comprehensive identification of your public and target groups. Considering the specific context of your PA will prevent you from being general, will help you focus the analysis and to be more specific.

Note:

! More information on why, when, what for and how to use stakeholder analysis is available in **Section IV – Preliminary analysis tools**.

Who?

- The PA staff / custodian. It is recommended to involve the whole team;
- Optional but recommended: to engage specialized consultants /experts, especially when you are performing this analysis for the first time, without having experience in using this tool, or when the context of your PA is highly complex.

When?

- In the Pre-Management Phase, when **the feasibility study** for the PA establishment is done. If stakeholders are not identified in this phase, this should become top priority, especially in the management planning phase, when the management plan for the PA is elaborated;
- Throughout the whole management cycle, when a project or subsequent plan is prepared (e.g. regional development plan, communication plan, tourism development strategy, etc).

! OBSERVATIONS:

1. Stakeholder identification has to be periodically updated!

A complete / comprehensive list of stakeholders can be compiled over time, while you get a better knowledge of your PA's social, economic, cultural, etc context. Even when you think that the stakeholder analysis is complete, don't forget that some stakeholders might change their status or become completely irrelevant, while, due to administrative, economic, social, etc changes, others "get on the stage". Relationships between different stakeholders are also subject to change. Given the dynamic nature of the social issues that you have to manage, a periodical review and update to this analysis is necessary.

2. Stakeholder analysis has to be adapted!

When performing this analysis for a specific project or plan, stakeholders have to be identified in relation with the specific topic/core issue of that project of plan, i.e. only relevant stakeholders should be considered.

How?

A multitude of aspects defining your PA context can and should be considered for a comprehensive identification of stakeholders and for making the analysis more focused and specific. You should refer at least to some essential ones, like the PA **values**, **threats** and **specific management restrictions**³, as these will lead you to the **key stakeholders**.

The following categories of actors/ stakeholder are considered as particularly relevant: (1) the ones having *responsibilities* (e.g. legal mandates), legal or customary *rights*, personal or public *interests* concerning the PA values, (2) those who can have

³ First two criteria are also recommended by Hockings *et al.* (2006) in the assessment of overall management effectiveness and are integrated in the CPAMETT tool. The Carpathian Protected Area Management Effectiveness Tracking Tool (CPAMETT) has been developed within the 2012 Protected Areas for a Living Planet Programme, initiated by WWF to promote and support the implementation of the CBD PoWPA. The assessment of management effectiveness of protected areas, using the CPAMETT, is performed using the WCPA (World Commission on Protected Areas) Framework. <http://cpamett.natura2000.ro/>.

a positive or negative *influence* on these values or on their management and (3) those who *are affected/impacted*, either negatively or positively by their management.

! For a more detailed approach to identifying stakeholders starting from the PA context please consult **Annex II**.

Steps to be followed (tables are provided at the end of this section):

1. List the values and threats for your PA and aggregate them in Table I.1.1.

Guiding question: *Which are the specific values and threats in your PA?*

! If you do not have yet a clear list of values, identify the **very specific** values for your PA (natural, cultural, aesthetic, etc.), with a special focus on **those that were the main reason for establishing your PA**.

! Do the same for the list of **threats to the PA values**⁴.

Notes:

! **It is essential to define very specific values and threats for the PA!** You have to start with a list of values that were at the basis of designating the PA and add the ones that were also identified through the management planning process. If you did not identify yet your specific values, you will have to do this exercise before starting the stakeholder analysis. Values have to be defined **as specific as possible**, not by using generic terms like e.g. *rare species, forests, landscapes* etc. but naming them precisely (e.g. subalpine meadows, the scientific reserve "Molidiş cu *Pinus cembra*", etc) the patches of Swiss pine with spruce, etc). You have to consider values that define and individualize your PA and/or are unique or rare in the region/country.

! The same rationale should underpin the identification of threats. Only threats to the PA values already identified should be listed and, whenever it is possible, the level of their potential impact and their place of occurrence should be mentioned. Do not forget to estimate **potential future threats**. A list of possible threats to PAs is presented in Annex II.

2. Identify stakeholders who are linked to/ interested in each of the values

Guiding question: *Which are the ones who are linked (by e.g. rights,*

⁴The CCPAMETT presents the main threats and threat levels for all those PAs that have used the tool to assess their management effectiveness by now. You can have an overview on the results of the threat analysis undertaken by several Carpathian PAs by accessing: <http://cpamett.natura2000.ro/>.

interests, responsibilities, etc) to the specific values of your protected area?

*To identify the relations/links between different actors and the PA values, take into consideration the following criteria: (1) land ownership / land use or customary **rights**, (2) management **responsibilities** and (3) direct and indirect (e.g. economic, cultural, recreational, etc) **interest**.*

! Use **Table I.1.1.** to generate the list.

3. Identify stakeholders who are threatening/ might threaten these values in the near future

Guiding question: *Which stakeholders are generating or might potentially generate, by their activity or interest, the threats identified to your protected area values?*

! Use **Table I.1.1.** to generate the list.

Notes:

! A definition of threats can be found in the **Glossary**.

! A classification of PA values threats to protected areas is available in **Annex II**.

4. Identify the actors responsible for managing land and natural resources within your PA

Guiding question: *Who has the legal responsibility for the management of natural resources within the protected area and for other activities within the protected area?*

Some of the stakeholders who are responsible for the management of some of the PA values were already identified at point **2**. If we focus only on those who are managing the values of your PA, key stakeholders will be identified, but other primary stakeholders might be omitted. Therefore, you have to complete the list of all those responsible with the management of land/natural resources within your PA and with these managing different activities.

! Use **Table I.1.2.** to generate the list.

5. Develop the final list of stakeholders by compiling the results of the previous steps in Table I.1.3.

6. Identify those affected by the PA management restrictions

Guiding question: *Which of the stakeholders identified are affected by the PA restrictions/regime?*

From the list of stakeholders that emerged from the previous steps (Table I.1.3), identify those **who** would be affected by restrictions deriving from the PA status and/or management measures. You can start with those whose areas of interests are located in the core zones and in other zones with land use restrictions.

The PA regime (including specific restrictions imposed by the national legislation, the Management plan and by other regulations for profit and non-profit activities) that might affect those who have interests in the PA values has to be clarified and its impact needs to be assessed /estimated.

7. Quantify/estimate the impact of PA restrictions on the interests of the affected ones

Guiding question: *How severe is the impact of PA regime/restrictions on each stakeholder's interests?*

For each of the stakeholders identified at point 6 try to assess the impact of PA restrictions on their interest. Giving a quantitative measure to your analysis can be very useful in classifying stakeholders according to the degree they are affected by the PA management. You can do that by assigning a "score" or number, as suggested in the last column in Table I.1.3: (1) = low impact, (2) = medium impact, (3) = high impact.

! OBSERVATION:

Undertaking steps nr. 6 and 7 is more difficult or sometimes impossible if the internal zoning or the management regime is not yet clearly defined.

For points 1, 2 and 3 use the following table:

Table II.I.1.-1 – Stakeholder identification by the protected area values and threats

Stakeholders associated with/ interested in the PA values	Specific PA values (natural, cultural, recreational)	Threats to the PA values	Stakeholders whose activities and interests threaten / have the potential to threaten the PA values

For point 4 use the following table:

Table II.1.2 – Stakeholder identification by their responsibility for managing resources within the PA

Fields of activity	Actors responsible for management
Forest management/forestry	
Non Timber Forest Products (if different from forestry)	
Agriculture	
Meadows (pastures, hay meadows)	
Water resource management	
Mineral resources	
Fishing and aquaculture	
Hunting	
Cultural and archeological sites	
Roads and infrastructure	
Tourism	
Other fields	

For points 5, 6 and 7 use the following table:

Table II.1.1.-3 – Stakeholder identification. The final list of stakeholders

Stakeholders (the ones previously identified)	Related with PA values (check the box if the case)	Related with threats to the PA values (check the box if the case)	Impact of PA restrictions on stakeholders interests 1 = low impact 2 = medium impacted 3 = high impact
! Note: In the first column you will list the stakeholders that were identified in steps 2, 3 and 4.			

What with?

- The list of values and threats for your PA will be the starting point in identifying your stakeholders. If such lists don't exist yet, you have to develop them first. **Annex II** can guide you in identifying the values and threats **specific to your PA**;

- If you decide to identify the stakeholders in a participatory manner or by the aid of an expert, than you have to take into account the time and resources (i.e. human, material) that are needed.

Stakeholder analysis should be correlated with a **threat assessment** and the plans/strategies to overcome the threats should be correlated with the plan of stakeholder involvement. One of the aims of this plan should be that of reducing conflicts and pressures.

Step 2: Stakeholder analysis and classification

What for?

This step is necessary to:

- **Evaluate** stakeholders' relation with the PA and its management;
- **Classify** stakeholders by their importance for the PA management and **identify the most important ones.**

Why?

In order to be effective in balancing the interests of various external stakeholders in relation with you management objectives, you need to know your “public”, your stakeholders’ interests. Stakeholders are independent and often complex institutions, organizations, persons, etc, whose interests and motivations can directly or indirectly, positively or negatively affect the management of your PA. Their attitude and behavior can’t be easily controlled, steered or manipulated in a desired direction, no matter how well justified our purpose may seem. For the effective conservation of those values for which the PA was designated, certain attitudes and actions of stakeholders may be supportive, while others can be hindering or threatening.

The purpose of stakeholder analysis is to understand the stakeholders in order to be able to evaluate their possible impact on the PA and its management, to avoid, mitigate or solve conflicts, to identify your possible partners and to plan strategically for their involvement.

When?

- In the Pre-Management Phase, when the pre-feasibility study for the PA establishment is done. If stakeholders are not identified in this phase, this should become top priority, especially in the management planning phase, when the management plan for the PA is developed;
- Throughout the whole management cycle, when a project or subsequent plan is prepared (e.g. regional development plan, communication plan, tourism development strategy, etc).

! OBSERVATION:

Participatory management can't be effectively planned by using outdated information. Stakeholder analysis can be a very powerful tool for the effective management of PAs only when it reflects the current situation, therefore it has to be periodically revised and adapted to the specific purpose (e.g. project, PA management or subsequent plan) for which it is undertaken.

Who?

- The PA staff / custodian. It is recommended to involve the whole team.
- Optional but recommended;
 - The engagement of specialized consultants/experts is recommended and can be useful, especially when you are performing this analysis for the first time, without having experience in using this tool, or when the context of your PA is highly complex;
 - Depending on the phase of the **PA life cycle** (e.g. management planning, implementation) and on the purpose of your stakeholder analysis, certain stakeholders can be involved. Throughout the management process, you may interact with a limited number/range of stakeholders; therefore, your possibility to know their motivations, attitudes, interests, etc and to evaluate them in relation with the PA management objectives and planned interventions is often limited. It is generally recommended to carry out this analysis in a participatory way, by involving the most relevant stakeholders and opinion leaders. If it is difficult to involve stakeholders in this stage, after undertaking a rough stakeholder analysis

based solely on the knowledge/opinions of your team, interviews or debates/focus groups should be organized to make sure that your point of view on stakeholders' interests is correct and complete. This aspect is very important since you will plan your future actions based on the results of this analysis.

How?

Stakeholders can be characterized by a multitude of attributes/characteristics, each of these having certain relevance in relation to your management objectives or goals.

To the purpose of this analysis, the following **aspects** are considered as particularly relevant:

- **Attitude** towards the PA, the PAA and its management;
- **Power/capacity** to influence the PA management either positively or negatively;
- The **official role/responsibility** concerning the values that they are in relation with;
- The **area covered by their interest or mandate** (the area of their possible influence), expressed as percentage of either the total PA or its core area / the area with most important values (representing the spatial dimension of their interest or role).

By considering these aspects, the relative **importance** of each stakeholder for the achievement of different management objectives can be evaluated and *used to further classify stakeholders by their importance.*

Note:

! **Section IV- A. Preliminary analysis tools** provides additional criteria to be considered when performing a comprehensive stakeholder analysis. However, to a certain degree, stakeholders' attributes that matter to you, are relative to your specific objectives (e.g. their capacity and resources may be relevant if you are willing to develop partnerships for the implementation of a certain management activity, but it will be less relevant if you are planning for an awareness raising campaign).

Working steps:

Note:

! Use the list of stakeholders identified in the previous step.

1. Assess / estimate stakeholder attitude towards the PA, its management regime and the PA Administration (use Table I.2.1). It can be easier to assign values or use qualificatives describing different attitudes and to use symbols: e.g. (+) positive, (-) reluctant/negative, (O) neutral, (?) unknown;

Guiding question: *What attitude has each stakeholder towards the PA management?*

2. Evaluate/estimate stakeholders' (current or future) capacity to influence the overall PA management and the management decisions (use Table I.2.1);

Guiding questions:

- *In what way (positive or negative) can stakeholders influence the most important management decisions and the overall management?*
- *How strong can their influence be?*

To describe stakeholders' capacity/power to influence the management you can assign values as suggested below:

(+++) *for a high (possible) support, (++) for a medium (possible) support, (+) low (possible) support;*

(---) *for a high (possible) hindrance, (--) for a medium (possible) hindrance, (-) for a low (possible) hindrance;*

(o) *if there is not the case either for their support or for their hindrance;*

(?) *if their power to influence the management is not known.*

Note:

! Stakeholders' capacity/power to influence you can reside not only from their mandate or rights, but also from the political/public support they benefit of.

3. Describe stakeholders' official role/legal responsibility concerning the PA values and the management of land/resources within the PA and try to estimate their *relative area of responsibility and/or activity/influence*;

Guiding questions:

▪ *Which is stakeholder's role/mandate/legal responsibility regarding various features in the PA (e.g. the management of nature resources or land, control, territorial development, management of infrastructure, etc)?*

Note:

! In the first step the stakeholders were identified in relation with the management of natural resources/land in the PA. At this point you will describe their mandate/role in relation with your conservation objectives.

▪ *How large is the area where the stakeholder develops and/or influences activities? (area of responsibility/interest – presented in percentage from the total surface of the PA);*

▪ *Is the area of this stakeholder's responsibility in the core zone? What percentage of the total core zone is in his area of responsibility?*

! The information should be included into **Table I.2.1.**

4. Assess the importance each stakeholder for the success of the PA management / of a certain management objective (use **Table I.2.2);**

Guiding question: *How important is the stakeholder for the successful achievement of a certain management objective/for the success of the overall management?*

Note:

! The **importance** of stakeholders in this case will be assessed based on their direct or indirect role in the management of your PA and the total area where they have activities/influence. A special importance will be given to those who have responsibilities in the core zone (or equivalent), where you have the highest degree of restrictions and the most important values. Based on this rationale, stakeholders' importance will be higher if they are responsible for the appropriate management of a bigger area and/or if this area is situated within the core zone. A high importance will be also given to those stakeholders who can have a strong influence (either positive or negative) on the management decisions or the overall management. You can add other considerations as well to prioritize your stakeholders.

5. Classify/Group stakeholders by their importance (high, medium or low). You can do this either by creating a separate list, by arranging them in **Table I.2.2** or by applying a simple filter if you are working in Microsoft Excel.

Notes:

! More information on *stakeholders'* importance is available in **Section IV** – Stakeholder analysis – Step 3.

! The **Rainbow diagram** can be useful to classify stakeholders by their power to influence you and by the degree they can be affected by your PA. More details on this tool are available in **Section IV**.

! OBSERVATION:

In order to develop an efficient participatory management, it is recommended to periodically revise these steps.

For points number **1** and **2** use the following table:

Table I.2.1 – Stakeholder analysis. Stakeholder attitude and power

Stakeholders (the complete list of stakeholders identified in Step 1)	Attitude towards the PA (+ acceptance / - reluctant 0 neutral/? unknown)	Possibility to influence management decisions important for the PA: (+++ highly support / ++medium support / + low support) (---high hindrance / -- medium hindrance / - low hindrance) (0 neutral), (? unknown)

For points number **3,4** and **5** use the following table:

Table I.2.2 – Stakeholder analysis. Stakeholders' role and importance in/for the PA management

Stakeholders (the complete list of stakeholders identified in Step 1)	Official role	Responsibility/ interest area		Importance for the PA management [High/medium/low]	Explanatory notes (e.g. why a certain stakeholder was classified as more important than others)
		% of core zone	% of the total area		

What with?

Data and information to be revised and integrated:

- Qualitative information on each stakeholder's responsibilities and rights, on their power and capacity to influence. Regulations referring to the roles and responsibilities of stakeholders have to be thoroughly analyzed;
- Qualitative information on their attitude towards the PA (e.g. surveys, interviews, meeting reports) if available;
- Quantitative information on the area of each stakeholder's activity and responsibility and on the total area covered by the PA core zone (or equivalent high protection zone);
- It is strongly recommended that you carry out surveys to assess stakeholders' attitudes towards the PA. Even though it is more costly, it is best to do it using external evaluators. The capacity of a stakeholder to influence the PA or a certain issue relevant for your management can be misjudged by you. Therefore, it might be useful to ask other stakeholders' opinion, with the help of e.g. focus groups, questionnaires, etc;
- If you decide to identify the stakeholders in a participatory manner or with the support of an expert, or if you are planning to organize surveys, than you have to consider/plan for the time and resources (i.e. human, financial, logistics) that are needed.

Note:

! By assigning the influence and importance assigning numerical values (e.g.0,1,2,3) you can develop a matrix which helps in classifying stakeholders according to these two variables. More information on how to use this tools is available in **Section IV – Analysis tools – Stakeholder analysis - Step 3.**

Step 3: Assessing the current status of stakeholder involvement

Note:

! Follow this step only if you are in a more advance management phase (e.g. planning, implementation, etc). Skip this step if you are in a pre-management phase or in an initial stage when it was not yet the case for prior stakeholder involvement.

What for?

To evaluate the current status of stakeholder involvement in the PA management by identifying the stakeholders involved and their forms of involvement.

Why?

Whether you are in a management planning or implementation phase, in most of the cases you have already developed some forms of participation (e.g. information, consultation, etc), engaging at least some of your stakeholders, even though you didn't have a systematic approach. When you start developing participatory management you should know where you stand, by tracking your previous actions and your achievements/barriers.

When?

- Whenever needed in the management and implementation phase;
- When a communication and stakeholder involvement plan/strategy is developed or revised.

Who?

- The PA staff /custodian. It is recommended to involve the whole team;
- The involvement of specialized consultants / individual experts is optional but recommended and can be useful, especially when you are undertaking the analysis for the first time, without having experience in using this tool, or when the situation of your PA is highly complex.

How?

1. Preparatory phase: analyze the main events in the history of the PA (the PA management cycle) and the main stakeholders involved, the information campaigns/actions, the consultations, the partnerships of the PAA addressing/involving different stakeholders.

