World Heritage papers 40

Engaging Local Communities in Stewardship of World Heritage

A methodology based on the COMPACT experience

United Nations Educational, Scientific and Cultural Organization

World Heritage Convention

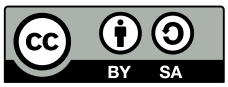
Engaging Local Communities in Stewardship of World Heritage

A methodology based on the COMPACT experience

Jessica Brown, IUCN-WCPA Protected Landscapes Specialist Group
and
Terence Hay-Edie, UNDP GEF Small Grants Programme

Published in 2014 by the United Nations Educational, Scientific and Cultural Organization
7, place de Fontenoy, 75352 Paris 07 SP, France

ISBN 978-92-3-100054-6



Authors:
Jessica Brown, Chair, IUCN-WCPA Protected Landscapes Specialist Group
Terence Hay-Edie, UNDP GEF Small Grants Programme
Supervision, editing and coordination:
Susanna Kari, UNESCO World Heritage Centre
Technical support:
Guy Debonnet, UNESCO World Heritage Centre
Bandiougou Diawara, UNESCO World Heritage Centre
Laura Frank, UNESCO World Heritage Centre
Copyediting and proofreading:
Caroline Lawrence
Coordination of the World Heritage Paper Series:
Vesna Vujicic-Lugassy, Conventions Common Services, Culture Sector, UNESCO

Cover photo: In the landscape of Mount Kilimanjaro, local organizations supported by COMPACT involve schoolchildren in tree-planting projects (Tanzania) © Vicky Antony

Original layout: Recto Verso
Realized by UNESCO/MSS/CLD/D
Composed and printed in the workshops of UNESCO
The printer is certified Imprim'Vert®, the French printing industry's environmental initiative.

Printed in France

Acknowledgements: This publication was made possible thanks to the support of the Government of Spain (AECID) and the Ministry of Education, Culture and Science of the Netherlands.

World Heritage Paper Series No. 40: http://whc.unesco.org/en/series/

Table of Contents

Foreword

There is a causal relationship between heritage, local people and their well-being. As a result of this bond, local communities and indigenous peoples are often committed custodians of World Heritage sites, where they play an important, and sometimes overlooked, role in the stewardship of the biocultural diversity of their environments.

In 2012, the World Heritage Convention celebrated its 40th anniversary. The year was also a landmark for highlighting the role of community engagement in World Heritage, providing the platform for a broad debate on heritage and society and setting the agenda for the following decade to ensure that World Heritage contributes to the overall sustainable development of societies. One of the processes that grew from these discussions is the sustainable development policy for the World Heritage Convention, as requested by the World Heritage Committee at its 36th session (Saint Petersburg, 2012). Local communities are at the heart of World Heritage site management and crucial for durable conservation efforts that contribute to sustainable livelihoods. Enhancing the role of these communities in World Heritage processes is therefore reflected by the World Heritage Committee in the Strategic Objectives for the implementation of the Convention.

To realize the full potential of people-centred conservation, global policy frameworks require concrete, on-the-ground efforts on which to build. Over a decade of partnership with the UNDP-implemented Global Environmental Facility Small Grants Programme, with support from the United Nations Foundation and involvement of UNESCO, the Community Management of Protected Areas Conservation (COMPACT) initiative has produced inspiring stories, a replicable methodology, and tangible conservation and livelihood benefits at several World Heritage sites around the world. Through this World Heritage paper, we draw from the COMPACT experience in community engagement in World Heritage, reflecting on its application at all stages of the World Heritage process, and provide practical options for heritage conservation and management to balance conservation and livelihood objectives.

The COMPACT methodology provides a series of field-tested and demonstrated best practices in successful and sustainable management of World Heritage. We hope this volume will be useful for World Heritage practitioners in replicating and adapting the COMPACT approach in and around World Heritage sites to achieve the full and effective participation of indigenous peoples and local communities in the work of the Convention, as well as the achievement of the UN Sustainable Development Goals to be agreed in 2015.

It is also our wish that this paper will provide inspiration to policy-makers and World Heritage stakeholders in the development of procedures, principles and recommendations that will encourage better alignment of heritage governance and operational procedures with sustainable development objectives, such as the respect of human rights, basic needs of local communities, and the safeguard of ecosystem services vital for human well-being.

Kishore Rao
Director
UNESCO World Heritage Centre

Nik Sekhran
Director, Sustainable Development
UNDP Bureau for Policy and Programme Support

Acknowledgements

The authors wish to thank the COMPACT Local Coordinators (Agnes Esprit, Fred Kihara, Khatary Mbaye, Julio Moure, Victoria Nderumaki, Faliarimino Rakotomanana, Leonel Requena, Mamadou Samba Sow and Bonifacio Tobias) and the Small Grants Programme National Coordinators in the countries hosting the eight initial COMPACT sites (Amadou Ba, Philip Balderamos, Nancy Chege, Agnes Esprit, Raul Murguia, Nehemiah Murusuri, Oumar Wane and Vololoniaina Rasoarimanana). Their years of dedicated work with communities are at the heart of COMPACT's successes and underpin the evolution of the methodology presented in this publication.

On behalf of the SGP we thank the partners and donors who supported the launch of COMPACT and its first decade of work at country level and globally, with special thanks to the United Nations Foundation and the Global Environmental Facility, as well as the UNDP country offices.

The UNESCO World Heritage Centre has been a partner in COMPACT since its inception and is now actively engaged in an exciting new phase of extending the model to other sites. Grateful appreciation is extended to other partners in this new phase, including the national authorities (for inviting and implementing COMPACT at their respective World Heritage sites), the International Union for Conservation of Nature (IUCN), the African World Heritage Fund (for partnership in the Africa Nature programme), the Oak Foundation (for support of COMPACT's community-based seascape work in the Belize Barrier Reef) and the Government of Norway (for support of extending COMPACT to the Rainforests of the Atsinanana World Heritage site in Madagascar). We also wish to thank the UNDP Country Office in Ethiopia which permitted the extension of the COMPACT approach to the Simien Mountains World Heritage site.

We collectively thank all the site managers who reviewed the COMPACT methodology as presented in this publication, and the SGP and UNESCO staff who co-hosted the workshops at Mount Cameroon and Mount Kenya, respectively. We also thank Nigel Crawhall, Vinaya Swaminathan, Fred Kihara and Faliarimino Rakotomanana, as well as colleagues at the World Heritage Centre, for reviewing the manuscript and providing their insights on the different World Heritage processes. Their role will be key in embedding community engagement into the daily management of World Heritage sites and into World Heritage processes in future.

Finally, the authors extend their sincere gratitude to the Government of Spain (AECID) and the Ministry of Education, Culture and Science of the Netherlands for their support of this publication and the extension of COMPACT to several World Heritage sites under the umbrella of the Africa Nature programme.

Preface

A number of policy and conceptual developments in the evolution of the World Heritage Convention, and in conservation generally over the past decade, set the stage for new approaches that engage indigenous peoples and local communities in stewardship of World Heritage. The inclusion of communities as one of the five Strategic Objectives in the implementation of the World Heritage Convention reflects an increasing demand for community engagement at all stages of the World Heritage process, and for rights-based approaches that link conservation and sustainable development. This trend is seen in other global instruments, such as the Convention on Biological Diversity Programme of Work on Protected Areas. The emergence of the governance concept in protected areas has provided an important framework for recognizing and supporting the vital role that indigenous peoples and local communities play in stewardship. Finally, an emphasis on achieving management effectiveness in protected areas, including World Heritage sites, has highlighted the need to forge strong partnerships with communities. In parallel with these global developments, there is growing recognition at national and site levels of the importance of involving indigenous peoples and local communities at all stages of the World Heritage process. There is a need for new tools and for opportunities to learn from best practice at site level.

This addition to the *World Heritage Paper Series* provides guidance and introduces tools for best practice in engaging indigenous peoples and local communities in stewardship of World Heritage. It draws on over a decade of experience of the Community Management of Protected Areas Conservation (COMPACT) initiative at eight natural World Heritage sites in countries of Africa, Latin America, the Caribbean and Asia, and on emerging experience at two new sites. COMPACT thus far has been a joint initiative of the Global Environmental Facility Small Grants Programme implemented by the United Nations Development Programme, and the United Nations Foundation, with partners including the UNESCO World Heritage Centre. Through extensive on-the-ground experience, and using a participatory methodology that takes a common systematic approach at the participating sites, COMPACT has developed an innovative model for engaging communities in conservation and shared governance of World Heritage sites and other globally significant protected areas. It offers a unique example of best practice in this area, tested at site level in eight very different settings representing a variety of geographical regions.

Based on the experience and methodology of COMPACT, this publication provides guidelines, illustrated with case-study experience from diverse regions. Recognizing the importance of community engagement throughout the life of a World Heritage site, it considers all stages of the World Heritage process – from nomination through to management, monitoring and reporting.

Chapter 1 ***Context*** – briefly reviews key conceptual and policy developments highlighting the need for new approaches that engage indigenous peoples and local communities in stewardship of World Heritage. Provides an introduction to the scope and structure of the publication.

Chapter 2 ***The COMPACT model*** – introduces the COMPACT initiative and its experience to date, laying out key elements of the model.

Chapter 3 ***Engaging communities in the nomination process*** – focuses on 'upstream engagement' of communities in the World Heritage process and on elements of the COMPACT methodology that can provide helpful tools during the nomination stage.

Chapter 4 ***Stewardship of World Heritage: management and governance*** – discusses tools for engaging communities in planning and adaptive management, governance structures that ensure broad participation, and capacity-building of communities for stewardship. Case studies present experience with facilitating community involvement in developing a site management plan and supporting projects through grant-making and complementary activities.

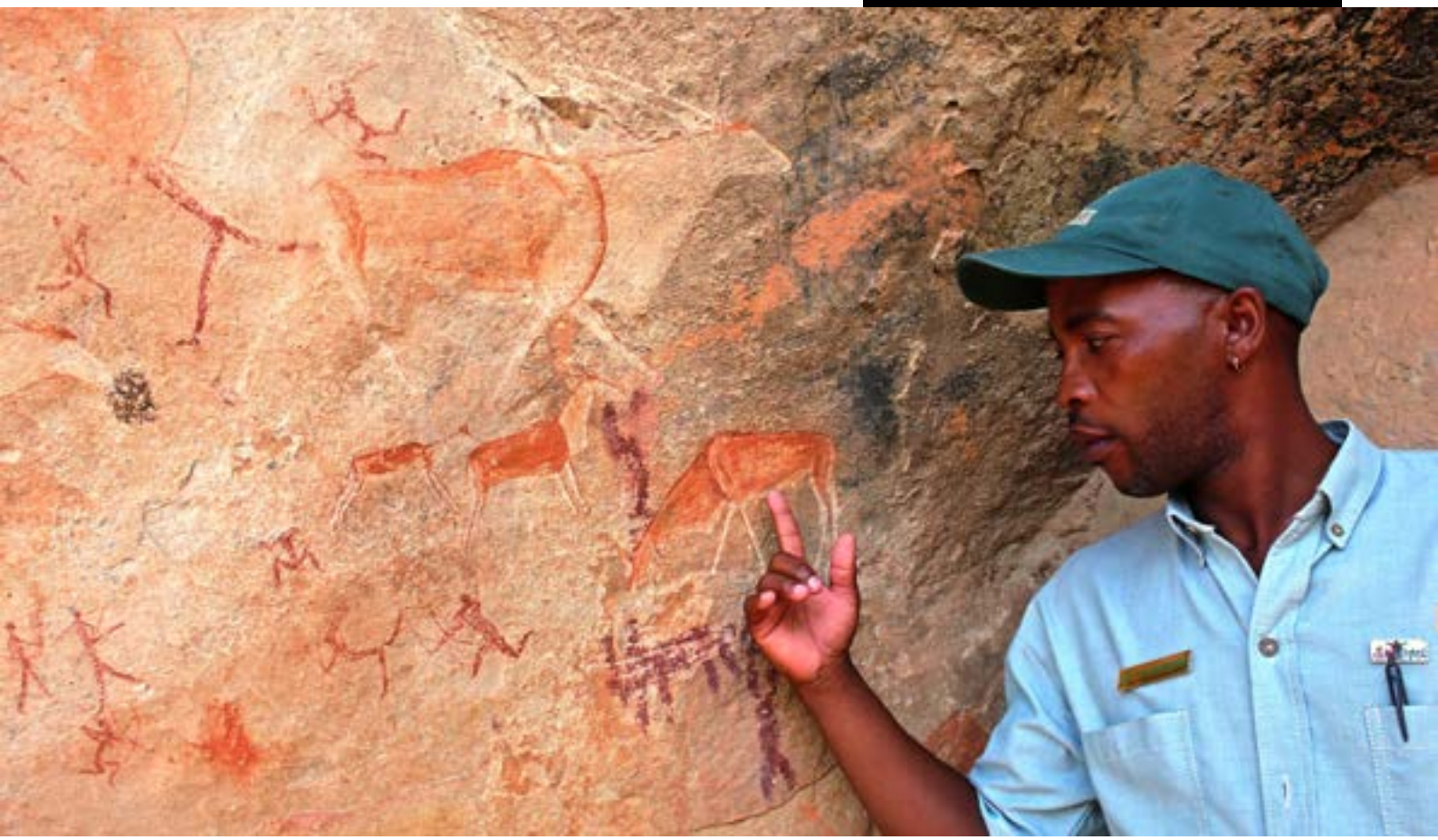
Chapter 5 ***Engaging communities in monitoring and reporting*** – explores approaches that can support community engagement in monitoring and reporting.

Chapter 6 ***Fostering synergy at landscape level: examples of project interventions*** – presents examples of initiatives that link improved conservation and enhanced community well-being, in thematic areas including watershed management, forest management, marine and coastal zones and governance.

Chapter 7 ***Looking ahead*** – discusses options for an evolving model, and reflects on lessons learned. Recognizing the potential value of the COMPACT model for other World Heritage sites, the SGP and the World Heritage Centre are now collaborating on a series of activities to support replication and/or adaptation of the COMPACT model in new sites, led by a range of different partners and with support from a variety of finance mechanisms.

1

Context



Maloti-Drakensberg Park (Lesotho/South Africa)
© OUR PLACE

1.1 Introduction

This World Heritage paper draws on over a decade of experience of the COMPACT initiative at eight natural World Heritage sites in countries of Africa, Latin America, the Caribbean and Asia, and on emerging experience at two new sites. Through extensive on-the-ground experience, and using a participatory methodology that takes a common systematic approach in the participating sites, COMPACT has developed an innovative model for engaging communities in conservation and shared governance of World Heritage sites and other globally significant protected areas. COMPACT offers a unique example of best practice in this area, tested at site level in very different settings representing a variety of geographical regions.

First launched in 2000, COMPACT thus far has been a joint initiative of the Global Environmental Facility Small Grants Programme (SGP) implemented by the United Nations Development Programme, and the United Nations Foundation, which at the outset provided substantial co-financing complementing the support provided by the SGP. The UNESCO World Heritage Centre is one of the founding partners of COMPACT, and its involvement over the past fourteen years has helped to ensure that COMPACT addresses the co-management priorities of communities within the governance models adopted by World Heritage sites. Recognizing the potential value of the COMPACT model for other World Heritage sites, the SGP and the UNESCO World Heritage Centre are now collaborating on a series of activities to support replication and/or adaptation of the COMPACT model in new sites, including a number of World Heritage sites in Africa.

Looking ahead, these new initiatives, based to varying degrees on the COMPACT model and methodology, will be led by different partners. Each new initiative will rely on a range of sustainable finance mechanisms, from sources that may include foundations, bilateral and multilateral aid agencies, national trust funds for protected areas, and other conservation-based finance mechanisms.

Based on the experience and methodology of COMPACT, this publication provides guidelines and introduces tools for best practice in engaging indigenous peoples and local communities in stewardship of World Heritage. Recognizing the importance of community engagement throughout the life of a World Heritage site, beginning with the earliest stages, it considers all stages of the World Heritage process – from nomination through to management, monitoring and reporting.

A companion publication to this World Heritage paper is an SGP benchmark publication entitled *COMPACT: Engaging Local Communities in Stewardship of World Heritage*[1] (Brown and Hay-Edie, 2013), which provides a compilation of case studies from each of the eight original sites. In addition, this paper connects closely with others in the series, in particular No. 23, *Enhancing our Heritage Toolkit: Assessing Management Effectiveness of Natural World Heritage Sites.*[2] Other publications that are referred to extensively here include *World Heritage: Benefits Beyond Borders*[3] (Galla, 2012) and the World Heritage Resource Manuals on *Preparing World Heritage Nominations*[4] and *Managing Natural World Heritage*,[5] respectively.

Because this paper is based primarily on the COMPACT experience (complemented by examples from other initiatives), the focus throughout is on those aspects of the World Heritage process where the COMPACT methodology has been tested on the ground, and can be most useful. Thus there is an emphasis on community engagement in management and governance at site level, through processes to facilitate broad participation, underpinned by demand-driven grant-making and other activities. Other aspects of the World Heritage process are treated more briefly. For example, while there are elements of the COMPACT methodology that can be useful for Periodic Reporting, there has been less experience to date in this area. Although the experience is drawn from the natural World Heritage sites, this publication also provides guidance for cultural sites wishing to engage communities in conservation and shared governance of World Heritage sites.

While it is beyond the scope of this paper to provide a full 'prescription' for how to address the many challenges of ensuring community engagement in World Heritage, it hopes to serve as a firm step in that direction. By drawing on the longitudinal experience of an initiative that has been tested in different geographies, it can offer guidance for how to make progress at site level in a diverse range of World Heritage sites. Ideally, the guidance offered here will be part of a longer-term, more comprehensive process within World Heritage to foster community engagement at all stages.

1 https://sgp.undp.org/images/Compact_Report_WEB_flat.pdf

2 http://whc.unesco.org/en/series/23/
3 http://whc.unesco.org/en/benefits-beyond-borders/
4 http://whc.unesco.org/en/activities/643/
5 http://whc.unesco.org/en/managing-natural-world-heritage/

1.2 Background

A number of policy and conceptual developments in the evolution of the World Heritage Convention, and in conservation generally over the past decade, set the stage for new approaches that engage indigenous peoples and local communities in stewardship of World Heritage. The inclusion of communities as one of the five Strategic Objectives in the implementation of the World Heritage Convention reflects an increasing demand for community engagement at all stages of the World Heritage process, and an emphasis on rights-based approaches that link conservation, sustainable development and protection of human rights. The same trend is seen in other global instruments, such as the Convention on Biological Diversity (CBD) Programme of Work on Protected Areas. The emergence of the governance concept in protected areas management has provided an important framework for recognizing and supporting the vital role that indigenous peoples and local communities play in stewardship. Finally, an emphasis on achieving management effectiveness in protected areas, including World Heritage sites, has highlighted the need to forge strong partnerships with communities.

In parallel with these global developments, there is growing recognition at national and site levels of the importance of involving indigenous peoples and local communities at all stages of the World Heritage process. It is now generally understood that, ideally, engagement should begin at the earliest stages from the time of considering Tentative Lists and preparing nominations; however specific guidance remains limited. The results of recent Periodic Reporting indicate that site managers are motivated to engage local communities in the conservation of their sites, but often struggle with how to put this into practice. There is a need for new tools and opportunities to learn from best practice at site level. This chapter briefly reviews some of the key developments that set the stage for this discussion.

The World Heritage Convention and communities

With the adoption of *Community* as the 'fifth C' in its Strategic Objectives (complementing objectives relate to *Credibility, Conservation, Capacity-building and Communication*), the World Heritage Convention has recognized the important role of indigenous peoples and local communities in conservation of World Heritage sites. This decision, taken at the 31st session of the World Heritage Committee in 2007 in New Zealand, reiterated the importance of local values as well as the principle of equitable sharing of the benefits arising from World Heritage inscriptions (Badman and Debonnet, 2013). It followed on other key developments in the Convention, including the 1995 revision of the *Operational Guidelines for the Implementation of the World Heritage Convention* (WHC, 2013*b*) specifying the participation of local people in the nomination process. In particular, Article 5(a) of the World Heritage Convention requests States Parties to adopt a general policy that aims to give the cultural and natural heritage a function in the life of the community and to integrate protection of the heritage into comprehensive planning programmes. Adoption of the fifth Strategic Objective was intended to ensure community involvement during the nomination stage and to minimize the potential conflicts arising from different stakeholders' interests, while supporting development of the community (Albert et al., 2012).

In 2013, the role of local communities in ensuring that World Heritage contributes to sustainable development was chosen by the World Heritage Committee as the central theme for the celebration of the 40th anniversary of the Convention (WHC, 2013*a*).[6] This theme highlighted the role that local communities and indigenous peoples have long played as custodians of many World Heritage sites, while also noting the important role the Convention can play in fostering local sustainable development. The Kyoto Vision, produced at the Closing Event of the anniversary year, outlines the achievements of the past forty years of the World Heritage Convention, and the importance of people-centred conservation of World Heritage. It concludes with a Call for Action to ensure effective involvement of local communities, indigenous peoples, experts and youth in all facets of World Heritage conservation, so that heritage conservation contributes to the sustainable development of the whole society (WHC, 2013*c*).[7]

Truly meeting the challenges posed by the fifth Strategic Objective regarding community engagement in the Convention will require enabling meaningful participation by indigenous peoples and local communities 'upstream' in the process of nomination, fostering their active involvement in conservation at site level, building their capacity (starting before nomination dossiers are finalized) and ensuring that sustainable development near World Heritage sites brings benefits to local communities. It will involve ensuring this participation in all phases of the World Heritage life cycle. UNESCO is now developing an indigenous peoples' policy, and has highlighted these issues in recent publications on topics relating to communities and sustainable development in World Heritage (e.g. Galla, 2012; Albert et al., 2012). In addition, the World Heritage Centre is currently developing a policy on sustainable development that provides an opportunity to effectively incorporate a rights-based approach into the Convention (Larsen et al., 2014).

6 http://whc.unesco.org/en/celebrating-40-years
7 http://whc.unesco.org/en/report-40th-Anniversary

However, progress to date has been uneven and many challenges remain to ensuring meaningful participation in the nomination process and site management, as highlighted in a review by the International Union for Conservation of Nature (IUCN) of communities and rights within World Heritage (Larsen, 2012). At the same time, civil society organizations have been pointing out that the Convention could still do more to identify and recognize the cultural values, as well as the rights, of local communities and indigenous peoples under international instruments, including the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP)[8] (Te Heuheu et al., 2012). Further, there are concerns about the exclusion of indigenous peoples and local communities from Convention processes. While there are sites that embody best practice in this area, there are other cases where issues include lack of consultation during the nomination and/or management planning stages, restrictions on traditional practices, and inadequate frameworks for participation and benefit-sharing in management processes.

Taking a rights-based approach to World Heritage is in keeping with the exemplary function of World Heritage sites as conservation models (Disko, 2012), but many challenges remain. One positive step towards addressing these challenges has been the Our Common Dignity initiative, a collaborative programme of the three Advisory Bodies to the World Heritage Convention – ICCROM (International Centre for the Study of the Preservation and Restoration of Cultural Property), ICOMOS (International Council on Monuments and Sites), IUCN (International Union for Conservation of Nature) – in consultation with the World Heritage Centre, to increase understanding and identify effective approaches to clarifying the rights dimension in World Heritage. Launched in 2011, the project seeks to promote the application of 'good practice' approaches to rights and their enabling conditions in relation to World Heritage, and to develop and recommend possible tools that would assist the work of the Advisory Bodies, in order to ensure rights issues are appropriately considered (Larsen et al., 2014).

8 Entering into a UN treaty such as UNDRIP requires harmonization between national approaches to recognition and international norms and standards.

Children in a village in south-west Madagascar
© Jessica Brown

Tongariro National Park (New Zealand)
© OUR PLACE

Evolution of the World Heritage Convention

Another important development relating to expanded community involvement in World Heritage has been the 1992 inclusion of the Cultural Landscapes category within the framework of the Convention. The revision of the World Heritage *Operational Guidelines* (WHC, 2013*b*) to include this category, recognizing outstanding examples of the 'combined works of nature and man', created a new opportunity to inscribe sites that embody the interactions between humans and nature, and contain diverse tangible and intangible values (Rössler, 2003; Phillips, 2005; Finke, 2013). It was an important milestone, allowing for recognition of indigenous values as they relate to the landscape, and bringing better balance to the World Heritage List (Te Heuheu et al., 2012).

Over the past two decades, eighty-six cultural landscapes worldwide have been inscribed on the World Heritage List.[9] From the first nominations of cultural landscapes (and re-nominations, as in the cases of Tongariro and Uluru-Kata Tjuta National Parks in New Zealand and Australia, respectively), issues of community involvement have been central and increasingly evident in inscriptions and evaluations (Rössler, 2012). Guidance on community participation is set out in standard-setting publications such as the Burra Charter (ICOMOS Australia, 1999) and in publications of the UNESCO World Heritage Centre, such as its handbook for conservation and management of World Heritage cultural landscapes (World Heritage Paper No. 26). In recent years, indigenous peoples and local communities have begun to play a growing role in the nomination process and, increasingly, the World Heritage Committee is recognizing sites that are managed by and/or in collaboration with communities (Rössler, 2012). At the same time, evaluation of cultural landscapes poses distinct challenges. Increasingly, these new designations must seek to bridge the separation between cultural and natural values, as well as between Outstanding Universal Value (OUV) and those values that are locally held by contemporary communities. Also, new standards are evolving for the *linkages* between the cultural and natural (Larsen, 2012).

9 http://whc.unesco.org/en/culturallandscape/

Protected areas management and governance: recent conceptual and policy developments

In parallel with these milestones in World Heritage have been key conceptual and policy developments in the broader field of protected areas planning, management and governance. These developments have led to broader acceptance and formal recognition of collaborative and community governance of protected areas, and of the importance of rights-based approaches to conservation that seek to secure the human rights of the affected people.[10] They further support greater integration of natural and cultural values, and set the stage for strategies that reach beyond the existing boundaries of protected areas into the broader landscape. Detailed in recent articles (e.g. Kothari et al., 2013; Brown, 2015) and summarized briefly here, they support the engagement of communities in heritage conservation and, more generally, the application of a landscape approach in protected areas policy and practice. These developments have implications for all protected areas worldwide, including those recognized as World Heritage sites.

The 5th World Parks Congress in 2003 (Durban, South Africa) was a watershed event in the global debate about the role of protected areas in society, producing the Durban Accord, which enshrined the rights and responsibilities of indigenous peoples and local communities, and raised the profile of diverse governance regimes, in particular those involving collaborative and community governance (Brown and Kothari, 2011). Convened by IUCN once a decade, the World Parks Congress is a premier global convening on protected areas, reviewing current status and setting the agenda for protected areas conservation for the decade to come. At the 5th World Parks Congress in 2003 the role of communities in creating and managing protected areas was, for the first time, a central part of the debate, launching

10 For further information, see IUCN's portal on Rights-Based Approach to Conservation: www.rights-based-approach.org.

significant work on the theme of governance.[11] The Congress also produced a 'Message to the Convention on Biological Diversity', with specific recommendations on the involvement of indigenous peoples and local communities and rights-based approaches to conservation.

In an important development, these points were subsequently taken up in the Convention on Biological Diversity Programme of Work on Protected Areas (POWPA), thus helping to shape policy in the countries that are signatories to the CBD (Kothari et al., 2013).[12]As a result, the POWPA incorporates a major element concerned with governance, participation and equity. It sets targets for equitable sharing of costs and benefits arising from protected areas, and for ensuring full and effective participation by indigenous peoples and local communities in their establishment and management. Further developments include adoption of Article 8(j), the portion of the CBD concerned with traditional knowledge systems and practices, and Article 10(c) with components relating to customary sustainable use of biodiversity. Ongoing work by an ad hoc working group in this area supports activities to build knowledge networks, support capacity development and integrate the traditional knowledge and customary practices of indigenous peoples and local communities into the science-based work of the CBD.[13]

Also during 2007, the UN General Assembly adopted the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP), a comprehensive human rights instrument that provides a strong basis for the involvement of indigenous peoples in all forms of conservation and development (Kothari et al., 2013). It has been argued in World Heritage Paper No. 31 that UNDRIP can serve as the normative basis for adopting a rights-based approach to meeting the fifth Strategic Objective of the World Heritage Convention relating to community involvement, in keeping with UNESCO's obligation to further universal human rights (Disko, 2012).

In 2008, the IUCN World Commission on Protected Areas (WCPA) produced a revised set of guidelines for its protected area management categories, following a year-long process of review and debate that included a summit of practitioners from diverse regions and perspectives (Dudley and Stolton, 2008). This process resulted in an updated schema of the six management categories,[14] and a more precise and arguably more inclusive definition of protected areas as *--a clearly defined geographical space, recognized, dedicated and managed, through legal or other effective means, to achieve the long-term conservation of nature with associated ecosystem services and cultural values* (Dudley, 2008, p. 8). A key phrase in this definition is 'through legal and other effective means'. In other words, protected areas may include not only those places designated by governments *de jure*, but also places protected by other 'effective means', including by communities and private entities. It is important to note that, while nature conservation has primacy in the IUCN definition, cultural values are also included in the updated definition.

In a significant conceptual development, the six IUCN protected area management categories are now set in a cross-cutting framework of governance types. In other words, it is now widely understood that a protected area of any type (or category) – from a strict nature reserve to an extractive reserve – can be found under any of the four governance regimes. The use of this protected area matrix as a typology has helped to enhance the recognition that robust national systems of protected areas can and should draw on all the different management categories and all the different governance options (Borrini-Feyerabend et al., 2013; Dudley, 2008). Countries are now encouraged to expand their national systems by incorporating the full range of governance types as well as the full range of protected area categories (Kothari et al., 2013). This point was underscored by IUCN at its Vth World Conservation Congress in 2012 when it adopted a policy resolution recommending that a range of protected area governance types should contribute to meeting CBD Aichi Target 11, which calls for the expansion of conservation areas of importance for biodiversity conservation and ecosystem services.[15] This approach to conservation planning reflects a trend away from treating protected areas as islands, and towards achieving connectivity in the broader landscape and seascape (Brown, 2015).

Governance

The emergence of a framework for governance has been a signal development in conservation, opening the door to recognizing protected areas created and cared for by a diverse array of stewards (Brown, 2015). While the conventional view of protected areas has been as places that are created and managed by governments, it is now becoming widely understood by practitioners globally that they can also be collaboratively managed, or created and managed by communities and individuals in diverse arrangements. Governance is concerned with who holds authority and

11 The 6th World Parks Congress will take place in Sydney (Australia) in November 2014, building on the theme 'Parks, people, planet: inspiring solutions'. It will have as one of its three priority objectives 'to position protected areas within goals of economic and community well-being'. Its eight thematic streams will include 'Enhancing the Diversity and Quality of Governance,' and 'Respecting Indigenous and Traditional Knowledge and Culture.' http://worldparkscongress.org/

12 The Convention on Biological Diversity is an international treaty for the conservation of biodiversity, the sustainable use of components of biodiversity, and the equitable sharing of the benefits derived from the use of genetic resources. With 193 parties, the Convention has near universal participation among countries.

13 http://www.cbd.int/traditional/

14 For more on the six management categories, their definitions and objectives, see Dudley (2008).

15 Aichi Biodiversity Targets: http://www.cbd.int/sp/targets/

responsibility and can be held accountable for the key decisions for a protected area according to legal, customary or otherwise legitimate means (Borrini-Feyerabend et al., 2013). The wide array of possible governance arrangements can be grouped together as four major types: governance by government; shared governance; governance by private actors; and governance by indigenous peoples and local communities.

Alongside the fact that governance is now embedded in global conservation policy, in particular, in many elements of the Convention on Biological Diversity,[16] there are a number of other reasons why issues of governance are ascendant. Governance is a key variable in determining important social and environmental outcomes such as, for example, the extent of protected area coverage, enabling governments to meet their obligations under the CBD; the effectiveness of management of protected areas; the appropriateness and equity of decisions, and maximization of the ecological, social, economic, and cultural benefits of protected areas (ibid.). Ensuring effective and equitable governance of protected areas is key to resolving potential and existing conflicts and to ensuring management effectiveness in the long run.

16 For example, COP 7 Decision VII/28 on the Programme of Work on Protected Areas: www.cbd.org.

Management effectiveness of protected areas

The last decade has seen growing recognition of the importance of ensuring effective management of protected areas. This comes in response to concerns among protected area professionals, including those involved with World Heritage sites, that many protected areas are failing to achieve their objectives and may be losing the values for which they were established. Just as designation of protected areas does not ensure their effective management and protection, so it is with World Heritage sites, as observed by Hockings et al. (2008, p. 8):

'Inclusion of sites on the World Heritage list is an important step in ensuring their protection but does not, on its own, guarantee that the sites will meet the commitment to protection, conservation, presentation and transmission to future generations that designation as World Heritage entails. Despite the best efforts of countries, many World Heritage sites remain under pressure.'

Thus, assessing and improving management effectiveness is seen as a priority in the conservation field, increasingly required by national governments and in international instruments such as the CBD, which in its 2004 Programme of Work on Protected Areas set targets for countries to implement management effectiveness assessments of portions of their national protected area systems (Hockings et al., 2008).

A community meeting in Coron Island (Philippines) © Grazia Borrini-Feyerabend

A ranger with the Toledo Institute for Development and Environment indicates a marine reserve on a map of the Belize Barrier Reef Reserve System (Belize)
© Brent Mitchell

The IUCN-WCPA has developed a framework for assessing management effectiveness of protected areas that is widely accepted as an international standard for best practice. Based on this framework, in 2008, the World Heritage Centre and IUCN-WCPA produced the *Enhancing our Heritage Toolkit* (ibid.) to provide managers with guidance, tools and an adaptive approach to improving management effectiveness of natural World Heritage sites.

The management effectiveness framework described in the *Enhancing our Heritage Toolkit* recognizes the role of indigenous peoples and local communities in the process and acknowledges many of the issues affecting communities living near or within World Heritage sites. Accordingly, community involvement is specified at key steps in the management effectiveness assessment process, such as identifying site values, ranking threats, identifying stakeholder relationships and developing the management plan for the site. The *Enhancing our Heritage Toolkit* includes questions on the extent to which the site design contributes to community well-being, and whether the management plan takes into account the needs and interest of indigenous peoples and local communities living in or around the site. At the same time, there is a need for further guidance on how to integrate community concerns into the management effectiveness assessment, ensuring participation in each of the stages. In addition, once the assessment process is completed, and needs identified, experience from other sites can be helpful in developing initiatives that link improved conservation and enhanced community well-being.