If you are already in the management implementation phase you should look back in the history of your management and analyze the main events, (e.g. major changes, problems, discussions, legislative or administrative changes, etc.), identifying those in which various stakeholders played a role or were involved. For

each of these “events” you should identify: the stakeholders or stakeholder groups involved and their forms of involvement/the role they played.

Note:

! To make the assessment clear and useful, it is necessary, first of all to reach to a consensus regarding the **forms of stakeholder involvement** to be considered in the evaluation. There are many typologies of involvement. In these Guidelines, the most common ones are presented (**Section III**). Thus, it is recommended that, using existing guidelines and papers, and your own perspective, you agree on the appropriate levels of analysis.

2. Assess the forms of involvement for each stakeholder/group (use Table I.3.1). By undertaking this step you will know how each of the stakeholder categories was involved so far and you will identify those who received more of your attention and those marginalized. You can also reflect on the outputs, the outcomes and the usefulness of their involvement, and see which of your methods were more effective. This will help you in the next step, when developing the stakeholder involvement plan, when you will chose means for their future involvement.

Guiding questions:

- *In what way was each of the stakeholders involved so far?*
- *How useful and efficient was their involvement for the PA management?*

3. See how participatory your management is - optional step
Assess how far your management has gone in terms of stakeholder involvement by now. Using the results of step nr. 2 you can make an inventory of the forms of stakeholder involvement throughout the PA management cycle and check which are the most commonly used and which ones are missing (use Table I.3.2.). By performing this analysis you can better understand how far from a participatory form of governance you are and how active is the role of stakeholders in your PA management.

Table 1.3.1. – Stakeholder degree of involvement in the PA management

Stakeholders by their importance	LEVEL OF INVOLVEMENT (check the box below where the case)								
	Informed		Offered information/ engaged resources	Consulted	Involved in problem analysis	Partner	Delegated authority/ responsibility for a management field	Member in a permanent	
	Punctually	Periodically						consultative body	decision making body*
Stakeholders of high importance (key stakeholders)									
Stakeholders of medium importance (primary stakeholders)									
Stakeholders of low importance (secondary stakeholders)									
* refer to authorities that are involved in the decision-making for the PA management									

For point number 3 use the table below:

Table I.3.2. – Overall level of stakeholder involvement in the PA management

Levels of stakeholder involvement (as identified in the previous step)	Frequent/ very frequent	Rare	Absent	Observations/ comments
Punctual information				
Periodical information				
Offered information for the management/engaged his own resources				
Consultation				
Involved in problem analysis				
Partnership/Collaboration				
Delegation				

What with?

To perform this analysis you need:

- Information and data on your previous/current projects and the actors involved in the different activities (the actors, their roles and interventions);
- Information on the awareness/information/education campaigns, target groups and stakeholders involved;
- Reports from meetings (tables of presence, minutes);
- If you also consider assessing the effectiveness of participation, information on stakeholders' changes in attitude, behavior, perception will be needed.

Note:

! To plan for an effective stakeholder involvement, it would be important to know, in addition, **how effective the involvement of each of your stakeholders was** and if your efforts were worth. If you didn't use a system for monitoring and evaluating the effectiveness of participation, you can do it by using the guiding criteria presented in **Section IV – Tools for monitoring and evaluating the effectiveness of stakeholder involvement**.

PHASE II: PLANNING FOR STAKEHOLDER INVOLVEMENT

Step 4: Development of stakeholder involvement and communication plan

What for?

To establish the approach, actions and means to involve stakeholders and to identify resources needed for stakeholder involvement in the management process.

Why?

Although your relationship with stakeholders might seem clear to you, given the complexity and the dynamic of the social context, a strategic and systematic planning is essential for the effectiveness of stakeholder involvement throughout the **PA management cycle**. The communication and stakeholder involvement plan should ideally be included in the management plan, a permanent monitoring and periodical revision being equally important.

When?

In the **pre-management phase**, it is likely that information on stakeholders is insufficient for a systematic planning but it could allow for the design of participation, in relation with the PA context and for the identification of key stakeholders, which are sufficient for a preliminary planning. A detailed planning is very important in the management planning phase, when all the stakeholders should already be identified. If such a plan was not developed before, it is very important to develop it as soon as possible during the management implementation phase.

Who?

- The PA staff /custodian. It is strongly recommended to involve the whole team;
- The involvement of specialized consultants and/ or key individual experts is optional but strongly recommended in this phase, especially when

you are developing such a plan for the first time, or when the situation of your PA is highly complex;

- In order to develop a realistic plan and to ensure its sustainability and feasibility, it is highly recommended that you involve stakeholders (especially those listed as most important) in this step. Given the fact that the implementation of such a plan can't be successful without their consent, stakeholder involvement is very important in this phase. They can be involved either in formulating the objectives, measures and actions, or, after the plan was drafted, in its consultation and negotiation.

How?

By undertaking the steps described in **Phase I** you will know who the stakeholders are, their connections with the PA values, threats and restriction, their role and power to influence the management and which are the most important actors for the effective management of your PA. Reflecting on your previous interactions with them will be useful in identifying the types of involvement that were successful and in choosing the most effective means for their future involvement. Risks, potential conflicts, tensions and opportunities can be identified by having a good knowledge/understanding of their attitudes.

Before you start with the planning you have to decide on:

- *When?* - in what phases and fields of activity are communication and stakeholder involvement needed (e.g. for identifying and evaluating values and threats, for formulating the management actions, for the validation, approval or implementation of actions / measures that you have already planned, etc);

- *In what?* - the field of activity and issues in which the involvement of various stakeholders is needed, considering also the legislative requirements (e.g. Aarhus, SEA, etc).

! For some recommendations on these issues you can consult **Section III – the PA life cycle**.

Notes:

! Before starting with the planning, it can be useful to resume the **principles, benefits and risks of stakeholder involvement**, which are available in **Section III**.

! More information on the design of communication and participation in accordance with the PA management cycle is available in **Section III – The PA management cycle and stakeholder involvement** and in **Section IV – B. Planning tools**.

Work steps:

Note:

! For this step you can use Table I.4.1. This structure is only a suggestion. Additional columns can be added to include observations, comments or other relevant information.

1. List your stakeholders by their importance (as classified before, in **Phase I - Step 2).**

2. Describe their current status (role/mandate and current level of involvement), as resulting from your previous analysis (Phase I – Step 2 – Table I.2.2. and Step 3 – Table I.3.1.**).**

Guiding questions:

- *Why is the stakeholder important for the PA management?*
- *Why should it be involved?*
- *Which role can it play in the management of your PA?*

3. Set the scope, objectives, targets and planned outcomes for each stakeholder, as relevant for the management objectives, and in accordance with their role and importance.

Guiding questions:

- *What is the purpose for the involvement of each stakeholder?*
- *What is expected to be achieved by their involvement?*

Note:

! Be careful that your objectives are **SMART**: i.e. **S**pecific, **M**easurable, **A**ttainable, **R**elevant and **T**ime-bound.

4. Define the milestones for determining the success.

Guiding question: *When do we know that we succeeded? How do we quantify success?*

5. Establish the optimal form/level of involvement.

Guiding question: *Which is the appropriate (most effective) form for their involvement?*

6. Establish the means for their involvement and the actions you have to take to reach the desired status.

Guiding question: *By which actions and means can I reach to the desired status/to achieve the desired outcomes?*

7. Evaluate the resources needed for the planned actions (e.g. budget, staff/experts/volunteers, time, etc). You can also add a temporal dimension and a plan for the monitoring and evaluation.

Guiding question: *What resources and how much time are needed for the implementation of the proposed actions? Who, how and when are the actions and their effect monitored?*

8. Evaluate the risks for the implementation of your plan.

Guiding question: *Which are the obstacles and the risks for the plan implementation?*

If risks are identified, it is recommended to have a contingency plan to overcome or mitigate the risks.

Table II.1.7 – The stakeholder involvement plan

Stakeholders by their importance	Current role, importance and level of involvement	Expected results	Milestones for successful involvement	Desired status/ output level of involvement	Appropriate level of involvement	Actions to be take	Period of time	Resources needed (including human resource)	Barriers and risks
Stakeholders of high importance (key stakeholders)									
Stakeholders of medium importance (primary stakeholders)									
Stakeholders of low importance (secondary stakeholders)									

Notes:

- ! To be able to implement the plan successfully it is also necessary to:
 - Assess you own organizational capacity, including knowledge, budget, staff, logistics, technical equipment, etc.
 - Establish clear internal rules concerning the communication with stakeholders and to delegate responsibilities to your staff for the implementation of the plan.

What with?

The plan will be based on the results of the previous stakeholder analysis and the assessment of stakeholder involvement (Steps 1, 2 and 3 of Phase I).



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SECTION III:
THEORETICAL BACKGROUND

Glossary

Assessment = the measurement or estimation of an aspect of management (Hockings M., Stolton S., Dudley N., 2000, p: xiii)

Collaborative management = “refers to a partnership by which various stakeholders agree on sharing among themselves the management functions, rights and responsibilities for a territory or set of resources under protection status. The stakeholders primarily include the agency in charge and various associations of local residents and resource users, but can also involve non-governmental organizations, local administrations, traditional authorities, research institutions, businesses and others.” (G. Borrini-Feyerabend, 1996, pp. 3)

According to the PA-BAT (N. Dudley, Sue Stolton, 2008), a **co-managed protected area** means “sharing PA authority and responsibility among a plurality

of (formally and informally) entitled governmental and non-governmental actors. In weak forms of co-management, decision-making authority and responsibility rest with one agency but the agency is required – by law or policy – to inform or consult other stakeholders. In stronger forms, multi-stakeholder bodies are in charge of developing technical proposals for protected area regulations and management, to be ultimately submitted to a decision-making authority for approval. In *joint management*, various actors sit on a management body with decision-making and responsibility. The strength of co-management often depends on whether or not decisions require consensus.”

Communication = is about the exchange of information. It is based on establishing a dialogue between sectors and stakeholders to increase understanding of issues and

to support collaborative planning and acting. (CEPA, 2007)

Evaluation = the judgement of the status/conditions or performance of some aspect of management against predetermined criteria (usually a set of standards and objectives); (Hockings M., Stolton S., Dudley N., 2000, p: xiii). In this case one should refer to the objectives regarding stakeholder involvement as required by the national legislation (e.g. SEA, Aarhus, etc.), on one hand and, on the other hand by the PoWPA, the NBSAPs or the PA management and communication/ stakeholder involvement plans.

Governance = In the context of protected areas, governance has been defined as: *“the interactions among structures, processes and traditions that determine how power is exercised, how decisions are taken on issues of public concern, and how citizens or other stakeholders have their say”*.

Governance arrangements are expressed through legal and policy frameworks, strategies, and management

plans; they include the organizational arrangements for following up on policies and plans and monitoring performance. Governance covers the rules of decision making, including who gets access to information and participates in the decision-making process, as well as the decisions themselves. (IUCN guidelines – G. Borrini-Feyerabend, A. Kothari and G. Oviedo. 2004.)

According to the PA-BAT (N. Dudley, Sue Stolton, 2008), **governance** is *“the form of management that is in place within a protected area”*.

Governance quality = How well a protected area is being governed – the extent to which it is responding to the principles and criteria of “good governance” identified and chosen by the relevant peoples, communities and governments (part of their sense of morality, cultural identity and pride) and generally linked to the principles espoused by international agencies and conventions. (IUCN guidelines – G., Borrini-Feyerabend, 2004.)

Governance type = Governance types are defined on the basis of “who holds management authority and responsibility and can be held accountable” for a specific protected area. (IUCN guidelines – G., Borrini-Feyerabend, 2004.)

Participation = allows for different knowledge to be shared in the learning process that builds people’s abilities and empowers them to take responsibility and action to bring about changes for the environment. (...) There is increasing empowerment with progress from informing stakeholders to consultation, to consensus building, to devolved decision-making, risk taking and partnership. (CEPA, 2007)

Partnership = are cooperative working relations between organizations that add value to each others’ contributions in work on a project or task. Partners can contribute different skills, ideas, financial and technical support to each other. (CEPA, 2007)

Stakeholders = “various institutions, social groups and individuals who possess a direct, significant and specific stake in the protected area. (...) The stake can originate from institutional mandate, geographic proximity, historical association, dependence for livelihood, economic interest and a variety of other capacities and concerns.” (G. Borrini-Feyerabend, 1996, pp 8).

The different classifications of stakeholders are presented in **Section IV**.

Threat = Threats are potential processes, activities or events in which a detrimental impact is likely to occur or continue in the future (according to the RAPPAM Methodology, WWF, 2003)

(PA) Value = refers to the resources of the protected area that could be exploited to produce a *benefit*. Values are in this context potential benefits (The Protected Area Benefit Assessment Tool, N. Dudley, 2008)

Categories of PA economic values

(after IUCN, 2004 and Ceroni M., 2007)

▪ USE VALUES

- **Direct use values:** which can be *consumptive* (e.g. goods that are consumed or processed directly, such as timber, hay, medicinal plants, wild fruits, etc) and *non-consumptive* (e.g. recreational, cultural values);

- **Indirect use values:** given by the role and function that the ecosystems have such as regulation of

water flows, soil protection, carbon sequestration, etc, which are beneficial for people;

- **Option values:** derived from preserving the option to use in the future ecosystem goods and services that are now under protection;

▪ NON-USE VALUES

- **Existence values:** refers to the enjoyment people may experience simply by knowing that resource and valuable natural features exist, even though they never expect to use them themselves.

The protected area life cycle and stakeholder involvement

The management of a PA represents a dynamic and complex long-term process, which, in analogy with the project management, is often regarded as a **cycle**: it involves a logical succession of interdependent steps/phases that often need to be iterated and adjusted. Although such phases are often overlapping and interfering with each other, **management cycle** proved to be useful as a framework for management planning, communication planning/design, assessing effectiveness, etc (Hockings *et al.*, 2000, Ervin J, 2003, Hesselink *et al.*, 2007).

From the first idea and initiative, to designation, establishment and the management implementation, there are some preparatory phases, which, together with the proper management phase, are described by Getzner *et al.*, 2010, by the concept of **protected area life cycle**. According to the same authors, it is considered that during its “life cycle”, a PA follows *four main successive phases of evolution* (fig. III-2):

- The **preparatory phase** (“pre-phase”) – when the initiative of establishing a new PA is taken and the idea is debated, the vision for its establishment and management is developed and the feasibility check is done;
- The **planning phase**, including: the basic planning phase when the basic research and planning for its designation is done and the area is legally nominated as a PA, and the detailed planning phase, when specific management plans are developed;
- The **implementation and management phase** – which begins with the legal establishment of the PA and involves the full range of management activities.

Communication and stakeholder involvement are important along the entire life cycle of a PA, but of particular importance in some specific phases. Communication and stakeholder involvement represent both: *a management aim in itself*; different forms of communication (i.e. consultation, information) being recommended/needed at some specific points (i.e. PA designation, approving the

management plan) and *an approach to some fields of activity* meant to achieving other management objectives. Each phase/stage that a PA goes through within the life cycle has its specific aims concerning communication and participation that are willing to be achieved in different conditions (fig III-2), therefore specific actions are needed. For the life cycle Getzner *et al*, 2010 (p. 32) describe 25 *fields of activity* (fig III-2), within each of which a different degree of involvement for different stakeholder groups being recommended (fig III-3).

In order to be effective, the planning for stakeholder involvement should be done in relation with the life cycle. It is therefore important for PA managers to know in which phase of the life cycle they are at a specific point, which would be the role and purpose of communication and stakeholder involvement for each phase, and the most appropriate work steps and actions recommended/needed.

Figure III.2 gives you an overview of the phases within a life cycle of a protected area, the fields of activity which are ideally corresponding to each phase, some examples of frequent background conditions for communication and stakeholder involvement that are characteristic to the social environment and the relation with the stakeholders, and some examples of interventions/work steps or actions that are recommended in each context.

Please note that the fields of activity might not be always organized according to this model and the characteristics of the social environment (the “conditions”) can vary considerably from country to country and depending on the operational context of each protected area.

Notes:

! You can use this figure in the **analysis** and **planning phase**, as a reference in: identifying the stage of your PA within the life cycle, exploring your background conditions and getting orientated on the corresponding actions.

To develop an overall participatory approach to your management, you need to know **how to involve** each group of stakeholders in each phase and field of activity and **who to involve**.

Fig. III-2 – Communication and participation processes in the life cycle of a PA

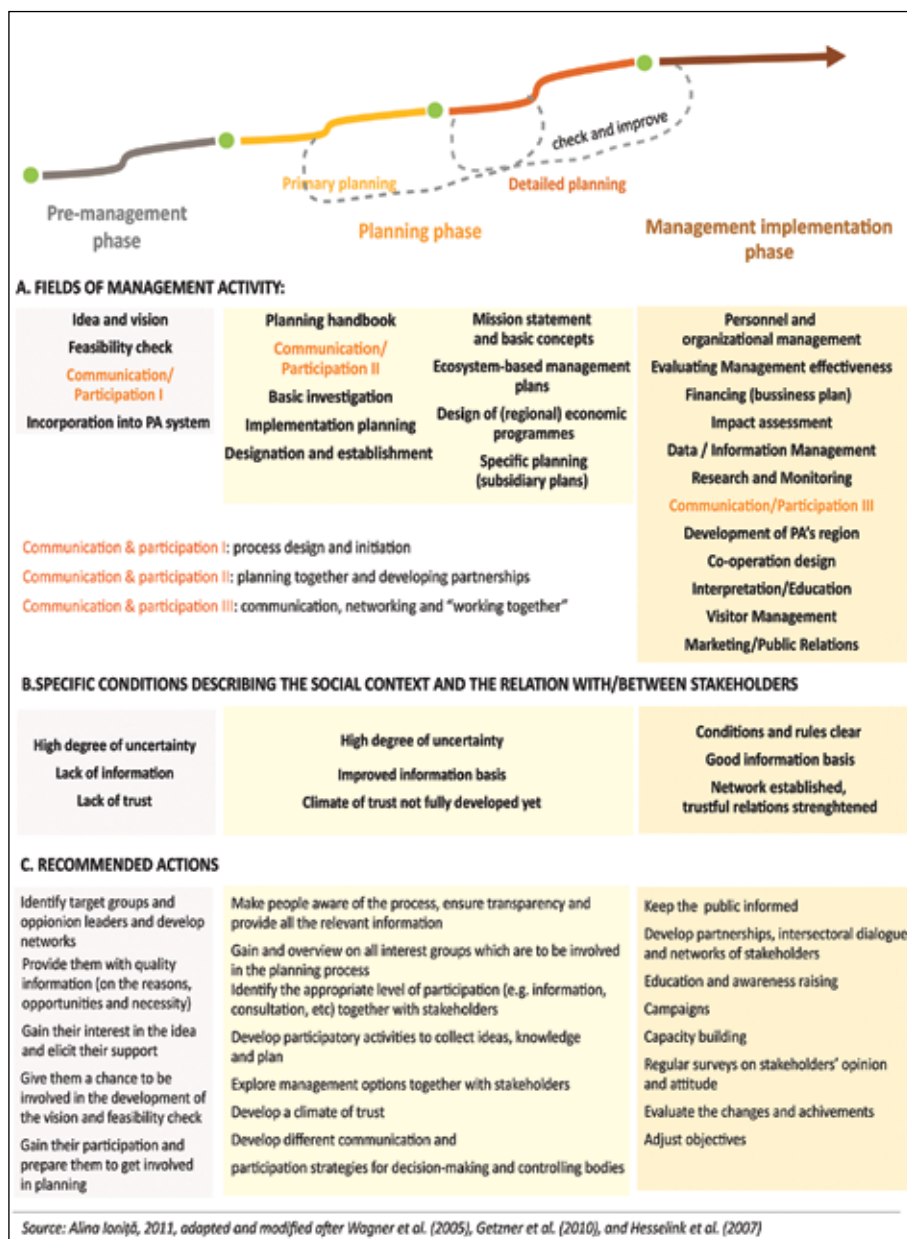


Figure III-3 presents some actions that are recommended for a participatory approach to each field of activity, within the life cycle of a PA and provides some advice on the recommended level of involvement for the main categories of stakeholders. Please note that you will have to adapt these recommendations according to your specific context.

Note:

! You can use this figure as a reference point both in the **analysis** and **planning phase**.

Figure III - 3 – The involvement of stakeholders in different fields of management activity

PRE-MANAGEMENT PHASE								
Field of activity	Recommended actions	PAMT	DM/A B	PStk	SStk	P,MM	V	
The development of an idea and vision for the PA	...develop the initial idea (shared by the main stakeholders involved by this moment) in a vision which is shared by all the stakeholders ! Identify the key stakeholders, target groups and opinion leaders. Involve them in identifying other relevant stakeholders and in defining the most appropriate means to get them involved in the next stages.	●	●	●	●	●		
Feasibility check	...compare you internal (expert) point of view with the point of view of external stakeholders ! Identification of the key stakeholders, target groups and opinion leaders.	●	●	●				
Communication and participation I	...widely communicate the results of the feasibility check, the vision for the PA and debate the pro- and contra arguments with the key target groups and stakeholders	●	●	●	●	●		
Incorporation into PA system	...discuss and agree with the key decision-makers from different sectors the integration of the new PA in the national, regional, local system of PAs	●	●					

BASIC PLANNING							
Field of activity	Recommended actions	PAMT	DM/A B	PStk	SStk	P,MM	V
Planning handbook	<p>...internally agree on a "road map" for the entire planning process (how is it going to be organized? who will be involved? which groups/stakeholders are going to offer information and data, who will be involved in the problem analysis, in formulating the management objectives?, who will be consulted? etc)</p> <p>! Stakeholder analysis</p>	●					
Communication and participation II	<p>...communicate to the most important target groups information concerning the planning process and the opportunities to get involved</p>	●	●	●			
Basic investigation	<p>...collect the data you need for the management plan</p> <p>! It is recommended that you involve the stakeholders who own relevant information/data from different fields of activity (e.g. social, economic). You can analyze and debate the social and economic consequences of the PA management and the needs of the local communities and different stakeholders in working groups. It is essential that these aspects are integrated in the management plan.</p>	●	●				
Implementation planning	<p>...negotiate with the key stakeholder groups the manner in which the PA regime will be implemented (e.g. compensatory payments for land owners)</p>	●	●	●			
Designation and establishment	<p>Celebrate ! If there is already an overall consensus concerning the PA, its designation will be an important, reference event, especially for the local communities</p>	●	●	●	●	●	
DETAILED PLANNING							
Mission statement	<p>...define the scope and the mission of the PA and agree on these internally (e.g. with the PA staff): where should it get? how much and in what way will it contribute to the local/regional development, who are going to be the main partners? etc</p>	●	●				
Elaboration of ecosystem-based management plan	<p>...agree internally and together with your external stakeholders, over the management objectives and actions, the aims, the targets, and the role of participation</p> <p>! It is recommended (and sometimes imposed by the law) that you involve directly (by e.g. working groups, consultation, debate, negotiation, etc) the stakeholders in this phase. By this, once consensus has been reached, or the context is clear for all the ones concerned/affected, future conflicts or tensions can be avoided.</p>	●	●	●	●		
Design of (regional) development programmes	<p>...explore/analyze the possibility to integrate the PA in the regional development strategies and activities and to develop specific programmes, focusing on the social-economic issues</p>	●	●	●	●		
Development of subsidiary plans	<p>...consider other aspects which need a detailed planning (e.g. tourism, communication, resource use, etc)</p>	●	●	●	●		

IMPLEMENTATION AND MANAGEMENT PHASE							
Field of activity	Recommended actions	PAMT	DM/A B	PStk	SStk	P,MM	V
Organizational and personnel development	...set up a highly skilled and strongly motivated management team, and develop a strong organization	●					
Evaluation of management effectiveness	...internally evaluate the effectiveness of PA management process and share the results (including limitations) with stakeholders and the public	●	●	●	●	●	
Financing and economic sustainability (Business plan)	...assure financial sustainability for the PA management and search for innovative means to supplement the resources allocated from central institutions (by e.g. partnerships, donations, alliances, etc)	●	●	●	●		
Impact assessment	...assess impacts of planned projects, make the results transparent and allow the public and stakeholders to provide feed-back (e.g. by internet)	●	●	●	●	●	
Data and information management	...manage the data and information flows you need effectively, permanently update them; share certain data with the public (e.g. by internet)	●	●	●	●	●	
Research and monitoring	...develop research and monitoring projects according to your priorities and local context; allow stakeholders to get involved and find the most appropriate means to share the results with them	●	●	●	●	●	
Communication and participation III	...assure the transparency of management implementation by a continuous communication with the key stakeholders and the public, strengthen the partnerships and the networks of (possible) partners. Try to broaden your group of "supporters" and "fans" and to improve your relation with advisory bodies, such as Consultative Councils (where such structures exist). I Continue to involve stakeholders by e.g. consultation or other appropriate participation types in making decisions	●	●	●	●	●	
Development of PA's region	...search for possibilities to collaborate with different (business) partners from your region (e.g. local brands)	●	●	●	●		
Co-operation design	...develop strategic partnerships at national and international level (e.g. with other PAs, with different organizations active in this field, etc)	●	●	●	●		
Information, interpretation and education	...develop educational and interpreting programmes for different categories of audiences; define adequate and efficient means to communicate with each of them	●	●	●	●	●	●
Visitor management	...develop the infrastructure and services necessary to achieve your tourism management objectives	●	●	●	●	●	●
Marketing and public relations	...maintain efficient public relations and develop marketing strategies I PAs can be regarded as providers of public "services" which can be handled by an economic approach.	●	●	●	●		●

Source: Alina Ioniță, 2011, adapted after Getzner et al., 2010

Level of involvement: intensive ● medium ● little involvement ●

Categories of stakeholders: PAMT = PA management team, DM/AB = decision-making/advisory bodies, PStk = primary/key stakeholders, SStk = secondary stakeholders, PMM = public mass-media, V = visitors

The Participation Matrix for the management of PAs

While planning for stakeholder involvement or analyzing your current status, you also need to know how to involve each group of stakeholders or how to approach your relation with them in different management phases.

The Participation Matrix (Fig. III.4), presents the relation between the PA authority and the other stakeholders in each of the most important management/project cycle phases, in relation with the main forms of stakeholder involvement.

Figure III-4 – The participation matrix

		PA MANAGEMENT PHASE / PROJECT STAGE*			
		Identification and initiation (e.g. pre-establishment phase of a PA or initiating a project)	Planning (e.g. preparing the management plan, specialized plans or preparing a project)	Implementation (Implementation and management phase)	Maintaining, monitoring and evaluation
Levels of stakeholder/community involvement	Community /stakeholder control	Stakeholders initiate actions alone	Stakeholders plan alone	Stakeholders implement alone	Stakeholders maintain alone
	Partnership	Authorities and stakeholders jointly initiate action	Authorities and stakeholders jointly plan and design	Authorities and stakeholders jointly implement	Authorities and stakeholders jointly maintain and evaluate
	Consultation	Authorities initiate actions after consulting the stakeholders	Authorities plan after consulting the stakeholders	Authorities implement with stakeholder consultation	Authorities monitor and evaluate with stakeholder consultation
	Governmental authority control	Authorities initiate actions	Authorities plan and design alone	Authorities implement alone	Authorities maintain, monitor and evaluate alone

* see the life cycle of a protected area

Ailina Ionita, 2010,
 adapted after Community Planning Website(copyrights Nick Wates/Nick Wates Associates)
<http://www.communityplanning.net/principles/principles.php#acceptdifferentagendas>

The matrix correlates the different levels of involvement within the “ladder of participation” with the phases of project or PA management cycle.

As indicated in the matrix, **consultation** and **partnership** facilitate the development of a shared vision and the formulation of shared management objectives and action, the development of dialogue, partnership, commonsense and the integration of stakeholders’ knowledge and skills from an early stage (especially from the level of *problem identification and analysis*).

The matrix can be used to:

- Better understand the different levels of participation, in relation with the management phases and to guide the choices for the appropriate level of stakeholder involvement in different phases of a project development or PA management cycle (planning for a participatory management), and
- Evaluate the degree of stakeholder involvement in the PA management, in a project or in a certain management phase and to identify your type of PA governance.

As envisaged by the life cycle model and the matrix, there are more possible approaches to stakeholder involvement in the management of a PA:

- Consultation before drafting the plan, initiating or implementing an action/activity;
- Working together to draft the management/sectoral plan (e.g. to undertake the background analysis and evaluation), to implement an activity or initiating actions together;
- Consultation in different stages of planning process or implementation of an activity;
- Consultation and negotiation on the final version of your management/sectoral plan or on a management activity;
- Or a combination of these forms.

Principles and rationale for stakeholder involvement in the management of PAs

“The many claimed benefits of stakeholder participation have to an extent driven its widespread incorporation into national and international policy” (Reed M.S., 2008), leading in the same time to disillusionment among practitioners. Public participation as an approach to governance, widely promoted from 1992 within the World Summit in Rio de Janeiro and the IVth World Park Congress in Caracas and adopted by the CBD, represents one of the fundamental principles of democracy. It involves transparency, by allowing the access to relevant information, dialogue, partnership and it generally enables equity and fair benefit sharing. As emphasized by Thomas and Middleton(2003, p.55), “it is now standard good practice to include people with an interest or a ‘stake’ in a protected area in the management planning process”.

The main aims of stakeholder involvement in the management of PAs would be:

1. To inform the public correctly and make the knowledge accessible;
2. To have a democratic and transparent process of decision-making with respect to the rights of people (e.g. the ownership rights);
3. To integrate, when relevant, the knowledge and the resources the stakeholders (e.g. institutional or non-institutional actors) have from their own field of activity in the establishment and management (planning and implementation) process, in order to make it more effective;
4. To develop a supportive social environment for the PA by balancing the conflicting interests and avoiding or reducing conflicts.

The design of participatory management of PAs should take into account:

- **The rights of those who are affected by a decision**

”Participation in environmental decision-making is increasingly becoming regarded as a democratic right” (Reed, 2008). In general sense, some decisions taken by the state can influence directly people’s living environment, access to

resources and way of life. The fact that the establishment of nature protected areas by governmental bodies at national level has negative effects on local people's livelihoods and access to natural resources represents a common source of conflicts and, in the cases of people who own those lands set aside by restrictions is sometimes regarded as a violation of their ownership rights. This often results in negative attitudes of people and conflicts with the PA management authorities. In such cases, even if conservation objectives are considered a state priority, it is people right to know (to be informed, to have access to the relevant information) and to have a say and express their opinions, needs, concerns, etc, which should be considered in the decision-making. The land owners and all those who are/will be affected by the PA management are key stakeholders and their information/consultation should represent a priority.

As in the context of the Carpathian Ecoregion most of the PA Administrations are public or other governmental bodies, the right of people to have access to public information has also to be taken into account based on the normative provisions of the Aarhus Convention, together with the provisions of the national laws concerning the PA regime and some other EU Directives (e.g. SEA).

▪ **The great number and diversity of actors sharing responsibility for land and/or natural resource management in the PAs and the neighboring territories**

The diversity of conservative values, land use, land ownership and the sometimes cross-sectoral objectives of PAs (e.g. biosphere reserves) is associated with a corresponding diversity of various institutions and administrations, sometimes belonging to different ministries or national authorities (e.g. forestry authorities, fresh water administrations, local administrations/governments, administrations of PAs etc.). The PAs and the area around them, where the local communities live should be regarded as a "zone of competing and cooperating social and political actors making demand on the available natural resources" (Cline-Cole, 2001, p.29, cited by Secretariat of the CBD, 2009). In order to achieve an effective management, it is necessary to harmonize and balance competing and conflicting interests; therefore the cooperation and the coordination of stakeholders' actions with the PA management are strongly needed. Therefore the relevant institutional actors have to be identified and

engaged in the process according to their capabilities and responsibilities. Taking into account the complexity of PA management objectives and the need for their integration with their wider territorial context, the PA management authorities are often assigned the role of “initiator and coordinator of efforts to make planning more organized and participatory” (Stoll-Kleemann S., Welp M., 2008), which increases the complexity of their mission and their responsibility. In this context, the inter-institutional cooperation proves to be absolutely necessary.

▪ **The diversity of knowledge and values needed in and implied for the PA management**

“Environmental problems are typically complex, uncertain, multi-scale and affect multiple actors and agencies. This demands transparent decision-making that is flexible to changing circumstances, and embraces a diversity of knowledge and values. To achieve this, stakeholder participation is increasingly being sought and embedded into environmental decision-making process, from local to international scales.” (Stringer *et al.*, 2007, cited by Reed M.S., 2008). The increasing complexity of today’s problems “call for knowledge from many different domains” (Stoll-Kleemann S., Welp M., 2008), which enhances the quality of decisions. The management of PAs represents a complex task not only due to the complexity characterizing the management of any territory but also to the complexity of objectives which are assigned to the PAs in the modern approach. In order to achieve these objectives successfully, it is first of all necessary to know the specific context of a PA, so that management measures are designed accordingly. This can be done only by integrating relevant and complete (ecological, biological, social, economic, etc) information which is owned or managed by different actors.

At the same time, stakeholders can provide a valuable input of ideas, points of view, visions which can support the integration of multiple aspects of the very complex reality the PA management deals with. Such inputs are particularly needed at the beginning of a new process (e.g. management planning, preliminary assessments, project design and planning). Some of the local stakeholders usually benefit of the “traditional knowledge” which is moreover associated with local cultural values and with land management, therefore their input is strongly needed, especially in the cases when the PAs aims to maintain traditional landscapes or the conservation of certain species depend on the traditional use.

The comprehensiveness of the information input is linked with *the relevance, the number and the diversity of the stakeholders involved.*

▪ **The insufficient governmental resources available for the PA management and the need for partnerships**

An analysis undertaken by the Green Development Mechanism⁵ shows that one of the reasons for PAs not being effective is financing, which is, in most of the cases insufficient. Biodiversity preservation/conservation is traditionally and predominantly financed from official development assistance (state/governmental funding), grants (i.e. Global Environmental Fund), or in the case of the EU, from structural funds, which are not able to cover all the financing needs for this sector. In the same time, the staff is very often sub-dimensioned and overloaded with bureaucratic work or the technical means for the PA management are insufficient.

Stakeholders are social actors who, by their human capabilities (knowledge, abilities, experience, expertise), financial and/or technical capacity could represent a resource for the PA management processes; their engagement can represent a valuable input to the management process. Therefore, their *collaboration* as formal or non-formal partners or the *delegation* of management responsibility is very often needed in order to complement and enhance the capacity of PA Administrations.

Stakeholder involvement principles

The key principles that you have to take into account when developing participatory management are:

▪ **Inclusiveness and transparency:** participation has to be underpinned by transparency and has to allow a wide range of stakeholder categories to get involved;

▪ **Efficiency:** participatory management has to be based on a clear plan and procedures, its aims have to be well designed and monitored permanently;

▪ **Effectiveness:** stakeholder involvement has to contribute to achieving the PA management objectives and to strengthening the social ties within the local communities. To be effective participation needs to bring change, to have a positive impact.

An effective participatory process should be:

▪ **Effective regarding** the aim for which it is organized;

▪ **Transparent;**

▪ **Interactive** (facilitating the social cohesion);

▪ **Educative/enriching** (facilitate learning);

▪ **Representative** (all the relevant stakeholders are invited).

⁵<http://gdi.earthmind.net/>

Benefits of stakeholder involvement

It is believed that, when effectively designed, participatory management can bring a series of mutual benefits to those involved. Although the main aim of stakeholder involvement in the management of PAs is that of benefiting the PA management, it is desirable to have a positive impact on the participants as well, by e.g. fostering learning and social cohesion.

The main **positive aspects** underlined with stakeholder involvement are:

- Information and consultation may bring **an input of knowledge** (thematic, sectoral information), ideas, visions, etc., in the process, which contributes to building the management on the best and most relevant information that is available, on (“traditional”) knowledge and practices whose efficiency was already tested in time;

- An open dialogue with the stakeholders facilitates a better understanding of the social and economic impact of the PA, allows for the integration of stakeholders’ needs and for the consideration of their concerns, improving the basis for decision-making. It is also believed that stakeholders’ active engagement in decision making contributes to increasing the legitimacy of the PAA, increasing the viability of its management decisions and actions and leads to the “prevention of problems and disputes and avoidance of waste of resources” (Borrini-Feyerabend, 1996) which might otherwise be invested in unrealistic actions;

- Participation through e.g. consultation, collaboration, etc provides a mechanism for communication (Thomas and Middleton, 2003, p.55), facilitating the dialogue and the exchange of views, opinions, concerns between the PA Administration and stakeholders on one hand and between different stakeholders on the other hand;

- If complete and relevant information is offered in an accessible manner,

if communication is targeted and tailored to the specific target groups, and collaboration is transparent and opened, participation can raise the level of information and awareness for the stakeholders involved (Borrini-Feyerabend, 1996);

- If based on trust and openness, stakeholder involvement can help the PA management bodies to become aware of stakeholder's interests and it facilitates the early detection of conflicts, oppositions and threats. When not avoided or superficially approached, conflicts can be alleviated or solved through dialogue;

- Divergent interests and opinions are debated and balanced and consensus can be built. "The involvement of various interests is essential if there is to be consensus around the aims of the Management Plan" (Thomas and Middleton, 2003, p. 55). Consensual decisions, based on the accord of the stakeholders are more likely to be implemented successfully;

- By allowing stakeholders to have a say in the decision-making, their common or individual interests are better represented and negotiated;

- By developing a permanent supportive community/stakeholder attitude and by mobilizing local support, the negative influence of political factors (political instability, political interests) and economic shortages can be reduced or balanced, contributing to the "reduction of enforcement expenditures" (Borrini-Feyerabend, 1996);

- It *increases the public involvement in decision-making and develops a sense of "ownership" over the process and outcomes* (Reeds, 2008, p. 2420; Thomas and Middleton, 2003, p:55). By making people aware of the fact that they can influence decisions which affect them, by giving them the opportunity to have a voice in shaping and taking decisions, a greater commitment to PA management objectives and a sense of civic responsibility can be developed. "Only

through involvement can come ownership; only through ownership can come understanding and support” (Thomas and Middleton, 2003, p. 56).