The growing body of work on protected area management effectiveness clearly articulates the linkages between management and governance. As Hockings et al. (2008) note, protected areas managers working at site and systems levels may at first find the relationship between management and governance challenging. However, as they explore these connections in practice, they are often encouraged by the outcomes and begin to appreciate and promote the synergies between these two different and interlocking sets of methodologies, norms and standards. Thus, achieving protected area management effectiveness and ensuring governance that is equitable and effective are mutually reinforcing goals.

2

The COMPACT model

COMPACT local coordinator consults with representatives of a community organization during a site visit in south-west Madagascar
© Jessica Brown

2.1 Introduction

The Community Management of Protected Areas Conservation Programme (COMPACT) is an innovative model for engaging communities in conservation and shared governance of World Heritage sites and other protected areas. Since the year 2000, COMPACT has been working with communities near eight current/proposed World Heritage sites in nine countries of Africa, Asia, Meso-America and the Caribbean. Through extensive on-the-ground experience, and using a participatory methodology that takes a common systematic approach in the participating sites, COMPACT has been refining its model across a wide range of ecological and socio-economic situations. It has been adapting and ground-truthing the proposition that 'community-based initiatives can significantly increase the effectiveness of biodiversity conservation in World Heritage sites while helping to improve the livelihoods of local people'. A direct response to the 'fifth C' in World Heritage, COMPACT's experience can offer helpful guidance in meeting the challenges of working effectively with communities in and around World Heritage sites.

COMPACT works at the level of protected landscapes, including natural World Heritage sites and overlapping Biosphere Reserves, and the larger landscapes in which these protected areas are located. Several of its target landscapes include other globally recognized protected areas, such as Ramsar sites. Many encompass an array of governance types, including co-managed protected areas, privately protected areas,[17] and indigenous peoples' and local community-conserved territories and areas (ICCAs). With an emphasis on complementing and adding value to existing conservation programmes, COMPACT uses small grants to support clusters of community-based activities that are intended to strengthen biodiversity conservation in and around these protected areas. It complements this support with capacity-building, exchange and networking to strengthen these local groups and their impacts across the landscape and seascape. The role of a Local Coordinator, working at site level and supported by a multi-stakeholder Local Consultative Body, is key to animating and facilitating community engagement.

This chapter introduces the COMPACT initiative and its work to date in eight World Heritage sites, reflecting on lessons learned from this experience. It briefly reviews the background to COMPACT's establishment, key principles of the COMPACT approach, and elements of the COMPACT model, illustrated with examples from the different sites. Because COMPACT's experience serves as the main reference point for this paper, the chapters that follow also include short case studies from the COMPACT sites, offering further insight into how the model has been implemented in diverse settings.

For easy reference, Figure 1 is used to structure the COMPACT methodology as presented in this paper. In reality, due to its holistic nature, the different components of COMPACT are closely integrated and interdependent. They are also cross cutting among the different World Heritage processes, divided here roughly between nominations, management and governance as well as monitoring and reporting.

17 While the term 'private protected areas' is frequently used, 'privately protected area' is being introduced to more clearly reflect private governance/management for public benefit.

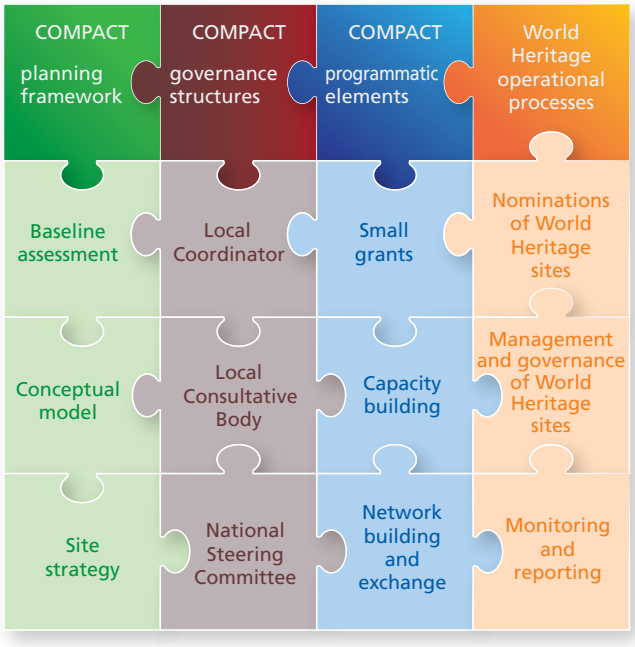


Figure 1: COMPACT methodology

2.2 Background and scope

COMPACT was launched in 2000 as an integral element of the SGP, with a fifteen-year vision of supporting community empowerment and sustainability for selected natural UNESCO World Heritage sites and overlapping Biosphere Reserves. The United Nations Foundation was a key partner in supporting COMPACT, providing UNDP with US$6 million in co-financing to leverage over US$10 million in existing

Silk Cayes, Belize Barrier Reef Reserve System (Belize)
© David Comb

GEF grant investments delivered through the SGP delivery mechanism in the eight target sites. Currently active in 129 countries, the SGP channels financial and technical support directly to community-based organizations, non-governmental organizations, and indigenous peoples' organizations in developing countries for activities that conserve and restore the environment while enhancing people's well-being and livelihoods.[18]

To date, COMPACT has developed over three phases. In its first phase (running from 2000 to 2004) the SGP initiated COMPACT programmes at six World Heritage sites recognized by UNESCO for their Outstanding Universal Value and globally significant biodiversity. COMPACT sought to replicate the existing SGP model, but at landscape rather than national level, providing small grants to support clusters of community-based activities intended to strengthen biodiversity conservation in and around the target World Heritage sites. During its second phase (running from 2005 to 2013), and with continued support from the United Nations Foundation, COMPACT consolidated its focus with the addition of two additional globally significant protected area clusters, bringing the number of participating sites to eight:

- Belize Barrier Reef Reserve System, Belize
- Morne Trois Pitons National Park, Dominica
- Mount Kenya National Park/Natural Forest, Kenya
- Sian Ka'an Biosphere Reserve, Mexico
- Puerto-Princesa Subterranean River National Park, Philippines
- Kilimanjaro National Park, United Republic of Tanzania
- Djoudj-Djawling Transboundary Biosphere Reserve and World Heritage site, Senegal / Mauritania
- Cluster of five protected areas in south-west Madagascar included as 'dry forests' in the national Tentative List.

The third phase (beginning in late 2013) has focused on replication and adaptation of the COMPACT model in new landscapes, at the initiative of managers and other partners at site level. Thus far the focus has been on countries of Africa, with new COMPACT initiatives having recently been started at sites including Simien National Park (Ethiopia), Sangha Trinational (a transboundary site encompassing protected areas in Cameroon, the Central African Republic and the Congo), and two national parks within the Rainforests of the Atsinanana World Heritage site (Madagascar).

Criteria for selection of sites

When COMPACT was first launched, it sought to build on the decision-making structure and delivery mechanisms of the SGP, and to customize these at landscape level for the target protected areas. In the first phases of COMPACT, an important consideration in site selection was the presence of a strong SGP country programme, as well as a UNDP country office that could provide active support as needed. While future initiatives based on the COMPACT model will likely be conducted not only by the SGP but also other organizations, the original selection criteria are still relevant in the selection of new sites (see Box 1).

Rainforests of the Atsinanana (Madagascar)
© OUR PLACE

18 For more information on the SGP, see https://sgp.undp.org/

Box 1: Selection criteria for COMPACT sites

Areas that are good candidates for a programme based on the COMPACT model typically have:

- a natural World Heritage site and/or Biosphere Reserve and/or Ramsar site (and clear indications that the government endorses the existence of this site and its designation);
- a tractable set of protected area management issues and dynamics with local communities;
- good opportunities to complement planned and existing conservation efforts;
- appropriate partner NGOs and community organizations:
- clearly expressed desire for the project among government, NGOs, community organizations and other key stakeholders; and
- strong potential for complementary work with other donors, including co-financing of projects.

The socio-economic contexts of the eight protected areas originally selected for COMPACT programmes have varied, but have included many common features. Issues faced in these sites have included *inter alia* the following: food insecurity; poor infrastructure; limited access to markets for local products; uncertain land tenure; pressures on resources including water, soil, forests and fisheries; loss of terrestrial and marine biodiversity. While the UNESCO-listed heritage landscapes are generally rich in cultural diversity, they also face challenges including the erosion of cultural identity, indigenous languages and traditional knowledge (TK) systems. Similarly, while local communities have many assets relating to social capital, challenges include lack of organizational capacity, lack of access to educational opportunities, and outmigration of young people from rural areas.

World Heritage and sustainable development

At its inception, COMPACT was established as a 'structured experiment' to contribute to the discussion on the relative merits of Integrated Conservation and Development Projects (ICDPs). In this regard, COMPACT has sought to foster the engagement of local communities in the stewardship of World Heritage sites while responding to a number of challenges facing protected areas in diverse settings (i.e. mountains, islands, marine and coastal areas, forests, as well as living cultural landscapes). It sought to address the need for on-the-ground experience demonstrating linkages between improving local livelihoods and enhancing biodiversity conservation.

The term ICDP is used to describe a wide range of initiatives that share the common goal of linking biodiversity conservation in protected areas with meeting local, social and economic development goals (Wells et al., 1999). At the time when COMPACT was first designed, ICDPs were widely seen to offer much potential for addressing these diverse goals, but the model was also coming under increasing scrutiny (MacKinnon, 2001; Wells et al., 2004). It was becoming evident that experience with the actual implementation of this concept was lacking. Thus a key goal for COMPACT at the outset was to examine whether the ICDP concept could be implemented over a time period sufficient to address the capacity development and empowerment needs of local communities (Hay-Edie et al., 2004).

Addressing other challenges facing protected areas

In addition, COMPACT sought to respond to a number of important challenges facing protected areas at global level:

- Conservation across large landscapes (and seascapes), which encompass a mosaic of land uses and activities, requires working with a diverse range of communities and resource-users (Brown et al., 2005). It is essential to develop constructive ways of engaging local stakeholders in the conservation and sustainable use of biodiversity in and around protected areas.

- Biodiversity conservation initiatives – in particular those linked to protected areas – are under increasing pressure to demonstrate how they can contribute to sustainable development and poverty alleviation, in particular as a contribution to meeting targets set by the 2015 Millennium Development Goals.[19]

- Many World Heritage sites, despite the international recognition of their Outstanding Universal Value, are often better known globally than locally. While World Heritage designation brings 'the eyes of the world' to the site, its potential to bring sustainable development for local populations is often not fully understood nor applied.

- With the addition of 'Community' as the fifth Strategic Objective of World Heritage Convention, new emphasis has been placed on the importance of local values, alongside Outstanding Universal Value, and on the

19 http://www.un.org/millenniumgoals/

need for further bridging between the World Heritage system and indigenous peoples and local communities (Te Heuheu et al., 2012).

To this end, COMPACT was established with the vision that World Heritage sites, as priority conservation areas for humankind, could provide an ideal framework for boosting cooperation between intergovernmental agencies, governments and civil society in order to halt or reverse critical threats to biodiversity, while simultaneously contributing to poverty reduction and community empowerment. Within this broader debate on the wider socio-economic role of protected areas, COMPACT has addressed the challenges of conserving biodiversity at relatively large ecosystem and landscape scales, working with a diverse range of communities and stakeholders across a mosaic of land uses.

COMPACT and sustainable finance

When the SGP launched COMPACT in 2000 it had secured substantial co-financing in the form of a grant from the United Nations Foundation. The SGP matched this foundation funding with GEF funding available for small grants at country level. This commitment of funds over a multi-year period enabled the SGP, as the implementing agency, to pilot the COMPACT model in different regions. After five years the partnership with the United Nations Foundation was renewed for a second phase, making it possible for COMPACT to make a long-term commitment at each of the project sites. In the decade since, each COMPACT programme has been able to leverage substantial co-financing for its partners, from sources such as foundations, national and regional agencies, and other actors working in the same landscape/seascape.

As the COMPACT model extends to new sites and countries, different institutions will take the lead, and the options for finance will vary according to the context. However, regardless of the setting, an important first step will be to secure initial funding and to identify potential donors, with the aim of building a broad base of support. Potential sources in a strategy for sustainable finance include foundations, bilateral and multilateral aid agencies and national trust funds. Meeting the challenge of developing a strategy for sustainable finance is discussed in more detail in Chapter 4.

2.3 The COMPACT methodology: rooted in science, highly participatory

Adaptively managed over a decade of work, the COMPACT model has been tested in a wide range of ecological and socio-economic situations. Rooted in a common approach, the methodology is designed to be highly participatory, seeking to engage local people and protected area stakeholders in consultation throughout the process (Brown and Hay-Edie, 2013). Key principles of COMPACT are presented in Box 2.

Box 2: Key principles of COMPACT's community-driven approach

While the frameworks for community participation differ from site to site, one of the common elements across all COMPACT programmes is the emphasis on ensuring the involvement of a diverse array of actors in planning. Among the key principles that underpin COMPACT's approach to engaging local communities in stewardship of World Heritage landscapes and seascapes are these:

- ***The importance of ownership and responsibility*** – global environmental problems can best be addressed if local people are involved in governance and management of landscapes/seascapes and there are direct community benefits and ownership.
- ***The crucial role of social capital*** – thoughtful investment in local institutions and individuals can help to build the capacity of communities for stewardship of their environments.
- ***Sharing power*** – supporting community-led initiatives requires trust, flexibility and patience. Transparent processes and broad public participation are key to ensuring community engagement and strengthening civil society.
- ***The cost-effectiveness of small grants*** – with small amounts of funding members of local communities can undertake activities that will make a significant difference in their lives and environments that cumulatively generate global environmental benefits.
- ***Making a commitment over time*** – community-driven processes take time and require a long-term commitment of support.

Built on the principles of 'sharing power' and co-management, COMPACT has developed in tandem and alongside the emergence of the cross-cutting concept of governance in the field of protected areas (Borrini-Feyerabend et al., 2004; Dudley, 2008; Borrini-Feyerabend et al., 2013), and an accompanying shift towards community-led governance, as seen in the growing recognition of the important role that indigenous peoples' and local community-conserved territories and areas (ICCAs) play in the global conservation debate (Kothari et al., 2013).

The COMPACT methodology relies on three closely linked core elements that underlie its framework for planning and implementation. These COMPACT planning frameworks are the baseline assessment, conceptual model and site strategy, introduced in further detail in this chapter, and discussed in subsequent chapters as they relate to stages of the World Heritage process.

This approach was designed to give considerable flexibility to local decision-makers while ensuring rigour, so that the overall goals of the conservation of globally significant biodiversity remain clearly in focus. Each element is participatory and depends on consultation with local people and other stakeholders throughout the process. While the planning frameworks are an essential part of the COMPACT model, they should not be seen as an end in themselves. Participation is essential, but COMPACT is about more than just consultation. At its core, is a demand-driven grant-making programme, complemented by capacity-building, exchange and networking activities and oriented around thematic areas of work.

Taking a landscape approach

Working across sometimes quite large geographical areas, COMPACT has taken a landscape approach – one based on supporting local communities in their stewardship of protected areas and the broader landscape/seascape. Such an approach involves embracing complexity, recognizing that:

- the cultural and natural values of landscapes are linked;
- landscapes encompass tangible and intangible heritage, history and present-day uses; and
- indigenous and local communities have long been at the heart of shaping these landscapes and are often their present-day stewards (Brown et al., 2005).

In each of its target sites, COMPACT takes a landscape approach that supports local communities in stewardship (Madagascar)
© Jessica Brown

Members of a local organization describe conservation projects in their community near Djoudj National Bird Sanctuary (Senegal)
© Jessica Brown

In the COMPACT methodology, taking a landscape approach also refers to scale, recognizing that conservation is most effective at the level of ecosystems and large landscape. 'Taking conservation to scale' relies on achieving connectivity among habitats and ecosystems. It requires reaching beyond the boundaries of the protected areas, recognizing the important linkages between the World Heritage site and the broader landscape, including buffer zones (Martin and Piatti, 2008). In this vision, areas under community and private governance play a crucial role, alongside government-protected areas, in achieving connectivity across the landscape/seascape.

Adaptive management

In the COMPACT model the three planning frameworks – the baseline assessment, the conceptual model and the site strategy – guide the grant-giving programme in the landscape surrounding the World Heritage site, while providing the basis for future monitoring and evaluation (Brown and Hay-Edie, 2013). By using a conceptual model it is possible to review the methodology and baseline conditions periodically and to adapt the site strategy according to changing needs and opportunities. This adaptive management approach[20] reflects current Theory of Change thinking in which a logical model and mapping of anticipated results is combined with reflection and analysis that, in turn, shape future stages of the project (Vogel, 2012; James, 2011). The Appendix illustrates an example of an adaptive management cycle created by the Conservation Measures Partnership.

Consistent with key elements of the Theory of Change concept (see Box 13), the COMPACT planning frameworks provide the means to analyse the context of the given site, explore assumptions, frame a hypothesis, and assess evidence within a feedback process that continually shapes the approach going forward. The hypothesis that COMPACT has been testing over the course of thirteen years in diverse settings is as follows:

> *Community-based initiatives can significantly increase the effectiveness of biodiversity conservation in World Heritage sites while helping to improve the livelihoods of local people.*

Over time COMPACT's planning frameworks have evolved with the addition of new techniques to strengthen the application of the three-pronged field methodology. One important innovation has been the adoption of the Conservation Measurement Partnership's *Open Standards for the Practice of Conservation* to guide project design, management and monitoring (see Appendix for a more comprehensive description). In fact, COMPACT was one of the first initiatives to take on board the *Open Standards* methodology and apply it to a protected area context. In the second phase of COMPACT staff received training

20 Adaptive management is a structured, iterative process of robust decision-making in the face of uncertainty, with an aim to reducing uncertainty over time via system monitoring.

in interactive methods (such as sticky boards and note-cards that can be used to guide project planning), as well as in a computer software tool called *Miradi* to assist with conceptual modelling. This investment in capacity development has strengthened the adaptive management of COMPACT initiatives on the ground, while also having a multiplier effect through the extension of these planning methods to COMPACT partners who have participated in training and coaching opportunities.

2.4 Planning frameworks

This section briefly introduces the planning frameworks as they have been developed and refined during over a decade of work by COMPACT. These are:

- **Baseline assessment** – Providing a 'snapshot' of the site in order to analyse emerging trends, and serving as a basis for future monitoring and evaluation;
- **Conceptual model** – A diagrammatic tool documenting site-level processes, threats and opportunities believed to impact biodiversity conservation in the area;
- **Site strategy** – Providing an important framework for the allocation of resources; implementation of grants and other activities; and assessment of results.

In the following chapters the application of these and other tools are explored as they relate to the three basic phases in the life of a World Heritage site.

Baseline assessment

One of the first steps in the consultation process at each participating site is the baseline assessment, a rapid initial overview of the situation at site level. The COMPACT team works closely with key stakeholders and local institutions to conduct this assessment, which documents the current knowledge about the biodiversity status and trends in and around each site. The baseline assessment helps to frame conservation objectives and to identify activities and interactions affecting the site and its management (see Box 3). Socio-economic, institutional and cultural questions are also explored, such as the livelihood sources for local communities and the capacities of local and national organizations. Steps in the process include defining the mission, identifying key stakeholders and potential partners, and assessing local site conditions.

In order to ensure active participation, the COMPACT team holds consultations throughout the process, and the results of the baseline assessments are discussed and finalized with stakeholders through regular meetings. Typically, these initial consultations begin to facilitate dialogue that continues through future phases of the COMPACT programme. Once completed, each baseline assessment provides a 'snapshot' of the site useful in analysing emerging trends.

Chapter 3 provides further information on conducting a baseline assessment.

Box 3: Information to be gathered during the baseline assessment

Reviewing and compiling information about the site is important in order to develop a strong conceptual model that will guide project planning and provide the basis for deciding on the priority areas for intervention. Selectively gathering and reviewing existing information will increase the chances that project activities are rooted in reality and do not duplicate previous work projects' mistakes. To develop a complete picture of the site conditions, information on the following topics should be identified, understood and documented:

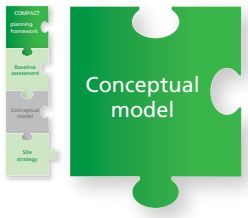
- biodiversity in and around the protected area;
- protected area establishment and management;
- conservation objectives and protected area management arrangements;
- people in and around the protected area and relationships with local communities;
- local land and resource use patterns and trends;
- economic activities;
- protected area stakeholders, rightsholders and duty-bearers;
- existing programmes and current and potential partners; and
- threats to biodiversity and their causes.

Box 4: Conducting baseline assessments in Kenya, Tanzania and Belize

In the case of the Mount Kenya World Heritage site, in order to improve its baseline assessment and monitoring systems, COMPACT worked with an array of partners, including the Kenya Wildlife Service and UNEP, to conduct aerial surveys of the Mount Kenya landscape . The surveys noted the locations of degraded areas using Global Positioning Systems (GPS), making it possible to track their condition over time. A similar process was followed at Mount Kilimanjaro (see Case Study 6, p. 44), where an aerial survey revealed the extent of threats to forest cover on the mountain, which is an important water tower for communities in the surrounding landscape.

When COMPACT conducted a baseline assessment of the Belize Barrier Reef Reserve System (BBRRS) it gathered information from a variety of sources, including studies of the marine protected areas and the barrier reef system, research reports and management documents, as well as through interviews with key agencies responsible for management of the biodiversity of the BBRRS World Heritage site. A key component of the baseline assessment in Belize was a rapid community assessment exercise, based on the methodology of Participatory Rural Appraisal (Chambers, 1994), conducted in selected coastal communities to complement the findings of the baseline assessment. Through personal interviews and focus group discussions the community assessment helped to gauge the level of knowledge within local communities regarding the marine protected areas and the World Heritage site. It also looked at the relationship of the local communities to the biodiversity of the protected areas, including local perceptions of biodiversity status and any threats to it. Through the consultative process of developing the baseline assessment, COMPACT was able to identify key concerns of stakeholders (such as fishers and tourism operators) relating to the Marine Protected Areas within the BBRRS seascape.

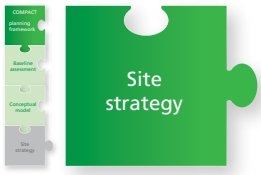
Conceptual model



A core element in COMPACT's three-pronged planning methodology is the conceptual model, which in turn guides the development of the site strategy. It is a planning tool that depicts the important links and relationships between threats and opportunities at a given COMPACT site (see Case Study 1). The conceptual model typically draws on the information gathered during the baseline assessment, and takes the form of a graphical representation that captures site-level processes operating in the broader landscape and seascape, threats to biodiversity targets, and opportunities for effective interventions.[21]

By illustrating how planned project activities can potentially influence the situation, the conceptual model serves as the foundation for project design and management, as well as for future monitoring and evaluation. The approach is designed to be flexible and 'emergent', allowing the participation of local leaders to steer the course of planning for the programme, while ensuring that the ultimate conservation goals of globally significant biodiversity remain clearly in focus.

Site strategy



With the baseline assessment and conceptual model in place, the next step in the COMPACT planning process is to develop a site strategy, which guides the allocation of resources, implementation of project interventions and the assessment of results. The site strategy draws on the conceptual model, which has identified the key threats and opportunities affecting the biodiversity of the area. Drawing on the conceptual model, it is possible to identify the main factors having an impact on the target condition and, in turn, to determine and prioritize specific actions that are likely to have a positive impact on conservation of the target biodiversity. Developing the site strategy is undertaken through a participatory process involving consultation with local stakeholders.

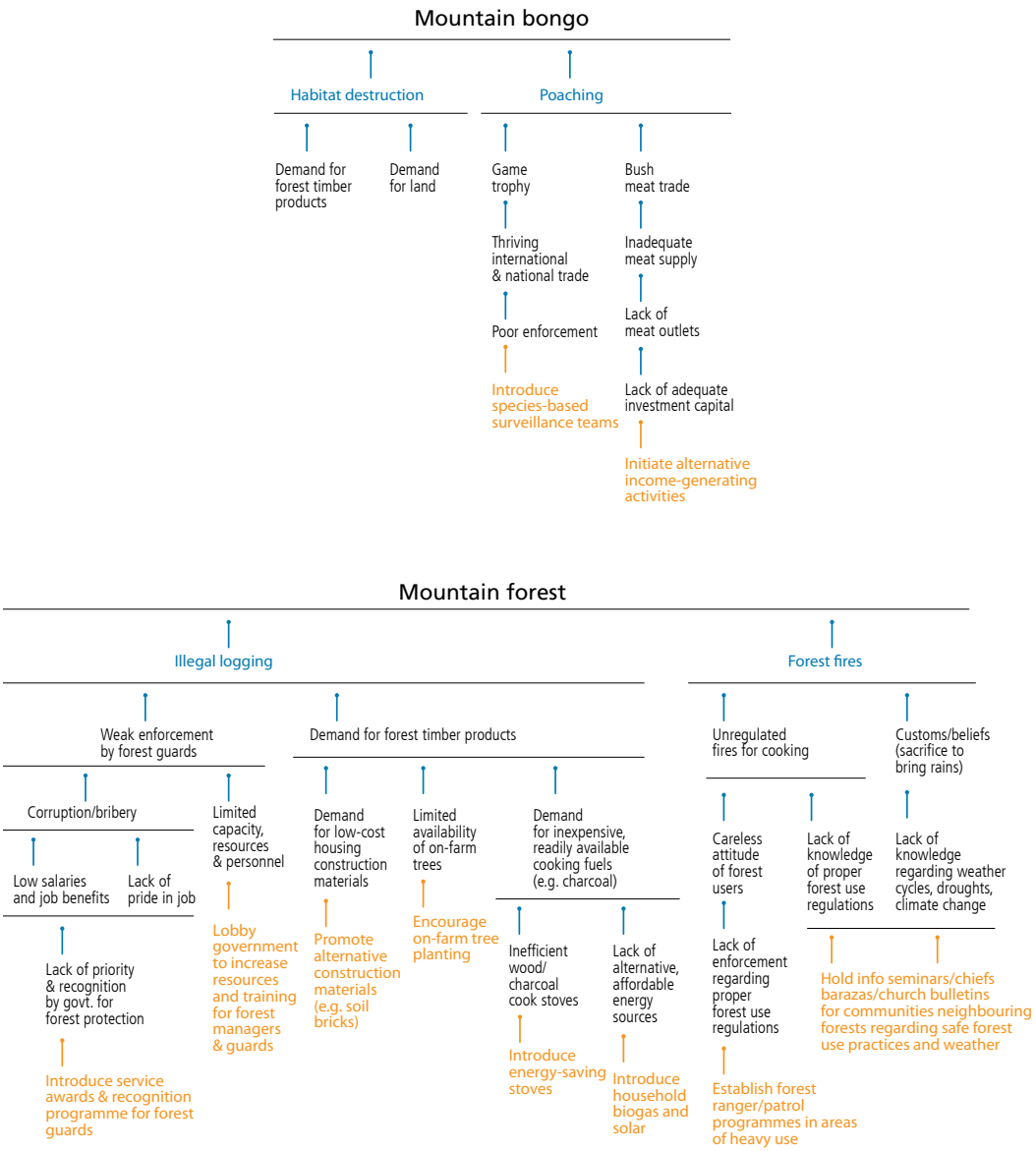
In keeping with the adaptive management approach, the site strategy is revised according to changing conditions. The COMPACT team typically reviews and refines the site strategy regularly, continually revisiting the major threats, opportunities and priority field actions. Participation by local stakeholders in developing specific plans is assured through regular public meetings.

21 Some useful references on conceptual models include Foundations of Success (2009) and Margoluis et al. (2009).

Case Study 1: Developing a conceptual model for Mount Kenya

In Kenya, following a global training workshop in the *Open Standards* and *Miradi* software, COMPACT staff conducted a workshop in these tools for conservation managers and community leaders working in the landscape of the Mount Kenya World Heritage site. Working collaboratively, participants used the tools to identify primary conservation targets and threats to Mount Kenya and the nearby Laikipia landscape. The group mapped strategies and results chains to overcome these threats, with the joint work forming the basis for a conceptual model and work-plan for the area. An example of the results chain they created can be seen below. For more on results chains see Margoluis et al. (2013).

Conceptual model for Mount Kenya*



* Mount Kenya World Heritage site and Laikipia region, Kenya

2.5 Governance structure at COMPACT sites

To date, COMPACT has been carried out by the SGP and therefore has operated within its overall governance at country level. COMPACT's governance structure at the local level has paralleled that of the SGP, operating in a decentralized, democratic and transparent manner. There are three basic elements to the governance structure at each COMPACT site:

- **Local Coordinator** – Responsible for planning and implementing the programme, the Local Coordinator serves as a key link between communities, diverse stakeholders, and the COMPACT decision-making structures. The Local Coordinator manages the small grants portfolio for COMPACT and, in addition, leads in a variety of capacity-building activities.

- **Local Consultative Body (LCB)** – This group helps to ensure that dialogue, coordination and consensus-building takes place among key stakeholders at the level of the protected area, and makes recommendations on grant proposals to the SGP National Steering Committee. The LCB represents a set of key stakeholders in the landscape.

Local Coordinator in Mount Kenya consulting with village elders in Gitune Sacred Forest (Kenya)
© Jessica Brown

- **National Steering Committee (NSC)** – Operating at national level, the SGP NSC is responsible for the final selection and awarding of the small grants financed by the GEF.

These three governance elements, and their relationship to each other, have proven over a decade of work to be key to the effectiveness of COMPACT. Of course, not all future COMPACT initiatives at other World Heritage sites will be operated by the SGP. It is likely that other groups and partnerships will take up the COMPACT model and adapt it to their own governance structures. However, having a Local Coordinator on-site, and a multi-stakeholder Local Consultative Body, can be particularly important in animating and ensuring community engagement. Governance structures are explored further in later chapters.

While the kinds of intervention supported at the different COMPACT sites are many and varied, and while procedures for grant-making and project development have been adapted according to the local context, the basic elements of the governance structure have been consistent across all eight sites. Guidelines for supporting interventions at landscape level through grant-making and complementary programmes are discussed in Chapter 4. Chapter 6 provides examples of the kinds of intervention that COMPACT has supported.

Local Coordinator

In identifying a Local Coordinator, characteristics should include a high degree of knowledge of the local context, the ability to work with different actors in an atmosphere of fairness and neutrality, and the ability to facilitate participation. He or she should be strongly committed to community engagement.

Local Consultative Body

Characteristics of an LCB include the following. The body should be:

- **Representative of the diverse actors concerned with the site and surrounding landscape/seascape** – The LCB might include representatives of the local

protected area management authorities, the leadership of local communities, NGOs active in the region, local research institutions, local government, the private sector, as well as donors.

- **Voluntary** – It is important that members serve on a voluntary basis, without expectation of compensation.
- **Independent** – Members should serve in their capacity as individuals, or as representatives of a community, organization or business, but not as representatives of a political or administrative entity.
- **Active** – Members should be prepared to be actively involved beyond simply attending periodic meetings. In the case of COMPACT, members of the LCBs have become actively engaged in project review, site monitoring, capacity-building workshops and exchanges, and many serve as mentors to community groups.
- **Long-standing** – The consistency ensured by a long-term structure is important. At the same time, the membership should change regularly, according to fixed terms of service, in order to bring in fresh perspectives.

National Steering Committee

The NSC is part of the SGP structure in each of the countries where it operates. It is a multi-stakeholder body operating at national level and responsible for final decisions regarding small grants financed by the GEF. As noted above, to date COMPACT's governance structure has paralleled that of the SGP, and in this context the NSC has played a key role in COMPACT's grant-making process. Because it is a multi-stakeholder body operating at national level it offers an additional layer of neutrality and rigour to the review and approval of grants recommended by the COMPACT Coordinator and the LCB. This involvement, in turn, typically frees up the Local Coordinator and LCB members to work directly at community level. Future initiatives based on the COMPACT model should take into account the critical role that can be played by a third entity based at a distance from the site, in providing final review and approval of grants. Characteristics of such a group would be similar to those listed above for the Local Consultative Body, but working at national level.

2.6 Review of sample achievements of COMPACT

In its thirteen years of work in World Heritage sites and Biosphere Reserves, COMPACT has directly supported over 430 projects (and, through partnerships, has indirectly supported countless other initiatives) providing over US$10 million in small grants to civil society organizations who themselves leveraged a further US$5.5 million in co-financing (cash and in-kind support). COMPACT has also reached over 1 million beneficiaries in communities in and near World Heritage sites (see Table 1).

However, as noted above, grant-making is only part of the story. COMPACT complements its grant-making with a wide range of supportive activities, including capacity-building, training, networking and support with outreach and marketing. COMPACT's approach of facilitating collaboration within thematic areas, over time and with relatively modest investment, has helped to scale up individual projects to broader initiatives. Examples of the kinds of projects that COMPACT has supported in different thematic areas are discussed in Chapter 6.

The COMPACT model has demonstrated an ability to achieve and sustain community and ecosystem benefits over time, adapting itself to the realities in the context of each protected area. By engaging community leaders and building extensive partnerships at local, national and regional levels, COMPACT has been able to extend its reach broadly at each site where it is working.

COMPACT has helped to build a broader grassroots constituency for the conservation of World Heritage sites. In each of the sites COMPACT grantees have become advocates for protected area conservation as a result of increased understanding and exposure to the entire landscape, supported by opportunities for exchange and network-building among communities and local organizations.

A detailed presentation of case-study experience from each of the eight sites can be found in the SGP benchmark publication, *COMPACT: Engaging Local Communities in the Stewardship of World Heritage* (Brown and Hay-Edie, 2013). The key findings of an evaluation of COMPACT are summarized in Box 5 (p. 31).

Sample accomplishments from each of the World Heritage sites where COMPACT has been working include:

- In the Belize Barrier Reef Reserve System, COMPACT supported a significant shift in attitude of fishermen and others in the coastal communities that depend on the Belize Barrier Reef System. Fishermen once opposed to marine protected areas are now among their greatest advocates. Many are leading efforts to improve fisheries management policies, expand the boundaries of marine protected areas within the Belize Barrier Reef System and defend the World Heritage site from damage by oil extraction.