- Stakeholder involvement can “increase the public trust in decisions” (Reed, 2008), if based on openness and transparency and can mobilize the support of the civil society for the public policies;
- Stakeholder participation brings benefits for a “democratic society, citizenship and equity” and “reduces the likelihood that those on the periphery of decision-making context or society are marginalized” (Reed, 2008);
- Increases the adoption and diffusion of innovation (Reed M.S., 2008) by increasing the social cohesion and promotes social learning (Blackstock *et al.*, 2007, cited by Reed, 2008).

These possible benefits are not going to be derived either as a result of one or a few isolated participatory actions, or after simply gathering some groups or individuals in a meeting, but only after following a constant dialogue with the relevant stakeholders, proving a permanent transparency, a constant openness and care, even when concrete results are now immediately visible. Those initiating participatory management have to be aware that developing a benefiting participatory management is a “life-long process”, which needs permanent investment.

It is also important to know that in order to obtain the desired benefits from stakeholder involvement, there is need for motivation, targeted communication based on mutual trust and respect, openness, a positive attitude and for alternative, complementary instruments as well. “To achieve the changes in people that are required to reach your biodiversity conservation objectives, communication in most cases will need to be used in combination with other instruments (Hesslink *et al.*, 2007 - CEPA)”.

Barriers for and risks of stakeholder involvement

Considering the complexity and the dynamics of the social systems, it is almost impossible to guarantee the successfulness and effectiveness of participatory processes. Although there are many examples, from different fields of activity, where participatory management contributed to achieving the aims for which it was initiated, there are still critics, doubts and reluctant attitudes towards it. Analyzing a series of community-based and driven projects funded by the World Bank, relying on community participation, Mansuri and Rao (2004) conclude that “the naïve application of complex contextual concepts like participation, social capital and empowerment (..), contributes to poor design and implementation.” The same authors conclude that “although the premise of participatory approaches is that the potential benefits outweigh such costs, this is by no means certain.”

The main reasons for criticism concerning stakeholder participation, emphasized in literature, are that:

- Working (planning/assessing/implementing, etc) in a participatory manner can be time-consuming (Thomas and Middleton, 2003, p:55, Hesselink et al., 2007) and more costly. Despite these disadvantages, getting to a consensus with stakeholders, increasing their acceptance on a decision or a management objective/activity can have positive effects in long term, by building a supportive environment;
- When not well run, consultation may lead to dissatisfaction among the stakeholders involved, “as they perceive that they involvement gains them little reward” and “participatory processes can become ‘talking shops’ that create ambiguity and delay decisive actions” (Reed, 2008);
- The credibility of participatory processes and their effectiveness has been questioned on the basis that “many stakeholders might not have sufficient

expertise to meaningfully engage in what are often highly technical debates” (Fischer and Young, 2007, cited by Reed, 2008);

- Participation of some marginal social groups could clash and participation could favor the already powerful groups, increasing the gap between them and favoring unequal benefit sharing and leading to “psychological and physical duress for the most socially and economically disadvantaged” (Mansuri and Rao, 2004) who need to negotiate or fight against the interests of the powerful ones;

- The empowerment of other social actors “may have unexpected and potentially negative interactions with existing power structures” (Kothari, 2001, cited by Reed, 2008);

- Sharing or delegating the management responsibility and authority with other stakeholders could be beneficial but also risky without a clear common direction and common goals. Delegating the authority and power of decision-making to some actors which have other priorities than conservation, without assigning clear responsibilities and developing mechanisms of control can have adverse effects by leading to an increasing pressure on PAs and a more difficult enforcement of conservation objectives.

There are means to prevent such negative effects and it is capitally important to adapt the proposed models to the context, to have a targeted and realistic plan, to monitor the results permanently and to adjust to the unexpected and undesired changes that might inevitably occur.

Although transparency, sharing authority and power with stakeholders might be challenging and risky, there are significantly higher risks of not doing it:

- By not integrating all the relevant information and knowledge from the stakeholders and by not identifying and taking into account the needs of stakeholders and local communities, starting with the feasibility check and

especially in the management planning phase, the management would fail in preventing and reducing threats, in balancing development with conservation and in ensuring a sustainable and effective management. “Not taking account of the needs of people in terms of economic and social development means a Management Plan has a poor chance of achieving its objectives” (Thomas and Middleton, 2003, p.55);

- Stakeholders will feel excluded, in consequence they will perceive the PA, the PAA and the management as hostile, undesired or irrelevant;
- The PA role, importance and management objectives could be misunderstood, leading either to actions having undesired effects or to a lack of support for achieving these objectives.

Considering the background conditions in the Carpathian countries of predominantly government-managed PAs, state lacking roots for a participatory culture and decision-making, insufficient knowledge, understanding and public support for the management of nature PAs, low capacity and lack of technical expertise for stakeholders to get effectively involved in their management, skepticism, lack of trust among stakeholders, lack of clear objectives and rules, weak social cohesion, etc, sharing power might be risky, challenging the effective achievement of PA conservation objectives.

Therefore, stakeholder involvement has to be developed step by step, starting with transparency, communication, consultation and partnership, while evolving to join-management and more participatory forms of governance.

“Because of the contextual complexities involved, initial designs based on best practices are bound to be imperfect. Rapidly scaling this up, particularly in countries with little experience, community-based projects will likely result in failed projects” (Mansuri and Rao, 2004).

Types of participation and forms of stakeholder involvement

Participatory management equals stakeholder involvement. Participation can equally be:

- An isolated, temporary process, developed in a certain public meeting, with a specific purpose (e.g. for the SEA procedure, required by the law);
- A general approach to the overall management of a PA, developed and enhanced during the whole life cycle of a PA or
- It can be permanent, generalized as a form of shared governance, with formal mechanisms and specific administrative structures for stakeholder involvement (e.g. Consultative Councils).

Forms of stakeholder involvement

Public/stakeholder participation has already become a wide spread concept, while its meanings differ considerably: for some participation starts with the official representation (“manipulative participation”, according to Hesselink *et al.*, 2007) or information (“passive participation”), while for others participation starts with involvement in a decision-making (i.e. consultation). The continuum of forms of involvement is known as “the ladder of participation”. The levels on this ladder correspond to a higher degree of involvement that is “allowed” to stakeholders, to a certain degree of influence they can have over the process (e.g. by bringing an input of information, by being involved actively in shaping a management objective, by having a vote in decision-making). Normally, while we advance on this ladder with one step to a higher level of involvement it is supposed that the previous ones have been already taken (e.g. consultation already involves information; collaboration involves information and consultation and so on).

Different approaches to participation aim either to step higher on this ladder, while developing a “higher” level of participation or to develop the process so that the desired outcomes are achieved, irrespective of the form of involvement. These forms/degrees of involvement are also linked to specific types of PA governance, being steadily developed while advancing from a total government control and power to decision-making towards a total control of the local communities (Fig. III-3). In any forms of governance one or more of the forms of participation are developed either in isolated occasions or as a permanent approach to the overall management.

The most common forms of involvement (described by Arnstein, 1969; Pimbert and Pretty, 1995; Borrini-Feyerabend, 2007; Lawrence, 2008) are:

▪ **Information** – is sometimes considered as “passive participation” or “non-participation”, as the targeted stakeholders have a passive role, that of “receivers”. The exchange of information can take two forms:

- *From the PAA to stakeholders*, as means to ensure transparency, to raise awareness and level of information or knowledge;

- *From the stakeholders to the PAA*, when stakeholders are asked to provide information on issues of interest for the PA (e.g. through questionnaires, focus-groups, etc). This is sometimes considered as a distinctive level in the ladder of participation (known as “information giving”), as stakeholders have an active role by bringing an input in the management process.

The management process and, implicitly the flows of information are controlled by the PA authority, which informs the stakeholders and the public on relevant issues concerning the PA, the management activity, management decisions, etc. Communication is uni-directional, from AAP to stakeholders, who are passively receiving the input, without having means for feed-back.

▪ **Consultation** – when stakeholders are asked about their opinions on a specific issue of concern for the PA in which their feed-back is considered relevant.

Although the aim of consultation is to reach to a consensus, it is not always compulsory that the opinions expressed by the stakeholders are (fully) taken into account.

The initiative and control over the process belong to PA authority. Communication is bidirectional - stakeholders have the possibility to offer feed-back but it is not always compulsory for the PA authority to include it in the final decisions.

▪ **Functional participation** – (working together): materialized through formal or non-formal, permanent or temporary partnerships, including involvement in planning and decision-making, either for specific activities during the life cycle or for the whole management process.

The management authority undertakes the planning, decides over the management and involves stakeholders in implementing the actions needed to achieve the management goals.

This form do not refer to decision-making. Stakeholders have a functional role in implementing actions. They can be engaged through partnerships, time-defined contracts, or other formal means, and can have as motivation the material incentives. Such forms are beneficial for the PAAs when these have limited human or financial resources other stakeholders are able to complement.

Note:

! It includes “participation for material incentives” (Pimbert and Pretty, 1995).

▪ **Collaboration (co-management)** – when the management authority and responsibility for decision-making is equally shared, on the basis of formal agreements (e.g. contracts, legislative appointments) with other stakeholder(s). When the management is done in partnership, all the stakeholders involved share the responsibility for the management implementation and all the field of activity. The PA authority is represented by two distinctive bodies

sitting at the same table of decision-making (e.g. state authority and NGO, regional governmental body and association of land-owners, etc) either with equal rights and responsibilities in making decisions (joint-management) or with one of them having only a consultative, advisory, coordinating or supervising role for the other (e.g. Scientific/Technical/Research/Advisory/Consultative Councils or Boards). Information and consultation is ensured permanently between the parties involved but it is not compulsory that other stakeholders are equally engaged. This depends on the management approach.

▪ **Delegation** – when part of the authority and responsibility for an activity or decision-making is formally delegated to other stakeholders.

▪ **Transformative participation** – stakeholders (or local people, generally speaking, directly or through legitimate representative individuals or structures) are empowered by having the official authority and responsibility to make and implement decisions, being assisted by specialists when necessary.

The PAA becomes a primary stakeholder, having the role of an assistant, while the initiative and decision-making power belongs to other stakeholders.

Note:

! It includes the “interactive participation” and “self-mobilization” (Pimbert and Pretty, 1995).

It is recommended that a participatory management is designed as:

- A combination of these forms, shaped according to the context;
- Tailored by the characteristics of each stakeholder group (identified through the stakeholder analysis);
- Designed for each management objective, and;
- Permanently reshaped, adjusted and developed.

Types of protected area governance and links with stakeholder involvement

The different types of PA governance indicate the different degree of control and influence the stakeholders have in the management process (Fig. III-3). According to the political-administrative and local context, each type of PA may require a slightly different degree of stakeholder involvement. Knowing the existing possibilities, the PA managers have to decide on the optimum level required in their specific case. Although the degree of stakeholder involvement can vary for each punctual process, management phase or management activity, each form of PA governance has a specific general level of stakeholder control and influence for characterizing the overall management.

In general, the CBD PoWPA recommends the adoption of those forms where the stakeholders are given a greater power of influence over the management process, but such forms need to be designed according to the context.

The main forms of PA governance, as described by the CBD PoW briefing note (2008) are:

A. Government managed PAs (state governance)

A government body (a ministry, a national agency, at national, regional or local level), reporting directly to the government holds the *authority*, *responsibility* and *accountability* for managing the PA (or the PA system), determines its *conservation objectives*, develops and enforces its management plan and sometimes owns the PA's land and resources. The management tasks can be delegated by these governmental bodies to: *NGOs*, *private operators* or *communities*. This type of governance might or might not include a *legal obligation to inform or consult stakeholders* about management decisions.

B. Co-managed PAs (shared governance)

Many actors, which are formally or informally entitled, share the PA management *authority* and *responsibility*. Complex institutional mechanisms and processes are employed. There are many forms:

- *Weak forms*: the authority and responsibility for decision-making is held by one agency, which has the obligation (according to the national legislation or policy) to inform or consult other stakeholders.

- *Other forms*: multi-stakeholder bodies have the responsibility (are in charge) to develop proposals for regulation and management that are submitted to a decision-making authority for approval.

- *Fully “joint” management*: various actors are included in a management body holding the authority and responsibility for the PA management

Note:

! The strength of the co-management depends on *whether decision-making requires consensus among participants or not* (PA-BAT, 2008).

C. Private PAs (private governance)

This type of governance is mainly determined by its specific ownership regime. The PA land and resources are owned by individuals, associative structures, NGOs, corporations, either for-profit or not-for-profit. The landowner holds the authority and the responsibility for the PA management: determines the conservation objectives, develop and enforce management plans and is in charge of decisions, being controlled only by the applicable legislation. Their accountability to society is usually limited.

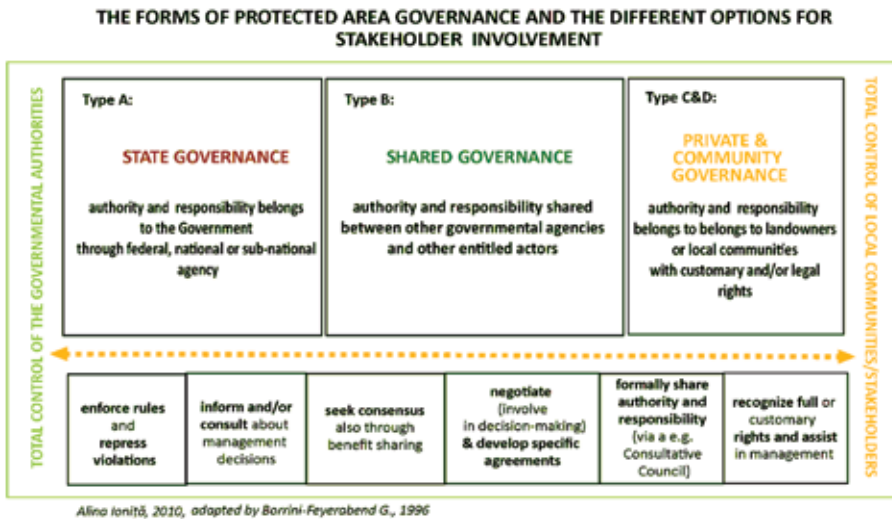
D. Community Conserved Areas (community governance)

Authority and responsibility for PA management rests with communities and are expressed through a variety of forms of local governance. Land and resources can be collectively owned, and frequently there is no legal recognition or sanctioning by the government, although community can be officially recognized as a legitimate local authority.

There is an increasing interest in exploring and designing innovative forms of PA governance regimes that are better reflecting the local context (Naughton-Treves L. *et al.*, 2005).

The types of PA governance which are accepted in a country are usually established by the law. A series of formal arrangements are needed in order to develop a certain type of governance and to shift from one form to another. For each form of governance there are certain options for the PAA to relate with stakeholders (Fig. III-3).

Fig. III - 3 – Forms of PA governance and the options of PA authorities concerning the involvement of stakeholders



A “good governance” of protected areas, according to Abrams *et al.*, (2003) and Dudley (2008) should be based on the following principles:

- 1. Legitimacy and voice** (all men and woman should have a voice in decision-making; there should be no discrimination);
- 2. Subsidiarity** (management authority and responsibility should be

attributed to the institutions closest to the resources at stake);

3. Accountability (decision-makers are accountable to the public);

4. Transparency (ensuring that all the relevant information is available to all stakeholders);

5. Do no harm (ensuring that the establishment of PAs do not create or aggravate poverty and vulnerability);

6. Performance (including responsiveness, effectiveness and efficiency);

7. Fairness (including equity and the rule of law);

8. Direction (governance should be based on a strategic vision).



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Resources and prerequisites for stakeholder involvement

To make stakeholder involvement an effective instrument, political will, commitment to respect principles and rules, a balanced representation of stakeholders, time, human and material resources are needed (Marega, Uratarič, 2011).

Human resources – knowledge and abilities of the PAA staff

One of the most important factors in initiating productive dialogue, negotiating, solving conflicts, and building partnerships is the human factor. Participation is most of all about linking people, about dialogue, therefore it can be done first of all through people. This is why, the staff position responsible for community outreach, communication and public relations should be considered as a key position in a PA administration or in an upper level institution. This staff member should have very clear responsibilities set out and should benefit from the whole support of its organization team (logistics, training, budget and moral support).

As emphasized before, knowledge (including the concepts, the methods, the tools for developing participation, etc) is very important, but this kind of knowledge will not suffice for a real success if other abilities and communication skills are not complementing it. There are many examples of people successfully dealing with challenges like conflict resolution or communication with stakeholders, even without being trained to do so. In this sense, the key **qualities** would be:

- A positive and open attitude;
- Good will;
- Commitment and devotion to their work;
- Honesty and respect for the other stakeholders and their legitimate interest;

- Ability to listen and convince, to get involved and make people get involved and last but not least;
- Patience.

In most of the cases, despite the need for good communication abilities, being a local person represents a very important advantage in understanding the local realities and other people's needs and problems.

In many cases the PAAs are sub-dimensioned in terms of staff engaged in the management process. Especially for large PAs, only one person responsible for permanently maintaining the dialogue with a significant number of communities and corresponding great number of stakeholders is not sufficient, especially when the financial or technical resources are lacking or being scarce.

PAAs need to understand the importance of carefully choosing, capacitating and empowering their staff in this direction of community outreach and also acknowledge the fact that this should represent a permanent management activity which has its best results if it is done as team-work.

As an interesting and revealing insight from some PA practitioners, emphasizing the important role of stakeholder involvement in the management of a PA and some essential skills for the managers, there are answers cited from students of the Master Programme "Management of Protected Areas", at Klagenfurt University in Austria, collected during site-level visits. When asked about "*the most important skill or knowledge for a protected area manager*", some PA experts in Europe answered: "the contact with people and a financial background", "to deal with people in a responsible way", "a generalist oriented person who relates well to the people", "to be committed", "to have a wide knowledge, not only ecology, also basics in economy and public relations, as well as the right attitude towards people so that they think they lead the park", "soft skills; trouble shooter; good conflict solver, e.g. for conflicts with land owners or with the hand that feeds you (government and politicians)", "mixture between

patience, tenacity, and the ability to manage people. Definitely social skills are most important!”, “Personality. The most important skill is conflict management”, “strong personal connection to the region is essential”, “diplomatic behavior”, “effectiveness evaluation; participation, especially for the local population; raising public awareness”, “motivation within your employees to get a strong team”, “Common sense. Experience. To be able to deal with your stakeholders”. (after Bernd Pflieger, 2005⁶)

Time: an essential issue

Participation is generally about dealing with and conducting social processes and changes. These are maybe the most dynamic and hardly predictable. Building trust and enhancing/developing social relationships needs time and might represent a risky goal, with no guarantee for success. This shouldn't be discouraging but it should represent a fact that practitioners should be aware of.

Establishing a relation based on trust and reciprocity with the stakeholders, balancing in the same time the conservation and development goals can be considered as permanent management task. It might be a matter of years, especially when not initiated from the beginning since some benefits and improvements can be observed.

Material resources and financial costs of participation

“One of the most common arguments against community participation is that it is costly and time consuming. However, no one has yet attempted to calculate the costs in terms of time and lost good will of getting it wrong.” (D. Wilcox, 1994)

⁶For the whole answers and the names of the respondents, please see: Bernd Pflieger, “What is The Most Important Skill or Knowledge for a Protected Area Manager?”, in *Improving Protected Areas*, Getzner M. and Jungmeier M. (eds), Heyn Verlag, Klagenfurt, pp 69-72.

Table III.2 – Activities related to stakeholder involvement requiring budgeting

Activity	Description	Role
Research and preliminary assessments		
Territorial analysis of the social and economic conditions of the local communities	Scientific studies and maps of the communities situated in the area of interest for the PA management: local resources, demographic situation, local economic activities and their evolution (activities related to the resources that are also represented in the park: grazing, wood industry, tourism, etc).	This will give you a solid back-ground and a valuable overview on the stakeholders and will help you in: integrating the local development with the specific conservation goals of the PA, anticipating the needs of the local communities and the stakeholders and predicting the evolution of some interests over time. It could also be helpful in mapping the available human resources for partnerships.
Integrating social analysis		
Mapping the interests in the PA	Studies concerning the interactions (at economic, social, cultural level) between the stakeholders and the PA and the impact that the establishment of the PA and it's new land use regime has on different stakeholders	Mapping land ownership, accessibility, land use and land ownership, tourism areas, quantifying the economic and the social impact that the PA regime has on different stakeholder categories will help you understand the way that different stakeholders are affected and identify different areas where this impact and the interests are stronger. Such areas will most probably need to be backed by a more intensive dialogue in order to balance development interests. The areas of interest need to be correlated with the internal zoning. This will be a helpful exercise in tailoring the approach of participation according to the needs of different stakeholders. This is an important step in identifying the messages that are more suitable for each stakeholder category when informing them about the PA and its management objectives.

Activity	Description	Role
Integrating social analysis Undertaking the stakeholder analysis	Logistic costs or costs for engaging a consultant	Undertaking a comprehensive stakeholder analysis, taking into account interests, roles, power, is essential in planning, deciding on the design of the participatory process that would fit to your specific context. This is a very important step not only in the initial planning or pre-planning phase (before the establishment of a PA) but also in preparing a project. This analysis should also include the analysis of the benefits and constraints generated by the PA for each category of stakeholders.
Intercurrent assessments		
Assessing stakeholders' level of information, degree of awareness, needs and expectations related to the PA	Covering the costs of the study (if undertaken by a consultant or a research body/researcher, volunteer group) or covering the costs for transportation, printed materials (questionnaires, evaluation forms).	It is important and most of the times indicated to have a measure of your results; it should be part of monitoring your progress with stakeholder involvement. Even if this could be a subjective evaluation, it is a good way to see which of your actions have been successful and where there is still room for improvements (make your message clearer, offer additional information, change the means for communication, etc).

Activity	Description	Role
Outreach- communication and awareness raising		
Building and maintaining the infrastructure and facilities for information and communication	Including visitor centers and information points (with all the functioning costs involved and costs incurred by its depreciation, costs for the feasibility studies), web-page (design, hosting, maintenance costs), interpretation and thematic trails	Such infrastructure is needed not only for offering general or specialized information to general public or target groups but also to create spaces where some of the stakeholders can have their own stands and promote their activities or local products.
Preparation of communication materials	Preparation of information materials (hand-books, posters, leaflets, newsletters, maps, guides): printing costs, publishing costs, consumables. The materials with the outcomes of the consultation meetings should be also included.	Their role should be not only that of making stakeholders find out about the PA, its role and objectives, about the role of the PA administration and its activity, but also that of keeping in touch with its achievements, problems and initiatives where partnership is needed, with the legislative and administrative changes, with the opportunities for getting financial support for the local development.
Organizing the public consultations	Organizing the meetings with the stakeholders: including preparatory information materials, transportation costs (if the case), rent for the seminar room, dinner, logistics, consumables, communication costs (e.g. phone calls, mailing, fax, etc), the publication of the consultation outcomes.	Getting (some of the) stakeholders together in order to achieve specific objectives: informing them, consulting them, involving them in preliminary assessments, etc.

Activity	Description	Role
Outreach- communication and awareness raising		
Establishing personal contact with (some of the) stakeholders	Travelling costs, communication costs (e.g. phone calls)	Directly approaching (some of the) stakeholders is sometimes needed in order to address specific issues related to specific management objectives, to inform them, to ask for information or to initiate a partnership
Capacity building and training		
Training for the staff on communication, community outreach	Participating in trainings, workshops, seminars of the PAA staff and the responsible with community outreach; engaging a consultant.	It is very important to have skilled staff, especially in communication and public relations. It is also necessary to have at least a basic knowledge on participation and stakeholder involvement in the PA management.
Preparing specific plans and strategies		
Elaborating a communication plan/ strategy for the PA	Logistic costs or costs for engaging a consultant	Such a strategy should be based on the stakeholder analysis and it is better not to be undertaken in a preparatory phase, but after there is enough knowledge on the different stakeholder categories and there have been some interactions with them. It would be helpful in better organizing the target groups and the communication means, the periodicity of your information/consultation campaigns etc. It is also important to establish the best means for communication and the way that you measure your progress with stakeholder involvement. It should be linked to the periodical assessments regarding the stakeholder level of information and awareness, their attitudes, etc.

SECTION IV:
PARTICIPATORY MANAGEMENT TOOLBOX

A. Preliminary analysis tools

In the Guidelines (Section II) a simple alternative of Stakeholder analysis was presented. Stakeholder analysis can use a variety of other tools for a more into depth analysis of different stakeholder attributes. In this section a more extended alternative for the stakeholder analysis will be presented. The structured succession of steps is also available in [Annex I](#).

1. Stakeholder analysis

a. About stakeholder analysis

Why need for stakeholder analysis?

In order to enhance and secure the involvement of stakeholders in the management of PAs, there is need for an analysis of the current situation, which has to serve to an efficient and realistic planning of communication, partnerships and other types of active stakeholder involvement.

The process of identifying stakeholders is a critically important part of a successful participatory process. In order to achieve the goal of having an inclusive participation, we have to make sure that all the relevant stakeholders were identified.

Participatory management deals very much with the management of inter-personal (and inter-institutional relations); it can be compared with interpersonal communication at larger scale. Stakeholder Analysis represents a tool which can help PA managers to identify their (possible) partners of dialogue and undertake a structured reflection on their role, their interests, their power and their stance, relative to a process/activity they are responsible for, “and find ways of harnessing the support of those in favor of the activity, while managing the risks posed by stakeholders who are against it” (Wilcox D., 1994).

Thus, Stakeholder Analysis can be useful in dealing with complex and dynamic processes and managing successfully the human dimension of PA management by providing “the basis for more reasoned actions” (Wilcox D., 1994).

Stakeholder analysis helps us answer the question: “**Which are the stakeholders to be involved?**”

What to use stakeholder analysis for?

Stakeholder analysis can support understanding:

- Who are the people who will benefit from a process/project/action etc.;
- Who are those who will be affected (positively or negatively);
- Who are those who are able to influence positively or negatively the output and outcome of your project/action (who could offer you support or hinder you);
- Who are those who should have a say and need to have his options taken into account in your action/project (degree of people’s importance in a specific action/project/process).

When is stakeholder analysis needed?

This tool can be used in all the phases of the PA life cycle (Fig. III - 2) from project idea identification stage, to problem and situational analysis, project/PA management design and planning phase, to implementation, monitoring and final or periodical review and for all the fields of activity.

Thus, stakeholder analysis represents a very important step whose accomplishment can significantly contribute not only to improving the overall management/project efficiency and effectiveness, but also to the development of a participatory management. Therefore, stakeholder analysis should be particularly promoted as a PA management best practice and should be included, as an integral part of management programme design, in the technical provisions/guidelines approved by the national laws for the PA management and project management.

b. How to undertake stakeholder analysis?

Usually, complete stakeholder analysis comprises **2 main stages** which moreover are organized in **a succession of steps** according to the purpose, the scale of analysis and the attributes of stakeholders that are willing to be considered. We hereby present the essential points to be analyzed while other possible points of interests are also mentioned.

STAGE I: STAKEHOLDER IDENTIFICATION

STAGE II: STAKEHOLDER ANALYSIS (CHARACTERIZATION)

The most important steps in this stage are:

- Identification of stakeholders' interests;
- Assessment of their (possible) influence/impact (Importance/Influence Matrix).

STAGE I: STAKEHOLDER IDENTIFICATION

Preparatory step: Considering the context of a protected area

Communication and stakeholder involvement need to be tailored to the context. Stakeholder groups and their characteristics are related to the specific context of each protected area, therefore, before starting with stakeholder analysis it is essential:

- To know which are the context related aspects that are/can be determinative for stakeholder involvement;
- To be aware of their relevance and importance;
- To revise and consider these aspects.

The context refers to a multitude of aspects:

- *Aspects that relate directly to the PA* (e.g. the IUCN category, conservation and use values, threats, the structure of land ownership, benefits, the relations with the local communities, governance system, organizational capacity, etc);

- *Indirect aspects* deriving from:

- The territorial context given by: its position (in the region/country) and the social-economic characteristics of its neighboring territory (e.g. degree of urbanization, economy, level of social-economic development and role at national/regional level, etc);

- The administrative context (e.g. the number of administrative units sharing its area and their governance system);

- The political context (e.g. political support for nature conservation, the degree of political influence).

These characteristics are linked to certain interests that various stakeholder groups may have, their degree of interest or dependency on natural resources in the PA, their attitude and their behavior concerning the PA, that an Administration have to manage in order to achieve the management objectives.

In assessing the management effectiveness, Hockings M. *et al.* (2006) considers the context of a PA as a relevant element of the management cycle to be considered. In this framework, the context is defined and assessed on the basis of following criteria: the significance of the area (in terms of conservative role), its values, the threats and vulnerability, the opportunities, the social-economic and political factors and the national context.

These guidelines presented in **Section II** use the criteria of *values* and *threats* as the most relevant in identifying the key stakeholders for a PA.

You can start by answering the questions:

- ***Which is the area of interest for the PA management?***
- ***Which are the “local communities” that should be involved and where the stakeholders live?***
- ***Which are the relevant settlements and human communities to be considered for the stakeholder analysis?***

First step: Who are the stakeholders?

Who is a stakeholder?

“A stakeholder is any individual, community, group or organization with an interest in the outcome of a programme, either as a result of being affected by it positively or negatively, or by being able to influence the activity in a positive or negative way.” (DFID, 2002)

This phase is particularly important, as, according to their different importance, role, interests, attitudes, etc, for each homogeneous group a particular involvement strategy or plan will be developed. Leaving out one or some stakeholders or misestimating their role can significantly influence the output and the outcome of a project, program, activity or process. The more general, the less useful the Stakeholder Analysis will be.

There are many definitions of stakeholders, but in order to make the definition more focused and useful there is need to take into consideration some guiding criteria.

Thomas L. and Middleton J. (2003) propose the following questions for identifying stakeholders:

- What are people's relations with the area – how do they use and value it?
- What are their roles and responsibilities?
- In what ways are they likely to be affected by any management initiative?
- What is the current impact of their activities on the values of the protected area?

There are many definitions of stakeholders, but in order to make the definition more focused and useful there is need to take into consideration some guiding criteria.

The following **criteria** can be used **to distinguish the full range of relevant stakeholders** (after G. Borrini-Feyerabend, 1996, pp 9):

- Existing rights to land or natural resources;
- Degree of economic and social reliance on such resources;
- Historical and cultural relations with the resources at stakes;
- Degree of effort and interest in management;
- Present or potential impact of the activities of the stakeholder on the resource base;
- Unique knowledge and skills for the management of the resources at stake;
- Losses and damage incurred by the management process;
- Equity in the access to the resources and the distribution of the benefits from their use;
- Compatibility of the interests and activities of the stakeholder with national and conservation and development policies;
- Continuity of relationship (e.g. residents versus tourists).

Therefore, most frequently, stakeholders fulfill one or more of the following criteria:

- Have legitimate rights (“right-holders”) like land ownership or land/resource management rights, have the public right to have certain benefits associated to the existence of a PA (e.g. non-se benefits, recreation, etc);
- Have official responsibilities/mandates concerning the land or certain features in the PA;
- Have other direct or indirect interests in using them;
- Can influence positively or negatively a management activity/process, area inside the PA, etc;
- Can be positively or negatively affected by the existence of a PA and its associated land or resource management regime, or a certain management activity/process (beneficiaries or disadvantaged).

Sometimes it is recommended to differentiate the stakeholders groups by their belonging to the **private, public or non-profit sectors** (Secretariat of the CBD, 2009).

Notes:

! According to these criteria, categories of stakeholders, groups and sub-groups can be distinguished (e.g. *land owners, natural resource managers, local authorities, financiers, tourism business, policy makers, etc*).

! Although it is easier and recommended to start with the identification of larger groups of stakeholders, in order to make the analysis more useful, according to its specific purpose, it is very important to differentiate them and narrow down to homogeneous groups, based on their common role, attitude or interest (e.g. forestry districts, private forest owners, associations of farmers, guesthouses, tour-operators active in the PA, mayoralities having properties in the PA, ministry, EU Programmes, etc). It is possible that you might find relevant to distinguish individual or stakeholders (e.g. a certain ministry that is more important for your activity, certain forestry district that rejects dialogue, a mayor that is more supportive, the guesthouses from a from a specific region inside the PA, a local opinion leader, etc). The purpose of this phase is to identify all those stakeholders that are **relevant**, that will be further analyzed and included in your planning.

SOME TIPS TO MAKE THE STAKEHOLDER IDENTIFICATION MORE COMPREHENSIVE:

▪ **Add a territorial dimension to your analysis.** It is important to understand how stakeholders' interests are differing inside of the PA territory and the neighboring area. Mapping the stakeholders and their interests in relation with the internal zoning and the most significant conservative values is the key in developing effective management measures and communication. In order to do that you can start by (re)defining the area of interest for the management, so that all the important territories and local communities outside the PA are included. You can do this by taking a look to the map of your PA, to the list of the human settlements in its vicinity and to the list of land owners;

In choosing the “interested” communities you can differentiate them as:

- **Neighbors** (communities in the neighborhood of the PA);
- **Landowners** (communities owning land in the PA, irrespective of their location);
- **Neighbors and landowners** (neighboring communities owning land in the PA).

▪ **Don't forget about the temporal dimension.** When undertaking stakeholder analysis it is important not to focus solely on the present situation but also refer to the past and try to predict the importance some stakeholders might have in the future. New stakeholders can occur in time and their taking into consideration is equally important. You might also revise the history of your PA by following its **life cycle** and identify stakeholders that played an important role and could still play an active role in the future;

▪ **You as a PA management body represent a key stakeholder,** therefore you have to be included in the analysis.

In **Annex 1 – A** you will find a more detailed succession of steps and guiding questions for this step.

STAGE II: STAKEHOLDER ANALYSIS / CHARACTERIZATION

The purpose of stakeholder analysis is for you to get to know your stakeholders better so that you can prioritize your efforts and resources on working with **the ones that have the biggest impact/influence** and with **the affected ones**. These two criteria are the basic ones but there are many other attributes which can influence you and should be considered. These will be further presented as additional criteria.

Step 2: Which are stakeholders' interests and official roles?

Considering the great complexity of the context in which the PA authorities are willing to achieve their specific management goals, knowing the interests, the needs and the objectives of their (possible) partners is very important to reaching the desired outcomes.

The analysis of stakeholders' interests (which can be done with their involvement through open debates), represents a useful exercise and a first step in identifying:

- The risks for a project, a specific management objective or the overall management activity;
- The impact that the project or the management activity has on each stakeholder, by retrospection to their compared interests.

Such an analysis should be undertaken by taking into account:

- **The general interests** of the identified stakeholders, and/or the official

mission and role in the community where they are active or generally in the society. Their **official role, responsibility and mission** are associated with a delegated authority and responsibility, to a certain capacity and resources, to objectives and interests which have to be known and carefully considered in order to balance successfully the sometimes conflicting objectives;

- **The specific interest in the PA** are given by the interactions they have with the PA, sometimes determined by **legal or customary rights** by the objectives which can be focused either on natural resources inside the PA, or on any other use or non-use values or services that the PA can offer (Table 4). In order to further shape a good strategy for collaboration, partnership and general stakeholder involvement, it is equally important to know if the specific interests are doubled by a legitimate right (e.g. land ownership or land use rights).

Identify stakeholders' connections with the PAs (values, benefits, impact), **their interests in the PA, their needs and priorities.**

TIP: Evaluate and communicate the potential benefits associated with the PA in an open, participatory way. Who are the beneficiaries? Are these benefits perceived and valued? What should be done in this sense? What can the PAA do? Who would be able to change the situation?

ADDITIONAL CRITERIA TO BE CONSIDERED:

- **The area covered by a stakeholder interests or responsibility** (when clearly definable) is also a relevant aspect to be considered and a criteria to evaluate their influence and importance for the management. This criterion will be further used in a next step.

- **Stakeholders' expectations** (if there are any⁷) **regarding the PA and its administration** - what is each of the stakeholders expecting from the

⁷ e.g. The city halls and municipalities might expect that the PA Administration will offer a consistent support for the development of tourism – like applying for funding and organizing the development of (eco)tourism; the schools might expect for the PAA to organize educational activities for them, etc.

PA/PA administration to bring/to offer them or to the local community (table IV-1). Try to find out if their expectations are realistic, if they are informed correctly on the role, the activities and the problems of the PAA. If their expectations are unrealistic, try to make your activity more transparent and inform them.

Periodical *surveys* or *opened debates* together with them could be very helpful in order to get to know these expectations and understand if they are realistic or not. Knowing and monitoring this aspect can be helpful in formulating, reformulating and communicating your messages about your mission, role and activity, so that their expectations become more realistic and your role, as an authority and an actor in the local community, is consolidated. This is even more important in those countries and in those cases where the PA system was newly created or its management was reshaped by the modern principles and the complex, integrative approaches.