Table 1: Summary of COMPACT projects (including hectares under sustainable management in the wider landscape)

World Heritage sites (hectares)		Buffer zones (hectares)	Total number of projects	GEF financing	Co-financing	Beneficiaries
Belize Barrier Reef Reserve System						
Belize	142,000	85,000	74	US$2,356,000	US$1,867,000	55,500
Mount Kenya National Park						
Kenya	75,000	1,000,000	76	US$1,686,000	US$558,000	724,000
Sian Ka'an Biosphere Reserve						
Mexico	528,000	1,125,000	86	US$1,952,000	US$503,000	17,500
Puerto-Princesa Subterranean River National Park						
Philippines	20,000	80,000	28	US$1,155,000	US$81,000	–
Djoudj-Djawling Transboundary Biosphere Reserve						
Senegal	16,000	760,000	19	US$624,000	US$427,000	3,300
Cluster of five south-west protected areas on Tentative List						
Madagascar	–	275,000	92	US$1,245,000	US$452,000	190,000
Morne Trois Pitons National Park						
Dominica	7,000	5,000	59	US$1,268,000	US$1,674,000	64,000
TOTAL	**788,000**	**2,473,000**	**434**	**US$10,286,000**	**US$5,562,000**	**1,054,300**

- In Morne Trois Pitons National Park, Dominica, indigenous Kalinago youth in Carib territory are involved in research and documentation on traditional herbs and fruit with the aim of creating small biodiversity enterprises, contributing to the diversification of the national tourism industry, and preserving the traditional ecological knowledge of the Carib people for future generations.

- At Mount Kenya, numerous donors have found the COMPACT modality appealing and have pledged further financial resources to supporting conservation of the World Heritage site. The Mount Kenya Donor Forum, initiated by COMPACT, helped to secure some US$35 million from donors such as the European Union to complement COMPACT projects in the World Heritage site and buffer area.

- In Madagascar, through co-financing of local projects and joint grantee capacity development and participatory monitoring, COMPACT is working with the Tany Meva Foundation, a national environmental trust fund, to engage and empower local and indigenous communities in their stewardship of the cluster of five protected areas and ICCAs as part of the World Heritage tentative list nomination for the 'dry forests' of south-west Madagascar.

- In Mexico, estimates suggest that with COMPACT support a total of 60,000 hectares of community lands connected to the Sian Ka'an Biosphere Reserve (over 10 per cent of the area), including community-based REDD+ projects, have been put under sustainable management and use, at a cost of roughly US$12 per hectare.

- In Puerto-Princesa Subterranean River National Park (Philippines), COMPACT supported indigenous groups to secure territorial rights through Certificate of Ancestral Domain claims, restore degraded forest habitat and river banks, and monitor and protect the forest in accordance with customary law, while enhancing local livelihoods, community development, and cultural integrity.

- In Djoudj-Djawling Transboundary Biosphere Reserve between Senegal and Mauritania, COMPACT is contributing to stronger bi-national cooperation in managing the shared ecosystem by supporting a regional network of grantees and partners and cross-border exchanges. Critical habitats for birds and other wildlife have been restored, and pressure on natural resources within the reserve is starting to ease, evident in reduced deforestation and recovery of fish stocks, while local livelihoods have improved through an array of income-generating activities.

- In Kilimanjaro National Park (Tanzania), the COMPACT site strategy has regularly informed and engaged with the Kilimanjaro National Park Outreach Programme Strategy, and the Kilimanjaro Regional Development Strategy, strengthening partnerships between stakeholders and linking communities with government planning processes. The creation of the COMPACT Kilimanjaro Network of grantees (COMPAKIN) is helping to sustain community-based efforts beyond the period of support from the UNF, by providing a forum for information and knowledge exchange and for joint resource mobilization.

- At global level, in partnership with UNF and Conservation International's Verde Ventures programme,[22] COMPACT has launched the World Heritage Local Ecological Entrepreneurship Programme (WH-LEEP) to provide biodiversity-friendly loans for sustainable community-based enterprises in and around the World Heritage site. In this innovative initiative, business development support (BDS) and a loan guarantee agreement are provided by the donor organization to encourage financial intermediary organizations to work with new start-up nature-based businesses, taking advantage of the economic potential provided by World Heritage listing.

With over a decade of on-the-ground experience in diverse World Heritage sites and other globally significant protected areas, COMPACT is demonstrating how community-based initiatives and improved livelihoods can have benefits for conservation of biodiversity and other natural and cultural values in the landscape/seascape. Lessons learned from this experience are highly relevant to World Heritage, and can help to guide new strategies to engage with and support community stewardship and governance of the Outstanding Universal Value of these globally significant landscapes and seascapes.

22 www.conservation.org/global/verdeventures/

In communities near the Belize Barrier Reef Reserve System, COMPACT supports projects that engage youth in conservation (Belize)
© Erik Hammar

Box 5: Excerpt from Executive Summary of the 2013 evaluation of COMPACT

Key findings from an external evaluation of COMPACT conducted in late 2013 are summarized below.

On the basis of field visits conducted in two participating countries in 2013, COMPACT receives consistent credit for the rare long-term commitment it has made and its locally tailored working modality, confirming its innovative design. During the country-level evaluations, COMPACT was acknowledged for empowering local resource users often ignored by routine modes of delivery, thereby credibly occupying an important niche within the architecture of bilateral and multilateral cooperation.

While it is encouraging to see a partnership among UN agencies, the GEF and foundations that is translating participation rhetoric into local action, broader policy obstacles remain. Further opportunities exist for COMPACT to trigger and inform policy debates, thereby enhancing its strategic impacts. Depending on the composition and leadership of the initiative in each country, COMPACT´s Local Consultative Bodies (LCBs) and the National Steering Committees (NSCs) can offer an effective bridge between lessons arising from the protected area learned at local level and those at national policy level. While a fine line often exists between policy advice and politicization of local resource use in and around protected areas, it would be unhelpful for any meaningful intervention to deny the political dimension of local resource use in and around protected areas. However, just as there are untapped opportunities for COMPACT to contribute to national policies, likewise the potential to feedback COMPACT lessons into the World Heritage Convention remains to be fully realized.

Aside from UNESCO's role in the initial formation of COMPACT, the planning framework documents do not elaborate sufficiently on the mode of engagement with the formal institutional actors and procedures of the World Heritage. Nevertheless, as the Convention lacks a demonstrated financing mechanism to engage local communities in the sustainable development of World Heritage landscapes, COMPACT addresses an identified vacuum in the cooperation architecture. Encouragingly, COMPACT offers a field-tested model of programmatic support that could be developed into a vehicle for other national and multilateral institutions to co-finance.

While political sensitivities inherent to intergovernmental agreements need to be respected, many opportunities exist at country and site levels for making systematic use of the COMPACT approach in the implementation of the Convention. In particular, COMPACT is well positioned to contribute further to (i) nomination processes, (ii) the monitoring of properties, and (iii) civil society responses to the inscription of sites on the List of World Heritage in Danger. The potential to join forces with the formal Advisory Body on natural World Heritage, IUCN, has not been adequately tapped in the past but seems to be developing as a promising sign for the future.

Tilman Jaeger, 2014, independent evaluator of the COMPACT programme

3

Engaging communities in the nomination process

Members of a traditional community association reviewing a map in south-west Madagascar
© Faliarimino Rakotomanana

3.1 The importance of 'upstream' community engagement

The importance of ensuring that indigenous peoples and local communities are involved in the earliest stages of World Heritage processes – including consideration of Tentative Lists and preparation of nominations – is now widely understood. As discussed in Chapter 1, the imperative has been spelled out in recent revisions to the World Heritage Convention and in decisions of the World Heritage Committee.[23] These include the 2007 adoption of the fifth Strategic Objective to enhance the role of communities in implementation of the World Heritage Convention, a development that was preceded by the 1995 revision of the *Operational Guidelines* (WHC, 2013*b*) specifying the participation of local people in the nomination process. The 35th session of the World Heritage Committee endorsed language on the concerns of indigenous peoples and local communities, including a specific point encouraging States Parties to 'Respect the rights of indigenous peoples when nominating, managing and reporting on World Heritage sites in indigenous peoples' territories'. Alongside language in the *Operational Guidelines* encouraging States Parties to ensure participation of a wide variety of stakeholders in identification, nomination and protection of World Heritage properties, are specific points relating to participation in preparation of Tentative Lists as well as nominations. The latest version of the *Operational Guidelines* (WHC, 2013*b*)[24] states that:

> **Participation of local people in the nomination process is essential to enable them to have a shared responsibility with the State Party in the maintenance of the property. States Parties are encouraged to prepare nominations with the participation of a wide variety of stakeholders, including site managers, local and regional governments, local communities, NGOs and other interested parties (para. 123).**

There is a growing body of literature exploring the role of rights-based approaches in World Heritage nomination and evaluation processes (see Larsen, 2012; Sinding-Larsen, 2012; Oviedo and Puschkarsky, 2012). It has been argued that the principle of Free Prior and Informed Consent (FPIC), a tenet of the UN Declaration on the Rights of Indigenous Peoples, should be incorporated into World Heritage nomination processes as a framework for seeking the consent of indigenous peoples (Raymond, 2013). It has been suggested that two of the World Heritage Advisory Bodies – IUCN and ICOMOS – though not explicitly involved in preparation of nominations, should play a key role in advancing these aims. The Advisory Bodies can use their role in the evaluation process to review and clarify the extent to which a nomination process has taken on board the concerns of indigenous peoples and local communities (Larsen, 2012).

In keeping with its mandate to advance rights-based approaches to conservation, IUCN has recently conducted a review of its World Heritage evaluation processes with respect to recognition of the rights of indigenous peoples and local communities. A core recommendation from that review is that the Advisory Bodies, through their engagement in evaluation processes, support States Parties to 'revisit the nomination process so that the links between human rights and conservation are identified, and ensure that potentially affected persons are informed, properly consulted, and able to participate in decision-making about relevant interventions' (ibid.).

Ideally, broad upstream participation will ensure that issues relating to indigenous peoples and local communities are considered at the outset of a nomination and not after the fact of designation. Involvement at this stage can help to bridge the potential separation between Outstanding Universal Value and those values held by local people. Early participation is critical, of course, from the point of view of taking a rights-based approach to conservation. Identifying and addressing issues at the outset greatly increases the likelihood that a nomination will contribute to and protect the rights of indigenous peoples and local communities (Larsen, 2012). Timing is important, because it is in these early stages of investigating the values of a site and bringing forth a proposal, that the Advisory Bodies and Committee can have the most influence on the future management of a site (Sullivan, 2004). At the same time, as noted in the Resource Manual *Managing Natural World Heritage* (WHC, 2012*a*), early participation is important to future management effectiveness, and to establishing a strong working relationship between the site management team and local communities based on trust and mutual interest. Further, active involvement at this stage can lay the groundwork for long-term processes of stakeholder participation that will continue into phases of management planning and conservation of the site. More generally, and critically, engaging people at the outset is the best way to ensure their support of designation, as well as their active engagement in stewardship of the World Heritage site in the long run. Increasingly, indigenous peoples and local communities can also be the advocates for nominations and World Heritage designations, such as in the case of

23 While these points have been taken on board within the Convention, the response of states has been varied, with some states expressing their support and others taking a more critical position. Some have even expressed the concern that upstream processes pose a threat to national sovereignty.

24 http://whc.unesco.org/en/guidelines/

Case Study 2: The Sacred Mijikenda Kaya Forests of Kenya

The Sacred Mijikenda Kaya Forests of Kenya is an example of a site where indigenous communities have advocated for its nomination and designation, leading to the site's inscription on the World Heritage List in July 2008 (Rössler, 2012). The Kaya forests are cultural landscapes closely linked to the traditions of the Mijikenda peoples, with cultural elements that include association with the myth of origin and history of the different Mijikenda communities, as well as distinctive landscape features such as clearings, gates and paths (Abungu and Githitho, 2012). These forests are sacred natural sites: the abode of the ancestors of the Mijikenda peoples and repositories of spiritual beliefs and traditional knowledge. Management of the Kaya forests have traditionally been the responsibility of the elders, and the importance of their role was explicitly recognized in the Statement of Outstanding Universal Value that was adopted by the World Heritage Committee in 2008, noting that: 'Management needs to recognize the needs of individual Kayas and to integrate the conservation of natural and cultural resources and traditional and non-traditional management practices; the authority of the Kaya elders should be established.' As Rössler (2012) observes, in recognizing customary law and traditional practices, the statement illustrates the progress that has been made since the 1995 decision calling for inclusion of communities in the nomination process. The overall framework for management of this World Heritage site is now undertaken as a collaborative endeavour between the local communities and the National Museums of Kenya. In an example of collaborative governance, these entities work together to develop the site's management plan, and the Mijikenda communities play a key role in controlling access to the forests and caring for their intangible heritage (Abungu and Githitho, 2012).

the Sacred Mijikenda Kaya Forests of Kenya, inscribed in 2008 (see Case Study 2), and many proposed sites, such as the Pimachiowin Aki World Heritage project of Canada[25] and the Budj Bim landscape of southern Australia. In the latter case, in order to protect this landscape, regarded by the Budj Bim community as a place of memory, ancestral spirits, archaeological sites and traditional knowledge, the community has drafted a *Budj Bim World Heritage Aspiration* which seeks to name this area as a World Heritage cultural landscape (Bell, 2012).

25 http://www.pimachiowinaki.org/

While there has been progress at site level in recent nominations, many existing World Heritage properties have been nominated without the degree of broad participation and community involvement now envisioned in the *Operational Guidelines* (WHC, 2013*b*). However, going forward, there is both opportunity and imperative to do so. This chapter discusses some of the elements of the COMPACT methodology that can provide helpful tools for community engagement at the nomination stage.

3.2 Key elements at the nomination stage

The World Heritage Resource Manual, *Preparing World Heritage Nominations* provides detailed, step-by-step guidance on the process of preparing a nomination. It should be used as a core reference for this stage. The sections below provide further guidance on engaging indigenous peoples and local communities in the nomination process, drawing from the experience of COMPACT.

Defining the project team

The first step is to define the project team, and to begin to understand the relevant stakeholders involved. As illustrated in Figure 2, the full project team can be considered to include an initial team, core team, advisors and stakeholders.

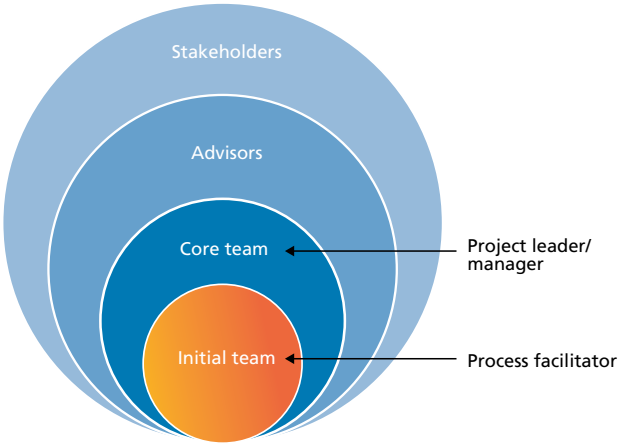


Figure 2: Project team composition

In the case of COMPACT planning processes at site level, the Local Coordinator is typically part of the initial team and plays a key role as facilitator of the participatory planning process.

Identification of stakeholders or actors

An important step is the initial identification of stakeholders, or key actors, concerned with the proposed World Heritage site and broader landscape. Typically this is an ongoing process, as information regarding the role of different actors will emerge during the baseline assessment, and in the course of site management planning. At this stage, identification of key actors should not only identify who the individuals are, but also their relationship to, and degree of engagement with, the site, its resources and surrounding landscape. The *Enhancing our Heritage Toolkit* provides a helpful worksheet for stakeholder analysis, which, while oriented for management planning, can be used during the nomination phase to identify stakeholders and their relationship to the protected area and to each other. Also helpful in planning the stakeholder identification process is the conceptual framework for stakeholder analysis and conflict management provided in Figure 3. Finally, *Open Standards for the Practice of Conservation* provides a series of tools for stakeholder analysis (see Appendix).

Stakeholder identification and participation should take into account the following points:

1) **Need to ensure free, prior and informed consent (FPIC)** – Based on the principle that a community has the right to give or withhold its consent to a given project, FPIC provides guidelines for consent processes and dialogues among different rightsholders, stakeholders and duty-bearers. As noted on p. 34, FPIC is a key tenet of the UN Declaration on the Rights of Indigenous Peoples, which states that indigenous peoples '… have the right to require that states obtain their free and informed consent prior to the approval of any project affecting their lands, territories and other resources …'. Thus, important principles of FPIC include providing information about and consultation on any proposed initiative and its likely impacts, and ensuring meaningful participation by indigenous peoples and their representative institutions (Wild and McLeod, 2008).

2) **Distinguishing among different categories of actors –** While it is common to refer to all actors with significant interests as 'stakeholders', in undertaking this exercise it is important to be precise and to distinguish among the different kinds of actors. In considering a protected area and the broader landscape, these distinctions can be made as follows:

   - ***Rightsholders*** – actors socially endowed with legal or customary rights with respect to land water and natural resources; and

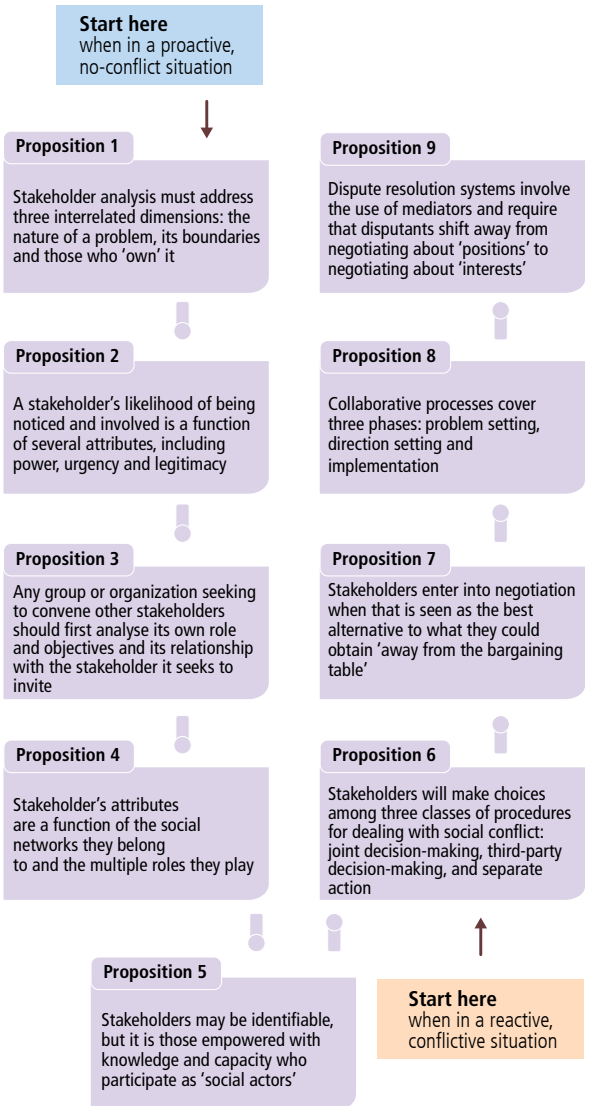


Figure 3: Conceptual framework for stakeholder analysis and conflict management
Source: *Ramírez (1999), cited in Wild and McLeod (2008).*

   - ***Stakeholders*** – those possessing direct or indirect interests and concerns about such resources, but not necessarily enjoying a legally or socially recognized entitlement to them (Borrini-Feyerabend et al., 2013).

Another group of actors in this context are:

   - ***Duty-bearers*** – those actually conducting the business or undertaking, in this case of World Heritage, with responsibility to secure the human rights of the least powerful[26] (Greiber et al., 2009).[27]

26 Under international human rights law, States Parties have specific obligations to (i) respect, (ii) protect and (iii) fulfil the rights contained in the treaties and conventions.

27 Conservation with justice, https://cmsdata.iucn.org/downloads/eplp_071.pdf; see also http://www.cifor.org/publications/pdf_files/Books/BSunderland0901.pdf

3) **Fostering inclusion** – Once the diverse actors have been identified, an important challenge is to ensure the full inclusion of all relevant actors, including those groups who are often marginalized, as well as those who are traditional custodians, or stewards of the site and its resources. It is important to bear in mind that communities are heterogeneous entities. Every community has different power dynamics relating to gender (Box 6), age, access to resources and other kinds of wealth, land tenure and a range of other factors. To be truly inclusive, participatory processes must aim to include representative groups within the community, such as different livelihoods groups, wealth groups, women and youth, as well as vulnerable groups.

Gender inclusion is fundamental to social and equal participation in conservation, as illustrated by this women's organization preparing for a project aimed at reforesting the slopes near Tecpan (Guatemala)
© Jessica Brown

Box 6: Gender inclusion

Gender refers to the social roles that men and women play and the power relations between them, which usually have a profound effect on the use and management of natural resources. The gender attributions of local knowledge, including knowledge for managing biological systems have four key characteristics (Huisinga et al., 1993):

1) Women and men have knowledge about different things.

2) Men and women have different knowledge about the same things.

3) Women and men may organize their knowledge in different ways.

4) Men and women may receive and transmit their knowledge by different means.

To promote social and equal participation in conservation, it is important that differences between women and men – including differences in roles and responsibilities; access and control over resources; knowledge base; public participation in decision-making – are understood and considered for effective participation in the conservation and sustainable use of natural resources. Gender inclusion is becoming a prerequisite for conservation planning as it considerably contributes to more effective and sustainable conservation outcomes. This is based on experience, where inclusion of the different stakeholder groups and of various knowledge systems, visions and skills in conservation leads to conservation policy and practice that enjoys support from all the various social groups of the actual resource users, and consequently has a higher chance of achieving a positive impact and result on conservation and utilization of natural resources.

Moreover, gender equality, or social equality more broadly, is among the most prominent requirements of the international human rights framework.

Useful sources: Gender and biodiversity, http://www.cbd.int/gender/; González and Martin (2007) http://www.cbd.int/doc/pa/tools/Gender%20in%20the%20conservation%20of%20protected%20areas.pdf

Case Study 3: Dry and spiny forests of Madagascar: participation and governance in a Tentative List site

In Madagascar, COMPACT has been working with community leaders and customary groups to facilitate their participation and build community capacity for governance of protected areas. This includes a cluster of protected areas encompassing dry and spiny forests in the south-west region, which has been on the World Heritage Tentative List since 2008. The proposed World Heritage nomination encompasses the following protected areas, large portions of which are under customary governance:

- The Mahafaly Plateau including the national park of Tsimanampesotse that is legally managed by Madagascar National Parks;
- The Mikea complex consisting of the Mikea forest, a new protected area whose core is officially managed by Madagascar National Parks, and whose buffer zones, including some marine and coastal zones, are collaboratively managed with local communities; and
- The Belomotse Plateau including two new protected areas slated to be co-managed by the local communities (Amoron'Onilahy and Tsinjoriake).

Increasingly, the Madagascar Government is recognizing the role of customary groups called *fokonolona*, organized at village level and operating since ancient times, in governing and managing resources. Under a 1998 law, self-organized communities can formally request transfer of management rights and responsibilities, and many such management transfers have taken place in the south-west region. These groups are playing a lead role in community-led and collaborative governance of the protected areas within the nomination cluster.

For example, an inter-community association made up of communities in the Mikea forest landscape has been working in collaboration with the government protected area authorities to strengthen community management in the buffer zone of Mikea National Park. COMPACT has been helping the *fokonolona* to build their capacity for effective governance and management of areas under their control, while also supporting projects on sustainable livelihoods, revitalizing traditional ecological knowledge and supporting communities in self-organizing and decision-making.

In the Madagascar case, the COMPACT baseline assessment was important in assessing the capacity of these customary institutions and community-based organizations (CBOs) for governance and management within the proposed World Heritage site. The team analysed socio-economic data and held discussions with a broad range of rightsholders and stakeholders in the area. The baseline assessment identified a number of potential intervention areas needed to help the local CBOs become efficient and effective in their management of natural resources. These included:

- improving the policy and regulatory framework to enable CBOs to take local decisions on the use of the natural resources in their territories;
- providing capacity-building in tools of natural resource management, including techniques of sustainable use of natural resources, monitoring and assessments; and
- supporting means of sustainable livelihoods for local communities in order to reduce their vulnerability and total dependence on natural resources, and/or external forms of support.

In response to these findings, over the past six years of project implementation the COMPACT programme has focused its efforts on reinforcing the management and governance capacities of CBOs in the region. In Madagascar one of the key challenges is ensuring recognition at national level of community governance, and thus the LCB made this a priority, along with community empowerment. With COMPACT support, these groups have made significant steps in taking direct responsibility and building their organizational and financial autonomy, empowering them to become credible partners in negotiations with other actors concerned with the landscape and its resources (Rakotomanana and Rasoarimanana, 2013).

Dry and spiny forests in south-west Madagascar
© Jessica Brown

Fostering broad community participation in a baseline assessment

The baseline assessment, a key element in the COMPACT methodology, can be highly useful in engaging communities during the World Heritage nomination process. As described in Chapter 2, the baseline assessment is conducted in consultation with stakeholders, including local communities, to assess current knowledge about conservation status and trends in and around the site. Throughout implementation of the COMPACT programme, it has proven to be effective in ensuring broad participation in gathering information that is the basis for project planning, informing the conceptual model and site strategy. Adapted for the nomination phase of the World Heritage listing process, it offers a set of tools that can be used to foster participation of communities in gathering key information needed in preparation of nominations. Further, it can lay the groundwork for effective site management over the long term.

The baseline assessment is designed to assess conservation objectives (or 'targets'), major threats, existing programmes, and relationships with local communities, as well as socio-economic and cultural questions concerning communities and institutions in the broader landscape. Key types of information that should be gathered during the baseline assessment stage are listed in Box 4 (p. 25). Among the areas of information sought in the World Heritage nomination format, which the baseline assessment tool can help to address, are questions on the number of inhabitants living within the boundaries of the property and its buffer zone, categories of ownership, the state of conservation of the property, and factors affecting the property, including threats (see *Preparing World Heritage Nominations*, WHC, 2011, pp. 101–23).

Using processes based on consent and participation by indigenous peoples and local communities, the baseline assessment offers a means for these communities to contribute meaningfully to the preparation of nominations. In addition to those discussed above, key areas of information that could be solicited during the baseline assessment include:

- Community perspectives regarding site values, including Outstanding Universal Value as well as locally held values.
- Traditional knowledge regarding natural and cultural resources in and around the site, including intangible heritage, and the linkages between natural and cultural values.
- Community perspectives on the integrity and (where appropriate) the authenticity of the site values.
- Information regarding traditional management practices and governance structures for natural resource management, including customary laws and institutions.

Consultative processes provide a means of gathering information about traditional knowledge and practices (Madagascar)
© Jessica Brown

- Land use patterns, as well as land tenure and related issues.
- Further identification of stakeholders, including rights-holders and duty-bearers (building on information gathered in advance of the baseline assessment).
- Social, cultural and economic characteristics of the broader landscape.
- Issues relating to requirements for protection and management, including conservation targets, threats and existing institutional capacity, including community-level institutions that might not otherwise be identified at this stage.

Ensuring community participation in preparing a World Heritage nomination requires careful attention to the different values that local populations may hold regarding a given site. This is an important step in making the link between universal and local values, as discussed in Box 7. Some guidelines on the characteristics of work with local communities are presented in Box 8.

Box 7: Bridging universal and local values

As noted in the World Heritage Resource Manual, *Preparing World Heritage Nominations,* the focus of the nomination must be on potential Outstanding Universal Value. However, all properties invariably have values at all levels – local, national and regional – and these other levels of value should be understood as part of the nomination process: These other values are part of the natural and cultural richness of the property, and the harmonious protection, conservation and management of all values is an objective of good conservation practice. Understanding local values means consulting local people, especially indigenous peoples where they are present. Local people are a primary source of information about local values. A useful reference is *Linking Universal and Local Values: Managing a Sustainable Future for World Heritage* (de Merode et al., 2004, http://whc.unesco.org/en/series/13).

Source: WHC (2011). http://whc.unesco.org/en/activities/643/

Box 8: Characteristics of work with local communities

In order to link universal and local values for sustainable management of World Heritage, it is suggested that work with local communities should have the following characteristics:

- Interaction with local people and all other stakeholders should ensure that everyone understands the values, goals, purposes, rules, costs and benefits of World Heritage site management, and that World Heritage managers understand other perspectives about site values and the perceived needs and desired outputs expected from management.
- When working with local communities, local power structures, decision-making and resource utilization ought to be recognized, and where possible gender-disaggregated information and data should be collected.
- Understanding of incentives among all stakeholders who benefit from World Heritage site management.
- Understanding potential negative impacts of World Heritage status, including for example lost access to resources and the potential need for compensation.
- Relationship-building through a continuous process of dialogue to create trust between and among the various groups of stakeholders.
- Participation by all stakeholders, including empowerment of communities to take responsibility and acquire a sense of ownership, and the provision of incentives to encourage investment of people's time and resources.
- A flexible and adaptable process in the face of the prevailing dynamic relationships between the natural World Heritage site and local people. The benefits and costs of living with often dangerous wildlife, cultural perspectives, land-use patterns, and people's expectations, are all likely to change over time. Community conservation must therefore constantly adapt to take account of these expectations.
- Monitoring activities to provide the baseline data required to assess and evaluate the state of conservation of heritage properties and the socio-economic development of the surrounding area.

Source: de Merode et al. (2004). http://whc.unesco.org/en/series/13/

As discussed in Chapter 2, in developing the baseline assessment and other planning frameworks, COMPACT drew on the work of Margoluis and Salafsky and their 1998 publication, *Measures of Success: Designing, Managing, and Monitoring Conservation and Development Projects,* and subsequent work establishing *Open Standards for the Practice of Conservation*, designed to provide a common approach to maximizing the effectiveness of conservation projects (see Appendix). This is a key reference in understanding *the Open Standards* and will be helpful in undertaking the baseline assessment.

A number of the tools for used by COMPACT to conduct the baseline assessment at site level were developed in line with the tenets of Participatory Rural Appraisal (PRA), an approach aimed at engaging and empowering rural populations in planning and implementation of community development projects. Based on the work of Robert Chambers (1994), techniques of PRA emphasize use of visual materials, oral communication and group dynamics. The PRA approach recognizes the potential limitations of using written materials in areas where literacy levels are low, and the importance of orienting activities towards diverse language groups.

Participation by diverse actors in the baseline assessment can set the stage for active engagement over the long term. Several of the tools in the baseline assessment are described below with respect to their potential for use during the World Heritage nomination phase.

3.3 Community consultations

Consultative processes can take a wide variety of forms. Methods used might include interviews, surveys, focus groups and public meetings. A consultation might be accompanied by an awareness campaign focusing on key issues in the area. As discussed below, use of visual material, such as aerial surveys, can serve as a focus for discussion and consultation.[28] Various techniques of community mapping and participatory GIS can offer particularly effective methods for engaging different actors in consultative processes during the baseline assessment. Use of language-appropriate materials can be an important consideration, as described in Case Study 4 from the COMPACT Sian Ka'an programme. There is a growing body of experience with methods that draw on the arts for creative facilitation.[29] Ideally, the consultations will draw on several different methods to

28 For further guidance, see for example Boedhihartono (2012). http://www.sswm.info/sites/default/files/reference_attachments/IUCN%202012%20Visualizing%20Sustainable%20Landscapes.pdf

29 http://artcorp.org/Training-Services

involve people, solicit their ideas and opinions, and secure their agreement and participation.[30]

30 For further guidance, see for example Schreckenberg et al. (2010); Corrigan and Hay-Edie (2013).

What is important is that the design of these processes be appropriate to the particular context. They should be as inclusive as possible, engaging the wide array of actors (rightsholders, stakeholders and duty-bearers) and facilitating open and constructive discussion.

Case Study 4: Participatory approach to planning at Sian Ka'an (Mexico)

When COMPACT was launched in 2000 in the Sian Ka'an Biosphere Reserve and World Heritage site, the team relied on a highly participatory planning process, developing each of the planning elements through bilingual outreach and consultation with the diverse stakeholders in the landscape. The COMPACT Local Coordinator over the first seven months conducted numerous meetings with community-based groups, NGOs, environmental authorities, local authorities and academics to identify challenges and help to frame how COMPACT might support the communities in addressing them. Experience from this participatory planning exercise is highly applicable to fostering participation in the nomination process.

Participatory planning in Sian Ka'an (Mexico)
© Julio Moure

During the consultation process, participants identified as a central challenge: *to provide livelihood opportunities for local residents while resisting the negative effects of the very rapid rise of tourism along the coastline … developing sustainable ecotourism approaches to benefit local communities as an alternative to 'selling out' areas of coastline to large-scale private developers.* As a result of this collaboration, a bilingual document was produced in Spanish and Maya, using simple language and drawings by a local artist. It served as a starting point to explain and understand the goals and operations of the programme.

The participatory approach used in COMPACT's programme in Sian Ka'an is founded on principles of empowerment and endogenous development, such as those articulated by Paulo Freire, whose work is among the foundations of Participatory Rural Appraisal. The process seeks to create answers to problems in dialogue with people in order to find, in their plain language, the seeds of solutions to multi-faceted problems that emerge from a long history of marginalization. In this view, knowledge is not transmitted, rather it is 'under construction', *meaning the act of education is not a transfer of knowledge, but rather the enjoyment of building a common world* (Freire, 2005).

In this approach, each step is defined in a participatory manner, through diagnostic and collective planning that creates a framework for responsibility and cooperation among grassroots groups, participating NGOs and other actors. The aim is to trigger new attitudes, raise awareness and strengthen self-development. Under this methodology, capacity-building is seen as a process of lifelong learning – one that moves horizontally from practice to knowledge, from knowledge to vision, and from vision to action (Freire in Souza, 2011). Such an approach based on collective learning encourages teamwork and transforms competition into emulation, alongside the fundamentals of creativity, respect and commitment.

Through this participatory approach, COMPACT and partners in the Sian Ka'an landscape developed a framework for action that continues to guide the programme and is based on principles that include:

- *Grassroots democracy* – promoting the democratic participation of men and women from the communities in analysing problems and finding solutions to them;
- *Participation of women* – ensuring that gender equity is considered in all aspects of COMPACT's programme, and encouraging the participation of women in the process of identifying problems and developing projects;
- *Exchange of experience* – promoting the exchange of experiences among all participants in COMPACT programmes, especially within areas of related activity;
- *Dissemination of experience* – supporting activities to systematize and disseminate lessons learned from COMPACT's activities and the programme as a whole.

3.4 Review of existing materials

Of course, review of existing information, published and otherwise, is an important part of any assessment, and should be included at this stage. In keeping with the principles of Participatory Rural Appraisal, the team should create opportunities for public review of this quantitative and qualitative information, bearing in mind the importance of making such information accessible to different audiences (for example, providing translation into local and indigenous languages as necessary). Experience from the COMPACT programme has shown how this written quantitative and qualitative material can be used to stimulate discussion and solicit feedback through consultative processes, such as interviews and public meetings.