- Do not forget to consider yourself:

- **Evaluate the impact of your decisions/actions on the interests of the stakeholders:** e.g. projects promoting activities which can bring them benefits (e.g. through tourism) which can increase the interest of stakeholder and has the potential of intensifying the dialogue with them;

- **Evaluate your own capacity** to manage their interests, to control or coordinate their actions, to respond to their expectations or respond to their needs;

- **Evaluate your power** to respond to stakeholders' power to influence the PA management.

Although the stakeholders can have multiple and complex interests, while completing this analysis, which is a **descriptive, qualitative** one, it is more efficient to identify the main, relevant interest(s) and concisely synthesize it when completing the Stakeholders Table. Especially for those cases where many stakeholders are identified, in order to better keep track of the overall situation,

their interests can be analyzed in relation to the objectives of the PA they are interacting with and considered as either *positive* (if these are oriented in a compatible direction or their mission can be complementary to the PA authority) or *negative* (if these are contrary, conflicting, divergent). These situations can be described by using the appropriate sign in the Stakeholder Table (e.g. table IV-1).

The **Stakeholder Table** can include all the relevant attributes/ characteristics of the stakeholders which can be organized and analyzed in a form, that can logically and systematically synthesize and link these aspects, allowing for the development of an adequate involvement strategy for each category of stakeholders. The table below offers an example on how to differentiate between different categories of stakeholders, and analyze interests and expectations.



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Table IV -1 – Sample Stakeholder Table - An example of how to fill it in

Stakeholder	Categ.*	% of the area of interest for the stakeholders ^s	Interest in the PA	+ ve OR -ve**	Expectations related to the PA or PA authority
<p>Tourism accommodation units inside the PA (e.g. private pensions, lodges in the PA, also organizing tourist activities for their tourists)</p>	<p>D</p>	<p>30% - one small resort inside the PA</p>	<p>Interest: financial profit, maintaining a flow of tourists which doesn't represent a pressure.</p>	<p>-</p>	<p>Expectations: to be promoted by the PAA, the PAA to maintain in a good functioning status the existing tourism infrastructure in the PA (e.g. paths, thematic trails), the PAA to develop a more attractive visiting infrastructure (e.g. visiting centers, information points), the PAA to offer specialized information materials (e.g. thematic hand-books, maps, audio-guides) etc. They also expect the PAA to support their business by permitting car access in the PA and/or offer them subsidies for the development of green businesses.</p>
<p>Accommodation units outside the PA (e.g. private pensions, lodges in the PA vicinity)</p>	<p>D</p>	<p>20%</p>	<p>Interests: financial profit, to extend their business (to benefit from the existence of the PA and have a more varied tourism offer).</p>	<p>+</p>	<p>Expectations: only few of them have expectations - to be promoted, to have a good infrastructure and information available for their tourists (a tourism offer including tourism activities available in the PA area)</p>

Stakeholder	Categ.*	% of the area of interest for the stakeholders ⁸	Interest in the PA	+ ve OR -ve**	Expectations related to the PA or PA authority
Tourism services – private companies organizing recreational activities in the PA (e.g. horse-back riding, biking, guided tours, etc)	D	100%	Interests: financial profit by offering quality nature experiences and supporting the conservative of attractive landscape and nature (the great majority).	+	Expectations: to be promoted, to be integrated in projects, to get the support of the PAA (maintain the tourism infrastructure, elaborate tourism guides, free access to some scenic areas in special conservation areas/open tourist access in some caves), to be consulted and involved in the elaboration of the tourism management plan.
Public administrations (e.g. mayoralities)	F	40%	Interests: infrastructure for tourism development	-	Expectations: to implement infrastructure for access and development (e.g. roads, energetic infrastructure, ski slopes, ski lifts, cable cars, etc)

⁸ Try to estimate how much of the PA territory is of direct interest for the stakeholder. For e.g. a tour operator might be interested in 100% (if organizes tours in the entire PA) or less, if only parts of the PA are in their programmes.

* here you can add the category of stakeholders it belongs to (e.g. in this case D = Tourism businesses or developers, F = Local authorities)
 ** the interest can be appreciated relative to the objectives of the PA; it can be considered as positive (+) if it is oriented in a compatible direction or it is complementary to the objectives of the PA or negative (-) if it is conflicting, contrary or divergent.

Step 3: Which is the stakeholders' (possible) impact/influence and importance?

“Influence is the power a stakeholder has to facilitate or impede the achievement of an activity’s objectives. Importance is the priority given to satisfying needs and interests of each stakeholder.” (DFID, 2002)

According to the PA context and management/project objectives, there are always some groups or persons which are more important, being defined as target groups or beneficiaries, whom the management is planning to inform, consult, have as partner or simply support, due to different reasons (e.g. change behavior by increasing awareness, get financial/technical support, offering compensations or support for a damaged or loss they had due to the conservation regime, etc). Some of their interests or needs are more important, relative to the PA management objectives or from the perspective of their immediate needs, than others. These groups can vary from local farmers or tourism agencies to general public or ministries and governmental agencies and each of them has its specific interests, level of knowledge, capacity, etc by which they can significantly influence (either positive or negative) the achievement of your objectives.

The analysis of the full complexity of a management issue can result in a very wide and complex range of stakeholders. The same person or group can have a different importance in different situations or can have a double role with different importance (*e.g. a city hall can be in the same time land owner and developer but its importance as a developer for the management of the PA can be insignificant due to the big distance between its development area and the PA or due to natural barriers*). According to their role or their possible impact, stakeholders' importance can be ranked.

The aims of this step are to:

- **Evaluate stakeholder power** to influence the future direction of the PA management;

▪ **Evaluate stakeholder capacity** (abilities, resources) that could support you in achieving your objectives.

This step of the analysis should help you determine: **What role each stakeholder can play** in the process you are responsible for and **why each of them should be involved**. By following this step you will be able to identify:

- The priority groups of stakeholders or individuals that you have to address to and approach;

- The marginalized ones (the ones who are important by e.g. being affected but don't have access to power or lack capacity and resources to satisfy their needs and address their interests) who have to be engaged and supported in order to ensure equity and fair benefit sharing;

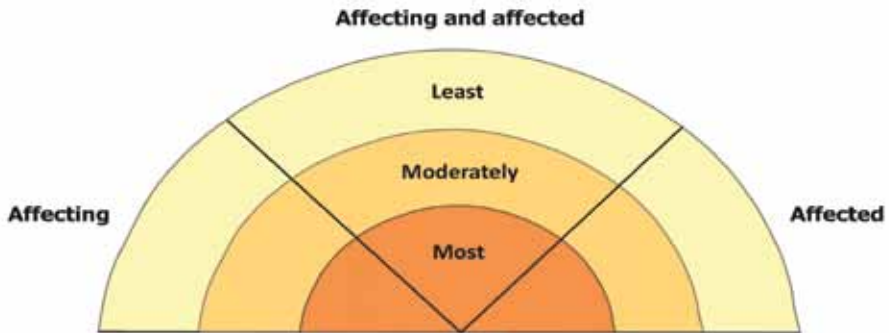
- The powerful ones among who might be equally your possible partners and competitors.

Another important criterion that is relevant in identifying stakeholder influence and importance is:

▪ **Their area of action/responsibility inside the PA** (if the interest is local or covers the entire PA), which can be expressed either by a percentage or a precise area from e.g. the total PA (Table 4), from a certain internal zone or from a certain land use category (depending on the situation and the aim of the analysis).

To classify stakeholders by their capacity to influence (or “affect”) you and by the capacity of your PA to affect them, you can use the Rainbow diagram. It is a simple and expressive tool, which can be useful to prioritize your stakeholders according to these two characteristics (Fig. IV.2).

Figure IV.2 – The “rainbow diagram”



Source: after Reed et al., 2009

This analysis can be expressed in a **quantitative** form, by assigning appropriate scores (e.g. from 1 for less importance/power to influence to 5 for very important/influential), according to stakeholders’ importance and influence and ranking them. Scores can be assigned after a very careful analysis and reflection of stakeholders’ importance in the overall management or a specific project and power to influence the expected outcomes. The values can be filled in the same Stakeholder Table, by adding two new columns, or in a separate table (e.g. **Table no. IV-2**).

Table no. IV-2 – Sample stakeholder Table. Importance and Influence
 (Example for the case of a project aiming to decrease the tourist flow on a thematic trail, close to a village inside the PA)

Stakeholder	Categ.*	Interest in the PA	+ ve or -ve	Importance**	Influence**
1. Tourism accommodation units inside the PA (in a village)	D	Interest: financial profit, maintaining a flow of tourists which doesn't represent a pressure.	-	5	4

Stakeholder	Categ.*	Interest in the PA	+ ve or -ve	Importance**	Influence**
2. Accommodation units outside the PA (or in a specific part of the PA)	D	Interests: financial profit, to extend their business (to benefit from the existence of the PA and have a more varied tourism offer).	+	4	3
3. Recreational services	D	Interests: financial profit by offering quality nature experiences and supporting the conservation of attractive landscape and nature (the great majority).	+	4	5
4. Public administrations	F	Interests: infrastructure for tourism development	-	1	1

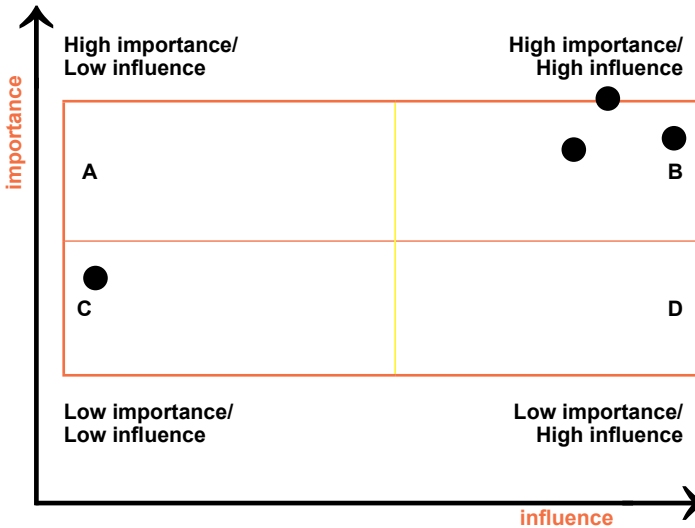
* here you can add the category of stakeholders it belongs to (e.g. in this case D = Tourism businesses or developers, F = Local authorities)

** assign scores from 1 = very little importance/influence to 5 = very big importance/influence

The scores in the table can be used by filling in the Influence/Importance Matrix which correlates the two variables.

As a result, one identifies: the **key stakeholders** (the important and powerful ones – box B), the **primary stakeholders** (which are important to the project/activity, etc, but don't have much power to influence it – box A) and the other categories (Fig, IV-2).

Fig. IV - 2 – Stakeholder importance/influence matrix



Categorizing the variety of stakeholders according to their importance and influence (which refers also to their capacity) represents one of the most important preliminary steps in setting priorities of intervention and planning for their involvement.

According to their importance in the overall management process or in a specific project or activity, stakeholders can be classified in **3 main categories:**

The primary stakeholders are: (a.) those needed for permission, approval and financial support and (b.) those who are directly affected by the activities of the organization or project. **Secondary stakeholders** are those who are indirectly affected. **Tertiary stakeholders** are those who are not affected or involved, but who can influence opinions either for or against. (CBD, 2003)

▪ **Key stakeholders:** those who can significantly influence a process or are important for its success (e.g.: *PA custodians, managers of land and natural*

resources in the PA, ministry responsible with nature conservation, NGOs, etc);

- **Primary stakeholders:** those who are affected by a process either positively (as beneficiaries) or negatively, being disadvantaged (e.g.: *people living in local communities, local authorities, land owners, schools, etc*) but don't have a big power to influence;

- **Secondary stakeholders:** all the others who have an interest or a secondary role in the process/activity (e.g.: *regional development agencies, The Ministry of Environment or Ministry of Tourism, key individuals, etc*).

According to the role and the importance in a specific activity or project, the same group or person can be, in different cases a primary, a secondary or a key stakeholder.

ADDITIONAL CRITERIA FOR THE STAKEHOLDER ANALYSIS

Some other **additional criteria** can be used in the stakeholder analysis when reflecting on the appropriate level of involvement of stakeholders with regard to their:

- **Attitude** related to the existence of the PA and its regime, PAA's role and its activity (*if there are or have been conflicts, misunderstandings, what is their cause, how have they evolved*). Look for answers to the following questions: *Did the PAA do its best to explain the nature of these constraints* (the role of the PA, the reasons for protecting or conserving the area)? *Are these constraints accepted? Can these constraints be compensated* (by financial compensations, by additional benefits)?

- **Level of information and awareness** concerning the PA (if the different stakeholders know of PA's existence, limits, role and objectives, PAA's existence, role and activities).

- **The effectiveness of stakeholders' involvement** in the management

process (in management planning, management activities and decision-making) – their **possibility, willingness, ability to represent their interests** and their **efficiency in the management process**.

In order to better understand the stakeholders' access to power in the PA governance process, an **additional criterion** can be used to assess influence (and also added in the table):

▪ **Stakeholders' representation in the administrative representative structures (if the case)**, such as: Consultative/Advisory Boards, Councils and their delegated authority to influence, by e.g. direct vote the final decisions and actions.

Additional Step: Analyzing the relations between stakeholders (network analysis)

Knowing the connections between stakeholders can have a strategic role, by helping you approach one stakeholder by the aid of another and using some already existing communication channel to convey your message. Some other times you might plan for a partnership with some stakeholders that are in conflict.

The aims of this step would be:

- To identify the relations between each stakeholder and you (as PA Authority) and see which are the stakeholders that you interact most often with;
- To identify the relations between each of your key stakeholders and other stakeholders and see if they can communicate and work together.

2. Assessing the current status of stakeholder involvement

The steps presented in figure nr. IV-3 are recommended for those who want to undertake a comprehensive analysis on the current status of stakeholder involvement, which will provide you with all the relevant information needed for the development of a stakeholder involvement plan by integrating the previous initiatives in this sense. This methodology also integrates the issue of effectiveness which will be presented more into detail in **Section IV – D**.

Fig. IV-3 – Steps in the planning of stakeholder involvement in the management of a PA

STEPS	OUTPUT
1. REVISE THE EVENTS IN THE HISTORY OF THE PA AND THE STAKEHOLDERS INVOLVED	→ The main actors involved and their role are identified
2. REVISE THE PAA INITIATIVES CONCERNING STAKEHOLDER INVOLVEMENT (e.g. information and awareness campaigns, consultations, etc)	→ The main target groups are revised → The ones permanently involved are identified
3. IDENTIFY THE DEGREE OF STAKEHOLDER INVOLVEMENT	→ The forms of stakeholder involvement are identified → The degree of involvement for the key stakeholders is identified
4. IDENTIFY AND ASSESS THE BENEFITS AND COSTS OF STAKEHOLDER INVOLVEMENT	→ The problems solved and the changes brought by stakeholder involvement are identified → The costs of stakeholder involvement are estimated → The benefit and cost sharing are estimated
5. IDENTIFY AND ASSESS THE RISKS ASSOCIATED TO STAKEHOLDER INVOLVEMENT	→ The risks generated by stakeholder involvement initiatives are identified and assessed → The stakeholders associated to such risks are identified

More information on the information that would be ideally needed to undertake this analysis is available in [Annex I](#).

Criteria for assessing the status of stakeholder involvement

The following indicators can be taken into account when **assessing the current status of stakeholder involvement** in the PA management:

- The existence of mechanisms for dialogue and conflict resolution;
- Transparency. The existence of means for permanent information;
- The possibility for stakeholders to offer feed-back to the PAA. The existence of means for their feed-back;
- The existence of a communication and stakeholder involvement plan enforced;
- The existence of clear indicators for monitoring the evolution/ effectiveness of stakeholder involvement;
- The periodical revising of the stakeholder involvement plan;
- The clear, quantifiable stakeholders inputs in the management process;
- The existence of functional partnerships with stakeholders (for e.g. management activities);
- The information and consultation of stakeholders when major decisions are taken;
- The active involvement of stakeholders in shaping management decision.

Assessing the enabling conditions for stakeholder involvement

The development of participatory management depends not only on your initiatives but also on the so-called **enabling conditions**. These conditions are related to:

- Your capacity as PAA (knowledge, money, specialized, available staff,

appropriate means for communication with stakeholders);

- An existing stakeholder involvement strategy developed on the basis of a stakeholder analysis;

- The existence of a permanent stakeholder body (either established by formal arrangements like legislative provisions or as informal working groups) and its responsibility to get involved (e.g. by consultation), its design, constituency (e.g. the representativeness of stakeholders) and functioning;

- The existence of permanent programs for the communication with and awareness of stakeholders;

- Communication with stakeholders: when is communication initiated, the target groups, the means of communication engaged and the problems related to communication.

Communication problems with the stakeholders need to be identified: e.g. in case there are not sufficient means for communication, there is no openness on behalf of the stakeholders, the PA administration doesn't have enough resources or arguments to initiate communication, etc. It should be checked if there is occasional, periodical or regular communication (information giving, consultation – e.g. newsletters) with the stakeholders, as well as if the management is transparent (stakeholders are informed or have access to information regarding the activities of the PA administration, problems and public meetings).

In order to develop an effective management for your PA you need stakeholders': **interest**, **acceptance** and **support**. Communication has to be developed as an instrument to achieve those. Therefore, appropriate means of communication have to be available.

Levels of stakeholder involvement in the management of PAs

Irrespective of the status of the body holding authority and responsibility for the management of a PA (e.g. governmental agency, private company, NGO,

local community, a combination of different actors, etc), there are *different possible levels of overall stakeholder participation in the management process* on one hand and *different mechanisms* which can be used in order to reach to one of these specific levels on the other hand. In order to enhance stakeholder involvement it is therefore necessary that you place your PA on a certain level in the participatory management ladder.