3.5 Data collection techniques

Community mapping and participatory GIS

Participatory Geographic Information Systems (participatory GIS) offer a powerful set of tools to enable different stakeholder groups to capture, communicate and analyse spatial and geographical information for use in planning and decision-making. A well-known component of participatory GIS is 'community mapping', in which community members create two and three-dimensional maps. A broader approach to participatory GIS involves actively engaging communities in mapping projects and making digital technology accessible – for example, by gathering key data points using hand-held technology such as Global Positioning Systems (GPS) and by reviewing geographical information, such as aerial photography and satellite imagery. This information can be captured and organized using digital GIS systems, or it can be the basis for low-tech sketch maps and 3-D models. The key is to provide a flexible, culturally appropriate, interactive process that allows different stakeholders to generate and communicate spatial information and, ideally, to empower local communities to participate in spatial decision-making. An important strength of participatory GIS is its highly visual nature, complementing the gathering of oral and written information.[31]

Participatory mapping of a Sacred Forest in Ghana enables local guardians of the forest to track protection of the forest and its natural resources
© Jessica Brown

These various mapping tools can be used during the nomination stage to capture community knowledge in each of the areas mentioned above. As well, they can be used to ensure community input regarding site design, including size and boundaries (see *Enhancing our Heritage* Tool 6: Design Assessment).[32] Although in the case of Belize (see Case Study 5) these activities have been undertaken after designation, such an approach could be highly effective during the nomination phase in other sites. The Belize experience offers a good example of how participation by key actors, in this case the resource-users, can set the stage for their active engagement over the long term.

31 For more on participatory GIS see for example: http://www.iapad.org/publications/ppgis/Borderlands-Community-Mapping-Guide.pdf, and http://coast.noaa.gov/digitalcoast/_/pdf/participatory-mapping.pdf?redirect=301ocm

32 Community input should not just be on community well-being, but also on other elements of site design relating to ecological integrity and management factors, as indigenous peoples and local communities may possess valuable knowledge in these areas.

Case Study 5: Participatory GIS in Belize Barrier Reef Reserve System

In the Belize Barrier Reef Reserve System NGOs supported by COMPACT are working with fishers from communities near marine reserves in order to demarcate boundaries for zonation, as well as possible expansion, of certain reserves. Using hand-held GPS, the fishermen have been able to identify and provide geographical data points for marine and coastal sites important as aggregation and nursery areas and needing special protection year-round or seasonally. This information is being used for reserve design and for the introduction of a pilot managed-access programme to improve fisheries management within the BBRRS. As a result of their involvement in this planning and decision-making process, the fishers have increased their understanding of the marine protected areas. Many have become among the strongest advocates for the World Heritage site, and are now participating actively in its co-management.

Case Study 6: Conducting a baseline assessment at Mount Kilimanjaro (Tanzania)

In the Mount Kilimanjaro region, local communities participated actively in developing and reviewing a baseline assessment for the COMPACT programme there, providing crucial information on the socio-economic conditions and conservation status of the World Heritage site. In the process, the community leaders themselves identified major threats to the mountain ecosystem, such as forest fires, encroachment for farming, grazing, and human settlements and poaching. Through the baseline assessment the COMPACT team learned about important issues relating to management of the protected area, including that:

- local communities had little information about park regulations and policies,
- a 'policing' approach to conservation of Mount Kilimanjaro had generally fuelled enmity between the communities and the protected area authorities,
- local communities did not value the protected area conservation policies, nor did they consider that they were receiving any benefits from Kilimanjaro National Park and World Heritage site, and
- the three key institutions responsible for the protected area had 'not been coordinating effectively', pointing to the need for more effective coordination and site management.

In the meantime, increasing population pressures and demand for natural resources continued to degrade the fragile mountain ecosystems of Kilimanjaro, in turn imperiling the livelihoods of nearby communities and the broader watershed.

As was the case for Mount Kenya (Case Study 7), a key element in the baseline assessment for COMPACT in Kilimanjaro was an aerial survey conducted in 2001, which analysed the status of forest cover on the mountain. The survey revealed the extent of threats to the forests of Mount Kilimanjaro, as articulated by the community leaders, and now strikingly apparent in a visual presentation. In collaboration with other partners, COMPACT published the survey in 2002, and launched it at an event that drew significant attention from policy-makers, donors and media. In response to these findings, the government decided to further expand the national park boundaries to include more forested areas, as part of its broader conservation strategy. To address potential tensions relating to expanding the forest reserve, COMPACT decided to make this 'boundary area' a focus for the Integrated Conservation and Development Projects (ICDPs) it has supported in the Mount Kilimanjaro landscape.

Involving local stakeholders in the baseline assessment was an important first step. Over the next several years, COMPACT helped to facilitate the involvement of local stakeholders in the development of the General Management Plan (GMP) for the Kilimanjaro National Park and World Heritage site. This is described in Chapter 4.

Aerial surveys

Aerial surveys are an important tool in the baseline assessment, providing up-to-date visual information about the site, its values and its threats. In many places the large geographical scope of an area, rough terrain and limited accessibility make a comprehensive ground survey difficult or impossible. In the marine environment and in sites involving a land-sea linkage, surveying a large area at ground level can be particularly challenging, requiring a long period of time to complete. While costly, advantages of aerial surveys over ground surveys include that: (i) they can be conducted quickly and efficiently; (ii) they can provide more comprehensive coverage of the desired survey area, locating environmental degradation and illegal activities even in remote and inaccessible areas, and (iii) they are typically not impacted by ground conditions and only minimally by weather conditions. An aerial survey[33] provides a means of gathering real-time data about a site, its landscape features and the impacts of human activities, including areas of degradation, pinpointing current and potential threats to the site. Importantly, it provides a clear, visual picture that can illustrate – often dramatically – the threats to a site, as described in Case Study 6 from the United Republic of Tanzania.

33 When COMPACT was first launched, tools such as Google Earth were not widely available. Today, while this source provides useful geographical information, it still has limitations. Where feasible, conducting an aerial survey makes it possible to gather detailed current information about a site.

Kilimanjaro National Park (Tanzania)
© EVERGREEN

Case Study 7: Aerial surveys at Mount Kenya (Kenya)

At Mount Kenya, COMPACT and partners used aerial surveys to collect baseline data on environmental degradation. Using low-flying aircraft, aerial surveys were conducted that traversed the entire area of the mountain. The surveys were conducted by flying in a grid pattern, allowing degraded areas to be identified quickly and efficiently and their locations noted precisely using the Global Positioning System (GPS). These data were triangulated with information gathered by ground surveys and information gathered from conservation NGOs working in the area, providing a clear picture of degraded areas and enabling COMPACT and site managers to communicate these threats to stakeholders during the planning process, and to begin to adapt the management plan for Mount Kenya. Based on the success of using aerial surveys to conduct the baseline assessment at Mount Kenya, this has now become a standard method for measuring environmental conservation impacts over time at the Mount Kenya World Heritage site, and has been adopted for other important watersheds in the country.

4

Stewardship of World Heritage: management and governance

Mount Kenya National Park/Natural Forest (Kenya)
© OUR PLACE

4.1 Introduction

Corresponding with the operational processes of World Heritage, this chapter addresses the management phase in the life cycle of a World Heritage site. Ideally, this 'phase' is, in fact, the lifetime of the site – ongoing for an indefinite period into the future, assuming protection in perpetuity. The responsible stewardship of a World Heritage property for future generations involves effective management as well as good governance. As spelled out in the *Operational Guidelines* (WHC, 2013*b*, para. 111), an effective management system should involve partners and stakeholders, reflect a thorough and shared understanding of the property by all stakeholders, and be based on an accountable, transparent description of how the management system functions. This also reflects principles of 'good governance', that is to say, governance that is equitable and effective.

This chapter offers guidance based on the COMPACT experience on how to integrate community concerns into management and governance at site level. As it is beyond the scope of this paper to provide detailed, step-by-step instructions, this chapter builds on the very comprehensive material provided in both the *Enhancing our Heritage Toolkit* and *Open Standards for the Practice of Conservation* (see Appendix), and directs the reader to useful tools provided in these and other resources. In particular, the focus here is on tools for engaging communities in planning and adaptive management, governance structures that ensure broad participation, and capacity-building of communities for the stewardship of a site and its surrounding landscape. This chapter also briefly explores how grant-making at landscape level, complemented by other capacity-building and exchange activities, can catalyse and sustain community involvement in conservation. Chapter 6 presents examples of initiatives that link improved conservation and enhanced community well-being.

4.2 Management effectiveness of protected areas

As discussed in Chapter 1, ensuring management effectiveness of World Heritage sites is a growing concern and priority, reflecting a broader global trend regarding protected areas of all kinds. The term management effectiveness reflects three main themes of protected area management:

- design issues relating to individual sites and protected area systems;
- adequacy and appropriateness of management systems and processes;
- delivery of protected area objectives, including conservation of values.

The IUCN World Commission on Protected Areas (IUCN-WCPA) has developed a framework for assessing management effectiveness of protected areas according to a process with six distinct stages: (i) establishing the context of existing values and threats, (ii) progressing through planning, (iii) allocating resources, (iv) implementing actual management actions (process), (v) producing outputs, that in turn result in (vi) impacts or outcomes (Hockings et al., 2006). This framework, which is widely accepted as an international standard for best practice, is flexible enough to be applied to a broad range of protected area types with cultural as well as natural values.

The *Enhancing our Heritage Toolkit*, based on the framework developed by WCPA, provides managers with guidance, tools and an adaptive approach to improving management effectiveness of natural World Heritage sites (see Box 9). It recognizes the role of indigenous peoples and local communities in the process and acknowledges many of the issues affecting communities living near or within World Heritage sites. Accordingly, community involvement is specified at key steps in the management effectiveness assessment process, such as identifying site values, ranking threats, identifying stakeholder relationships and developing the management plan for the site. It includes questions on the extent to which the site design contributes to community well-being, and whether the management plan takes into account the needs and interests of local and indigenous communities living in or around the site.

The *Enhancing our Heritage Toolkit* is widely used by site managers worldwide and is a core reference for management of World Heritage, along with the World Heritage Resource Manual, *Managing Natural World Heritage* (WHC, 2012*a*).

Box 9: *Enhancing our Heritage Toolkit*

Based on the IUCN-WCPA framework for assessing management effectiveness of protected areas, and produced by IUCN-WCPA and the UNESCO World Heritage Centre, the *Enhancing our Heritage Toolkit* (World Heritage Paper No. 23) was developed with extensive input from protected area managers at World Heritage sites in Africa, South Asia and Latin America that have all been recognized for their biodiversity values. At the core of the *Toolkit* are twelve tools for assessing various components of World Heritage site management effectiveness to create a picture of how well a site is being managed and achieving its objectives. They are:

Tool 1: Identifying Site Values and Management Objectives – Identifies and lists major site values and associated management objectives. Together these help to decide what should be monitored and analysed during the assessment.

Tool 2: Identifying Threats – Helps managers to organize and report changes in the type and level of threat to a site and to manage responses.

Tool 3: Relationships with Stakeholders – Identifies stakeholders and their relationship with the site.

Tool 4: Review of National Context – Helps to understand how national and international policies, legislation and government actions affect the site.

Tool 5: Assessment of Management Planning – Assesses the adequacy of the main planning document used to guide management of the site.

Tool 6: Design Assessment – Assesses the design of the site and examines how its size, location and boundaries affect managers' capacity to maintain site values.

Tool 7: Assessment of Management Needs and Inputs – Evaluates current staff compared to staff needs and current budget compared to an ideal budget allocation.

Tool 8: Assessment of Management Processes – Identifies best practices and desired standards for management processes and rates performance against these standards.

Tool 9: Assessment of Management Plan Implementation – Shows progress in implementing the management plan (or other main planning document), both generally and for individual components.

Tool 10: Work/Site Output Indicators – Assesses the achievement of annual work programme targets and other output indicators.

Tool 11: Assessing the Outcomes of Management – Answers the most important question: whether the site is accomplishing what it was set up to do in terms of maintaining ecological integrity, wildlife, cultural values and landscapes, etc.

Tool 12: Review of Management Effectiveness Assessment Results – Summarizes the results and helps to prioritize management actions in response.

For more on these tools and how to apply them, refer to Hockings et al. (2008).

4.3 Engaging communities in management planning

Developing a management plan

The *Managing Natural World Heritage* Resource Manual (WHC, 2012a) identifies a series of steps in a generic process of developing a management plan. These steps, which can, of course, be modified according to the situation at a specific site and its national policy context, include the following:

- develop a work-plan;
- agree on the time-line;
- define and identify resources needed to carry out the plan;
- engage stakeholders;
- develop the approval process;
- consider actions to deal with conflict prevention and resolution.

According to this manual, among the key elements of a management plan (in addition to other elements relating to zoning, capacity, resources, etc.) are those relating to site values, management objectives, pressures, targets, indicators, and strategies and actions for management. These are summarized in Table 2 alongside some examples of ways in which local actors (stakeholders and rightsholders) can be involved in these elements of the management planning process.

Sian Ka'an is rich in the cultural heritage of its past and present-day Mayan inhabitants (Mexico)
© SGP Archives

Table 2: Key elements of a management plan for a World Heritage site with options for community engagement

Values and objectives Clear statements of the desired outcomes of management, to the site's Statement of Outstanding Universal Value, as well as any other relevant values not associated with World Heritage listing.	During the initial baseline assessment and/or preparation of the nomination, local stakeholders contribute to the SOUV. They help to identify other natural and cultural values (including intangible values) of the site that are important at local level and beyond, but not considered OUV. Through consultations, local stakeholders offer their perspectives on the integrity and (where appropriate) the authenticity of site values. Local stakeholders identify ecosystem services important locally and within the broader landscape (e.g. at the level of a watershed). They help to frame related management objectives for the site.
Pressures Details of threats to the site based on assessment during planning and/or ongoing management effectiveness assessments.	Local stakeholders review information gathered during the baseline assessment stage (e.g. aerial surveys) and help to interpret what this indicates about pressures on the site. Local stakeholders participate in threat-ranking exercises. Over the long term, local stakeholders review management effectiveness assessments and contribute information about past, present and future threats to the site and its values.
Description of the targets Clear measurable management targets, which are the focus of actions to achieve the area's overall objectives and protect its values, including those specifically associated with the OUV.	Local stakeholders contribute to identification of management targets, including biodiversity, cultural, economic and social targets. Through mapping exercises, interviews and other means, traditional knowledge regarding natural and cultural resources in and around the site (including intangible heritage) is captured.
Indicators for targets A list of measurable indicators for the agreed targets that can be used to monitor success of management and ensure the effectiveness of the management plan.	Local stakeholders contribute to identifying key indicators for the conservation targets. Traditional knowledge about the site and its history can be tapped to help select appropriate indicators.
Strategies and actions for management A plan emerging from consideration of the status of the targets/indicators (e.g. responding to the threats and opportunities affecting them).	Information regarding traditional management practices and governance structures for natural resource management, including customary laws and institutions. Local stakeholders contribute to the development of a conceptual model for the site, graphically presenting site-level processes, threats and opportunities. Drawing on the conceptual model, local stakeholders contribute to developing a strategy for management of the site. They help to identify and prioritize specific actions that will have a positive effect on conservation of biodiversity and other targets.

Source: Managing Natural World Heritage *(WHC, 2012a).*
http://whc.unesco.org/en/managing-natural-world-heritage/

There exists a wide array of methods for ensuring community participation in developing these elements of a protected area management plan. The worksheets provided in the *Enhancing our Heritage Toolkit* can be used as a focus for soliciting community input in planning and reviewing existing management plans. The three frameworks used by COMPACT for its project planning – the baseline assessment, conceptual model and site strategy – have proven to be an effective means of engaging communities from the beginning in the planning and adaptive management of landscape-level initiatives. These planning frameworks can also be used to help enhance participation in developing a site management plan. The baseline assessment is discussed in Chapter 3. The other two planning frameworks are introduced in more detail in this chapter. The accompanying Case Studies 8 and 9 (pp. 56 and 57) illustrate COMPACT's experience with involving communities in the development of management plans at several different sites.

4.4 Supporting community engagement in governance of World Heritage sites

Governance of protected areas

Over the long term, the effective stewardship of a World Heritage site is assured by two related elements: management and governance. While they are closely related, it is important to make a clear distinction between the two. Management is about aims, actions and results that lead, ideally, to management effectiveness of protected areas (see Hockings et al., 2008). Governance is concerned with decision-making and power, responsibility and relationships that lead, ideally, to governance that is effective and equitable (see Box 10). As explained in a recent IUCN Best Practice Guidelines publication on this topic, assessment of the governance of a given protected area should take into account the *type* of governance, as well as the *quality* of governance. Principles of good governance encompass considerations relating to legitimacy and voice, direction, performance, accountability, and fairness and rights (ibid.).[34]

Box 10: Governance and protected areas

Governance refers to principles, policies and rules regarding decision-making. These elements are all highly relevant to protected areas:

'Wherever decisions are being made and power and authority are exercised, some form of 'governance' is in place. This is true for natural resource management in general and for protected areas in particular. The power and the capacity to take decisions have a major influence on the achievement of protected area objectives, the sharing of responsibilities, rights, costs and benefits, and the generation and maintenance of support – be it financial, political, or from the communities in and around the protected areas in question. The process of understanding and, where necessary, improving governance, is at the heart of effective conservation.'

Source: Borrini-Feyerabend et al. (2013).

As discussed above, an important conceptual breakthrough in the past decade has been a framework for protected areas governance, by which it is now widely understood that a protected area of any type– from a strict nature reserve to an extractive reserve – can be found under any of the different possible governance arrangements. The wide array of possible governance arrangements can be grouped together as four major types: governance by government; shared governance; governance by private actors; and governance by indigenous peoples and local communities (Dudley, 2008; Borrini-Feyerabend et al., 2013). These can be seen as cutting across all six of the IUCN management categories for protected areas, as illustrated in Table 3. This protected area matrix is increasingly used as a typology and planning tool.

Actors involved in governance include rightsholders, stakeholders, and duty-bearers (for description, see page 36). This distinction is important for taking a rights-based approach to conservation and development, in keeping with the key tenets of the UN Declaration on the Rights of Indigenous Peoples and other Universal Human Rights Instruments.

Diverse governance arrangements at landscape level

Like other kinds of protected areas, World Heritage sites can be found under a diverse array of governance arrangements. More generally, taking a landscape approach involves working beyond the boundaries of a given site, encompassing a mosaic of areas under different governance regimes. Extending conservation into the wider landscape therefore involves many more actors, including landowners, organizations and different government bodies and may require new forms of governance. One emerging model, network governance, is based on coordinating and facilitating networks of partners and relies on engaging a diversity of stakeholders and building consensus, while creating and sustaining these networks (Laven et al., 2015).

It is important to bear in mind that most protected areas do not fit neatly into a single governance 'box'. The governance arrangements can vary across a given protected area and are often quite dynamic, changing over time. The IUCN Best Practice Guidelines publication, *Governance of Protected Areas: From Understanding to Action (*Borrini-Feyerabend et al., 2013) provides a clear presentation of how these different decision-making approaches can be seen as a

34 A table illustrating how these basic principles of good governance relate to each other throughout the life cycle of a protected area is provided in Borrini-Feyerabend et al. (2013). https://cmsdata.iucn.org/downloads/governance_of_protected_areas_from_understanding_to_action.pdf

Table 3: IUCN protected area matrix – a classification system for protected areas comprising both management category and governance type

Governance type / Management category	Governance by government			Shared governance			Private governance			Governance by indigenous peoples and local communities	
	Federal or national ministry of agency in charge	Sub-national ministry or agency in charge	Government-delegated management (e.g. to an NGO	Transboundary governance	Collaborative governance (various forms of pluralist influence)	Joint governance (pluralist governing body)	Conserved areas established and run by individual landowners	.. by non-profit organizations (e.g. NGOs, universities)	.. by non-profit organizations (e.g. corporate landowners)	Indigenous peoples' conserved areas and territories – established and run by indigenous peoples	Community conserved areas and territories – established and run by local communities
I. A. Strict nature reserve											
I. B. Wilderness area											
II. National park											
III. Natural monument											
IV. Habitat/ species management											
V. Protected landscape/ seascape											
VI. Protected area with sustainable use of natural resources											

Source: *Borrini-Feyerabend et al. (2013).*

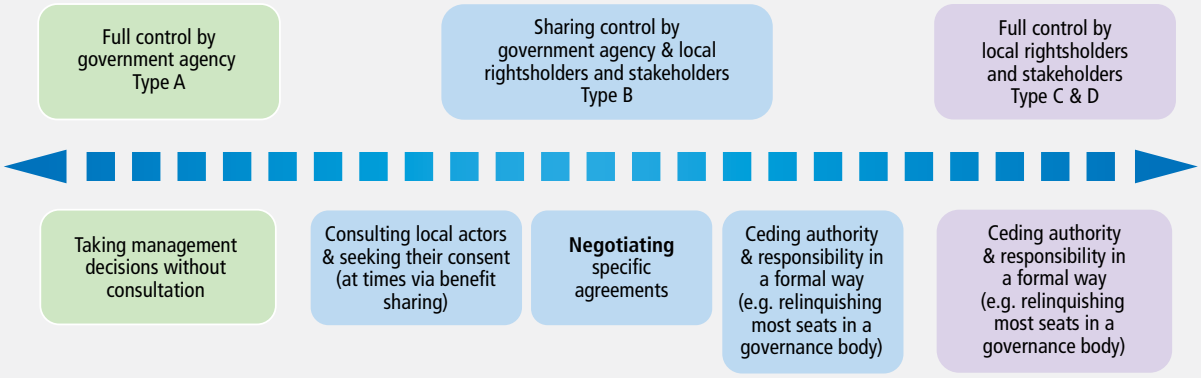
continuum, representing the varying degrees of authority, responsibility and accountability held by the different actors in a protected area. For a single protected area, different decisions may occupy different places on this continuum, depending for example on the degree of involvement of local rightsholders and stakeholders in a particular decision. The images in Figure 4 show the governance continuum as seen from the perspective of three key groups of actors in a protected area: a government agency, local rightsholders and stakeholders, and a supporting NGO (ibid.).

Multi-stakeholder governance structures

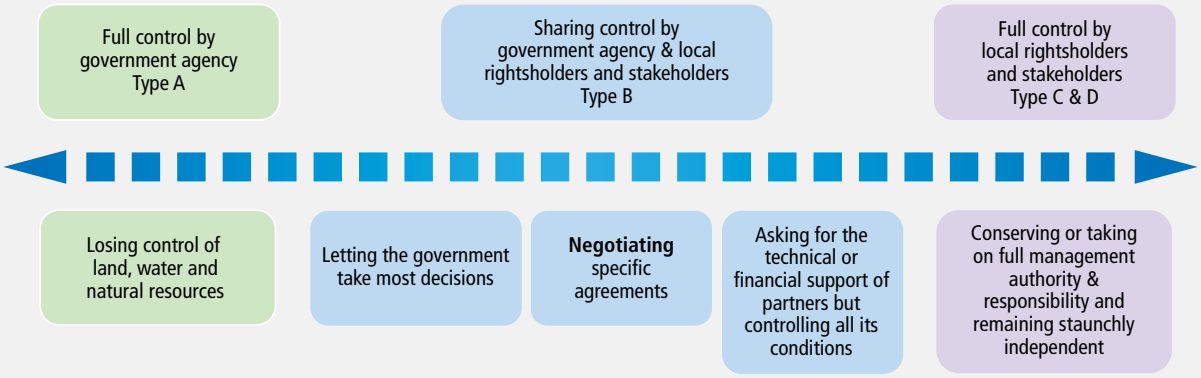
An important instrument for facilitating good governance is to create a multi-stakeholder organization charged with ensuring that dialogue, coordination and consensus-building takes place among key stakeholders concerned with the World Heritage site. Ideally, such a body would be established during the nomination phase and then maintained over the long term. A local consultative or advisory body helps to ensure that the perspectives of diverse stakeholders are considered. It can provide a forum for improving cooperation and forging partnerships at landscape level.

The creation of a Local Consultative Body (LCB) has been a key innovation within the COMPACT model, going back to its establishment a decade ago. Even now, there are few organizations at site level that bring together different stakeholders with concern for the landscape/seascape and in around a given World Heritage site. Refer to Chapter 2 for discussion of the characteristics of the LCB.

The governance continuum from the perspective of a government agency vis-à-vis local rightsholders and stakeholders (e.g. local landowners or communities)



The governance continuum from the perspective of local rightsholders and stakeholders vis-à-vis government agencies



The governance continuum from the perspective of a supporting NGO vis-à-vis government agencies and local rightsholders and stakeholders (e.g. local landowners or communities)

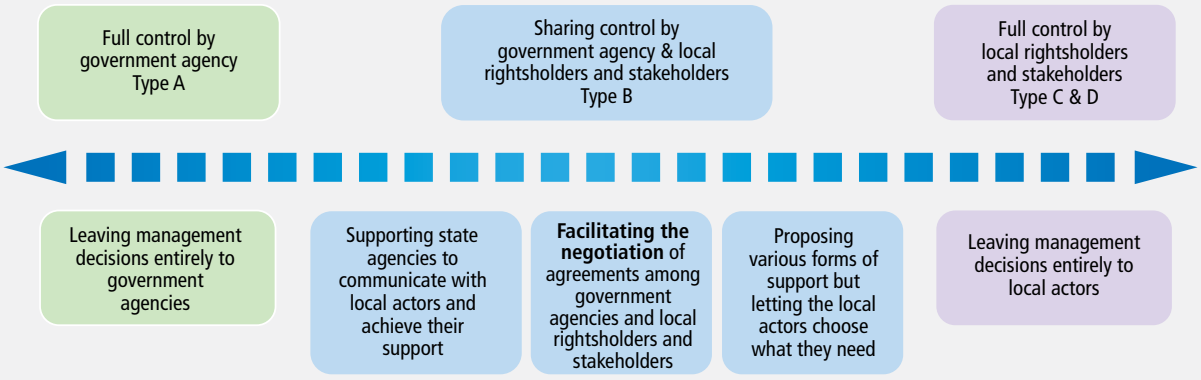


Figure 4: IUCN Protected Area Matrix and the finer nature of governance types. Authority, responsibility and accountability in governing protected areas.
Source: Borrini-Feyerabend et al., 2013.

At a community consultation meeting fishers, tour operators and NGOs discuss changes to the management plan for a marine protected area in the Belize Barrier Reef Reserve System (Belize)
© Brent Mitchell

Box 11: The COMPACT Local Consultative Body at Sian Ka'an (Mexico)

At Sian Ka'an in Mexico, COMPACT created a Comité de Selección de COMPACT (COMPACT Selection Committee) that also provided support functions. The ten members of the committee, including one representative of the SGP National Steering Committee, have been responsible for reviewing proposals, deciding which projects would be approved and evaluating projects. At the same time, members of the committee provide technical support to the projects, according to their abilities, and are actively involved in planning exercises and helping to make linkages among clusters of projects.

Box 12: Local Marine Advisory Committees of the Great Barrier Reef (Australia)

An excellent example from a marine and coastal setting is the Local Marine Advisory Committees (LMACs) of Australia's Great Barrier Reef. There are twelve LMACs along the coast with over 200 community members in total. The composition of each is structured to ensure a balanced representation of local people who are involved in the management or use of the marine protected area. Members include representatives of commercial and recreational fishers, conservation groups, farmers, tourist operators, local government, industry and interest groups, as well as Aboriginal and Torres Strait Islander interests.

Source: Day et al. (2012).

Case Study 8: Kilimanjaro National Park and World Heritage site (Tanzania)

Since its establishment in 2001, COMPACT Kilimanjaro has promoted the active involvement of local communities in the planning and management of the Mount Kilimanjaro World Heritage site. As a result, critical human-induced threats to the protected area (such as forest fires and illegal logging) have declined significantly, while the livelihoods of participating communities have improved, particularly in the areas of food security, water access and income generation.

As described in Chapter 3, local communities in the landscape around Kilimanjaro National Park and World Heritage site participated actively in the COMPACT baseline assessment, which was initiated in 2001. Because of their involvement in this process, COMPACT and site managers were able to obtain critical information regarding the conservation status of the World Heritage site and to identify major threats to the mountain ecosystem. They also learned about some of the sources of conflict between the communities and the protected area authorities, including lack of information about park regulations and policies, a perception on the part of communities that they were not benefiting from the protected area, and problems stemming from a 'policing' approach to management and enforcement. The COMPACT baseline study also revealed the limitations of a programme, dating back to l992, in which the Kilimanjaro National Park Authority (KINAPA) had been sharing a portion of its revenue with adjacent communities to fund the provision of community services and infrastructure (such as schools, clinics, water facilities). It found that while these improvements were deemed to be important to communities, they did not have a major impact on individual households, where families were continuing to struggle to meet basic livelihood needs on smaller subdivided parcels of land. These families were actively looking for solutions to find alternative energy sources for cooking, to improve the harvest of crops, and increase the availability of fodder.

Responding to what was learned during the baseline assessment in 2006, COMPACT helped to facilitate the involvement of local stakeholders in the development of the General Management Plan (GMP) for the Mount Kilimanjaro World Heritage site. COMPACT did so by providing funding for consultations, as well as technical and advisory support for a series of stakeholders' meetings leading to development of the GMP. The participatory process brought in a variety of stakeholders, including local community leaders, NGOs, CBOs and tourism operators, as well as representatives of park management authorities. The local communities were represented through the village leadership (typically the chairperson and environmental committee leader for each village). These individuals held meetings with residents in their home villages, and then represented their views in the stakeholder workshops leading to the preparation of the GMP.

The GMP for Kilimanjaro (a ten-year document which runs until 2016) envisions active cooperation between stakeholders and explicitly recognizes the importance of community involvement in management and protection of the national park's resources. In the years since the GMP for Kilimanjaro was put in place, COMPACT has helped to complement many of the planned field activities identified as priorities in the plan. These have included rehabilitation of the mountain climbing trails to avoid soil erosion and increase tourist safety; training of mountain guides and porters; conservation education; tree planting; support for local livelihoods, alternative energy, and agricultural activities.

For example, a key area of the GMP for Mount Kilimanjaro relates to promoting sustainable tourism with the involvement of local communities; this sector is seen as an important source of revenue for the national park, as well as the basis of income-generating activities for local households. The GMP identifies several intervention areas in this area, including improving and diversifying tourism activities, introducing new climbing routes, and encouraging local communities to initiate ecological and cultural tourism activities. Shortly after the development of the GMP, COMPACT supported the rehabilitation of the 18 km 'Machame trail', which ascends Mount Kilimanjaro and is a popular route with experienced hikers. The COMPACT-supported project to rehabilitate the trail helped to protect biodiversity along the route by reducing threats from potential erosion and trampling, while ensuring a better visitor experience for climbers and other tourists. It provided income to local households because workers were hired from the local communities. In a related activity, COMPACT supported a training programme for local guides, porters and cooks who accompany climbers and other visitors to the park.

Source: Kilimanjaro National Park Authority (2006), Kilimanjaro National Park General Management Plan 2006-2015.

Mobilizing grassroots efforts, this COMPACT grantee organization has planted over a million trees in Tanzania, many in the landscape of Mount Kilimanjaro
© Jessica Brown

Case Study 9: Puerto-Princesa Subterranean River National Park (Philippines)

At Puerto-Princesa Subterranean River National Park (PPSRNP) in the Philippines, COMPACT has facilitated the participation of indigenous communities in developing a management plan and demarcating park boundaries, and has supported their ongoing involvement in conservation of site values. Encompassing a full 'mountain-to-sea' ecosystem, including an underground river that emerges directly into the sea and extensive forested areas, Puerto-Princesa was inscribed on the World Heritage List in 1999. The protected area and its buffer zone are the ancestral lands of the Batak and Tagbanwa indigenous peoples who continue to inhabit the area and whose resource use practices rely on a diversity of ecosystems within the landscape and seascape.

COMPACT's engagement in Palawan began in 2003 with a baseline assessment of the landscape/seascape in and around Puerto-Princesa National Park, during which the team relied on extensive consultation with the indigenous communities surrounding the World Heritage site. The baseline assessment identified a number of threats to the protected area, including habitat destruction and alteration; rapid population growth in certain areas; uncontrolled tourism development; and unregulated collection of wildlife (flora and fauna) in terrestrial, coastal and marine areas. It also identified issues of encroachment and poaching by districts (*barangays*) adjacent to the World Heritage site and proposed that these areas be included in alternative future livelihoods activities to lessen the threat from illegal timber and non-forest timber product harvesting.

Building on these findings from the baseline assessment and community consultations, during 2003–2004 the COMPACT team worked closely with the Protected Areas Management Board (PAMB) and other partners to ensure the involvement of local and indigenous communities in developing the General Management Plan for the national park and World Heritage site. COMPACT brought local and indigenous communities and stakeholders together to agree on a common spatial vision for the area as a 'model World Heritage site through community-led biodiversity conservation and sustainable development' with the aim of gradually increasing the percentage of the park 'under strict protection' as originally envisioned when the national park was established. As adopted by the PAMB, the park's General Management Plan includes the following goals in its mission:

- Ensure that the river remains naturally clean and unpolluted, and maintains its flow through appropriate management of the catchment inside and outside the park.

Puerto-Princesa Subterranean River National Park (Philippines)
© Henrique Bente

- Conserve the natural ecosystems inside and outside the underground part of the river and in its catchment with the involvement of stakeholders, particularly local communities, visitors and the tourism industry.
- Protect the surrounding forest to maintain the biodiversity within the park.
- Protect endangered and endemic species.

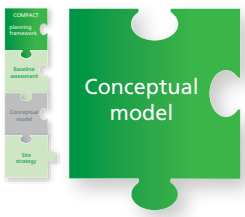
The mission of the GMP is translated into seven programmes: Ecosystem Management; Park Protection and Law Enforcement; Research and Monitoring; Public Awareness and Community Relations; Tourism and Visitor Management; Regional Integration; Institutional Development Organization and Administration. The GMP has three 'core' strategies that serve as foundation elements – protection, mitigation and development – alongside 'supporting' strategies relating to management, research, communication and capability-building. Complementing the GMP, the COMPACT site strategy had several elements relating to protecting the ecological integrity of the site, including reducing extractive pressures on natural resources in the centre of the park, *ex situ* conservation of selected species; rehabilitation of some cleared areas through replanting of indigenous species.