On the basis of the existing literature describing the forms of participation and PA governance, a list of guiding levels of stakeholder involvement in the overall management process were described, as from the PAA point of view (whoever this is represented by):

- **Null:** The PAA enforces the rules stated by the law, and only its staff takes decisions about management planning, practices and policies. There are usually no mechanisms for dialogue, or dispute resolution, the issues are dealt with only by the rule of law. Institutional stakeholders can be involved according to legislative requirements;

- **Very low:** The PAA informs the public about the decisions that have been already taken and gives them few opportunities to get involved in shaping them. Institutional stakeholders are involved according the law requirements but there is no clear differentiation (identification) of other stakeholders and there are few public meetings, most of them having an informative role;

- **Low:** PAA consult with stakeholders only on major issues, focusing on those required by the law, such as the management plan, with no clear identification of all relevant stakeholders, limited possibilities for feed-back and no monitoring of results;

- **Medium:** PAA have clear mechanisms for stakeholder involvement in some management fields, actively consult them and offer them opportunities for feed-back, but without having a comprehensive strategy or means to evaluate their involvement;

- **High:** PAA have comprehensive, clear and effective mechanisms for stakeholder involvement throughout the whole management process and for conflict resolution. A wide range of stakeholders are offered multiple possibilities to get involved actively by bringing a relevant input in the management planning and implementation, are given possibilities to give feed-back and their input is evaluated. Stakeholder groups can be established as working groups for certain management fields of activity;

- **Very high:** communities and stakeholders collaborate with the PAA staff in making major decisions about PA planning and are also engaged in the implementation as partners. There is high degree of transparency, a permanent dialogue between the stakeholders involved and there are multiple means for the active involvement of a variety of stakeholders. This level is often referred as *co-management*;

- **Full:** communities own ad/or manage PA themselves. The role of a PA agency can be marginal or nil. This level is referred as *community management*;

In order to assess your management from the perspective of the degree of stakeholder involvement, you can start by getting through the above levels and see where you can place your PA. In order to facilitate such an assessment, some clear criteria are needed. Although such criteria are not yet very clearly defined, there are a few indicators that you can check in order to place yourself more correctly in the participatory management ladder.

Note:

! More on the level of participation and the participatory types of management that you can refer in your assessment you can find in **Section III – Types of participation and levels of stakeholder involvement.**

B. Planning tools

If you are already in the stakeholder involvement planning phase you should have already undertaken the stakeholder analysis and revised the level and effectiveness of previous participatory initiatives. The next step will be the development of a stakeholder involvement plan or strategy. Before starting with the planning it is recommended that you revise the possible levels and means of involvement so that you can choose the most appropriate ones for your most important stakeholders.

Table IV – 3 presents the main levels of involvement (in the first row above) that you can choose from. For each level, the main methods typically used, the attitude that you, as initiator should have or your approach, the benefits and challenges and the most important preconditions are presented (in columns, below each level).

This table can be used in choosing the appropriate methods, according to the level of involvement that you are willing to achieve.

Table nr IV - 3 – Forms of stakeholder involvement and their characteristics

Level/ stance	Information	Consultation	Deciding together	Acting together	Supporting
Typical processes	Presentation and promotion	Communication and feedback	Consensus building	Partnership building	Community development
Typical methods	Leaflets Media Video	Surveys Meetings	Workshops Planning for Real Strategic Choice	Partnership bodies	Advice Support Funding
Initiator stance	“here’s what we are going to do”	“Here’s our options – what do you think?”	“we want to develop options and decide actions together”	“We want to carry out joint decisions together”	“We can help you achieve what you want with these guidelines”

Level/ stance	Information	Consultation	Deciding together	Acting together	Supporting
Typical processes	Presentation and promotion	Communication and feedback	Consensus building	Partnership building	Community development
Initiator benefits	Apparently least effort	Improve chances of getting it right	New ideas and commitment for others	Bring in additional resources	Develops capacity in the community and may reduce call on services
Issues for initiator	Will people accept no consultation?	Are the options realistic? Are there others?	Do we have similar ways of deciding? Do we know and trust each other?	Where will the balance of control lie? Can we work together?	Will our aims be met as well as those of other interests?
Needed to start	Clear vision Identified audience Common language	Realistic options Ability to deal with responses	Readiness to accept new ideas and follow them through	Willingness to learn new ways of working	Commitment to continue support

Source: D. Wilcox, 1994, pp 16 – Stances in summary

The stakeholder involvement plan

a. The preparatory phase

Elaborating a stakeholder involvement plan means assigning roles and responsibilities for other actors and establishing ways and means for their involvement throughout the management cycle. Before developing the stakeholder involvement plan, there are a few things that should be known, including some tools that makes organizing the plan easier and more effective.

First of all, the design and development of communication has to be done in relation with the **PA life cycle**.

There is no universal recipe concerning the best and most efficient level of stakeholder involvement. When planning for participatory management, it is important to consider a few aspects:

- The PA official designation (IUCN category) and status and its management objectives;
- The values and the potential benefits the PA can offer to the local communities and various stakeholders;
- The links between the PA and different stakeholders (e.g. land ownership, economic dependency), the role of the PA territory in the territorial development of a region;
 - Stakeholders' impact on the PA;
 - The impact the PA and its management regime has on stakeholders;
 - The interests of stakeholders inside the PA and their characteristics (stakeholder analysis);
 - The results of your previous interactions/collaborations with stakeholders;
 - The role each stakeholder can play in the management process;
 - The means which are available for you and the enabling conditions to involve stakeholders.

Developing your own vision on stakeholder involvement

Knowing the theoretical background of participatory management (e.g. role, rationale, levels, means of development, etc), the context and aims of your PA should help you develop your own vision concerning stakeholder involvement.

The main questions you should answer to are:

- Why do we need stakeholder involvement?
- How should stakeholder involvement support the management?
- How should it be fostered?
- How much should we involve stakeholders?

You need to be realistic, to reflect on the question *if participation* (the partnership with stakeholders, their information and their consultation) *is really needed*. There can be situations in which the management of the PA is rather going to achieve its goals without very much involvement of stakeholders, which would be rather a time and resource consuming, inefficient approach. You should also reflect to the opportunities and constraints to stakeholder involvement: e.g. Does the PA administration have enough resources itself (enough specialists, rangers, money and expertise) in order to achieve the management goals? Is there the case of a strictly protected area, where there is no need to consider local people needs? Are there (possible) partners (e.g. are NGOs) trustable and powerful enough? Do the other stakeholders have enough knowledge to participate to decision-making?). However, insuring transparency, accurate information, raising awareness and consulting people on issues that affect them, should be mandatory.

Your strategic objective should be that of achieving a certain level of participatory management or to increase management effectiveness by the involvement of stakeholders. It is **very important** that you reach to *an internal agreement* and this *vision is shared by all the staff members*.

Task analysis - Planning for stakeholder involvement in management activities

The **Task analysis tool** can play the role of both a tool for analysis and a planning tool. If you don't have a management plan prepared for your PA and

you are in the management planning phase, the Task analysis tool can help you identify the roles that each stakeholder can play in each of your management activities. To this purpose, you can use a simple matrix or a table in which you will list the management activities in columns and the stakeholders that can get involved in each activity in rows.

Table IV-4 – Sample Task analysis matrix

Stakeholders	Management objective/activity/task					
	O/A1	O/A2	O/A3	O/A4	O/A5	O/A6
S1	X	X				
S2			X			
S....				X	X	X

If you have already identified the stakeholders and elaborated a management plan for your PA, you can just extract and restructure the result in the table IV-4, focusing on each stakeholders' relation with the management objectives, aims, targets or activities.

Table IV-5 – Task analysis/planning matrix – example

Stakeholders	Obiectiv (O)/activitate(A)/sarcină					
	Identifying the threats to protected habitats	Inventory the key species	The development of brands for local products	The elaboration of tourism packages	Promoting the PA values	Promoting the touristic attraction in the PA
Majoralties	X		X		X	X
Touropertors	X			X	X	X
NGOs	X	X			X	

Assigning the right level of stakeholder involvement

Not all the key or primary stakeholder will play the same role and will be involved in the same way or with the same means. Some stakeholders'

support might be needed throughout the whole management cycle, while some stakeholders' involvement or partnership will be needed just in one field on activity, according their expertise. In the same time, some stakeholders, whose support would be very important might not know of your aims and the role they can play, or might not be interested to get involved.

To have a coherent approach to stakeholder involvement and develop a participatory management, it is essential to have these things carefully planned.

b. Developing the stakeholder involvement plan

To develop the stakeholder involvement plan you will use the classification of stakeholders (stakeholders by their importance) as resulting from the Stakeholder analysis. The key and primary stakeholders are the most important ones; their involvement is mostly needed, but other stakeholders can also be involved, if resources are available.

While planning, for each of the stakeholders will be important to assign or clarify:

- The role it can play in order to increase the management effectiveness (Task analysis toll can be used);
- The objectives for its involvement;
- The message that you want to transmit;
- The degree of its involvement;
- The means of involvement and the actions to reach the desired status;
- The resources needed and eventually a time frame.

A sample table for the plan is available in [Section II – Step 4](#). Additional rows can be added. Additional information can be also found in [Annex I](#).

C. Practical tools for participatory processes

The aim of stakeholder involvement should be not only that of offering opportunities for people to have a say in the final decisions and developing a more democratic approach, but also that of **increasing your management efficiency**. One of the means to do that is by effectively engaging/integrating the human resources and capacities characteristic to each stakeholder (knowledge, skills, abilities, etc) in the management process by participatory techniques.

Thus, in order to be fully effective, participatory processes should not only *support the engagement of the relevant skills, knowledge and abilities* of all the participants, but also *strengthen personal relationships and increase the cohesion within the community or group, empower people and give them the feeling of belonging and ownership and facilitate learning*.

Participatory processes can embrace a multitude of forms: e.g. Consultative Council meetings, debates or consultations, group discussions, work-shops, excursions, exchange of experience, partnerships, etc, which can be organized for a multitude of purposes.

Even when the form of governance or the existence of multi-stakeholder management structures allow for the involvement of stakeholders, the effectiveness of a participatory process significantly depends on the way in which the process is organized. Although physically present in a meeting, people can have personal reasons for not expressing themselves (e.g. fear of being criticized, the feeling of being marginalized in the community or group, shyness, incapacity of combating a participant which imposes his opinion, lack of knowledge, etc). Such behaviors can significantly reduce the impact of their involvement, and transform it in a formal act, in a form of passive participation . At the same time, such meetings can lack the focus, especially if they are not well coordinated or moderated or are exclusive, taking into account only the opinion of the more powerful actors,

and not allowing all the participants to express their ideas and points of view. In order to avoid such hindrances, an external facilitator should be engaged, when possible, in coordinating the process.

These techniques are based on the principles of **inclusiveness** and **open, less formal communication**, and are allowing the involvement of large and diverse groups of participants. These techniques are used successfully all around the world, by communities, institutions, organizations and companies from very varied domains for fostering collaborative dialogue meant to access, share and/or engage collective knowledge and to discover together new opportunities for action. People share ideas, knowledge and concerns, think, work and decide together on their common problems and future actions. The choice for the appropriate technique depends on the context and the desired outcomes.

Participatory techniques/methods

There is a multitude of techniques developed to facilitate the effective work with groups. Their design allows for an effective and efficient involvement of all the participants, so that their input is stimulated and the interaction and exchange of ideas among the group are permitted. Each of these techniques presents certain benefits and can be used depending on the number of people you have to work with and on the aims of the meeting you are organizing. The ones presented below are the most common. Their use is recommended in participatory meetings (e.g. of working groups, Consultative Councils, etc).

Open Space Workshops – consist of discussions on predefined themes, without a predefined agenda. The people gather and each person proposes an issue to be discussed, according to the overall theme, to their personal interests and priorities. Each person writes an issue for debate on a paper and posts it on the wall. Clusters of participants (“workshops”) are established according to their interests and priorities,

either by the moderator or by the participants themselves, by subscribing to one of the themes posted by other participants. Participants work in groups and debate the commonly decided themes, establishing the objectives and aims, the necessary actions, the term and who is responsible for undertaking them.

Characteristics:

- People chose freely the issues of debate and have the possibility to start with the problems causing conflicts or tensions;

- Such workshops can help in organizing participatory planning and collecting insights from all the stakeholders in a short time and a flexible manner. This type of workshop is especially efficient when there is a bigger variety of issues that have to be addressed (e.g. tourism development, forest management, education, etc, as the case for management plans or regional development plans). People cluster in stable working groups, according to their interests and knowledge and everyone can have a say;

- Facilitation is necessary for getting people started, maintaining a focus during the discussions and supporting them to reach to finality;

- PA staff can participate both as coordinators/facilitators and participants;

- Resources needed are: stationery (A4 paper, large marker pens, Post-it notes, flipchart paper and masking tape), the venue (if the case), refreshments and time (4-5 hours, 1 day).

World Café – represents a simple, flexible and easy to use a technique, based on the process of *focused conversation*. In a World Café conversation participants are seated in small groups (of four or five persons) at tables or gather in conversation clusters, organized on predefined themes. The issues proposed earlier for debate are discussed, notes are taken and people move freely from one table to another, while hosts share highlights from the previous conversation to

the new ones. After a few rounds of conversation, highlights from all the groups are harvested and participants offer their insights and debate.

Characteristics:

- Suitable for smaller groups;
- Discussion is focused rather on a pre-defined theme;
- Interactions between participants and exchange of ideas and views are facilitated, supporting the process of learning and sharing and exchange;
- Facilitation is necessary for getting people started and agreeing on the topic, keeping the group organized, supporting the participants to express and harvesting the insights from the café tables;
- Resources needed are: stationery (A4 paper, large marker pens, Post-it notes, flipchart paper and masking tape), the venue (if the case), facilitator fee (if the case) refreshments and time (one day can be sufficient).

Design principles for World Café:

- Set the context;
- Create a hospitable place;
- Explore questions that matter;
- Encourage everyone's contribution;
- Cross-pollinate and connect diverse perspectives;
- Listen together for patterns, insights and deeper questions;
- Harvest and share collective discoveries.

(after T.J. Hurley, J. Brown, 2009)

Future Search Conference – represents a highly structured event, aiming for the development of a common vision and objectives, concerning more general or broad issues (e.g. regional or local development).

Characteristics:

- Suitable for broader issues, and should be part of a wider and longer process, follow up to the participants being essential;
- Encourages the pro-active attitudes and stimulates the active involvement of all the participants;
- Resources needed are: stationery (A4 paper, large marker pens, Post-it notes, flipchart paper and masking tape), the venue (if the case), facilitator fee, refreshments, meals and time (2-3 days or more).

Most of the above techniques are based on the simple act of dialogue, and even if they proved to be successful in many contexts, there are no recipes. These models can be developed according to your context and can be combined in any way that proves to be efficient.

Numerous tools (techniques, instruments, means) are available for (1) informing, (2) consulting, (3) involving stakeholders in decision-making processes and (4) acting together. These are presented in a comprehensive manner in a generous number of publications. Details on some of these are available in the Bibliography.

D. Monitoring and evaluating the effectiveness of stakeholder involvement

Assessing the outcomes and effectiveness of stakeholder involvement

Despite its benefits and democratic rationale, participatory management can be very time consuming and costly. Please keep in mind that results won't come up immediately and by the time you will be able to see a change, you might have to try various combinations of methods to involve stakeholders. All your attempts have to be in the same time efficient, therefore, it is important to keep track of your initiatives, to evaluate their effectiveness and to adjust your approach and actions. By monitoring the changes, you will be able to follow the evolution closely, to see how stakeholders' attitude change in time, what impact your actions had on them, and you can maybe try to anticipate how their interests and attitudes are going to change in time.

There are not clear indicators to measure the effectiveness of stakeholder involvement; this is strongly dependent on the context and the desired outcomes. It is therefore essential that you set clear **indicators** to measure your success ("milestones") when planning for stakeholder involvement. The effectiveness of your efforts will be first of all measured in relation to your objectives and the resources engaged in the process.

The quality of participatory processes is linked both to **participants** (to their representativeness) and **to the process** itself (how things happen).

Some possible indicators are listed below, on the basis of the major purposes for stakeholder involvement, to guide you in developing your own measures to assess the effectiveness of participation.

Checklist for the evaluation of stakeholder involvement effectiveness

The following can be considered as "best practice" concerning stakeholder

involvement. If you are heading towards the development of a participatory management, you have to fulfill as many of the following conditions:

- Stakeholders were involved in an early stage, when different options were still open and they could contribute to the outcome;
- Stakeholders had access to all the relevant information, and were given enough time, to prepare for the meeting (e.g. to read documents that will be debated), so that they know what you are talking about and what their role is;
- All the stakeholders invited in a meeting are given the possibility to express and bring an input;
- It contributes to achieving the management objectives (the purpose for which it was initiated);
- It approaches conflicts or tensions/pressures, and it eventually contributes to alleviating or reducing them in a constructive manner;
- Clear rules for working together are established, known and followed by all the actors involved;
- The inputs (e.g. ideas, observations, demands, critiques, recommendations, information) are considered and taken into account and, when the case, changes in the management practices or policy are made;
- Stakeholders' feed-back is required after their involvement in an activity and there are mechanisms in place to encourage their permanent feed-back;
- Stakeholders can access the results/conclusions of/regarding their involvement (e.g. in case of consultations, debates);
- It enables the stakeholders to improve their level of knowledge/awareness (by providing them all the relevant information) and to interact with other actors;
- The cost of their involvement for the PAA and for the stakeholders does not exceed the benefits;
- The results and outcomes of a participatory process (e.g. information or consultation meetings, partnerships) are monitored and evaluated permanently and taken into account in other future initiatives;

- It contributes to the overall goal of developing mutual trust and understanding;

In the same time, it would be good to avoid the following situations, which make stakeholder involvement **less effective**:

- **Stakeholder involvement** (e.g. consultation, partnership) does not achieve its aim (whatever this would be, e.g. undertake a management activity as stipulated in the management plan, increase awareness and acceptance, etc) and/or does not bring any contribution in achieving management objectives;

- Stakeholders are only formally engaged, without having any effective contribution or benefit. The meetings can rather be described as “talk-shops”, without substance, a clear purpose, message and aim;

- Communication has only one way: from the PAA to stakeholders, without a feed-back, without stakeholders having an opportunity to express or only some stakeholders (usually the same) “monopolize” the discussion;

- Conflicts and tensions are avoided or stimulated; their cause is not identified and addressed;

- There is still a high degree of uncertainty among stakeholders on their role and responsibility, on the PA objectives and aims and a lack of trust in the PAA staff;

- The costs for the stakeholders exceed the benefits (e.g. the money and time they spent to participate in consultations, debates, various meetings are not compensated by the e.g. opportunity to learn something, to have their concerns, views and needs taken into account, to have their questions clarified, etc);

- The results and outcomes are not measured and monitored, in order to improve the approach for a better effectiveness;

- Stakeholders’ feed-back is not required after their involvement or generally encouraged;

- It does not contribute to improving the initial situation;

Note:

! The above presented indicators can be used in guiding your monitoring, evaluating and improving participatory initiatives.