In addition to helping to facilitate community participation in formulating the GMP, COMPACT has worked with the park authorities on locating and delineating the boundaries of the protected area, which has grown dramatically in the years since it was first designated. A 2008 project that delineated the actual boundaries of the PPSRNP according to the Presidential proclamation that renamed it as a national park in 1989 (the same year that it was inscribed on the World Heritage List) has helped to establish appropriate management zones of the protected area. In parallel, responding to the needs of the indigenous communities, COMPACT has supported indigenous peoples living within the area to secure their traditional land rights by obtaining ancestral domain title to their lands.

4.5 Planning frameworks

These planning tools have been introduced from a methodological perspective in Chapter 2, focusing on the COMPACT model. Because these elements of the COMPACT methodology can be highly useful in engaging communities, they are further discussed here with respect to their potential contribution to the management and governance of World Heritage sites.

The conceptual model – scope, vision and conservation targets



Once a project team has been established, it can begin to define the broad parameters within which it will work. This includes delineating a geographical or thematic scope for the project and drafting an inspirational, brief, and relatively general vision for what the team hopes to achieve over the long term. With consensus on the scope and broader vision, the team can then identify conservation targets within the site and the aspects of human well-being that those targets support through ecosystem services. Having a conceptual model graphically showing the links between threats and opportunities will help the team to develop a long-term strategy at site level.

A conceptual model is a tool designed to ensure that the information gathered during an initial assessment can be effectively used to guide planning. As discussed in Chapter 3, during the baseline assessment stage the team will have identified conservation objectives (or targets), threats, existing initiatives, and relationships with local communities, as well as socio-economic and cultural questions concerning communities and institutions in the broader landscape. Gathering information about a site should be done through participatory processes that bring in different stakeholders, as well as through field collection of quantitative data (e.g. the status of a specific wildlife population). Using the findings of the baseline assessment, the team can then develop a conceptual model that provides a visual representation capturing:

- **site-level processes** – operating in the landscape and seascape;
- **threats** – to biodiversity targets; and
- **opportunities** – for effective interventions.

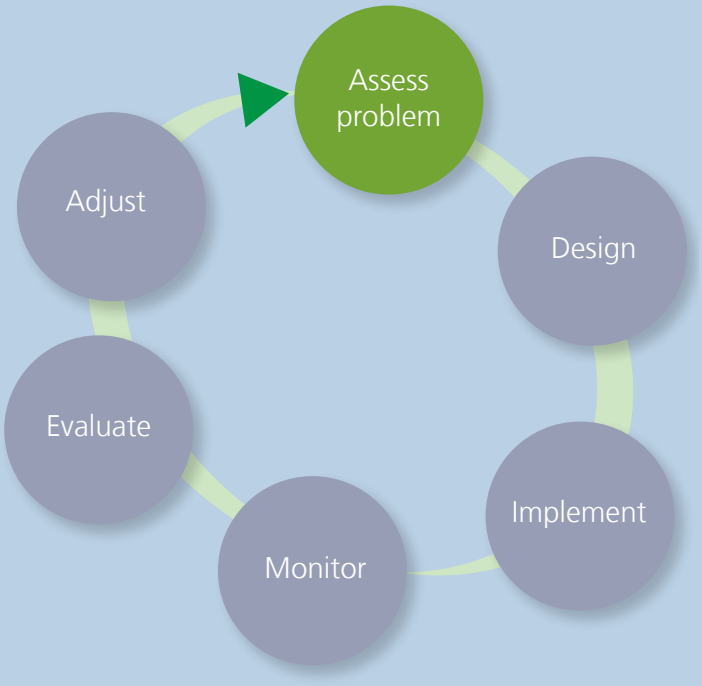
A conceptual model is a core element of an adaptively management initiative in keeping with the key tenets of Theory of Change thinking (see Box 13). By illustrating how different interventions can potentially influence a given situation, the conceptual model serves as the basis for project design and management, as well as for future monitoring and evaluation (Margoluis and Salafsky, 1998). It also provides an important tool for reflection, enabling the team to review progress at various stages in the life cycle of the initiative, and to adapt the work plan according to changing conditions and needs on the ground.

A good conceptual model should:

- present a picture of the situation at the programme site;
- show assumed linkages between factors affecting the target condition;
- present only relevant factors;
- be based on sound data and information; and
- result from a team effort.

There are many ways to create a visual conceptual model. Helpful guidance is provided in *Open Standards for the Practice of Conservation* methodology developed by the Conservation Measures Partnership (CMP, 2013). For example, the project team might use low-tech methods to create a conceptual model, facilitating local stakeholders in the use of sticky boards and simple maps to identify and assess threats and opportunities. It could then use computer software to organize the information into a clear, diagrammatic illustration of the site-level processes, threats and opportunities. The Appendix introduces elements of this methodology, including computer modelling using the *Miradi* software (for further details see Margolius and Salasky, 1998).

Box 13: The Theory of Change concept



Taking an adaptive management approach reflects current Theory of Change thinking in which a logical model and mapping of anticipated results is combined with processes of reflection and analysis that, in turn, shape future stages of the project. Consistent with key elements of the Theory of Change concept, using planning frameworks enables the project manager to:

- analyse the context of the given site;
- explore assumptions;
- frame a hypothesis; and
- assess evidence within feedback that continually shapes the approach going forward.

Having a Theory of Change involves visualizing a desirable (and possible) future situation, based on making explicit assumptions about the current conditions and capabilities available. It is a 'thinking-action' approach in which steps to achieve transformative change are analysed and proposed. More information on Theory of Change thinking can be found in Vogel (2012) and Retolaza (2011).

Box 14: Developing a conceptual model for the COMPACT programme in Belize

In Belize, the conceptual model was developed using the following approach. First, a diagram was developed to illustrate the relationships between certain factors affecting either the site or the intended result of conserving the biodiversity of the Belize Barrier Reef Reserve System (BBRRS) World Heritage site. Next, key threats were identified, along with contributing factors and opportunities. This step, in turn, led to the articulation of three objectives for COMPACT in Belize:

- to expand sustainable livelihood options;
- to ensure the protection, conservation and sustainable use of resources; and
- to enhance capacities for community participation.

Refer to the conceptual model for Mount Kenya (p. 61), which illustrates how these elements were formulated against the target condition, noting threats, opportunities and other factors, and feeding into the articulation of the three main objectives. A conceptual model for COMPACT in Belize can be found at Brown and Hay-Edie (2013): https://sgp.undp.org/images/Compact_Report_WEB_flat.pdf

A community ranger working with the Toledo Institute for Development and Environment finds gillnets at an unauthorized fishing site near the Belize Barrier Reef Reserve System (Belize)
© Brent Mitchell

Figure 5: Use of *Miradi* for threat prioritization in the Mount Kenya landscape

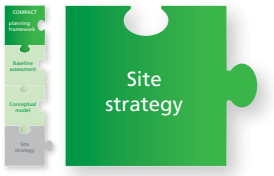
Threats/targets	Rivers	Mountain forest	Mountain bongo	Endemic rangeland	Degraded grassland	Summary threat rating
Poaching			Very high	Low		High
Clearing of land for agriculture or settlement	Medium			Medium	Medium	Medium
Livestock overgrazing				Medium	Medium	Medium
Logging and wood harvesting		Medium	Medium			Medium
Invasive plan species				Medium	Medium	Medium
Planting of exotic tree species	Low	Low				Low
Waste dumping/ pollution	Low					Low
Rock quarrying activities	Medium					Low
Over-abstraction of water from rivers					Low	Low
Summary target ratings	Medium	Low	High	Medium	Medium	Overall project rating: Medium

Conceptual model: identifying and ranking threats

Conservation takes place in the face of a wide variety of threats to natural resources and biodiversity. Knowing which of these threats to address can be a challenge. Threat-ranking is a method for making implicit assessment of threats more explicit and more objective. It involves determining and defining a set of criteria (usually extent, severity and irreversibility) and then applying those criteria systematically to the threats that directly degrade a project's conservation targets. By ranking the priority of threats, the project team can better focus its efforts and work towards implementing conservation actions where they are most needed.

The *Enhancing our Heritage Toolkit* provides a framework for threat assessment that considers the linkages between threats, their causes and their impacts. Worksheet No. 3 in the toolkit is helpful in guiding a team through threat assessment, taking into account the severity and extent of threats, whether they are current or potential, and the kinds of actions that can be used to help address these threats. Similarly, the graphic tools developed by the *Open Standards* can be helpful in involving local stakeholders in identifying and ranking threats. An example of a threat-ranking assessment developed using the *Miradi* software tools is provided in Figure 5. This assessment was conducted by the COMPACT team in Kenya, and illustrates the relative urgency of threats to conservation targets in the Mount Kenya landscape.

Preparing a site strategy



With the baseline assessment and conceptual model in place, the next step is to develop a site strategy, which guides the allocation of resources, implementation of project interventions and the assessment of results. As described in the *Open Standards*, the site strategy draws on the conceptual model, which has identified the key threats and opportunities affecting the biodiversity of the area. With the help of the conceptual model the main factors having an impact on the target condition can be identified and, in turn, determine and prioritize specific actions that are likely to have a positive impact on conservation of the target biodiversity. Developing the site strategy should be undertaken through a participatory process involving consultation with local stakeholders. An example of how this might be done is provided in Box 15.

Box 15: Developing a COMPACT site strategy in Belize

In Belize, a public awareness campaign about the Belize Barrier Reef Reserve System (BBRRS) World Heritage site laid the groundwork for broad participation in developing the COMPACT site strategy in 2001. A consortium of Belizean NGOs that had been engaged for this purpose worked together collaboratively to develop the site strategy. They consulted with several communities, agencies and individuals to formulate a strategy to meet the key goal: *to demonstrate how community-based initiatives can significantly increase the effectiveness of biodiversity conservation within the BBRRS World Heritage site by complementing and adding value to existing conservation programmes being implemented in support of the management and sustainable use of the protected areas which comprise the BBRRS World Heritage site* and three core objectives:

- To expand the sustainable livelihoods options for community groups and community-based organizations that impact the reef system, with a view to reducing the stressors on the BBRRS World Heritage site.
- To promote the protection, conservation and sustainable use of the resources of the Belize Barrier Reef Reserve System World Heritage site by community groups, community-based organizations and the general public.
- To develop and/or enhance the management capacities of the community groups who use and impact the resources of the BBRRS World Heritage site, as well as those who participate in co-management of the protected areas.

Through discussions with stakeholders and target beneficiaries the team was able to identify areas where there were gaps in skills and management capacity, or where there were opportunities for improved conservation. They identified thematic areas corresponding with the core objectives and began to consider potential activities that would achieve results such as:

- better protected areas management within the BBRRS;
- greater awareness of biodiversity and conservation needs;
- community benefits including enhanced local livelihoods;
- enhanced stakeholder communication, consultation and consensus-building; and
- dissemination of lessons learned and best practices.

Target beneficiaries included community groups, fishing cooperatives and associations, local tourism organizations, co-management entities and conservation NGOs. Responding to issues that were revealed by the baseline assessment, an important priority in the COMPACT site strategy has been to help fishers benefit from the marine protected areas (MPAs) through co-management arrangements and alternative livelihood initiatives.

The site strategy envisioned leveraging COMPACT funding with co-financing from an array of partners, including community groups, regulatory agencies and other in-country donors. A decade on, COMPACT-Belize has funded approximately fifty community-based projects in more than twelve coastal communities and has led many capacity-building activities, all of which are helping to achieve the overall goals envisioned in the site strategy for COMPACT's work in the BBRRS World Heritage site.

Belize Barrier Reef Reserve System (Belize) © Brandon Rosenblum

Case Study 10: Great Barrier Reef (Australia)

The management of a vast property such as the Great Barrier Reef (GBR) is complex due to overlapping federal and state jurisdictions, with multiple agencies responsible for its management. Recognizing the importance of the GBR for local communities and other stakeholders, the responsible agencies have worked to maintain effective and meaningful partnerships with indigenous peoples, local communities and resource users to conserve Outstanding Universal Value and resilience of the GBR. Aboriginal and Torres Strait Islander people have a long association with the land and sea country of the region, and there are at least seventy Traditional Owner groups within the area of the GBR.

The GBR marine protected area has established an Indigenous Partnerships group that works closely with the Traditional Owner groups, developing sea country agreements and in conducting joint activities relating to conservation. These collaborations include:

- Negotiation of Traditional Use of Marine Resource Agreements, developed by the Traditional Owner groups and accredited by the government agencies, which describe the aspirations of the Traditional Owner groups for the sea country and its resources, and spell out their role in natural resource management, compliance and monitoring.

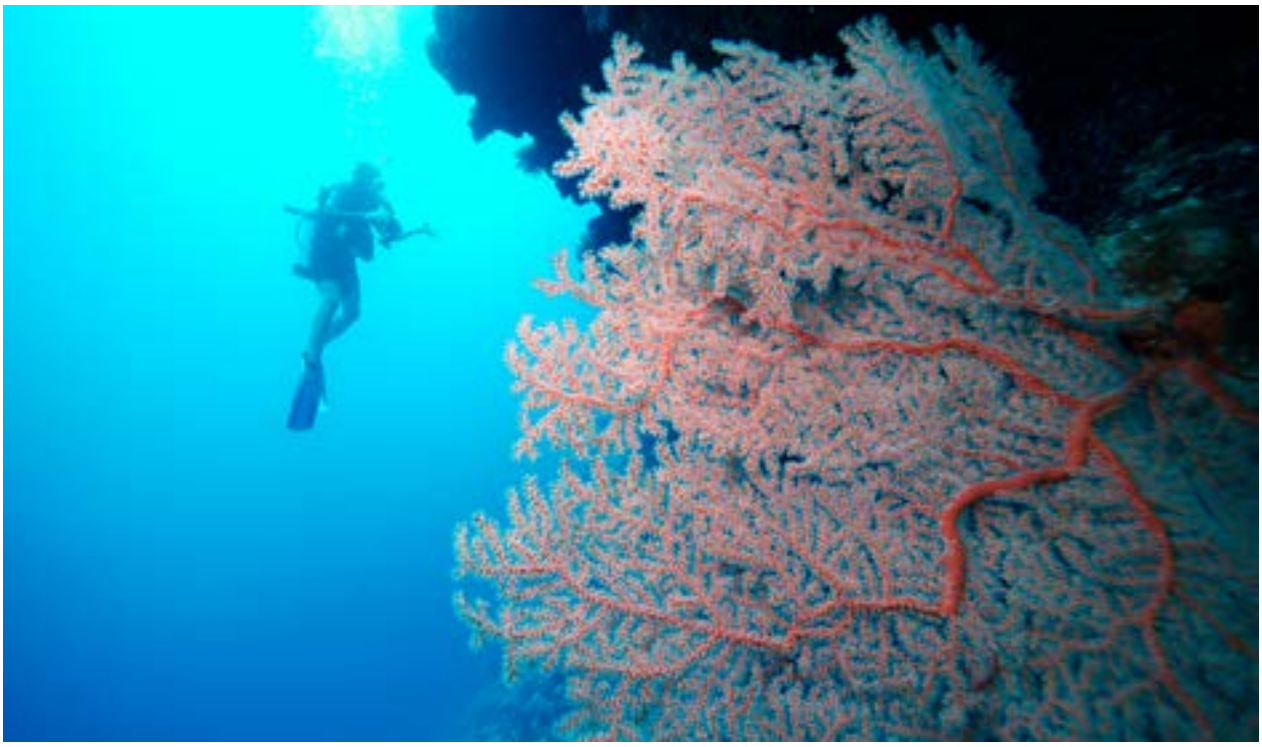
- A 'Reef Rescue' programme in partnership with stakeholders, including some fifty Traditional Owner groups, which involves these groups directly in sea country management, training, research and education. Activities include indigenous tourism and sustainable traditional use of marine resources. Through the programme over 250 Traditional Owners have participated in compliance training, increasing knowledge and awareness at community level of compliance issues and enhancing a sense of empowerment by Traditional Owners responsible for managing sea country.

- Establishment of an Indigenous Reef Advisory Committee to provide advice to the agency on how best to engage indigenous communities and Traditional Owners.

- A Reef Guardian programme which has reached students in 285 schools across Queensland and since 2007 has engaged Local Community Councils. Over a dozen Reef Guardian Councils are committed to demonstrating a commitment to the resilience of the GBR through activities such as water management, land use planning, erosion control and education.

While there has been a long-standing commitment to community engagement in the GBR, a major push for community engagement was made in the late 1990s during a rezoning across the entire GBR. This involved a comprehensive process of community involvement and participatory planning. The public consultation included some 1,000 formal and informal meetings as well as information sessions designed to solicit public input in the draft zoning planning, resulting in a final plan for rezoning of the reef.

Source: Day et al. (2012).



Great Barrier Reef (Australia) *© OUR PLACE*

Case Study 11. Capacity development of CBOs and NGOs in Dominica

In Dominica the COMPACT team has been committed to enhancing the capacity of local community institutions to plan projects and develop proposals that can attract support. Trainings have included proposal-writing clinics, and sessions on strategic leadership, monitoring and reporting methodologies (including introduction to *Open Standards* and use of *Miradi* software), as well as public awareness and communications. Fledgling organizations have been connected with more established grantees, who serve as dedicated mentors. The COMPACT team helped several organizations in the landscape of Morne Trois Pitons National Park to navigate the process of applying for an SGP grant (up to a maximum of US$50,000), providing planning grants of about US$2,000 to help them prepare their projects. In addition, each full SGP project funded included an allocation for capacity-building and training towards a specific skill set based on the identified needs of the beneficiaries. In the village of Cockrane, for example, the project design included tour guide training and computer literacy, as well as conservation education and public awareness components.

This customized capacity-building approach has enabled grantees to develop their negotiation skills in the course of securing their first SGP grant and implementing the project. As they build skills and confidence, these local and indigenous organizations have been able to negotiate successfully with other donors and partners, leveraging further resources for their projects and expanding their initiatives. Capacity-building is further reinforced in workshops and public meetings, where the representatives of grantee and partner organizations are encouraged to serve in key roles, for example chairing sessions, presenting, facilitating and serving as rapporteurs. By placing confidence in these village leaders, their ability to serve as trainers is enhanced and cultural elders are empowered to share and pass on their traditional knowledge.

4.6 Conservation by communities within a site and in the broader landscape

Supporting interventions through grant-making and capacity-building at landscape level

As discussed in Chapter 2, at the heart of the COMPACT initiative is a demand-driven grant-making programme operating at landscape level near World Heritage sites. Its programme of small grants is complemented by capacity-building, exchange and networking activities and oriented around thematic areas of work. Typically these small grants are in the range US$25,000 - US$50,000 over two years to support the work of local NGOs and CBOs working in the communities and landscapes of the World Heritage site. Local institutions approaching COMPACT for support deal directly with the Local Coordinator who helps them to prepare their proposals according to the format used by that country programme, ensuring that the proposed projects address the priorities and targets identified as part of the site strategy. The Local Coordinator does a preliminary evaluation of project proposals and manages the process of review by the Local Consultative Body and the National Steering Committee.[35]

COMPACT therefore offers a tested model for how a team can use small grants to support projects that involve local communities in conservation in a World Heritage site and broader landscape. The kinds of projects vary widely, and include hands-on management and restoration of resources inside the boundaries of a site as well as activities outside the site that link conservation and sustainable development of local communities. Anchored by small grants, these projects should be supported by capacity-building activities that serve as a kind of 'glue', linking different projects and making connections that help individual groups become stronger and improve their work. Examples of project interventions are described further in Chapter 6.

Just as the COMPACT planning frameworks can be applied to facilitating community participation in management planning of a World Heritage site, as discussed earlier in this chapter (p. 58), they can be applied to the task of planning a broader programme of interventions at landscape level. As discussed in Chapter 2, the COMPACT team typically proceeds through the three planning elements in order to develop a site strategy that sets targets and guides how resources would be allocated. With a good site strategy and an initial commitment of resources, the pieces are in place to launch a demand-driven grants programme at landscape level. Guidelines based on the COMPACT experience include the following:

- ***Use flexible proposal formats and offer support with initial proposal development*** – While it is important to maintain consistent standards for the projects supported, not all community-level organizations will have the capacity to write clear, persuasive proposals supported by detailed budgets. Developing a simple proposal outline and making this widely available is important. However, depending on the local context, literacy levels may vary, as will experience with proposal-writing. Therefore, the project team will need to invest time with potential applicants to think through and develop their project idea and work-plan and to consider the resources needed to make it happen. In addition, procedures might be considered that allow flexibility in the possible formats of project proposals, including the option of using alternative media, such as video and pictorial proposals. Such an approach ensures that all actors, regardless of their initial level of capacity, have the opportunity to access grant funding for promising concepts, while ensuring that innovative approaches emerge to improve the conservation status of sites. Over the long term, the project team can offer training in proposal development to build the capacity of current and potential grantees to access resources for their work.

- ***Maintain clear and transparent processes for review, approval and monitoring*** – In order to foster long-term collaborations, and not create divisions among groups, is essential that local actors have confidence in the process. Thus the procedures for providing small grants and complementary support must be clear, consistent and transparent. Decision-making should be neutral and well facilitated. In this respect, the governance structure of COMPACT has worked well, earning the trust and respect of actors at landscape level. The Local Coordinator works closely with applicants in project development; the Local Consultative Body, familiar with the local context, reviews proposals and makes recommendations; the SGP National Steering Committee is responsible for the final approval of projects. In launching a new initiative, the strengths of this tripartite model should be considered, balancing as it does local knowledge with the neutrality offered by having final decisions rest with an entity located at a distance from the site. According to the institutional context, the governance model might include a local coordinator, a local advisory body, and a decision-making body operating at subregional or national levels.

35 For a detailed review, see the chapter, *Building capacity: Helping grantees develop and manage their projects in a demand-driven programme,* in Brown and Hay-Edie (2013): https://sgp.undp.org/images/Compact_Report_WEB_flat.pdf

Case Study 12. Fostering synergy among clusters of projects in Sian Ka'an Biosphere Reserve and World Heritage site (Mexico)

- 24 Forest management and apiculture projects
- 20 Community tourism and fishing projects
- 20 Mayan culture and publications projects
- 13 Environmental education and technical support projects

By organizing its work according to thematic areas, the COMPACT initiative in Mexico has been able to foster synergies among different organizations and actors in and around the Sian Ka'an Biosphere Reserve and World Heritage site. What began as small projects linked to the programme's priorities were progressively organized as clusters such that these areas of activity are clearly identified thematically and engage networks of partners.

Over the past decade, COMPACT's grants in the Sian Ka'an landscape and seascape have supported projects in three thematic areas: the coast, the forest, and the preservation of Mayan culture. A fourth line of work (environmental education and technical support) has served as the 'fishing rod', supporting the development of skills in intercultural dialogue.

COMPACT has played an ongoing role in facilitating collaboration among different stakeholders, helping them to work together to develop plans in these areas. As a result, relatively small-scale projects have, over time, scaled up to multi-stakeholder alliances, at increasing geographical scale, including initiatives across the whole Yucatán Peninsula.

- ***Provide capacity-building in project planning and management*** – The support provided by small grants will be more effective if complemented by activities that build the capacity of an organization to plan, implement, monitor and adapt their projects. Offering training sessions in project design, financial management and evaluation is helpful, particularly if they bring together different grantees in settings where they can support each other and explore collaboration. Exposure to tools for adaptive management, such as the *Open Standards*, can be valuable. Alongside training sessions, mentoring and coaching are extremely effective methods of providing guidance over the long term. An example of how COMPACT-Dominica has provided this kind of support to its current and potential grantees is discussed in Case Study 11.

- ***Cluster support around thematic areas*** – By orienting support within clear thematic areas, and creating opportunities for networking, exchange and collaboration among grantees, the team can ensure that project activities reinforce each other. In this way, synergies can be fostered among different actors concerned with a World Heritage site and the broader landscape. Identifying the thematic areas of focus for an initiative is typically an emergent process, and will take time. Generally, and depending of course on available resources, the number of thematic areas should be limited to a few. An example from the COMPACT initiative in Sian Ka'an Biosphere Reserve and World heritage site is discussed in Case Study 12.

- ***Promote networking and collaboration through exchange and activities that bring together different partners*** – As noted above, the advantage of working at landscape level is the potential to foster synergies among different organizations and actors. Capacity-building workshops on a particular theme are one way to bring together potential partners. Another highly effective method is the use of community-to-community exchanges, either within a country or between neighbouring countries. Community-to-community exchanges provide a means of sharing knowledge, project experience and innovative methods. They can take the form of one-off site visits, as well as ongoing exchange and the development of a functional network, in which

visits are supplemented by creation of an email group and the formation of partnerships to plan projects. For example, a COMPACT-supported exchange between fishing communities in Belize and Mexico has resulted in more sustainable lobster fishing practices and improved marine conservation on both sides of the border. Convening 'grantee forums', as well as 'donor forums', is a good way to bring together partners regularly and promote development of networks. COMPACT's experience with the creation of these types of fora is discussed in Case Study 13.

- ***Capacity-building for stewardship*** – Through involvement in the day-to-day management of the World Heritage site, as well as through ongoing conservation projects inside and outside the boundaries of the site, the capacity for community stewardship is enhanced. COMPACT's experience with developing a network of site stewards in the Belize Barrier Reef is discussed in Case Study 14, as is the case of the Djoudj-Djawling Transboundary Biosphere Reserve, where COMPACT-supported volunteers have conducted hands-on restoration projects in this transboundary site (Case Study 15).

Case Study 13: COMPACT creating 'grantee forums' at landscape level

In each of the sites where it is working, COMPACT has facilitated and supported the creation of functional networks for collaboration. The creation of 'grantee forums' in Dominica, Kenya and Tanzania, respectively, has provided a means of convening grantees and partners in person and virtually. Through these gatherings, relationships are cultivated for networking, peer review and further collaboration. For example, in Tanzania the COMPACT Kilimanjaro Network, or COMPAKIN, was established to help grantees support each other during and beyond the period of COMPACT funding. Through this network NGOs and CBOs active in the Mount Kilimanjaro landscape have developed a strong 'joint voice', that is enabling them to solicit funding and technical support from other donors and from government. In the Mount Kenya region, COMPACT has used email and other kinds of information and communication technology (ICT) to mobilize communities, help them share information, and build a grantees network. As follow-up to a capacity-building workshop that had brought together twenty-five grantees and other stakeholders, COMPACT and other partners launched the Mt. Kenya Network email group, which quickly grew to include over sixty members. The email group serves as a forum for members to ask questions, request and receive technical support, share information, provide project updates, and share project photographs and videos. Network members use the email group to post announcements regarding upcoming events in the region, substantially increasing the participation of communities and stakeholders in these events.

Case Study 14: Supporting Community Stewards within the Belize Barrier Reef Reserve System

At sites within the Belize Barrier Reef Reserve System local resource-users have been empowered to serve as Community Stewards, actively involved in conservation and day-to-day management of these marine and coastal protected areas. The Toledo Institute for Development and Environment (TIDE), an NGO responsible for co-management of the Port Honduras Marine Reserve (PHMR), and Payne`s Creek National Park, launched the initiative in 2009 with support from COMPACT. The programme targets local resource users, in particular fishers and tour guides, with the objectives of raising awareness about the importance of protecting marine life and the World Heritage site; increasing stakeholder participation in decision-making processes relating to co-management of the protected areas, and providing alternative livelihood opportunities for local communities.

Community Stewards support management effectiveness within the World Heritage site through their direct involvement in conservation and sustainable livelihood activities within the protected areas. Now in its third phase of implementation, the Community Stewards Programme has the active involvement of twenty-five resource users from coastal and inland communities in the buffer zones of PHMR and Payne's Creek National Park, as well as a large private protected area also managed by TIDE. Community Stewards participate in training and capacity-building workshops, and through community-to-community exchanges have the

opportunity to share experience with counterparts in other communities of Belize and in the neighbouring countries of Guatemala and Mexico.

They are involved in conservation projects within the protected area, including support with research and monitoring of marine resources. In one activity, fishers drew on their first-hand experience with marine resources to provide environmental education activities for local schoolchildren in coastal communities such as Monkey River and Punta Negra.

With the recent introduction of 'managed access' within the Port Honduras Marine Reserve, the Community Stewards Programme is serving as a pilot model for stakeholder participation in decision-making about fisheries resources. Managed access is a fisheries management tool that protects stocks by identifying the traditional users within a fishing area and granting these traditional users exclusive rights to fish commercially within the area. Alongside its introduction in the PHMR, which lies within the buffer zone of the World Heritage site, managed access is being piloted in the Glovers Reef Marine Reserve, which lies within the BBRRS World Heritage site. As these pilot efforts move forward, the managed access approach will be considered for potential application within other marine protected areas of Belize. This potential change in the current policy of open access fishery in Belize would be a major contribution to sustainable management of fisheries resources, and the health of the marine environment generally, in and around the BBRRS World Heritage site.

Ranger station in the Port Honduras Marine Reserve, where the Toledo Institute for Development and Environment is responsible for co-management of the protected area (Belize)
© David Comb

Case Study 15: Djoudj/Djawling (Senegal and Mauritania)

Located within the Djoudj/Djawling Transboundary Biosphere Reserve (Senegal and Mauritania) the Djoudj National Bird Sanctuary and World Heritage site is part of a mosaic of protected areas and buffer zones encompassing a complex system of wetlands and seasonally flooded humid areas extending to the coast. In this transboundary setting, COMPACT's training and capacity-building activities have had the result that local communities now play an important role in governance and joint decision-making regarding the globally significant protected area. This has included involvement in hands-on management and conservation measures at the site.

In one example, a local CBO partnered with a government committee to organize teams of volunteers to pull invasive plants (*Salvinia molesta)* from the river, and to protect the waterways and channels for bird-watching and other community-based ecotourism activities. During the project, local village chiefs signed agreements with the project management committee to support the clean-up efforts. Other local groups supported by COMPACT have mobilized volunteers on a number of projects with the following results:

- 20 km of waterways, previously invaded by *Typha australis*, have been rehabilitated as bird habitat by the neighbouring village populations living in the vicinity of the Djoudj National Bird Sanctuary in Senegal.
- A large pool in the wildlife Ndiaêl special reserve was restored thanks to a 're-flooding' initiative conducted by the outlying villages. Numerous bird species that had not been seen in the area have now returned to the wetland.
- Nesting sites for endangered marine turtles in the National Park of the Langue de Barbarie have been documented, mapped and protected by local community volunteers with a view to further developing community-based ecotourism activities.

With regard to ecological monitoring, COMPACT has involved the local populations through the training of 'ecoguards'. Key elements of the park infrastructure in the Djoudj Bird Sanctuary have been upgraded with the help of local communities, including the command post, watchtowers, observation stations and panels for walking

tracks. There are 160 CBO members of the villages who now have tracking devices and have had training to use them in the different parts of the Réserve de Biosphère Transfrontalière du Delta du Sénégal (RBTDS).

Djoudj National Bird Sanctuary (Senegal)
© Jessica Brown

4.7 Sustainable finance

As discussed in Chapter 2, when COMPACT was established by the SGP in 2000 it had substantial co-financing in the form of a grant from the United Nations Foundation, which was subsequently matched with GEF funding available for small grants at country level. Going forward, as different institutions take the lead in establishing COMPACT-like initiatives, and/or undertake elements of the programme described here, they will need to develop a strategy for sustainable finance of the initiative, ideally with a long-term time horizon. In launching these efforts, the funding strategy should aim to identify a source of start-up support complemented by a long-term funding stream, built on a diversified base of sources. Bearing in mind that options for finance will vary according to the context, several principal categories of funding sources are reviewed briefly here.

Two important categories of finance for conservation globally are foundations and multilateral institutions and, as seen in the COMPACT experience to date, these sources can play an important role in start-up and support of initiatives.

Foundations – Encompass a wide array of private institutions providing grants at international and country levels. They can include large endowment-based funds, family foundations, community foundations, donor-advised funds, and corporate foundations. The project manager seeking to launch an initiative should identify those foundations active in the target area, researching carefully their missions and guidelines and potential match with the project idea(s).

Among the sources of information on foundations providing support for conservation-related activities are groups such as the Foundation Center and a wide range of databases.[36]

A foundation whose mission is aligned with the proposed initiative can be an excellent source of start-up funding, ideally through a multi-year commitment of funds. Over the long term, another option can be to develop a re-granting relationship with a foundation. In this scenario, the initiative would receive a sum of money from the foundation and would then re-grant these funds to local NGOs and CBOs, typically in the form of small grants, assuming responsibility for the due diligence, review, monitoring and reporting requirements of these projects.

Bilateral and multilateral institutions concerned with conservation – Include a broad group of actors, ranging from the Global Environmental Facility of the World Bank, institutions within the United Nations system (including, of course, UNESCO, UNDP and UNEP), as well as bilateral agencies responsible for the administration of a country's foreign aid. Many of these institutions are major players in financing conservation globally, with funds dedicated to supporting biodiversity conservation, heritage protection and rural community development. As with foundation sources, at site level, the project manager will need to research which agencies are active in the target area, and their priorities and criteria. Depending on the setting, within this broad category of institutions, there could be several potential sources of start-up funding and/or co-financing to match funding from private or other sources.

Another sub-category of funding options involves those sources specific to World Heritage. For example, the World Heritage Fund, created with funds from States Parties as well as private donations, provides annual support for activities at World Heritage sites. However, since these funds are allocated based on requests from States Parties and typically support urgent needs, they are unlikely to be available for launching a long-term community-based initiative. On the other hand, the Rapid Response Facility grant programme can serve as a timely source of funding available to NGOs concerned with an immediate threat to a World Heritage site (see example from Belize on page 67).[37]

Conservation Trust Funds – In recent years a number of innovative sustainable finance mechanisms have emerged to fund biodiversity conservation and protected area management, and there has been a proliferation of publications and working groups on this topic.[38] On their own, or in tandem with grants from private foundations and multi/bilateral aid agencies, these mechanisms can help to provide a stream of funding to support a COMPACT-like initiative at a World Heritage site. These funds are summarized briefly here, along with information on where more detailed information and guidance can be found.

Conservation Trust Funds, also called Environmental Funds, have been established in nearly every country in the world.[39] They are created by governments but structured to operate independently to provide a transparent way to manage funding for conservation work. They can be set up as endowments (spending only interest); revolving funds (facilitating disbursement of funds from other sources); sinking funds (spending capital and interest); or any combination. Environmental Funds differ in their funding criteria, but most should align with the objectives of COMPACT-like projects.