Annex I - METHODOLOGY for ANALYSIS, ASSESSMENT AND PLANING for STAKEHOLDER INVOLVEMENT

A. PRELIMINARY ANALYSIS – PROSPECTING THE CONTEXT OF THE PROTECTED AREA		
Objectives: To revise the specific context of the PA in order to identify the key factors in connection to it. To identify and quantify their interest and the relations between them and the PA.		
Steps:	Questions to answer to:	Data and information needed:
<p>1. (Re)defining the area of interest for the management activities and revising the local communities of interest for the PA management.</p> <p>2. Revising PA values and management objectives, the internal zoning and the situation regarding land ownership</p>	<ul style="list-style-type: none"> - Which is the area of reference to be considered for the stakeholder analysis? - Which are the relevant settlements and communities to be considered? <ul style="list-style-type: none"> - Which are the PA specific values for which it was designated? - Which are the types and the levels of restrictions? - Which are the ones mostly affected by restrictions? - Which are the institutions/ organizations/persons associated to the PA values (responsible, leaders, authorities)? 	<ul style="list-style-type: none"> - The list of neighboring communities and of those owning land in the PA. <ul style="list-style-type: none"> - The map of internal zoning - The map of land ownership - The list of land owners and the areas owned - The list of those owning land in strictly restricted areas (with most severe restrictions over land use) - Information on the degree of economic dependence of land owners upon the natural resources in the PA - The map of land use structure (in the PA and in the different internal zones) - A primary evaluation/inventory of the economic assets and values in the PA + their map (land use, recreational areas, areas of natural resource use)

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Steps:	Questions to answer to:	Data and information needed:
3. Identifying / revising the threats for the PA and the main management problems NOTE: establishing/claritying criteria used to define threats and conflicts is needed in advance	<ul style="list-style-type: none"> - Which are the threats for the PA and its management? - Who are the actors associated to identified threats (authorities/ organizations/persons)? - Who are the ones representing a potential source of conflict? 	<ul style="list-style-type: none"> - A list of threats for the PA NOTE: the results of RAPPAM can be used for the PAs involved
A. THE STAKEHOLDER ANALYSIS		
Objective: To characterize and classify the stakeholders identified in the previous steps by their importance for the management of the PA NOTE: Revise the definitions given to stakeholders. Revise the list of actors identified in the previous step and check if all of them are included.		
Steps:	Questions to answer to:	Data and information needed:
I. CHARACTERISING STAKEHOLDERS		
1. Assessing the impact of the PA regime and objectives on stakeholders interests	<ul style="list-style-type: none"> - In which way (+/-/0) and how exactly are the interests of each stakeholder affected by the PA regime and objectives? 	<ul style="list-style-type: none"> - Qualitative and quantitative information on the interest of each stakeholder (would be useful for a more accurate result) - A preliminary assessment of the impact the PA has on each stakeholder NOTE: Qualitative information can be gathered by the means of interviews, questionnaires, focus groups.

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Note: ! Revise the definitions given to stakeholders. Revise the list of actors identified in the previous step and check if all of them are included.		
Steps:	Questions to answer to:	Data and information needed:
I. CHARACTERISING STAKEHOLDERS		
2. Assessing / estimating stakeholders capacity and power to intervene in the PA management	<ul style="list-style-type: none"> - Which is the capacity and power of each stakeholder to influence the management of the PA? - In which way can they influence it (+/-/0)? 	<ul style="list-style-type: none"> - Information on stakeholders resources and needs - Information on their power and capacity to influence your actions and objectives
3. Assessing the importance each stakeholder has for the success of the PA management / of a certain management objective	<ul style="list-style-type: none"> - How important is the involvement / partnership / support of each stakeholder for the successful achievement of a certain management objective/ overall success? 	<ul style="list-style-type: none"> - Information on the role each stakeholder can play in the management of the PA

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Note: ! Revise the definitions given to stakeholders. Revise the list of actors identified in the previous step and check if all of them are included.		
Steps:	Questions to answer to:	Data and information needed:
II. CLASIFYING STAKEHOLDERS NOTE ₁ : It is necessary to establish/clarify the criteria for classification in advance, NOTE ₂ : The importance/influence matrix can be used		
1. Identifying the key stakeholders	<ul style="list-style-type: none"> - Which are the most important stakeholders? <p style="color: red; font-weight: bold; margin-top: 10px;">Note: !</p> <p>Most often in this category are included the ones directly affected, beneficiaries/possible beneficiaries, damaged or whose support is essentially needed)</p>	
2. Identifying the primary stakeholders	<ul style="list-style-type: none"> - Who are the ones indirectly affected? (e.g. citizens) 	
3. Identifying the secondary stakeholders	<ul style="list-style-type: none"> - Who are the indirectly interested/not interested ones who have strong influence and political power? (e.g. politicians, opinion leaders, local and regional NGOs etc) 	The information resulting from the previous part of stakeholder analysis will be used and restructured on the basis of the established criteria for the different categories of stakeholders.
4. Identifying other stakeholders	<ul style="list-style-type: none"> - Who are the ones having a certain interest in the PA management field but without having a direct connection with the PA (e.g. the public, tourists, scientists, other PAs, etc) 	

<p>A. THE STAKEHOLDER ANALYSIS</p> <p>Objective: To characterize and classify the stakeholders identified in the previous steps by their importance for the management of the PA</p> <p>Note: ! Revise the definitions given to stakeholders. Revise the list of actors identified in the previous step and check if all of them are included.</p> <p>Steps:</p>		<p>Questions to answer to:</p>	<p>Data and information needed:</p>
<p>III. ANALYZING THE RELATIONS BETWEEN STAKEHOLDERS / STAKEHOLDER NETWORKS (optional)</p>			
<p>1. Identifying the relations between each stakeholder and the PAA</p>	<ul style="list-style-type: none"> - Which are the stakeholders the PA interacts more often? 	<ul style="list-style-type: none"> - Information on the relations between the PAA/PA and the stakeholders 	
<p>2. Identifying the relations between key stakeholders and other stakeholders</p>	<ul style="list-style-type: none"> - Which are the stakeholders that the key stakeholders interact with? 	<ul style="list-style-type: none"> - Information on the relations between stakeholders 	
<p>B. THE ASSESSMENT OF THE CURRENT LEVEL OF STAKEHOLDER INVOLVEMENT IN THE PA MANAGEMENT</p>			
<p>Objectives:</p> <ul style="list-style-type: none"> - To evaluate the current situation regarding the involvement of stakeholders in the PA management. - To identify the stakeholders involved their degree of involvement and their manner of involvement. - To identify and assess the results of their involvement and the effectiveness of participatory management actions. 			
<p>Steps:</p> <p>1. Revising the main events in the history of the PA (the PA management cycle) and the main stakeholders involved</p>	<p>Questions to answer to:</p> <ul style="list-style-type: none"> - Which were the main issues in the history of PA management? - Which were the main actors involved and their role? 	<p>Data and information needed:</p> <ul style="list-style-type: none"> - Information on the history of the PA, the main events/issues and the actors involved; initiatives for its establishment, for the establishment of the PAA and its organization, management planning, financial, legal, etc issues 	

B. THE ASSESSMENT OF THE CURRENT LEVEL OF STAKEHOLDER INVOLVEMENT IN THE PA MANAGEMENT		
Objectives: - To evaluate the current situation regarding the involvement of stakeholders in the PA management. - To identify the stakeholders involved their degree of involvement and their manner of involvement. - To identify and assess the results of their involvement and the effectiveness of participatory management actions.		
Steps:	Questions to answer to:	Data and information needed:
1. Revising the main events in the history of the PA (the PA management cycle) and the main stakeholders involved 2. Revising the information campaigns/actions, the consultations, the partnerships of the PAA addressing/involving different stakeholders	<ul style="list-style-type: none"> - Which were the main issues in the history of PA management? - Which were the main actors involved and their role? - Which were the main information campaigns/activities, the consultative meetings, the partnerships undertaken? - Which were the target groups / the stakeholders involved in each of them and by which means? - Which are the stakeholders permanently involved (informed, consulted, etc) 	<ul style="list-style-type: none"> - Information on the history of the PA, the main events/issues and the actors involved: initiatives for its establishment, for the establishment of the PAA and its organization, management planning, financial, legal, etc issues - Information on the information and awareness campaigns undertaken and the target groups - The members of consultative (or similar) bodies involved in the PA management (e.g. Consultative or Scientific Councils) - The lists of participants and the reports of consultative meetings. Information on members' votes and interventions. - A list of projects undertaken by the PAA and the partners involved.
3. Analyzing the degree of stakeholder involvement for the ones involved Note:! It is necessary to clarify/establish the different levels of involvement in advance (see: the ladder of participation)	<ul style="list-style-type: none"> - Which is the level/degree of stakeholder involvement in decision making or current management activities? - Who are the ones: informed, consulted and the PAA partners? 	<ul style="list-style-type: none"> - Reports, lists of stakeholder meetings and information campaigns - Contracts of partnership

B. THE ASSESSMENT OF THE CURRENT LEVEL OF STAKEHOLDER INVOLVEMENT IN THE PA MANAGEMENT		
<p>Objectives:</p> <ul style="list-style-type: none"> - To evaluate the current situation regarding the involvement of stakeholders in the PA management. - To identify the stakeholders involved their degree of involvement and their manner of involvement. - To identify and assess the results of their involvement and the effectiveness of participatory management actions. 		
Steps:	Questions to answer to:	Data and information needed:
4. Identifying and assessing the benefits of stakeholder involvement in the PA management	<ul style="list-style-type: none"> - Which were the benefits of different levels of involvement? Are these visible/clear? - Which problems were solved by stakeholder involvement? - Which were the costs associated to their involvement for the PAA? - Which were the outcomes? (How did their involvement contributed to the overall management effectiveness?) 	<ul style="list-style-type: none"> - Information on the costs of information campaigns, consultative meetings, etc - Information on stakeholders' changes in attitude/behavior
5. Identifying and assessing the risks associated to stakeholder involvement	<ul style="list-style-type: none"> - Which were the negative effects in relation to stakeholder involvement? - Which is the risk associated to different stakeholder involvement? 	
C. PLANNING THE FUTURE ACTIONS – THE COMMUNICATION AND STAKEHOLDER INVOLVEMENT PLAN		
<p>Objective: To establish the message, the ways to approach and the means to involve the stakeholders and to identify the resources needed</p>		
Steps:	Questions to answer to:	
1. Establishing clear internal rules on external information and communication and delegating responsibilities in the PAA team	<ul style="list-style-type: none"> - In which situations and to who are different issues communicated to stakeholders? - Who is the person in charge with communication and information and which are his/her responsibilities? 	

C. PLANNING THE FUTURE ACTIONS – THE COMMUNICATION AND STAKEHOLDER INVOLVEMENT PLAN	
Objective: To establish the message, the ways to approach and the means to involve the stakeholders and to identify the resources needed	
Steps:	Questions to answer to:
2. Establishing the stakeholders whose involvement is needed in each management phase	<ul style="list-style-type: none"> - Which are the stakeholders that need to/is important to be involved in the management? - Which are the management phases when their involvement is needed? (e.g. management planning, implementation, monitoring) - Which are the management objectives/actions when their involvement is needed?
3. Establishing the objectives for stakeholder involvement and the message that we want to convey	<ul style="list-style-type: none"> - What do we want to achieve? - Where do we want to get? - Which are the changes that we have to do to get there?
4. Establishing the optimal degree of involvement for the main stakeholders. Partnership design	<ul style="list-style-type: none"> - Which is the optimal degree of involvement for each stakeholder / stakeholder group? - Who are the possible partners for the PAA? How do we shape the partnerships?
5. Establishing the means of involvement	<ul style="list-style-type: none"> - By which means do we involve each of the stakeholders?
6. Identifying and assessing the resources needed (e.g. time, money, personnel, logistics)	<ul style="list-style-type: none"> - Which are the resources needed in order to involve the stakeholders according to the established plan and how these should be optimally allocated?

Annex II - a) CATEGORIES OF PROTECTED AREA VALUES

ECOLOGICAL	SOCIO-ECONOMIC and CULTURAL
<p>Ecosystem services/functions</p> <ul style="list-style-type: none"> • Catchment management and water supply • Soil conservation • Clean air / pollution mitigation • Climate and disaster mitigation <p>Biodiversity and natural values</p> <ul style="list-style-type: none"> • Ecosystems and habitats • Species (rare and threatened species, indicator species, popular species, economically or socially important species, etc) • Local populations (of key species) • Genetic resources <p>Geologic/geomorphologic and landscape values</p> <ul style="list-style-type: none"> • Natural elements/features – evidence of formation and ongoing geological / geomorphological processes • Fossils • Special geological formations and landscape features • Water bodies and wetlands 	<p>Cultural values</p> <ul style="list-style-type: none"> • Spiritual and indigenous heritage • Historical • Aesthetic / artistic • Traditional landscapes • Traditions and traditional forms of social organization <p>Social values</p> <ul style="list-style-type: none"> • Recreation • Scenic <p>Economic values</p> <ul style="list-style-type: none"> • Elements/areas with touristic value • Land use value • Forms of sustainable resource use (i.e. traditional practices which are directly related to the conservation of biodiversity/landscapes) <p>Educational and scientific values</p> <ul style="list-style-type: none"> • Elements/features of interest for research • Elements/features of interest for education • Elements/features of interest for nature interpreting
<p><i>Source: after Hocking, 2007 and Stolton, ed., 2009</i></p>	

Annex II - b) A GENERAL CLASSIFICATION OF THREATS TO PROTECTED AREAS*

CATEGORY	SUBCATEGORY
1. Residential and commercial development.	Housing & settlement
	Commercial & industrial areas
	Tourism and recreation Infrastructure

CATEGORY	SUBCATEGORY
2. Agriculture and Aquaculture	Annual & perennial non-timber crops
	Wood & pulp plantations
	Livestock farming & ranching
	Marine & freshwater aquaculture
3. Energy & Mining	Oil and gas drilling
	Mining and extraction
	Energy generation
4. Transportation and Service Corridors	Roads and railroads
	Utility and service lines (electricity cables, pipelines etc.)
	Shipping lanes and canals
	Flight paths
5. Biological Resource Use and Harm	Hunting, killing and collecting terrestrial animals (legally or illegally)
	Gathering terrestrial plants and plant products (non timber)
	Logging and wood harvesting
	Fishing, killing and harvesting aquatic resources
6. Human Intrusion and Disturbance	Recreational activities and tourism
	War, civil unrest and military exercises
	Research, education and other work related activities
	Activities if protected area managers (e.g. construction, vehicle use)
	Other forms of disturbance (illegal entry, access, vandalism etc.)

CATEGORY	SUBCATEGORY
7. Natural System Modifications	Fire & Fire Suppression
	Dams, hydrological management and water management/use
	Increased fragmentation
	Isolation from other natural habitats
	Other ecological effects
	Loss of keystone species (e.g. top predators, prey species, pollinators etc.)
8. Invasive & Other Problematic Species & Genes	Invasive non-native/alien plants
	Invasive non-native-alien animals
	Pathogens
	Introduced Genetic Material
	Problematic Native Species
	Species Hybridization
9. Pollution entering or generated within the Protected Area	Household sewage and urban waste water
	Sewage and waste water from protected area facilities (e.g. tourist facilities, toilets etc.)
	Industrial, mining and military effluents and discharges
	Agricultural & forestry effluents (e.g. excess fertilisers and pesticides)
	Garbage & Solid Waste
	Airborne pollutants
	Excess energy (heat, light, noise etc.)

CATEGORY	SUBCATEGORY
10. Geological Events	Volcanoes
	Earthquakes and tsunamis
	Landslides and avalanches
	Erosion and/or siltation/deposition
11. Climate Change and Severe Weather	Habitat Shifting & Alteration – Major changes in habitat composition and location
	Droughts
	Temperature extremes
	Storms and flooding
12. Specific Social and Cultural Threats	Loss of cultural links, traditional knowledge and/or management practices
	Deterioration or destruction of important natural sites of cultural value
	Deterioration or destruction of important man made sites of cultural value

* The list was developed by IUCN and Conservation Measures Partnership.
 Source: www.conservationmeasures.org

Annex II - c) MAJOR THREATS AND PRESSURES FOR PROTECTED AREAS IN SOME CARPATHIAN COUNTRIES

The results of RAPPAM in Romania¹ (2006), Slovakia² (2004) and Czech Republic³ (2004) show that:

- Poaching, land use changes, waste management, illegal logging, tourism and (illegal) infrastructure development, grazing (in Romania) respectively
- Forestry management, tourism, building and infrastructure development, agriculture, hunting and poaching (in Slovakia) and
- Forest management, construction and land speculation, tourism, waste management, agriculture, including intensification and loss of agricultural lands (in the Czech Republic) were listed, among others, as the most important pressures and treats for the PAs .

1: Erika Stanciu, Steindlegger G. (2006)/ 2: WWF (2004)/ 3: Jamison Ervin (2004)

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Internet links

The Community Planning Website:

<http://www.communityplanning.net/>

The CBD: <http://www.cbd.int/protected/pow/learnmore/intro/>

The Carpathin Protected Area Management Effectiveness Tracking Tool: <http://cpamett.natura2000.ro/>

Green Development Initiative: <http://gdi.earthmind.net/>

Integrative Protected Area Management: <http://www.ipam.info/>

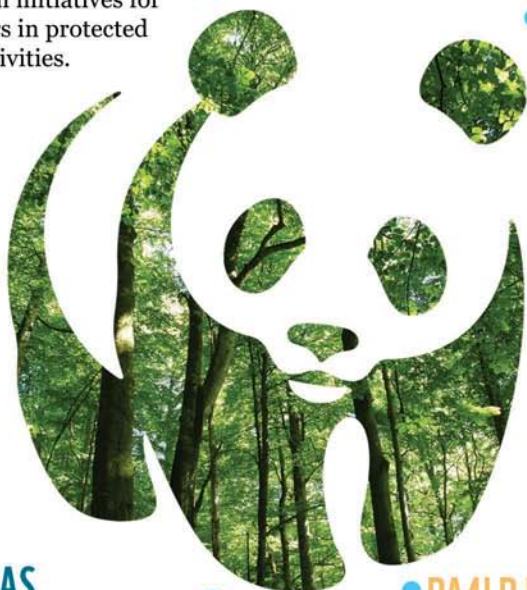
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STAKEHOLDER PARTICIPATION

Efficient management of protected areas is possible only with active stakeholder involvement. Protected area managers need special skills and knowledge to encourage stakeholders to work closely with them.

WWF DCP

Implements projects in the Danube Carpathian Region since 1998. The protected area work combines support for biodiversity conservation and responsible management of natural resources with initiatives for involving stakeholders in protected area management activities.



PROTECTED AREAS

Protected areas in the Carpathian countries cover almost 9 million hectares of the most valuable and most beautiful land of the region. Many of the administrators of national and nature parks are members of the Carpathian Network of Protected Areas – CNPA - established within the Carpathian Convention, www.carpathianparks.org

PA4LP PROJECT

Protected Areas for a Living Planet project funded by the MAVA Foundation supports development of useful tools and guidelines for protected area managers from the Carpathian countries. Further more, several new projects were initiated and developed due to this project.



Why we are here

To stop the degradation of the planet's natural environment and to build a future in which humans live in harmony with nature.

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