Environmental funds can play an important role in channelling global and multilateral funds to support national conservation priorities. The Conservation Finance Alliance has produced an Environmental Funds Toolkit to help encourage and guide the creation of new funds, and support

36 http://foundationcenter.org. See also http://meldi.snre.umich.edu/fellowships_and_funding/Environmental+Grantmaking

37 http://whc.unesco.org/en/news/581

38 See for example Conservation Finance Alliance, conservationfinance.org

39 http://www.cbd.int/financial/environmentfunds/

A strategy for sustainable finance should be built on a diversified base of funding sources (Mount Kilimanjaro, Tanzania)
© Jessica Brown

best practice. The toolkit provides information on the nuts and bolts of legal elements, governance and administration of these Conservation Trust Funds.[40]

Many environmental funds were originally capitalized through debt-for-nature swaps, however conservation trust funds have increasingly developed new sources of revenue.

- **Payment for Ecosystem Services** – PES[41] mechanisms are based on valuation of services (drinking water, climate stabilization, fish and wildlife production, bio-prospecting, crop pollination, and aesthetic resources).[42] Revenues are derived based on the principle that those who provide such services should be compensated by those who benefit from them. A variety of PES schemes have been developed, with revenues channelled through conservation trust funds, but significant challenges remain in scaling up to provide funding for conservation that comes close to compensatory levels,[43] and in how overall benefits are articulated for 'downstream' beneficiaries.[44] Perhaps the largest global PES scheme is REDD (Reducing Emissions from Deforestation and Forest Degradation). REDD incentivizes a break from historic trends of increasing deforestation rates and greenhouse gases emissions. It is a framework through which developing countries are rewarded financially for any emissions reductions achieved associated with a decrease in the conversion of forests to alternative land uses.[45] The mechanism was substantially changed in 2010 as REDD+, but the financial resources for full-scale implementation have not yet been met. As climate negotiations continue, REDD+ holds potential for major capitalization of conservation trust funds.

- **Tourism-based revenues** – World Heritage sites are by definition attractive to the tourism industry.[46] Many conservation trust funds have developed mechanisms to capture revenue to support conservation of protected areas. The principle is that tourists and tourism providers should support the maintenance, research and interpretation of sites that provide the basis for their touristic experience. Revenues can range from voluntary contributions from tour providers, to hotel 'bed taxes' to sophisticated fee collection systems, often designed to maximize returns from foreign visitors.[47] For example, Belize collects an exit fee of US$37.50 on all tourists and non-Belize citizens on leaving the country. (Tourism contributed over 22 per cent of GDP in 2007.) A portion (currently US$7.50) is in the form of a conservation tax, which goes directly to the Protected Areas Conservation Trust.[48] The Trust distributes these funds to government agencies and non-governmental organizations for conservation projects on a competitive grant basis.

- **Dedicated taxes on resource use and extraction** – Similar to tourism user fees, governments can capitalize conservation trust funds through fees and taxation on consumptive resource use. These can include forestry, hunting and fishing fees, concession licensing fees, as well as fines, fees or royalties from extractive industries. Resource extraction fees are usually paid as compensation to mitigate direct impacts; conservation taxes support maintenance of the resource in question. Such fees are most effectively captured for conservation purposes when they are earmarked, that is, they do not go into general funds to then be allocated through a political process. Rather they are dedicated, with 100 per cent of the committed funds going into a conservation fund for disbursement. Perhaps the oldest example of this is in the United States, where since 1937 11 per cent of taxes on the sale of hunting and fishing equipment has been directly redistributed to conservation projects, particularly the creation and maintenance of national wildlife refuges. The tax has generated over US$5 billion over seventy-five years.[49]

Though the philosophical bases behind conservation finance are well-established, the mechanisms for capturing value from resource use and ecosystem services and returning a portion to the local communities that maintain those resources are still underdeveloped. However, because COMPACT-like projects address community development needs as well as resource management in World Heritage sites, they can be eligible for funding set-up on humanitarian principles as well as the ecological and biodiversity-centred mechanisms described here.

40 See: http://conservationfinance.org/about.php
41 Also referred to as Payment for Ecological Services and Payment for Environmental Services schemes.
42 http://www.unep.org/pdf/PaymentsForEcosystemServices_en.pdf
43 http://www.nber.org/papers/w18740
44 For example downstream beneficiaries of highland World Heritage sites may include those receiving services relating to urban water supplies, hydropower generation, stream flow modulation, and irrigation for agriculture. Addressing how these services are recognized and calculated will be key to targeting private sector capitalization that could support World Heritage sites.
45 http://theredddesk.org/what-is-redd
46 For further guidance, see World Heritage and Sustainable Tourism Programme. http://whc.unesco.org/en/tourism/ and http://whc.unesco.org/uploads/activities/documents/activity-113-2.pdf
47 https://www.cbd.int/doc/nbsap/finance/Guide_Tourism_Nov2001.pdf
48 http://conservationfinance.org/guide/guide/images/9_bayond-2.pdf
49 http://www.thewildlifenews.com/2007/09/23/pittman-robertson-act-70-years-of-conservation-dollars/

5

Engaging communities in monitoring and reporting

Participatory monitoring in a community forest in Sian Ka'an (Mexico)
© Omar Martinez Castillo

5.1 Introduction

This chapter discusses approaches that can support the involvement of indigenous peoples and local communities in monitoring and reporting of World Heritage sites. The *Operational Guidelines* of the World Heritage Convention specifically call for the involvement of local communities in each phase of the World Heritage process, and this, of course, includes the ongoing monitoring and reporting (WHC, 2013*b*, para. 40 et seq.).

Ideally, 'upstream engagement' of communities early in the World Heritage life cycle – beginning with involvement in the nomination phase, and proceeding through planning and management – will have laid the foundation for their involvement this later stage in the process. Such a scenario is not yet typical. As noted on page 34, experience to date with upstream engagement has not been the norm and many sites have been established without it. However, even where this is the case, there are a number of options that can help to set the stage for meaningful involvement in ongoing monitoring and reporting. These include involving communities in developing retrospective Statements of Outstanding Universal Value, identifying indicators for monitoring and collecting data.

This chapter briefly reviews some of the key elements in the process of engaging communities in monitoring and reporting. Since experience at site level is still limited, it focuses on considerations and recommendations.

Why community engagement in monitoring and reporting?

As discussed in Chapter 1, following the adoption of Community as the 'fifth C' in the Strategic Objectives of the World Heritage Convention, the *Operational Guidelines* now call for indigenous peoples and local communities to play a meaningful role in all phases of the World Heritage processes. Further, new strategies to achieve management effectiveness in World Heritage recognize the importance of involving communities. Emerging work on ecosystem services recognizes that local communities are quite often the stewards of an array of landscapes and associated resources that provide global benefits.

There are many reasons why community engagement in monitoring and reporting is important to improving this stage of the World Heritage process, and more generally why it is vital for effective management and long-term protection at site level. These include:

- **Contributing to management effectiveness** – As spelled out in the *Enhancing Our Heritage Toolkit* (Hockings et al., 2008), monitoring management outcomes proceeds through a set of steps that includes identifying values of the site, developing a set of indicators, agreeing thresholds and identifying responses to a potential breach of thresholds. Incorporating local information and perspectives, including traditional ecological knowledge, into these monitoring steps can serve to strengthen the thoroughness and relevance of monitoring exercises.

- **Ensuring that threats are identified early and comprehensively** – Local communities – individual inhabitants as well as locally based organizations – are often in the best position to flag up threats quickly, and can help to reinforce an 'early warning' system for threats to a World Heritage property (see Case Study 14, p. 67, from Belize). More generally, local communities can contribute to assessing the state of conservation of properties, including threats and possible damage, as well as significant improvements to the Outstanding Universal Value, authenticity and integrity of a site.[50]

- **Developing a comprehensive set of indicators** – Local input into identifying indicators for monitoring will help to ensure a more comprehensive list for a given site. In this way, indicators might incorporate traditional knowledge about the natural and cultural resources of a given property relating to status, potential threats, and traditional practices that have proved sustainable over time. Further, local input can help to ensure that the list includes appropriate indicators of community well-being.

- **Making the link between Outstanding Universal Value and local values in monitoring** – Involvement of local communities in monitoring will help to ensure a more inclusive view of the diverse values of World Heritage properties, helping to bridge the gap between local values and OUV. The consideration of community-held values may enhance and broaden the OUV articulated for an existing (or potential) World Heritage site.

- **Dovetailing with the monitoring and reporting processes of other conventions, such as the CBD** – As States Parties call for closer coordination among the entities concerned with different biodiversity-related conventions such as the Convention on Biological

50 Para. 174 of the *Operational Guidelines* (WHC, 2013*b*) has formalized the process of dealing with information on deterioration of or threat to properties inscribed received directly from a source other than the State Party concerned, including local communities.

Diversity and the World Heritage Convention (see Box 16), it will be increasingly necessary to harmonize, to the extent possible, the processes and indicators used for monitoring and reporting. The list of indicators identified in the CBD's Strategic Plan for Biodiversity include those relating to public engagement, traditional knowledge, and access and equitable benefit-sharing. Ensuring the involvement of local communities is increasingly an expectation of these conventions.

- **Encouraging ongoing engagement in stewardship** – Through meaningful participation in monitoring and reporting on the status of a World Heritage site, indigenous peoples and local communities are more likely to remain actively engaged in its ongoing conservation, undertaking activities aimed at protection, mitigation and restoration. As noted above, their role as custodians of these resources at site level confers local as well as global benefits.

Box 16: Linkages between monitoring and reporting on the World Heritage Convention and the Convention on Biological Diversity

The Secretariat of the Convention on Biological Diversity (CBD) is pursuing closer collaboration with entities concerned with the World Heritage Convention in order to meet key targets under the CBD. In a recent decision (XL/6), the Conference of the Parties of the CBD reiterated the importance of cooperation among the biodiversity-related conventions, the Rio conventions and other relevant instruments, and of enhancing synergies among the biodiversity-related conventions[51] and the entities associated with them in order to achieve full implementation of the Convention on Biological Diversity and the Strategic Plan for Biodiversity (2011–2020). Increasing the effectiveness and scope of cooperation with partners, and improving coordination, with a view towards achieving implementation of the Strategic Plan for Biodiversity, was recognized as a priority for the CBD Secretariat in the coming few years.[52]

The CBD's Strategic Plan for Biodiversity sets out twenty targets, known as the Aichi Targets for Biodiversity, within five strategic goals relating to:

- addressing the underlying causes of biodiversity loss by mainstreaming biodiversity across government and society;
- reducing the direct pressures on biodiversity and promoting sustainable use;
- improving the status of biodiversity by safeguarding ecosystems, species and genetic diversity;
- enhancing the benefits to all from biodiversity and ecosystem services; and
- enhancing implementation through participatory planning, knowledge management and capacity-building.

As countries that are signatory to the CBD move towards assessing their contributions to meeting the Aichi Targets for Biodiversity, they will be encouraged to include the status of World Heritage properties in their reporting on progress in meeting these targets. Of particular relevance is Target 11, which calls for the conservation of at least 17 per cent of terrestrial and inland water, and 10 per cent of coastal and marine areas through 'effectively and equitably managed, ecologically representative and well connected systems of protected areas and other effective area-based conservation measures, and integrated into the wider landscapes and seascapes'. Thus it will be important to harmonize indicators for monitoring progress in meeting the Aichi Targets (Indicative Indicators for the Strategic Plan for Biodiversity) and those relating to monitoring the state of conservation of World Heritage. The World Heritage Centre is providing guidance on incorporating World Heritage into CBD National Biodiversity Strategies and Action plans (NBSAPs), a national policy instrument on implementing the Aichi Targets. Furthermore, the World Heritage Centre is now exploring ways to better link its online Information System on the state of conservation of World Heritage properties (http://whc.unesco.org/en/soc) to other global databases for protected areas and for cultural and natural heritage, such as the United Nations Environment Programme-World Conservation Monitoring Centre (UNEP-WCMC) global database on protected areas (Rössler and Veillon, 2013).

51 Along with the World Heritage Convention and the Convention on Biological Diversity, the biodiversity-related conventions recognized in this decision include the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), Convention on the Conservation of Migratory Species of Wild Animals (CMS), International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGR), Convention on Wetlands of International Importance, Especially as Waterfowl Habitat (Ramsar Convention).

52 http://www.cbd.int/doc/meetings/wgri/wgri-05/official/wgri-05-08-en.pdf

Adequate coverage and effective management of protected areas is critical to sustaining the habitat of endangered species, such as this lemur (Madagascar)
© OUR PLACE

5.2 Monitoring and reporting

While monitoring is a required part of the World Heritage process, it also should be viewed as an essential element in achieving management effectiveness. Monitoring is a vital tool in gathering information to assess how a site is performing to guide conservation and management decision-making. As noted in the *Enhancing Our Heritage Toolkit*, developing a good monitoring plan that is directly linked to the management of a site's Outstanding Universal Value will help to facilitate compliance with reporting processes, ideally making these requirements less burdensome because the necessary information has been gathered systematically over time. As further explained in the *Toolkit*, monitoring 'should also be conceived as the tool that allows management to change, to promote a proactive rather than reactive attitude towards heritage conservation and management, and which can effectively garner support for potential donors by showing a coherent and credible approach' (Hockings et al., 2008).

A monitoring plan is based on a step-by-step process to measure management outcomes (see Figure 6). There are several steps in World Heritage monitoring that lend themselves to the active involvement of local communities, in particular, those steps relating to developing indicators, design of methods and data collection. In addition, where possible, communities should be involved in the review and revision of monitoring plans over time.

An important first step in developing a monitoring plan is to draw up a set of indicators. As spelled out in the *Managing Natural World Heritage* Resource Manual (WHC, 2012*a*), indicators may be either quantitative or qualitative and, ideally, should have the following characteristics. They should:

- show a clear, predictable and verifiable relationship to the element being measured;
- be sensitive to change and thus able to show that management actions are having an effect;
- reflect long-term changes rather than short-term or localized fluctuations;

- reflect changes that will have direct implications for management, including biological, social, cultural, economic and political changes;
- reflect changes on a scale and over a period that is relevant to management;
- be cost-effective in terms of data collection, analysis and interpretation;
- be simple to measure and interpret;
- be able to be collected, analysed and reported on in a timely fashion; and
- assess impacts of known pressures and detect new pressures.

Community engagement at this stage should involve contributing to identifying the full range of indicators relating to the World Heritage site's Outstanding Universal Value,[53] as well as indicators of community well-being. The latter might include, for example: provision of ecosystem services, access to resources and areas traditionally used by local people, status of traditional ecological knowledge and practices, external interactions, impact on traditional institutions, legal status and tenure. Once the set of indicators has been developed, the design of methods to be used in the monitoring process should also be developed in consultation with local communities.

Data collection can involve using existing data sources as well as new sources. As discussed in the *Managing Natural World Heritage* Resource Manual (WHC, 2012*a*), data collection offers an opportunity to involve the local community, with potential benefits of being a cost-effective means of collecting data, increasing local involvement in management, and potentially increasing support for the protected area overall through greater understanding of management objectives. As noted in the manual, this approach should be based on monitoring protocols, which should be developed to ensure the quality and credibility of the monitoring.

Evolution of the World Heritage Convention regarding monitoring and reporting

The process of monitoring and reporting for World Heritage has evolved over time according to major policy decisions of the World Heritage Committee: from ad hoc monitoring to systematic monitoring and Periodic Reporting. An important turning point was the 2008 decision of the Committee to request reporting on trends in conservation. This resulted in a project on trends in state of conservation, leading to the establishment and management of an online information system in 2012 that tracks the state of World Heritage properties reported on through Reactive Monitoring since 1979 (Rössler and Veillon, 2013).[54]

The key elements in the monitoring and reporting phase of the World Heritage cycle are Reactive Monitoring, Periodic Reporting and the Reinforced Monitoring mechanism. These are summarized in Table 4.[55]

53 In this regard, within the framework of Reactive Monitoring, the World Heritage Committee adopted in 2013 (Decision 37 COM 7A.40) http://whc.unesco.org/en/decisions/5017/) a formal guidance for the drafting of the Desired State of Conservation for the removal of properties from the List of World Heritage in Danger (DSOCR). This guidance, jointly drafted by the World Heritage Centre and the three Advisory Bodies (http://whc.unesco.org/document/123577) foresees the development of a set of indicators on the basis of a review of the Statement of Outstanding Universal Value, the Corrective Measures and the overall state of conservation of the property.

54 It is noteworthy that this Reactive Monitoring tool is public and therefore all statutory documentation relevant to the conservation and management of a property is accessible to all, including communities. This brings more transparency in the World Heritage monitoring and reporting processes.

55 More information on these processes can be found at http://whc.unesco.org/en/118/

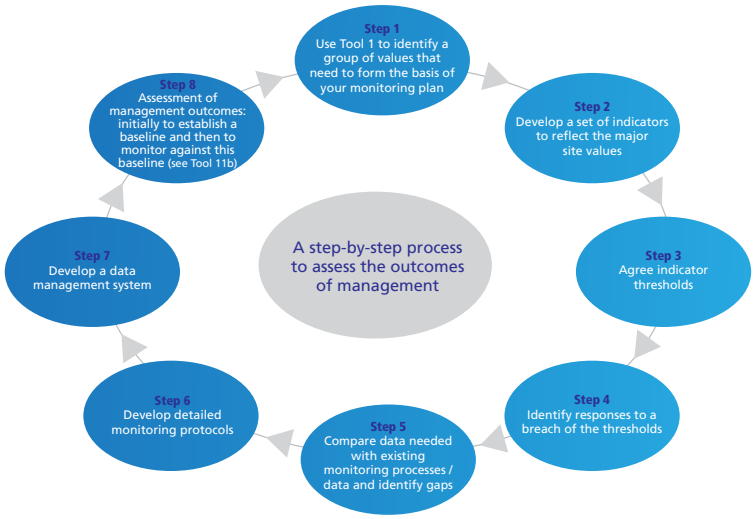


*Figure 6: Setting up a monitoring plan, adapted from **Enhancing our Heritage Toolkit** (Hockings et al., 2008).*

Table 4: Definitions and formats for monitoring and reporting

Type of reporting	Reactive Monitoring	Periodic Reporting	Reinforced Monitoring
Definition	Para. 169 of the *Operational Guidelines*: 'Reactive Monitoring is the reporting by the Secretariat, other sectors of UNESCO and the Advisory Bodies to the Committee on the state of conservation of specific World Heritage properties that are under threat'.	Para. 199 of the *Operational Guidelines*: 'States Parties are requested to submit reports to the UNESCO General Conference through the World Heritage Committee on the legislative and administrative provisions they have adopted and other actions which they have taken for the application of the Convention, including the state of conservation of the World Heritage properties located on their territories'.	Not defined by the *Operational Guidelines* or the Convention: Decision to introduce this mechanism taken by the 31st session of the World Heritage Committee (Decision 31 COM 5.2).
Deadlines	Para. 169 of *Operational Guidelines*: 'To this end, the States Parties shall submit by 1 February to the Committee through the Secretariat, specific reports and impact studies each time exceptional circumstances occur or work is undertaken which may have an effect on the state of conservation of the property'.	Para. 205: 'After the first six-year cycle of periodic reports, each region will be assessed again in the same order as indicated in the table above. Following the first six-year cycle, there may be a pause for evaluation to assess and revise the Periodic Reporting mechanism before a new cycle is initiated'. The first cycle took place from 2000 to 2006 and the second cycle from 2010 to 2016.	No fixed deadlines, but 'may be activated in exceptional and specific cases either by the World Heritage Committee or the Director-General'.
Undertaken by	States Parties to report; Reactive Monitoring coordinated by World Heritage Centre with inputs by the Advisory Bodies (missions, reports).	States Parties; World Heritage Centre coordinates the report; Advisory Bodies are involved in analysis especially with regard to capacity-building.	UNESCO with States Parties and Advisory Bodies.
Reporting	Every year to the World Heritage Committee at its ordinary session.	Every six years a synthesis report (by region) to the World Heritage Committee at its ordinary session.	Ad hoc basis and reporting to the World Heritage Committee including between sessions.
Coverage	Sites under threat.	All States Parties (section I) and all sites (section II) by region.	Specific sites under threat.
Format	Format for States Parties state of conservation reports (optional). See http://whc.unesco.org/uploads/pages/documents/document-171-3.doc	Annex 7 of the *Operational Guidelines*; the format was adopted by the Committee at its 22nd session in 1998. Revised questionnaire adopted by the Committee at its 32nd session in 2008.	N/A

Source: Rössler and Veillon (2013).

Reactive Monitoring

Reactive Monitoring is the reporting by the World Heritage Centre, other sectors of UNESCO and the Advisory Bodies to the Committee on the state of conservation of specific World Heritage properties that are under threat. To this end, the States Parties shall submit to the Committee through the World Heritage Centre, specific reports and impact studies each time exceptional circumstances occur or work is undertaken which may have an effect on the state of conservation of the property.

The Reactive Monitoring process (including the Reinforced Monitoring mechanism) is a crucial component in involving local communities. Local communities can either provide information to World Heritage Centre or the Advisory Bodies (paragraph 174 of the *Operational Guidelines*), which very often leads to a state of conservation report being presented to the World Heritage Committee, or assisting the relevant authorities in monitoring and gathering of relevant data on the state of conservation of the site.

Furthermore, each time a Reactive Monitoring mission is dispatched to a site by the Committee, the mission team meets with representatives of the local communities to get their views on the situation and their inputs.

Periodic Reporting

Every six years, on a rotating basis by region, all World Heritage properties must submit reports to UNESCO. These State Party-driven reports allow the World Heritage Centre to assess the conditions of the properties and, eventually, to decide on the necessity of alerting the World Heritage Committee on specific and urgent threats identified in view of adopting specific measures to resolve challenges and recurrent problems. The Periodic Reporting exercise is crucial to networking, exchange of information, and building relationships among site managers within the World Heritage system regionally. Further, the exercise creates a platform for exchange of best practice, such as the COMPACT model.

Periodic Reporting on World Heritage is intended to serve four main purposes:

- To provide an assessment of the application of the World Heritage Convention by the State Party.
- To provide an assessment as to whether the Outstanding Universal Value of the properties inscribed on the World Heritage List is being maintained over time.
- To provide up-dated information about the World Heritage properties to record the changing circumstances and state of conservation of the properties.
- To provide a mechanism for regional cooperation and exchange of information and experiences between States Parties concerning the implementation of the Convention and World Heritage conservation.

Among the expected outcomes of the Periodic Reporting exercise are that the information gathered during this phase will contribute to:

- assessing the state of conservation of World Heritage properties;
- determining whether the Outstanding Universal Value of all World Heritage properties has been maintained over time;
- helping to solve outstanding problems and issues through informed decision-making;
- sharing experiences, good practices, knowledge and lessons learned between States Parties, site managers and other World Heritage practitioners;
- encouraging cooperation and establishment of networks between partners;
- providing a decision-making tool for States Parties, national institutions, the World Heritage Committee and the World Heritage Centre; and
- raising awareness about the World Heritage Convention, in particular the importance of OUV and the concepts of authenticity/integrity.

From the information collected through the Periodic Reporting exercise, a final report is prepared in consultation with National Focal Points for presentation to the World Heritage Committee. The final report forms the baseline for the development of targeted Action Plans at national and regional levels that will respond to the needs, challenges, threats, strengths and opportunities identified and presented as a result of Periodic Reporting.[56]

The *Periodic Reporting Handbook for Site Managers* (WHC, 2012*b*) explains the steps in the process, including how to access and complete the online questionnaire. As specified in this document, the roles and responsibilities for completing various sections of the questionnaire lie with the site manager, the National Focal Point and the World Heritage Centre. At site level, it is therefore up to the site manager to ensure that he or she has gathered the input of local communities before proceeding with completion of the Periodic Reporting questionnaire.

Experience with Periodic Reporting in Africa offers a helpful example of how the process can specifically include community targets (see Case Study 16).

56 http://whc.unesco.org/en/periodicreporting/

Using hand-held GPS for monitoring and mapping of resources in Puerto-Princesa Subterranean River National Park (Philippines)
© Bonifacio Tobias

Case Study 16: Periodic Reporting in the Africa Region

The second cycle of Periodic Reporting in the Africa Region, carried out in 2010–2011, identified several community-related concerns and objectives for future implementation of the World Heritage Convention in the region.

The Action Plan 2012–2017 for the Africa Region, endorsed by the World Heritage Committee at its 36th session (Saint Petersburg, 2012, Decision 36 COM 10D2), presents the recommendations of actions to be taken at regional and subregional levels to address the issues raised from the Periodic Reporting exercise. Two objectives out of five have direct reference to communities: Objective 2 to improve the state of conservation at World Heritage properties, by effective risk management, increased community involvement and direct economic benefits to local communities; and Objective 3 to effectively manage existing properties by recognizing, documenting and formalizing traditional management systems and fully incorporating them into existing management mechanisms.

Several opportunities exist to use the COMPACT approach as one of the tools to reach these objectives, as described throughout this publication. COMPACT has also been included in the Africa Nature programme, the major implementation framework of the Action Plan for natural sites. It has resulted in the production of this publication, preceded by two training workshops to test the methodology and train site managers from fourteen World Heritage sites. Within the programme, the COMPACT approach has also been implemented at one World Heritage site inscribed on the List of World Heritage in Danger – Simien National Park (Ethiopia).

Sources: World Heritage in Africa Region – Main Results: Second Cycle Periodic Reporting. http://unesdoc.unesco.org/images/0019/001930/193019e.pdf

Africa Nature. http://whc.unesco.org/en/africa-nature

A COMPACT training workshop was held at Mount Cameroon in early 2014 as part of the Africa Nature programme (Cameroon)
© UNESCO/B. Diawara

5.3 Considerations and recommendations

In developing and/or reviewing a plan for monitoring and reporting at site level, the following questions should be taken into account:

- Does the General Management Plan for the World Heritage site include objectives relating to community engagement in the monitoring/reporting phase?
- Given the trend towards national-level governance assessments and reporting on World Heritage within the context of meeting the requirements of other conventions, does the plan attempt to address the indicators for these different conventions holistically?
- Given the ongoing joint work between UNESCO and the CBD on cultural and biodiversity, does the monitoring plan include indicators of cultural as well as natural values and their linkages?

The following recommendations are offered for consideration here.

- Local communities should have a meaningful role in the monitoring process, from articulating objectives, to identifying indicators, to gathering and analysing data both within the site-specific systems and the systems specific to implementation of the World Heritage Convention.
- Indicators for monitoring and reporting should track the diversity and quality of governance. As discussed above, governance and management are distinct aspects of the stewardship of a World Heritage site. Indicators of quality of governance include those relating to legitimacy and voice of all actors (stakeholders, rightsholders and duty-bearers), direction, performance, accountability, and fairness and rights.
- Statutory processes and formats should include questions on community engagement in management at all stages, such as:
  - Is a local governance body in place?
  - Are there structures in place at site level for frequent communication, consultation and collaboration with communities?
  - Is there a financing stream to support small projects at landscape level?

Case Study 17: Rapid Response and Reactive Monitoring in the Belize Barrier Reef Reserve System

Experience from the Belize Barrier Reef Reserve System (BBRRS) illustrates the role that local NGOs, resource-users' associations and community leaders can play in monitoring a property on the List of World Heritage in Danger. Several NGOs are involved in co-management of protected areas within the World Heritage site, and they liaise closely with CBOs concerned with the resources of the BBRRS, such as fishers' associations.

The coastal area of Belize is an outstanding natural system consisting of the largest barrier reef in the northern hemisphere, offshore atolls, several hundred sand cays, mangrove forests, coastal lagoons and estuaries. The system's seven sites illustrate the evolutionary history of reef development and are a significant habitat for threatened species. The Belize Barrier Reef Reserve System was inscribed on the List of World Heritage in Danger in 2009. The main concerns expressed by the World Heritage Committee in its Decision 33COM 7B.33 were ongoing sale, lease and development on lands within the property, expiration of the moratorium on mangrove cutting, as well as weak institutional coordination mechanisms with regard to the management and protection of the Outstanding Universal Value of the property.[57]

In early 2010 the Ya'axché Conservation Trust, a local NGO responsible for co-management of the terrestrial Bladen Nature Reserve, flagged up a serious threat to the Belize Barrier Reef in the form of unauthorized prospection work for a possible hydro-electric dam within the Bladen Reserve. If completed, the dam would be a source of sediment leading to the siltation of the BBRRS waters. Without the vigilance of this local NGO, based in the community of Punta Gorda, this problem might not have been identified. The Ya'axché Conservation Trust approached the Rapid Response Facility[58] and received a grant for monitoring this threat to the World Heritage site. Working closely with the Belize Forestry Department, the NGO carried

57 WHC-13/37.COM/ 7A

58 The Rapid Response Facility is an emergency small grants programme that provides rapid support to allow immediate responses to major threats to wildlife conservation, primarily in UNESCO natural World Heritage sites, financially supported by the United Nations Foundation, the Arcadia Land Trust and Jet Tours.

out immediate monitoring outings in remote areas of the reserve to ensure that activities had ceased, compelling the proponent to comply with existing laws and regulations. It also proposed to work with international experts and local communities to assess the potential environmental and social impacts of the dam, while keeping partner government authorities regularly informed of its progress. In early 2013, in response to the request of the World Heritage Committee at its 36th session (St Petersburg, 2012), IUCN sent a Reactive Monitoring mission to the BBRRS with the following objectives: to consider the state of conservation of the Belize Barrier Reef Reserve System as a whole, update the corrective measures and establish a timeframe for their implementation, and assist the State Party in developing the desired state of conservation for the removal of the property from the List of World Heritage in Danger. Because of the role of NGOs in co-management of substantial areas of the property, they played an important role in the Reactive Monitoring mission. Consultations were held with several NGOs and CBOs, as well as with local fishers, tour operators and local leaders who sit on the advisory committees of reserves within the property. COMPACT was consulted during this mission and helped to facilitate the involvement of local organizations concerned with the World Heritage site. The Reactive Monitoring mission concluded that while the Belize Barrier Reef Reserve System clearly retains the values for which it was inscribed as a World Heritage property in 1996, it continues to face a multitude of processes and actions that are threatening its Outstanding Universal Value, including immediate and long-term threats

Source: Byron and Osipova (2013).

A child visits a home garden in a village near Sololá (Guatemala)
© Elise Mitchell

6

Fostering synergy at landscape level: examples of project interventions

In communities near Mount Cameroon, women gather forage for a local wildlife rehabilitation centre in a project that links species conservation and local livelihoods (Cameroon)
© Jessica Brown

6.1 Introduction

This chapter reviews examples of the kinds of project interventions that might be developed as part of a landscape-level initiative linking conservation and community well-being. While this review is not intended as a comprehensive inventory of all possible interventions, the examples provided here are indicative of the kinds of issues that arise in and around World Heritage sites and the kinds of project interventions that might be used to address them. Illustrated with case-study experience from COMPACT, as well as other initiatives, it offers a picture of what is possible.

The kinds of interventions that arise will, of course, vary according to the site and the needs identified by the communities. Each site-based initiative must chart its own strategic approach to finding the right niche for community-based interventions in the landscape/seascape and for creating synergies among partners. Ideally, such interventions will be anchored by small grants, complemented by other activities relating to capacity-building, education and outreach, networking and support with marketing. These activities offer the potential to serve as a kind of 'glue', linking different projects and making connections that help individual groups to become stronger and improve their work. Examples include workshops, community-to-community exchanges, environmental education programmes, support in building community associations concerned with livelihoods, and support with marketing and small business development.

Just as the kinds of intervention will vary according to site, so will the frameworks for participation in project planning and implementation. However, ensuring broad participation of diverse stakeholders right from the outset is important to project success. As discussed in previous chapters, a Local Coordinator can play a key role in ensuring participation, supported by an appropriate governance structure such as the multi-stakeholder local consultative body.

6.2 Examples of project interventions within thematic areas

When taking a participatory approach to project planning, the process will probably be 'emergent', responding to the needs and interests articulated by local stakeholders, but ultimately guided by strategy. This kind of adaptive management approach involves striking a balance. In the case of COMPACT, the model was designed to give considerable flexibility to local decision-makers while ensuring rigour, such that the overall goals of the conservation of globally significant biodiversity remain clearly in focus (Hay-Edie et al., 2012). Here, the principles of current Theory of Change thinking (see Box 13, p. 59) can be helpful, in which a logical model and mapping of anticipated results is combined with reflection and analysis in order to shape future stages of a project (Vogel, 2012; James, 2011).

For example, a site may face problems relating to the degradation of a riverbank within an important watershed. The interventions with potential to address this problem are many, and might include building infrastructure such as water troughs for livestock in order to take pressure off the bank, planting vegetation along the bank to restore the area and reduce further erosion, reforestation of the water catchment area, and/or creating local Water Resource Users' Associations to help to introduce water conservation measures in nearby communities. Those interventions that local stakeholders identify as priorities will depend on a variety of factors, including urgency, impact and feasibility. Given adequate resources of financial as well as social capital, it is of course possible that all the potential interventions might ultimately be undertaken. By using the tools of adaptive management, the project manager, in collaboration with local stakeholders from the community, can reflect on and analyse progress in order to plan the next phase of the intervention.

Table 5 shows representative issues and possible kinds of intervention. The following section discusses how these interventions can be clustered thematically in order to foster synergy among different actors and institutions within the broader landscape. Selected case studies illustrate examples of projects within different thematic areas.[59]

59 For a more detailed discussion of COMPACT's project interventions refer to its twelve-year benchmark publication (Brown and Hay-Edie, 2013).

Table 5. Project interventions

Thematic area	Type of intervention	COMPACT project examples
Watershed management	Building capacity of local institutions concerned with water resources	Use of the community-to-community exchange methodology has helped to strengthen Water Resource Users' Associations (WRUAs) in the Mount Kenya landscape (see Case Study 20).
	Water conservation	Led by local WRUAs near Mount Kenya, a project mobilizes local residents to monitor water quality and quantity at designated points and alert users to potential shortages (see Case Study 20).
	Restoration of water catchment areas and riverbanks	In Puerto-Princesa Subterranean River National Park, Philippines, a project supporting the planting of rattan along riverbanks has allowed for sustainable harvest while restoring the watershed (see Case Study 18). In Senegal, communities within the Djoudj/Djawling transboundary biosphere reserve cleared invasive species along waterways and undertook a 're-flooding' operation to restore a pool in a wildlife reserve, enabling diverse bird species to return to that natural wetland (see Case Study 15).
	Provision of small-scale infrastructure	A project in which local WRUAs near Mount Kilimanjaro built water troughs for cattle at a distance from the Soko spring has reduced conflicts among residents who collect water from the Soko spring for domestic use, and those who rely on this water source for their livestock (see Case Study 21). In the Mount Kenya landscape, local WRUAs have built washing stations, providing a location for households to wash laundry at a short distance from the river, reducing erosion and run-off into rivers and streams, thus maintaining water quality (see Box 18).
Forest management	Forest certification	In Sian Ka'an a project has supported communities to secure carbon credit certification within a communal forest reserve created by a local *ejido*. Also in the Sian Ka'an landscape, a long-term forest partnership is in development, involving five *ejidos* working in a 200,000 ha forest area to improve stewardship and secure timber certification (see Case Study 19).
	Carbon capture/accounting (REDD+)	Also in the Sian Ka'an landscape, a project led by an indigenous NGO within the framework of REDD+ is measuring carbon capture, reforesting portions of a Voluntary Conservation Area, and conducting educational activities (see Case Study 19).
	Non-timber forest products	In Puerto-Princesa Subterranean River National Park, Philippines, a project encourages cultivation and harvesting of non-timber forest products (NTFPs) within the Ancestral Domain Claim areas of the Tagbanwa and Batak peoples (see Case Study 18). In south-west Madagascar, supporting the traditional management structures of the forest-based, semi-nomadic Mikea peoples, has helped them to ensure sustainable harvest of NTFPs, such as baboho (yams), which are basic to their food security.
	Tree planting/ restoration of deforested areas	In the Mount Kilimanjaro landscape, support for tree-planting activities enabled youth involved with a centre focusing on the indigenous Chagga culture to plant trees to restore and protect the banks of the Whona River, while creating a shaded area for visitors to gather. In the landscape near Puerto-Princesa Subterranean River National Park, a tree-planting project led by an Indigenous Peoples Organization has restored degraded forest habitat within three Ancestral Domain claim areas. Native and endemic tree species were selected based on habitat and food values for wildlife species, and serve as natural firebreaks. The project includes involving community members in monitoring and protection of the forest in accordance with customary laws.

Thematic area	Type of intervention	COMPACT project examples
Livelihood activities	Livelihood activities for subsistence and supplementing household incomes	In communities near Sian Ka'an, COMPACT has been supporting an integrated apiculture project that includes honey production, support in obtaining organic certification, production of value-added products and reforestation (see Box 19). A number of projects in Kenya and Tanzania support community associations (including several led by youth and women) in creation of fish-ponds for trout-farming, which provide food for local households as well as a source of income. Often these projects include activities relating to water quality improvement and tree planting. In Dominica, support for a flower growers' association has helped to bring new livelihood opportunities for local women. Sericulture is a promising livelihood activity in many regions. For example, in the landscape near Mount Kenya, COMPACT has provided start-up grant funding, technical training and support with marketing to a silk-producing cooperative (see Box 19).
	Livelihood activities as alternatives to take pressure off other resources (e.g. fisheries and forests)	A project in the village of Cockrane, Dominica, supported villagers in diversifying their food security plan by investing in a small-scale livestock production initiative to raise rabbits. The demonstration project resulted in the widespread uptake of rabbit-rearing as an alternative to hunting in forests of the National Park, and has spawned the popular annual 'Cockrane Rabbit Festival'. Marine conservation initiatives in communities near the Belize Barrier Reef Reserve System and in south-west Madagascar have incorporated seaweed cultivation as an alternative source of income for local fishers, reducing pressure on the fisheries. In south-west Madagascar, an NGO has helped sixty households to become involved in seaweed cultivation and has equipped them with tables for drying, canoes, and the necessary small-scale equipment for processing, enabling them to increase their monthly income.
Marine and coastal zones	Creating conservation and replenishment zones	In the Belize Barrier Reef Reserve System, local fishers work closely with NGOs involved in co-management of the protected area to identify important fisheries nursery areas and aggregation sites and to demarcate these for special protection as 'no take' zones. Through this kind of partnership, 'managed access' to the fishery is also being piloted (see Case Study 14 on Community Stewards). Along the coast of Quintana Roo, Mexico, an alliance of NGOs has established a network of replenishment or 'no take' zones (see Case Study 22).
	Strengthening fishers' associations	A number of educational and capacity-building projects in Belize are aimed at strengthening fishers' associations and other local groups concerned with marine resources (see Box 15). An exchange between fishers in Belize and Mexico has helped groups on both sides to improve conservation practices in the lobster fishery.
	Waste-water treatment and recycling	In the Mount Kilimanjaro region a project demonstrating the use of biologically treated recycled wastewater for rice cultivation has sharply reduced demand for water from spring-fed sources.
Appropriate technology	Fuel-efficient wood energy and biogas	Also in the Mount Kilimanjaro region, a local NGO received a Business Development Support grant from World Heritage LEEP to produce fuel briquettes from sawdust collected from lumber mills, enabling households that depend on wood for energy to cut down on their use of fuel-wood. Linked to this effort, several projects in the region promote the use of fuel-efficient woodstoves in households. A project that installed seventy household biogas units in one region of Mount Kenya provided a blueprint for other communities in the region to implement household biogas projects as a source of clean, alternative energy. Using the same designs, two other local development organizations were able to construct an additional 120 biogas units, thereby increasing the adoption of household biogas as a source of clean, renewable energy in communities south-west and north-west of Mount Kenya.

Thematic area	Type of intervention	COMPACT project examples
Traditional (ecological) Knowledge	Indigenous/local languages	In Sian Ka'an, COMPACT-supported projects have reinforced the use of the indigenous language through educational programmes and the production of publications in Spanish and Yucatec Maya. Bilingual educational publications feature traditional knowledge about local ecosystems and culture.
	Medicinal plants	In Dominica a group of indigenous Kalinago (Carib) youth started a project to produce herbal teas using traditional blends considered of special value by the Kalinago elders. As a first step the youth conducted extensive research amongst the elders of the community about medicinal plants, stimulating a strong sense of ownership in the Kalinago community and ensuring the intergenerational transfer of traditional ecological knowledge. Linked to an apiculture project near Sian Ka'an, a group of women formed an organization called *Melitzaak* (which means 'bee cure' in Maya) and have developed dozens of products that combine honey with medicinal plants, which they market locally and internationally. Based on their success, *Melitzaak* members are now training women from other regions of Mexico and neighbouring Belize.
Ecotourism	Heritage trails and educational centres	In Dominica, local groups have created and restored trails that link cultural and natural heritage attractions, and have created a community-led botanical garden at the starting point of a popular trail leading into the World Heritage site. In the Sian Ka'an Biosphere Reserve an educational centre highlights Mayan cultural heritage, including language, native seeds, and use of natural dyes for handicrafts.
	Education and capacity-building of tour guides	A project in the Mount Kilimanjaro area has provided training for local tour guides in topics relating to ecology and conservation. low-impact trekking, management of fires after cooking and other issues. As a result, demand has been boosted for the services of those guides, porters and cooks who have received the training, and visitor experience has improved. In Sian Ka'an a tour guide training course for women in Punta Allen provides instruction in nature interpretation, boat- handling, navigation and English language skills. A group of graduates have formed a cooperative called Orchids of Sian Ka'an, offering cross-cultural exchange and nature-based activities such as kayaking, bird-watching, and guided walks in the forest, as well as accommodation in local homestays and traditional foods.
	Trail maintenance and other infrastructure	A COMPACT project supported the rehabilitation of an 18 km trail up Mount Kilimanjaro, popular among experienced hikers. The project reduced threats from potential erosion and trampling, while ensuring a better visitor experience for climbers and other tourists and providing income to local households (see Case Study 8).
Support to protected area authorities with site management	PA management and enforcement	In the Djoudj Bird Sanctuary in Senegal a COMPACT project has trained local residents to serve as ecoguards, involved in upgrading the park infrastructure and monitoring protection using tracking devices (see Case Study 15).
	GMP development (facilitating community input)	Experience from Mount Kenya and Mount Kilimanjaro illustrates how local communities can be involved in developing the general management plan for a protected area (see case studies in Chapter 4).

Thematic area	Type of intervention	COMPACT project examples
Governance in the landscape	Helping indigenous peoples to secure land tenure/resource rights	In Puerto-Princesa Subterranean River National Park, Philippines, COMPACT has worked with indigenous peoples to help them to secure tenurial claims to their ancestral lands. It has helped the Cabayugan, Tagabinet and Marufinas communities to obtain Certificate of Ancestral Domain claims, ensuring their rightful ownership to their traditional territory.
	Indigenous and Community Conserved Areas	In Madagascar village-level groups called *fokonolona* have traditionally played a key role in managing resources. With support from COMPACT the *fokonolona* in the Mikea forest landscape are building their capacity to play a lead role in community-led and collaborative governance of the protected areas within the nomination cluster (see Case Study 3).
	Supporting custodians of sacred natural sites	In Kenya and Madagascar, projects supporting communities in the stewardship of sacred natural sites are linked to intergenerational transmission of traditional knowledge and reinforcing traditional governance systems (see Box 20).

Box 17: Forest conservation and restoration

A range of interventions can help to support the conservation and restoration of forested areas within a World Heritage site and in the surrounding landscape, contributing to enhanced wildlife habitat, improved water quality and reduced soil erosion.

Forest certification – Forest certification adds value to existing forest operations by increasing its value in the world market. Forests that have been certified as well managed according to international norms generally fetch a higher price on the market. The process of certification also reinforces and improves management.

Carbon capture accounting and REDD+ – Carbon capture accounting and use of the REDD+ framework can be a way to provide incentives for communities to conserve and restore forested areas. It also offers potential as a finance mechanism. Reducing Emissions from Deforestation and Forest Degradation (REDD) is an effort to create a financial value for the carbon stored in forests, offering incentives for developing countries to reduce emissions from forested lands and invest in low-carbon paths to sustainable development. REDD+ goes beyond deforestation and forest degradation, and includes the role of conservation, sustainable management of forests and enhancement of forest carbon stocks.

Non-timber forest products – In many settings indigenous and local communities continue their traditional practices of harvesting non-timber forest products (NTFPs) as a way to supplement other activities, such as farming and fishing. These practices include foraging for nuts, forest fruits and mushrooms, collecting fibre materials, and gathering medicinal plants. Harvested sustainably, NTFPs are an important source of food and material basic to local livelihoods and can also supplement household incomes. Fostering this livelihood activity can help to reduce pressure on other resources.

Tree planting and other reforestation activities – Tree-planting activities using native species of trees can reinforce all the above activities, while also contributing to restoration of watersheds and other important ecosystems. These activities offer a valuable educational element when linked to school-based and youth programmes, and can be a visible way of engaging community members in environmental restoration and protection. Typically, tree-planting projects rely on establishment of local nurseries as a source of seedlings.

Sources:
http://www.un-redd.org/AboutREDD/tabid/582/Default.aspx
http://unfccc.int/methods/redd/redd_finance/items/7376.php
The REDD interactive forum was developed to enhance sharing information, experiences and lessons learned on the use of the IPCC guidance and guidelines. To participate in these discussions register at http://unfccc.int/methods/redd/redd_web_platform/items/4531.php

Planting mangrove seedlings near marine protected area in south-west Madagascar
© Jessica Brown

Case Study 18: Harvesting of non-timber forest products in Puerto-Princesa Subterranean River National Park (Philippines)

The indigenous communities living in the landscape of Puerto-Princesa Subterranean River National Park of the Philippines have long practised sustainable harvest of non-timber forest products (NTFPs). For example, the Tagbanwa and Batak peoples have attuned their skills not only to extract but also to sustain these various ecosystems, using natural resources without destroying their ability to regenerate. Today, they gather NTFPs as a way to supplement swidden farming as well as generating cash in order to purchase rice and other staples. These indigenous communities gather wild fruits (e.g. mangoes, rambutan, durian), and gather rattan, which is sold as a raw material and also woven into baskets. Because collection of wild fruits and hunting is a traditional practice, as stipulated in the Ancestral Domain Claims, and because these forest materials are abundant and easily replenished, the park authority permits sustainable practice of these activities.

To minimize pressure on the forests due to resource extraction, COMPACT supported an agro-forestry project within the Kayasan Ancestral Domain. Project partners planted endemic tree species to provide additional income for indigenous residents. In addition, the project supported installation of irrigation pipelines, enabling local residents to

develop rice paddies in the lowland areas that can produce two crops per year, thus increasing the rice harvest for local households and reducing pressure on the forest. Further, the project supported the planting of rattan for sustainable harvest by indigenous residents, while at the same time improving the water-holding capacity of the watershed and ensuring continuous flow of water from the river, improving irrigation of the rice paddies.

Case Study 19: Community-based carbon accounting – a pilot project in Sian Ka'an (Mexico)

A COMPACT project in the forests of the Sian Ka'an-Calakmul Corridor demonstrates how local and indigenous communities can participate in carbon sequestration projects relating to REDD+. The initiative began in 2006, led by indigenous communities interested in learning more about carbon capture. With support from an indigenous-led NGO and from COMPACT, the communities undertook a feasibility study, concluding that sustainable management of the forest could generate revenue to protect the tropical forest and create jobs. The communities declared a communal reserve of 1,230 hectares within the territory of the *ejido* in 2007 (the first Voluntary Conservation Area on the Yucatán Peninsula).

In 2008 COMPACT provided a grant to help the communities to develop participatory management strategies to preserve the forest and avoid deforestation in the *ejido,* including within the communal reserve. The communities decided to explore carbon markets as an alternative means of financing for forest conservation, and to pilot new methodologies for carbon capture in the forests of their region. Knowledge generation and exchange has been a core component of the project, particularly important in the context of REDD+ preparation in Mexico. Therefore, a second grant has helped to support capacity-building and knowledge transfer, including exchanges among communities, and support with carbon credit certification.

The project has relied on participatory processes for learning, management and decision-making. These include:

- A dialogue format for courses and workshops, to foster sharing of expertise of different kinds.
- The use of community research methods, drawing on expertise and guidance from resource people at a local community college. For example, the project leaders have developed their own allometric equation for calculating carbon, reinforcing the sense of local ownership for the project methodologies.
- The use of traditional knowledge in developing methodologies, such as reforestation in the field.
- Systematization of knowledge to foster sharing among communities and project sites and the use of both Maya Yucateq and Spanish languages for workshops and publications.

Near Sian Ka'an, local communities created a communal forest reserve (the first Voluntary Conservation Area on the Yucatán Peninsula) and are now exploring carbon markets as a means of financing their protection efforts (Mexico)
©Jessica Brown

Box 18: Management of watersheds

Improving the management of watersheds within a given World Heritage site and the broader landscape in which it sits is often a key priority for local communities, which depend on the health of the watershed to meet their needs for water resources.

Strengthening Water Resource Users' Associations

In many countries of Africa, Water Resource Users' Associations (WRUAs) play an increasingly important role in preventing and mediating conflicts among communities over access to water resources. In several cases, where central governments previously managed allocation of water resources, declining budgets have sharply reduced government capacity for monitoring and enforcement, and this has created an 'open access' situation regarding water resources. At the same time, growing population pressure, expanding agricultural activities, and development on riparian lands place growing pressure on water resources, while erratic rainfall patterns associated with climate change contribute to a reduced supply of water from springs and rivers. Increasing demand for water for livestock, irrigation and domestic uses has contributed to conflicts between 'upstream' and 'downstream' users.

In this challenging context, WRUAs provide a platform for community participation in managing water resources, representing the interests of a broad range of stakeholders within a given watershed while coordinating closely with the responsible government entity. Their activities include conservation education, rehabilitation of water catchment areas and canals, and developing community protocols for water allocation. Strengthening the capacity of these organizations can have a positive impact on managing the quantity and quality of water resources, and on the health of watersheds within the broader landscapes. An example of capacity-building through mentoring is presented in Case Study 20.

Water conservation and recycling

In the Mount Kenya region, COMPACT has been helping local WRUAs to mobilize networks of residents involved in monitoring water quality and quantity. These groups have installed measuring devices at designated points with visual aids that alert users to potential water shortages. Network members serve as local scouts, identifying point source pollution sites and notifying the relevant authorities of violations. A COMPACT-supported project in the Mount Kilimanjaro region demonstrated the use of biologically treated recycled wastewater for rice cultivation. Through this pilot project, led by a local WRUA, the use of treated wastewater has resulted in a two-fold increase in rice production and a lower cost to the farmers, who do not need to purchase fertilizers. It has sharply reduced demand for spring water, reducing the frequency of water shortage conflicts in the area.

Restoration of water catchments

As noted above, improved forestry management, including projects to reduce deforestation and promote tree planting in important water catchment areas, can make a significant contribution to the health of the watershed.

Building of small-scale infrastructure

Construction of small-scale infrastructure, such as washing stations and water troughs for livestock, can take pressure off sensitive riverbanks, reducing erosion and run-off into rivers and streams, thus maintaining water quality. It is important to work with communities to identify optimum placement of such structures, to ensure that they are effective in diverting pressure from traditional locations for household water collection, livestock-watering and/or household washing needs. A project on the lower slopes of Mount Kilimanjaro has helped to divert livestock from a water source also used by local people, as described in Case Study 21.

Case Study 20: Capacity-building of Water Resource Users' Associations (Kenya)

In the Mount Kenya region, the community-to-community exchange methodology has been used to help build capacity of local groups, in terms of project management as well as understanding of technical issues. Working in partnerships has helped these groups to build on each other's strengths and learn together how to engage with other communities or segments of communities in constructive, collaborative ways. For example, with support from COMPACT, the Likii Water Resource Users' Association and the Nanyuki Water Resources Users' Associations implemented a joint project focusing on governance of water resources and sanitation for improved water quality. At the beginning of the project, the two WRUAs had very different levels of management capacity, necessitating that one of them take primary responsibility for overall project and financial management. However, through capacity-building activities and mentoring during the course of the project, the other WRUAs learned how to manage progressively larger activities and gained experience in financial management as well. At the same time, that organization had strong experience with community engagement and was able to help its partner to work more effectively with the communities in the downstream areas by encouraging dialogue regarding water-sharing to help avoid water-related conflicts between upstream and downstream water users. Through the collaboration of the two associations, the project was successfully implemented in upstream and downstream portions of the watershed and both organizations were strengthened in the process. At the end of the two-year COMPACT grant period, both projects were scaled up and attracted substantial new funding from the EU for an additional three years.

In Mount Kenya, COMPACT worked with the local Water Resource Users' Associations to construct washing stations to take pressure off the riverbank and ensure water quality (Kenya)
© Jessica Brown

Case Study 21: Building small-scale infrastructure to reduce pressure on a riverbank and water source (Tanzania)

Responding to growing water shortages within the Mount Kilimanjaro landscape, COMPACT worked with Water Resource Users' Associations on projects aimed at reducing conflicts over access to water and improving the quality of water sources. In one area below the lower slopes of Mount Kilimanjaro, where local communities rely on the Soko spring, COMPACT supported local WRUAs in constructing a cattle trough located at a distance from the spring. The project was designed to reduce conflicts among residents who collect water from the Soko spring for domestic use, and those who rely on this source to water their livestock. Prior to construction of the trough, trampling by cattle and goats was diverting the water flow and causing it to become turbid and unsafe for domestic use. Now that there is an alternative site for residents to water their livestock, the water at the source of the spring is cleaner and water flow has increased downstream.

In the buffer zone of Kilimanjaro National Park, a COMPACT-supported project to build livestock troughs has reduced conflicts among local residents (Tanzania)
© Jessica Brown

Box 19: Activities supporting local livelihoods

Linking conservation with activities that support and enhance local livelihoods is at the core of the Integrated Conservation and Development Projects (ICDP) concept introduced in Chapter 2 (p. 20). This area encompasses a wide array of activities that support local livelihoods through enhanced food security/sovereignty, access to materials for shelter, and generation of income. The range of possible interventions varies widely as well, and can include provision of small grants for start-up projects, creation of micro-finance funds at community level, and loans to small and medium-sized enterprises (SMEs), complemented by training and capacity-building. A few examples of livelihood projects are described here, illustrating different kinds of activities and interventions.

Apiculture – beekeeping, organic honey production and a wide array of value-added products

Promoting apiculture has proven to be one effective way to help maintain forest cover while improving the quality of life for people living near World Heritage sites and other protected areas. An example of a highly effective intervention can be found in communities near Sian Ka'an in Mexico, where COMPACT has been supporting an integrated apiculture project that includes honey production, support in obtaining organic certification, production of value-added products and reforestation. A key partner is *Flor de Tajonal*, a certified cooperative that sells between 150 and 200 tonnes of honey annually and is leading a process of landscape-level cooperation among various communities in the Mayan region. Five years ago a group of women formed an organization called *Melitzaak* (which means 'bee cure' in the Maya language) which has developed over ninety apitherapy products that combine honey with other components, including medicinal plants. These are sold from a retail store and marketed at hotels and trade fairs nationally and internationally. Based on their success, *Melitzaak* members are now training women from other regions of Mexico and the neighbouring country of Belize. Plans are under way to establish an apiculture school where young people from local communities can study the theory and practice of organic beekeeping. It will promote an integrated approach that encompasses aspects such as breeding of the queens, relocation of hives to former *milpa* plots in the forest, organic production from the beginning and a supply chain based on fair trade. At the same time a reforestation project involving native honey plants is helping to boost productivity.

Silkworm cultivation

Sericulture, the raising of moths for silk production, has proven to be a successful livelihood activity in many rural communities near protected areas. In the landscape near Mount Kenya World Heritage site, COMPACT has provided start-up grant funding, technical training and support with marketing to a silk-producing cooperative. Local groups are now responsible for all stages in the production and processing of silk, from the rearing of the silkworm moths, to collection and spinning of silk, to weaving of textiles that are sold to visitors to Mount Kenya. At Mount Kilimanjaro a youth group initiated a sericulture project that has involved planting and raising mulberry trees to provide food for silkworms being reared by the group. Silk fibres are then harvested from the cocoons of the silkworms and processed to make garments. The fresh (or powdered) mulberry leaf is also used for human and livestock consumption.

Silkworm cultivation in communities near Mount Kenya National Park/Natural Forest (Kenya)
© Jessica Brown

Case Study 22: Marine conservation near Sian Ka'an – the Kanan Kay Alliance of Quintana Roo

Working in partnership with other groups, COMPACT has created an alliance to establish a network of fisheries reserves called replenishment (or 'no take') zones along the 400 km coast of Quintana Roo. The Alianza Kanan Kay is a cross-sectoral collaborative with thirty-three members representing government agencies, fishing cooperatives, national and international civil society organizations, academic institutions, research centres and philanthropic foundations. Alliance members share the common objective of establishing an effective network of fisheries refuges (or replenishment zones) that would cover 20 per cent of the territorial waters of Quintana Roo state with the goal of restoring the artisanal fishery. The name Kanan Kay comes from the Maya, 'guardian of the fish', and the organization's plan of action includes six related strategies:

Design and implement fishing replenishment or 'no take' zones – Within a network of effective, legally recognized and locally respected fisheries reserves comprising critical, functional and representative habitats and covering 20 per cent of the coast of Quintana Roo.

Establish the necessary legal and institutional framework – To enable the establishment of the fisheries reserves, as well as management, inspection and monitoring of the fisheries.

Promote economic and social development linked to fishing – Ensuring that the reserves provide livelihood opportunities for communities linked to the added value of fishing and ecotourism.

Build and strengthen the capacity of the alliance – As a critical mass of Mexican individuals and institutions concerned with and capable of establishing, maintaining and managing an effective network of fishing reserves.

Launch communication and awareness-raising programmes – Ensuring that the various stakeholders (including fishers, tour operators and local communities) along with the general public are convinced of the importance of the network of fishing refuges to fisheries and conservation of coral reefs in Quintana Roo.

Secure financing for the long-term sustainability of the alliance – Ensuring that there are sufficient resources from public and private sources to ensure the ongoing management of the network of fishing reserves.

In Punta Allen and other communities within the landscape and seascape of Sian Ka'an, consultation has led to an alliance representing the interests of local fishers and tour operators (Mexico) © *Jessica Brown*

Box 20: Sacred natural sites

Sacred natural sites, places that have special spiritual significance to peoples and communities, exemplify humanity's deepest response to nature and the biosphere (Verschuuren et al., 2010). Often, indigenous and local communities play a key role in their stewardship, and these cultural landscapes are typically under community or shared governance. Traditional norms, beliefs, systems and technologies play an important role in the management and governance of these landscapes and their tangible and intangible values (Ortsin, 2015). The transmission of traditional knowledge across generations is important.

The Gitune sacred forest is in the landscape surrounding Mount Kenya National Park and World Heritage site. With support from COMPACT, local leaders from the community have been collaborating with the African Biodiversity Network and other partners to revive the cultural and spiritual practices associated with this site. They are leading activities that bring the youth back into this sacred grove in response to increasing concerns with loss of knowledge of traditional practices among the younger generation. They are also conducting rituals designed to re-sanctify the site itself and, in so doing, to revive its power and the community's connection to the site. As a result, they have seen it become more effectively protected and conserved by the communities that have long been its traditional guardians (Kihara et al., 2013).

In south-west Madagascar, at the southern end of the Mahafaly plateau (where COMPACT has supported a network of community-managed forests within the area of the World Heritage nomination), the landscape abounds in sacred natural sites, cultural and ritual areas, traditional pastures and restricted access zones. Practices relating to protection of these sites and management of traditional knowledge and the protection of the sacred natural sites have been transmitted from generation to generation. However, these cultural practices are now diminishing due to migration of outsiders and cattle transhumance, as well as long periods of drought. In collaboration with the Tany Meva Foundation, COMPACT has supported twelve community initiatives aimed at supporting traditional governance and the protection of natural sites, including efforts to move from de facto recognition of the community management of large territories of land towards securing 'definitive legal title' for traditional guardians of the sacred natural sites.

Traditional guardians look after the protection of sacred natural sites, such as this cave in Zanzibar (Tanzania)
© Jessica Brown

7

Looking ahead

Children in a rural community on the slopes of Mount Kenya (Kenya)
© Jessica Brown

7.1 Lessons learned from the COMPACT experience

Since its inception over a decade ago, COMPACT has been developing and field testing a working model for the sustainable development of local populations living in and around World Heritage sites. It has done so through a delivery mechanism that provides small grants to civil society organizations, complemented by capacity-building, exchange and networking opportunities, in areas relating to enhancing livelihoods, food security, governance, co-management, traditional resource rights, cultural diversity and education.

A recent review of COMPACT's work (Brown and Hay-Edie, 2013) found that key elements that make the COMPACT model effective in engaging local communities in the stewardship of globally significant protected areas include the following:

- ***COMPACT takes a landscape approach***, finding constructive ways to work with a diverse range of communities and stakeholders living in and caring for protected areas and the broader landscape.

- ***COMPACT uses a methodology that is rooted in science, while being highly participatory***, engaging local people and other stakeholders at every stage of the process, recognizing that communities will become actively involved in moving forward conservation, provided they see clear benefits associated with their involvement.

- ***COMPACT harnesses the power of synergy***, supporting a cluster of activities including the provision of small grants, capacity-building activities, networking and support with marketing. Each COMPACT programme employs a strategic approach to 'finding the niche for community-based interventions in the landscape', and creating synergies among grantees/partners.

- ***COMPACT's institutional structures are based on principles of sharing power***, recognizing that supporting community-led initiatives requires trust, flexibility and patience. Transparent processes and broad public participation are key to ensuring community engagement. More generally, good governance is essential to the successful implementation of conservation initiatives.

The COMPACT model is highly scalable, offering potential applicability for future initiatives in other protected areas and World Heritage site settings. In each of the eight target sites where COMPACT has been working, the principle of 'keeping your lessons close to the protected area' also make it possible to track progress over time, and build outward from the protected area to local, national and regional levels. More generally, the COMPACT experience can provide helpful lessons related to involving communities in the governance of World Heritage sites and other globally significant protected landscapes. The model also has

Site managers discuss strategies for replication of the COMPACT model in other countries of Africa at a workshop near Mount Cameroon (Cameroon)
© Jessica Brown

relevance for the co-management and governance of other 'effective area-based forms of conservation' (including ICCAs and privately protected areas) within the broader governance context of World Heritage landscapes.

Building on this extensive body of experience and recognizing its potential value for other landscapes, several partners now are replicating and/or adapting elements of the COMPACT model in new sites. Since 2013 the UNESCO World Heritage Centre and the SGP have been collaborating on a series of activities to support replication and/or adaptation of the COMPACT model in other World Heritage sites in Africa. In parallel, elements of the model are being tested in other regions and in protected areas not designated as World Heritage.

Going forward, these initiatives will be led by a range of different institutions and with support from a variety of finance mechanisms. As noted above, an important first step for each new initiative will be to secure initial funding and to identify potential future donors. The value of developing a long-term strategy for sustainable finance drawing from a broad base of supporters cannot be overemphasized, given the importance of making a commitment over time.

A few key principles drawn from COMPACT's decade of experience working at landscape level offer helpful guidance for managers preparing to launch a new initiative. These were introduced in Chapter 2 and are reviewed briefly below.

- ***The importance of ownership and responsibility*** – Global environmental problems can best be addressed if local people are involved and there are direct community benefits and ownership.
- ***The crucial role of social capital*** – Thoughtful investment in local institutions and individuals can help to build the capacity of communities for stewardship of their environments.
- ***Sharing power*** – Supporting community-led initiatives requires trust, flexibility and patience. Transparent processes and broad public participation are key to ensuring community engagement and strengthening civil society.
- ***The cost-effectiveness of small grants*** – With small amounts of funding, members of local communities can undertake activities that will make a significant difference to their lives and environments, with global benefits.
- ***Making a commitment over time*** – Community-driven processes take time and require a long-term commitment of support (Brown and Hay-Edie, 2013, p. 9).

These principles are echoed in a recent review of the policy and practice of community-based conservation based on case studies from rural areas of North America, Central America and Asia, which in addition highlighted a number of complementary points (see Box 21).

Box 21: Some principles of community-based conservation

- ***Community-based conservation fosters greater management flexibility and creativity*** – The diversity of skills, expertise and knowledge that communities bring to conservation initiatives, alongside those brought by external actors, makes for greater innovation and adaptability. One key reason for this is that the feedback loops (the impacts of successful or unsuccessful initiatives) are felt much more quickly and strongly by communities, and on their own or with help from outsiders they can devise adaptive responses.
- ***Leadership in local communities is crucial and self-reinforcing*** – Leadership needs to be cultivated and strengthened in local communities, creating catalysts for community involvement. In many cases, the self-confidence gained by taking on leadership roles may empower others to explore alternative models of community development.
- ***Community-level processes and spirit are critical to conservation*** – The ability to nurture community support for conservation facilitates successful, sustainable programmes. Community-based conservation relies on the ability of communities to do collective thinking and work, transcending individual weaknesses and limitations; but it simultaneously also helps to build it.
- ***Community-based conservation is a long-term process*** – Communities do not typically initiate conservation-related practices as a 'project'; where such practices have been going on through generations, they are part of life itself, not necessarily distinguished from other activities. However, where introduced as an external intervention, such as by an NGO or government agency, there has to be an understanding that this is a process and not a project. Time is required to develop trust with local communities (Kothari et al., 2013, pp. 11–13).

While these principles have emerged as common elements across diverse settings, at the same time it should be borne in mind that the situation will differ from site to site. Just as each World Heritage site and surrounding landscape is unique, so will be the initiatives that develop at each site. This has been illustrated vividly by the COMPACT experience, where at site level each programme has developed its own 'personality' and approach, adapted to the local context. True community engagement means that communities play a leading role in shaping the initiative.

Box 22: World Heritage and rights-based approaches: *Recommendations from the Building Capacity to Support Rights-Based Approaches in the World Heritage Convention: Learning from Practice* project

The 'Our Common Dignity Programme' is a collaboration of the Advisory Bodies to the Convention (ICOMOS, IUCN and ICCROM), in consultation with the World Heritage Centre focusing on the rights dimension in World Heritage work. Its goal is to promote the application of 'good practice' approaches to rights and their enabling conditions in relation to World Heritage, and to develop and recommend possible tools to help advance these ends. In 2014 it launched the *Building Capacity to Support Rights-Based Approaches in the World Heritage Convention: Learning from Practice* project, culminating in an international expert workshop in Oslo (Norway) with over thirty participants from all continents. Selected recommendations presented in the workshop report[60] are summarized here.

Workshop participants emphasized that internationally proclaimed human rights must be upheld, respected and included in the implementation of the World Heritage Convention, consistent with the commitment of States Parties to internationally proclaimed human rights. They further observed that, as prime places for the conservation of the heritage of mankind, World Heritage sites should serve as exemplars of rights-based best practice. Recognizing the need for improved policy guidance, appropriate operational tools, education and capacity-building, the group made a number of preliminary recommendations.

Examples of preliminary policy recommendations include:

- Best practice standards should ensure that all rightsholders and duty-bearers, especially the most vulnerable, are able to exercise their rights in World Heritage operations and processes as early as possible.
- Governance following rights-based approaches is inclusionary and shared, based on equality, adequate representation and mutual understanding.
- Free, Prior and Informed Consent (FPIC) of associated communities should be part of the guidance and principles of practice for developing rights-based processes on governance and management of World Heritage sites.

Preliminary operational guidance recommendations include:

- To ensure participation of rightsholders in all stages (tentative listing, nomination, management and evaluation), all relevant stakeholders and duty-bearers should be mapped and included on the basis of relevant rights.
- Guidance notes should be prepared for the States Parties on (i) identifying and addressing rights issues upstream, starting from the process of preparing the Tentative List and (ii) on how to involve rightsholders and duty-bearers in the nomination process.
- To allow for greater accountability and transparency, the nomination files should be available in the public domain (and translated into local languages) to allow for comments, objections and review by all the relevant rightsholders.
- States Parties should include effective channels of communication with indigenous peoples, local communities and their organizations as part of their national institutional framework for World Heritage matters.

Finally, recognizing the role of a range of other institutions, factors and processes in either preventing or enhancing the resolution of rights issues associated with World Heritage, the group offered preliminary recommendations on improving enabling conditions, including:

- Effective articulation and communication of international guidance and standards helps to raise awareness and increase understanding.
- Documentation of model projects and good practice on rights-based approaches in the World Heritage nomination and inscription process should be disseminated to State Parties.
- A region-based network of sites demonstrating success in incorporating rights-based approaches, participation and engagement with local culture and communities should be developed.
- World Heritage donors should be convened to secure targeted funding for mainstreaming of rights-based approaches.

Source: Larsen et al. (2014)

60 http://www.icomos.no/cms/icontent/filer/whrba/20_2014_whrba_learningfrompractice.pdf

Making a long-term commitment has been fundamental to COMPACT's approach (Madagascar)
© Jessica Brown

7.2 Conclusions

In this new era for World Heritage, it is clear that indigenous peoples and local communities will play a growing role in stewardship of sites and their broader landscapes. Forging effective partnerships to ensure management effectiveness will mean recognizing the vital role that communities play in stewardship. It will rely on embracing the broad array of governance options, and moving towards governance that is both equitable and effective.

At site level, managers increasingly understand the need to look beyond the boundaries of the site to understand management and governance issues in the broader landscape. In parallel with these developments at natural sites, managers of many cultural sites are also looking beyond site boundaries to the broader landscape. There is a growing recognition of the linkages between nature and culture at World Heritage sites of all types. Taking a holistic approach to managing for these nature-culture linkages can only be strengthened by involving indigenous peoples and local communities, drawing on their connections to the cultural and natural values of the landscapes they inhabit.

While there are many cross-cutting principles of community engagement, ultimately the approach at site level must be 'home grown'. This publication offers an array of tools and resources based on experience from a model tested in diverse regions. However, these elements must be adapted to the local context, shaped in close cooperation with the communities involved.

Truly meeting the challenge of fostering community engagement at all stages of the World Heritage process will require long-term vision and commitment. Moving towards rights-based, inclusive approaches to World Heritage is complex but will ultimately strengthen the foundation for long-term stewardship of World Heritage (see Box 22).

8

References

Greater Blue Mountains Area (Australia)
© OUR PLACE

References

Abungu, G. O. and Githitho, A. 2012. *Homelands of the Mijikenda people: Sacred Mijikenda Kaya Forests, Kenya.* In Galla (ed.), op. cit., pp. 147–157.

Albert, M. T., Richon, N., Viñals, M. J. and Whitcomb, A. (eds). 2012. *Community Development through World Heritage.* Paris, UNESCO World Heritage Centre. (World Heritage Papers No. 31.) http://whc.unesco.org/en/series/31/

Badman, T. and Debonnet, G. 2013. *Looking ahead: potential new opportunities for COMPACT to support the World Heritage Convention*. In Brown and Hay-Edie (eds), op. cit., pp. 133–36.

Bell, D. 2012. Presentation at the conference on Cultural Landscapes: Preservation Challenges in the 21st Century, October 2012. New Brunswick, NJ, Rutgers University.

Boedhihartono, A. K. 2012. *Visualizing Sustainable Landscapes: Understanding and Negotiating Conservation and Development Trade-offs Using Visual Techniques*. Gland, Switzerland, IUCN. http://www.sswm.info/sites/default/files/reference_attachments/IUCN%202012%20Visualizing%20Sustainable%20Landscapes.pdf

Borrini-Feyerabend, G., Pimbert, M., Taghi Farvar, M., Kothari, A., Renard, Y. et al. 2004. *Sharing Power: Learning by Doing in Co-management of Natural Resources Throughout the World.* IIED and IUCN/CEESP/CMWG, Cenesta, Tehran. http://cmsdata.iucn.org/downloads/sharing_power.pdf

Borrini-Feyerabend, G., Dudley, N., Jaeger, T., Lassen, B., Pathak, N., Phillips, A. and Sandwith, T. 2013. *Governance of Protected Areas: From Understanding to Action*. Gland, Switzerland, IUCN. (Best Practice Protected Area Guidelines Series No. 20.) https://cmsdata.iucn.org/downloads/governance_of_protected_areas___from_understanding_to_action.pdf

Brown, J., Mitchell, N. and Beresford, M. (eds). 2005. *The Protected Landscape Approach: Linking Nature, Culture and Community*. Gland, Switzerland, IUCN-WCPA. https://portals.iucn.org/library/efiles/edocs/2005-006.pdf

Brown, J. and Kothari, A. 2011. Traditional agricultural landscapes and community conserved areas: an overview. *Management of Environmental Quality: An International Journal*, Vol. 22, No. 2. Bingley, UK, Emerald Press.

Brown, J. and Hay-Edie, T. (eds). 2013. *COMPACT: Engaging Local Communities in Stewardship of World Heritage*. New York, UNDP. https://sgp.undp.org/images/Compact_Report_WEB_flat.pdf

Brown, J. 2015. Bringing together nature and culture: integrating a landscape approach in protected areas policy and practice. In Gambino and Peano (eds), op. cit.

Byron, G. and Osipova, E. 2013. Belize Barrier Reef Reserve System (Belize) (764), Réseau de réserves du récif de la barrière du Belize (Belize) (764), 4 to 9 February 2013. Mission Report / Rapport de Mission. (WHC-13/37.COM/ 7A.) http://whc.unesco.org/document/123329

Chambers, R. 1994. The origins and practice of participatory rural appraisal. *World Development*, Vol. 22, No. 7, pp. 953–69. Elsevier Science Ltd, UK. https://entwicklungspolitik.uni-hohenheim.de/uploads/media/Day_4_-_Reading_text_8_02.pdf

CMP. 2013. *Open Standards for the Practice of Conservation,* Version 3.0. Conservation Measures Partnership. https://miradi.org/openstandards

Corrigan, C. and Hay-Edie, T. 2013. *A Toolkit to Support Conservation by Indigenous Peoples and Local Communities: Building Capacity and Sharing Knowledge for Indigenous Peoples and Community Conserved Territories and Areas (ICCAs)*. Cambridge, UK, UNEP-WCMC. http://www.unep.org/dewa/portals/67/pdf/ICCA_toolkit.pdf

Day, J. C., Wren, L. and Vohland, K. 2012. *Community engagement in safeguarding the world's largest reef: Great Barrier Reef, Australia*. In Galla (ed.), op. cit., pp. 18–29.

de Merode, E., Smeets, R. and Westrik, C. (eds). 2004. *Linking Universal and Local Values: Managing a Sustainable Future for World Heritage.* A Conference organized by the Netherlands National Commission for UNESCO, 22–24 May 2003. (World Heritage Papers No. 13.) http://whc.unesco.org/en/series/13/

Disko, S. 2012. *World Heritage sites and indigenous communities – the importance of adopting a human rights-based approach*. In Albert et al., op. cit., pp. 20–30.

Dudley, N. (ed.). 2008. *Guidelines for Applying Protected Area Management Categories*. Gland, Switzerland, IUCN.

Dudley, N. and Stolton, S. (eds). 2008. *Defining Protected Areas: An International Conference in Almeria, Spain.* Gland, Switzerland, IUCN.

Finke, G. 2013. *Landscape Interfaces: World Heritage Cultural Landscapes and IUCN Protected Areas.* Thematic study published by the IUCN World Heritage Programme. Gland, Switzerland, IUCN. https://portals.iucn.org/library/efiles/documents/2013-040.pdf

Foundations of Success. 2009. *Using Conceptual Models to Document a Situation Analysis: An FOS How-To Guide.* Bethesda, Md., Foundations of Success.

Freire, Paulo. 2005. *Pedagogía del Oprimido*, 2nd edn. Mexico, Siglo XXI, Chap. 2. (In Spanish.)

Galla, A. (ed.). 2012. *World Heritage: Benefits Beyond Borders*. Paris/Cambridge, UNESCO Publishing/ Cambridge University Press.

Gambino, R. and Peano, A. (eds). 2015. *Nature Policies and Landscape Policies: Towards an Alliance*. Turin, European Documentation Centre on Nature Park Planning/Springer Verlag.

González, A. M. and Martin, A. S. 2007. *Gender in the Conservation of Protected Areas*. Innovations in Conservation Series. Parks in Peril Program. Arlington, Va., The Nature Conservancy. http://www.cbd.int/doc/pa/tools/Gender%20in%20the%20conservation%20of%20protected%20areas.pdf

Greiber, T., Janki, M., Orellana, M., Savaresi, A. and Shelton, D. 2009. *Conservation with Justice: A Rights-Based Approach*. Gland, Switzerland, IUCN. (IUCN Environmental Law and Policy Paper No. 71.)

Hay-Edie, T., Ganapin, D. and Wells, M. 2004. *Partnerships for Conservation: Lessons from the COMPACT Approach for Co-Managing Protected Areas and Landscapes*. New York, UNDP/GEF Small Grants Programme.

Hay-Edie, T., Mbaye, K. and Samba Sow, M. 2012. Conservation of World Heritage and community engagement in a transboundary biosphere reserve: Djoudj National Bird Sanctuary, Senegal. In Galla (ed.), op. cit., pp. 7–17.

Hockings, M., Stolton, S., Leverington, F., Dudley, N. and Courrau, J. 2006. *Evaluating Effectiveness: A Framework for Assessing Management Effectiveness of Protected Areas. 2*nd edn. Gland, Switzerland/ Cambridge, UK, IUCN. https://portals.iucn.org/library/efiles/documents/PAG-014.pdf

Hockings, M., James, R., Stolton, S., Dudley, N., Mathur, V., Makombo, J., Correau, J. and Parrish, J. 2008. *Enhancing our Heritage Toolkit: Assessing Management Effectiveness of Natural World Heritage Sites.* Paris, UNESCO World Heritage Centre. (World Heritage Papers No. 23.) http://whc.unesco.org/en/series/23/

Huisinga, N., Yoder, R. and Martin, Y. 1993. Indigenous agricultural knowledge and gender issues in third world agricultural development. In D. M. Warren, L. J. Slikkerveer and S. O. Titilola (eds), *Indigenous Knowledge Systems: Implications for Agricultural and International Development*, pp. 91–100. Ames, IA, Iowa State University. (Studies in Technologies and Social Change Series No. 11.)

ICOMOS Australia. 1999. *The Burra Charter*. The Australia ICOMOS Charter for Places of Cultural Significance, with associated Guidelines and Code on the Ethics of Co-existence.

James, C. 2011. *Theory of Change Review*. Report commissioned by Comic Relief, London.

Kihara, F., Chege, N. and Hoch, G. 2013. Incorporating new methodologies and techniques into COMPACT's work at landscape level: the Mt. Kenya World Heritage site. In Brown and Hay-Edie (eds), op. cit., pp. 39–56.

Kilimanjaro National Park Authority. (2006). Kilimanjaro National Park General Management Plan 2006-2015. Kilimanjaro, Tanzania.Kothari, A., Corrigan, C., Jonas, H., Neumann, A. and Shrumm, H. (eds). 2012. *Recognizing and Supporting Territories and Areas Conserved by Indigenous Peoples and Local Communities: Global Overview and National Case Studies*. Montreal, Secretariat of the Convention on Biological Diversity, in association with the ICCA Consortium, IUCN/TILCEPA, Kalpavriksh and Natural Justice. (CBD Technical Series No. 64.) http://www.cbd.int/doc/publications/cbd-ts-64-en.pdf

Kothari, A., Camill, P. and Brown, J. 2013. Conservation as if people also mattered: Policy and Practice of community-based conservation. *Journal of Conservation and Society.* Bangalore, India, Medknow Publications. http://www.conservationandsociety.org/temp/ConservatSoc1111-361233_100203.pdf

Larsen, P. B. 2012. *IUCN, World Heritage, and Evaluation Processes related to Communities and Rights.* Independent review prepared for the IUCN World Heritage Programme. Gland, Switzerland, IUCN. http://www.icomos.no/cms/icontent/filer/whrba/16_2012_ABC_IUCN_Review_WH_H_R_PBL.pdf

References

Larsen, P. B., Oviedo, G. and Larsen, A. 2014. *World Heritage and Rights-Based Approaches*. Report from the workshop Building Capacity to Support Rights-Based Approaches in the World Heritage Convention: Learning from Practice (Oslo, Norway, April 2014). IUCN/ICCROM/ICOMOS. http://www.icomos.no/cms/icontent/filer/whrba/20_2014_whrba_learningfrompractice.pdf

Laven, D., Mitchell, N., Jewiss, J. and Barret, B. 2015. Lessons learned from US experience with regional landscape governance: implications for conservation and protected areas. In Gambino and Peano (eds), op. cit.

MacKinnon, K. (ed.) 2001. ICDPs: working with parks and people. *IUCN Parks*. Vol. 11, No. 2. http://cmsdata.iucn.org/downloads/parks_june01.pdf

Margolius, R. A. and Salafsky, N. 1998. *Measures of Success: Designing, Managing, and Monitoring Conservation and Development Projects*. Washington DC, Island Press.

Margoluis, R., Stem, C., Salafsky, N. and Brown, M. 2009. Using conceptual models as a planning and evaluation tool in conservation. *Evaluation and Program Planning*, Vol. 32, No. 2, pp. 138–47.

Margoluis, R., Stem, C., Swaminathan, V., Brown, M., Johnson, A., Placci, G., Salafsky, N. and Tilders, I. 2013. Results Chains: a Tool for Conservation Action Design, Management, and Evaluation. *Ecology and Society*, Vol. 18, No. 3, p. 22. http://www.ecologyandsociety.org/vol18/iss3/art22/

Martin, O. and Piatti, G. (eds). 2008. *World Heritage and Buffer Zones.* Proceedings of an International Expert Meeting on World Heritage and Buffer Zones (Davos, Switzerland, 11–14 March 2008). Paris, UNESCO World Heritage Centre. (World Heritage Papers No. 25.) http://whc.unesco.org/en/series/25/

Mitchell, N., Rössler, M. and Tricaud, P. M. 2009. *World Heritage Cultural Landscapes: A Handbook for Conservation and Management*. Paris, UNESCO World Heritage Centre. (World Heritage Papers No. 26.) http://whc.unesco.org/en/series/26/

Ortsin, G. 2015. Ecological and socio-cultural resilience in managing traditional sacred landscapes in the coastal savannah ecosystem of Ghana. In K Taylor, N. Mitchell and A. St. Clair (eds), *Conserving Cultural Landscapes: Challenges and New Directions.* New York, Routledge.

Oviedo, G. and Puschkarsky, T. 2012. World Heritage and rights-based approaches to nature conservation. *International Journal of Heritage Studies*, Vol. 18, No. 3, pp. 285–96.

Phillips, A. 2005. Landscape as a meeting ground: Category V protected landscapes/seascapes and world heritage cultural landscapes. In Brown et al. (eds), op. cit., pp.19–36. https://portals.iucn.org/library/efiles/edocs/2005-006.pdf

Rakotomanana, F. and Rasoarimanana, V. 2013. COMPACT Madagascar: conservation at the landscape scale across a mosaic of different governance regimes. In Brown and Hay-Edie (eds), op. cit., pp. 79–94.

Raymond, S. 2013. *World Heritage and the Movement Towards Free, Prior and Informed Consent.* Poster presented at MiNaH conference, Clermont-Ferrand, France (September 2013). https://iadt.fr/uploads/ressource/html/6/4_pages_Susanne_Raymondweb.pdf

Retolaza, I. 2011. *Theory of Change. A Thinking-Action Approach to Navigate in the Complexity of Social Change Processes*. Hivos/UNDP.

Rössler, M. 2003. Linking nature and culture: World Heritage cultural landscapes. In M. Rössler (ed.), *Cultural Landscapes: The Challenges of Conservation*. Paris, UNESCO World Heritage Centre. (World Heritage Papers No. 7.) http://whc.unesco.org/en/series/7/

Rössler, M. 2012. Partners in site management. A shift in focus: heritage and community involvement. In Albert et al., op. cit., pp. 31–35.

Rössler, M. and Veillon, R. 2013. Monitoring and reporting: trends in World Heritage conservation. In K. Van Balen and A. Vandesande (eds), *Reflections on Preventive Conservation, Maintenance and Monitoring of Monuments and Sites*. Leuven, Acco.

Salafsky, N., Margoluis, R. and Redford, K. 2001. *Adaptive Management: A Tool for Conservation Practitioners.* Washington DC, Biodiversity Support Program. http://www.fosonline.org/resources

Schreckenberg, K., Camargo, I., Withnall, K., Corrigan, C., Franks, P., Roe, D., Scherl, L. M. and Richardson, V. 2010. *Social Assessment of Conservation Initiatives: A Review of Rapid Methodologies*. London, IIED. (Natural Resource Issues No. 22.) http://pubs.iied.org/pdfs/14589IIED.pdf

Sinding-Larsen, A. 2012. Our common dignity: rights-based approaches to heritage management. *World Heritage*, No. 62. Paris, UNESCO World Heritage Centre. http://whc.unesco.org/en/review/62/

Souza, A. 2011. *Paulo Freire, Vida e obra.* Ed. Expressao Popular. Sao Paulo, Brazil.

Sullivan, S. 2004. Local involvement and traditional practices in the World Heritage system. In E. de Merode, R. Smeets and C. Westrik (eds), *Linking Universal and Local Values: Managing a Sustainable Future for World Heritage*. A Conference organized by the Netherlands National Commission for UNESCO, 22–24 May 2003. (World Heritage Papers No. 13.) http://whc.unesco.org/en/series/13/

Te Heuheu, T., Kawharu, M. and Tuheiva, R. 2012. World Heritage and indigeneity. *World Heritage* No. 62. Paris, UNESCO World Heritage Centre. http://whc.unesco.org/en/review/62/

Verschuuren, B., Wild, R., McNeely, J. and Oviedo, J. (eds). 2010. *Sacred Natural Sites: Conserving Nature and Culture.* Gland, Switzerland/London, IUCN/Earthscan. http://www.researchgate.net/publication/248391786_Sacred_natural_sites_Conserving_Nature_and_Culture

Vogel, I. 2012. *Review of the Use of 'Theory of Change' in International Development.* Report commissioned by the UK Department of International Development, London. http://r4d.dfid.gov.uk/pdf/outputs/mis_spc/DFID_ToC_Review_VogelV7.pdf

Wells, M., Guggenheim, S., Khan, A., Wardojo, W. and Jepson, P. 1999. *Investing in Biodiversity. A Review of Indonesia's Integrated Conservation and Development Projects*. Washington DC, World Bank.

Wells, M., McShane, T., Dublin, H., O'Connor, S. and Redford, K. 2004. The future of integrated conservation and development projects: building on what works. In T. McShane and M. Wells (eds), *Getting Biodiversity Projects to Work: Towards More Effective Conservation and Development*. New York, Columbia University Press, pp. 397–422. http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/1999/09/11/000094946_99090105302787/Rendered/PDF/multi_page.pdf

WHC. 2011. *Preparing World Heritage Nominations.* Paris, UNESCO World Heritage Centre. http://whc.unesco.org/en/activities/643/

WHC. 2012*a*. *Managing Natural World Heritage.* Paris, UNESCO World Heritage Centre. (World Heritage Resource Manual.) http://whc.unesco.org/en/managing-natural-world-heritage/

WHC. 2012*b*. *Periodic Reporting Handbook for Site Managers.* Paris, UNESCO World Heritage Centre. (World Heritage Resource Manual.) http://whc.unesco.org/uploads/pages/documents/document-153-6.pdf

WHC. 2013*a*. *Celebrating 40 years of the World Heritage Convention*. Paris, UNESCO World Heritage Centre. http://whc.unesco.org/en/celebrating-40-years

WHC. 2013*b*. *Operational Guidelines for the Implementation of the World Heritage Convention*. Paris, UNESCO World Heritage Centre. http://whc.unesco.org/en/guidelines/

WHC. 2013*c*. *Report of the 40th Anniversary of the World Heritage Convention*. Paris, UNESCO World Heritage Centre. http://whc.unesco.org/en/report-40th-Anniversary

Wild, R. and McLeod, C. (eds). 2008. *Sacred Natural Sites: Guidelines for Protected Area Managers.* Gland, Switzerland, IUCN-WCPA. (Best Practice Protected Area Guidelines Series No. 16.) http://cmsdata.iucn.org/downloads/pa_guidelines_016_sacred_natural_sites.pdf

Worboys, G., Francis, W. and Lockwood, M. (eds). 2010. *Connectivity Conservation Management: A Global Guide.* London/Washington DC, Earthscan.

9

Appendix

Bwindi Impenetrable National Park (Uganda)
© OUR PLACE

Open Standards for the Practice of Conservation and *Miradi* adaptive management software[61]

Based on principles of adaptive management, the *Open Standards* have been developed by the Conservation Measures Partnership (CMP),[62] a partnership of over twenty institutions from around the world to provide a common approach to maximizing the effectiveness of conservation projects. Foundations of Success (FOS), a US-based nonprofit organization, has been the driving force beyond the creation of the CMP and guided the development of the *Open Standards*. A key resource for those wishing to learn more is *Measures of Success: Designing, Managing and Monitoring Conservation and Development Projects* (Margoluis and Salafsky, 1998).

The *Open Standards*:

- provide a holistic and common approach to maximizing the effectiveness of conservation projects,
- harmonize common concepts, approaches and terminology to provide a set of guidelines, and
- are freely available for use by all conservation practitioners.

Miradi, which means 'project' in Swahili, provides a user-friendly graphic interface tool to organize project information and construct diagrams and tables for project planning, management and monitoring (see https://miradi.org/).

The biodiversity conservation community is faced with large, complex, and urgent environmental problems where the stakes are high. While many inspiring advances have been made, few conservation groups can say consistently what efforts to address these challenges are working, what could be improved, and what needs to be changed. Without more rigorous measurement of effectiveness and disciplined recording of conservation efforts, the community will not be able to gauge its progress and timeliness in reaching conservation goals. Furthermore, conservation groups must be able to demonstrate their achievements so that they can build public and political will and thus expand the resources available for conservation efforts overall.

The conservation community urgently needs robust systems for results-based project planning, management and monitoring. Moreover, it needs to practise adaptive management based on the systematic evaluation of results and use this information to learn from one another about what works and what does not work. The Conservation Measures Partnership is a consortium of major, international conservation organizations whose mission is to advance the practice of conservation by developing, testing and promoting principles and tools to credibly assess and improve the effectiveness of conservation actions. CMP's vision is:

> *More efficient and effective global conservation efforts, as we increasingly know how to leverage or replicate what works and not repeat what doesn't based upon credible measurement of our effectiveness and the open sharing of the lessons we learn.*

The CMP has worked over the past decade to consolidate principles and best practices in adaptive and results-based management from conservation and other fields to create *the Open Standards for the Practice of Conservation*. *The Open Standards* are organized into five steps (Figure 7) that comprise a set of adaptive management principles fundamental to successful conservation.

The Open Standards are designed to provide those involved in all manner of conservation work with a tried and tested roadmap – rather than a recipe to strictly follow – for executing effective and efficient projects and programmes. The tools and principles described in the *Open Standards* provide a structured process for critical thinking and development of the following components of a project plan (Steps 1–3):

1) A clear conceptualization of the project, including:
   - definition of the core project team and roles and responsibilities;
   - definition of project scope, vision and conservation targets;
   - a viability assessment of conservation targets;
   - rating of threats to biodiversity and resources;
   - a conceptual model describing the current situation in the project site, including the socio-economic factors contributing to the threats to biodiversity and the causal relationships among these factors.

2) A strategic action plan, including:
   - well-defined goals for all conservation targets;
   - prioritized strategies derived from the project conceptual model;
   - results chains defining core assumptions about how project strategies will contribute to reducing threats and conserving targets;
   - well-designed objectives linked to key results in a project results chain;
   - activities required to implement a strategy and achieve its objectives.

61 This Appendix was contributed by Vinaya Swaminathan.
62 For more information, visit www.conservationmeasures.org

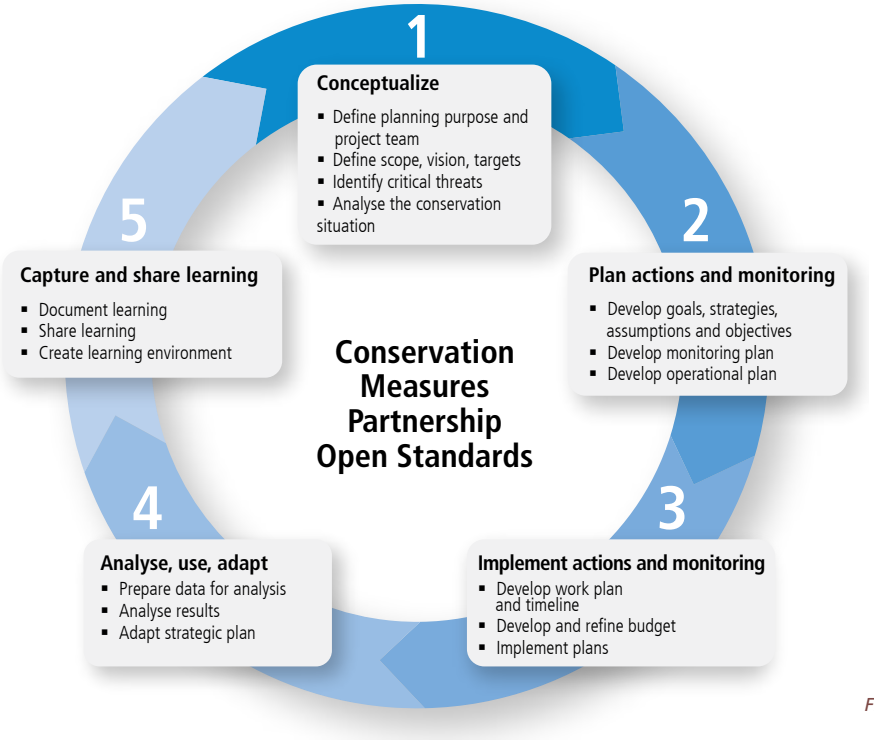


Figure 7: The five steps of Open Standards

3) A focused monitoring plan for measuring the effectiveness and impact of the project, including:

- definition of audiences for monitoring and their information needs;
- indicators for monitoring goals and objectives;
- monitoring methods, who will gather the monitoring data, when and where will monitoring take place.

As such, the *Open Standards* help to set conservation teams up for greater transparency in implementation and outcomes and more rigour in monitoring and evaluation.

The uptake of the *Open Standards* since its inception has been swift throughout the conservation community, and has helped to address a need for more evidence and accountability in conservation effectiveness. In recent years, conservationists using *Open Standards* have formed a global network known as the Conservation Coaches Network (CCNet).[63] CCNet members are conservation professionals committed to supporting and empowering conservation teams to effectively apply the *Open Standards*.

Another tool that has greatly facilitated the use of the *Open Standards* is *Miradi*[64] adaptive management software. *Miradi*, which means 'project' in Swahili, is a quickly evolving software programme that provides a platform for implementing and documenting the *Open Standards* process. The software guides conservation practitioners through a series of step-by-step interview wizards, and helps them to capture the planning and management elements listed above through linked views and functions (including diagramming functions for documenting conceptual models and results chains). The software also helps teams to conduct a viability assessment, prioritize threats, develop objectives and actions, and select monitoring indicators to assess the effectiveness of their strategies.

As the *Open Standards* and its associated networks and tools continue to grow and evolve, the conservation community will have greater confidence in the content of their work, their ability to adaptively manage and their ability to share with others what works and what does not work.

Sources

CMP. 2013. The *Open Standards for the Practice of Conservation*. Version 3.0. Conservation Measures Partnership. http://cmp-openstandards.org/.

Margoluis, R. and Salafsky, N. 1998. *Measures of Success: Designing, Managing, and Monitoring Conservation and Development Projects.* Washington DC, Island Press.

Salafsky, N., Margoluis, R. and Redford, K. 2001. *Adaptive Management: A Tool for Conservation Practitioners.* Washington DC, Biodiversity Support Program. http://www.fosonline.org/resources

63 For more information, visit www.ccnetglobal.co
64 Miradi is available at www.Miradi.org

Published within the World Heritage Series

World Heritage **manuals** 1

Managing Tourism at World Heritage Sites: a Practical Manual for World Heritage Site Managers
Gestión del turismo en sitios del Patrimonio Mundial: Manual práctico para administradores de sitios del Patrimonio Mundial
(In English) November 2002; (In Spanish) May 2005

World Heritage **papers** 2

Investing in World Heritage: Past Achievements, Future Ambitions
(In English) December 2002

World Heritage **papers** 3

Periodic Report Africa
Rapport périodique pour l'Afrique
(In English and French) April 2003

World Heritage **papers** 4

Proceedings of the World Heritage Marine Biodiversity Workshop, Hanoi, Viet Nam. February 25–March 1, 2002
(In English) May 2003

World Heritage **papers** 5

Identification and Documentation of Modern Heritage
(In English with two papers in French) June 2003

World Heritage **papers** 6

World Heritage Cultural Landscapes 1992-2002
(In English) July 2004

World Heritage **papers** 7

Cultural Landscapes: the Challenges of Conservation
Proceedings from the Ferrara workshop, November 2002
(In English with conclusions and recommendations in French) August 2004

World Heritage **papers** 8

Mobilizing Young People for World Heritage
Proceedings from the Treviso workshop, November 2002
Mobiliser les jeunes pour le patrimoine mondial
Rapport de l'atelier de Trévise, novembre 2002
(In English and French) September 2003

World Heritage **papers** 9

Partnerships for World Heritage Cities – Culture as a Vector for Sustainable Urban Development. Proceedings from the Urbino workshop, November 2002
(In English and French) August 2004

World Heritage **papers** 10

Monitoring World Heritage
roceedings from the Vicenza workshop, November 2002
(In English) September 2004

World Heritage **papers** 11

Periodic Report and Regional Programme – Arab States 2000–2003
Rapports périodiques et programme régional – Etats Arabes 2000–2003
(In English) September 2004

World Heritage **papers** 12

The State of World Heritage in the Asia-Pacific Region 2003
L'état du patrimoine mondial dans la région Asie-Pacifique 2003
(In English) October 2004; (In French) July 2005

World Heritage **papers** 13

Linking Universal and Local Values:
Managing a Sustainable Future for World Heritage
L'union des valeurs universelles et locales :
La gestion d'un avenir durable pour le patrimoine mondial
(In English with the introduction, four papers and the conclusions and recommendations in French)
October 2004

World Heritage **papers** 14

Archéologie de la Caraïbe et Convention du patrimoine mondial
Caribbean Archaeology and World Heritage Convention
Arqueología del Caribe y Convención del Patrimonio Mundial
(In French, English and Spanish) July 2005

World Heritage **papers** 15

Caribbean Wooden Treasures
Proceedings of the Thematic Expert Meeting on
Wooden Urban Heritage in the Caribbean Region
4–7 February 2003, Georgetown – Guyana
(In English) October 2005

World Heritage **papers** 16

World Heritage at the Vth IUCN World Parks Congress
Durban (South Africa), 8–17 September 2003
(In English) December 2005

World Heritage **papers** 17

Promouvoir et préserver le patrimoine congolais
Lier diversité biologique et culturelle
Promoting and Preserving Congolese Heritage
Linking biological and cultural diversity
(In French and English) December 2005

World Heritage **papers** 18

Periodic Report 2004 – Latin America and the Caribbean
Rapport périodique 2004 – Amérique Latine et les Caraïbes
Informe Periodico 2004 – América Latina y el Caribe
(In English, French and Spanish) March 2006

World Heritage **papers** 19

Fortificaciones Americanas y la Convención del Patrimonio Mundial
American Fortifications and the World Heritage Convention
(In Spanish with the foreword, editorial, programme, opening ceremony and seven papers in English)
December 2006

World Heritage **papers** 20

Periodic Report and Action Plan – Europe 2005-2006
Rapport périodique et plan d'action – Europe 2005-2006
(In English and French) January 2007

World Heritage papers 21

World Heritage Forests
Leveraging Conservation at the Landscape Level
(In English) May 2007

World Heritage papers 22

Climate Change and World Heritage
Report on predicting and managing the impacts of climate change on World Heritage and Strategy to assist States Parties to implement appropriate management responses
Changement climatique et patrimoine mondial
Rapport sur la prévision et la gestion des effets du changement climatique sur le patrimoine mondial et Stratégie pour aider les États parties à mettre en oeuvre des réactions de gestion adaptées
(In English and French) May 2007

World Heritage papers 23

Enhancing our Heritage Toolkit
Assessing management effectiveness of natural World Heritage sites
(In English) May 2008

World Heritage papers 24

L'art rupestre dans les Caraïbes
Vers une inscription transnationale en série sur la Liste du patrimoine mondial de l'UNESCO
Rock Art in the Caribbean
Towards a serial transnational nomination to the UNESCO World Heritage List
Arte Rupestre en el Caribe
Hacia una nominación transnacional seriada a la Lista del Patrimonio Mundial de la UNESCO
(In French, English and Spanish) June 2008

World Heritage papers 25

World Heritage and Buffer Zones
Patrimoine mondial et zones tampons
(In English and French) April 2009

World Heritage papers 26

World Heritage Cultural Landscapes
A Handbook for Conservation and Management
(In English) December 2009

World Heritage papers 27

Managing Historic Cities
Gérer les villes historiques
(In English) December 2009

World Heritage papers 28

Navigating the Future of Marine World Heritage
Results from the first World Heritage Marine Site Managers Meeting Honolulu, Hawaii, 1–3 December 2010
Navegando el Futuro del Patrimonio Mundial Marino
Resultados de la primera reunión de administradores de sitios marinos del Patrimonio Mundial, Honolulu (Hawai), 1–3 de diciembre de 2010
Cap sur le futur du patrimoine mondial marin
Résultats de la première réunion des gestionnaires des sites marins du patrimoine mondial, Honolulu (Hawaii), 1er–3 décembre 2010
(In English) May 2011; (In Spanish) December 2011; (In French) March 2012

World Heritage papers 29

Human Evolution: Adaptations, Dispersals and Social Developments (HEADS)
World Heritage Thematic Programme
Evolución Humana: Adaptaciones, Migraciones y Desarrollos Sociales
Programa Temático de Patrimonio Mundial
(In English and Spanish) June 2011

World Heritage papers 30

Adapting to Change
The State of Conservation of World Heritage Forests in 2011
(In English) October 2011

World Heritage papers 31

Community Development through World Heritage
(In English) May 2012

World Heritage papers 32

Assessing Marine World Heritage from an Ecosystem Perspective: the Western Indian Ocean
(In English) June 2012

World Heritage papers 33

Human Origin Sites and the World Heritage Convention in Africa
(In English) August 2012

World Heritage papers 34

World Heritage in a Sea of Islands Pacific 2009 Programme
(In English) August 2012

World Heritage papers 35

Understanding World Heritage in Asia and the Pacific
The Second Cycle of Periodic Reporting 2010-2012
(In English) November 2012

World Heritage papers 36

Earthen Architecture in Today's World
Proceedings of the UNESCO International Colloquium on the Conservation of World Heritage Earthen Architecture / 17 – 18 December 2012
(In English and French) January 2014

World Heritage papers 37

Climate Change Adaptation for Natural World Heritage Sites
A Practical Guide
(In English) May 2014

World Heritage papers 38

Safeguarding Precious Resources for Island Communities
(In English) August 2014

World Heritage papers 39

Human Origin Sites and the World Heritage Convention in Asia
(In English) October 2014

World Heritage papers

9 789231 000546

UNESCO

United Nations Educational, Scientific and Cultural Organization

World Heritage Convention

For more information contact
UNESCO World Heritage Centre

7, place Fontenoy
75352 Paris 07 SP France
Tel: 33 (0)1 42 68 24 96
Fax: 33 (0)1 45 68 55 70
E-mail: wh-info@unesco.org
Website: http://whc.unesco.org