

# Site-level Assessment of Governance and Equity (SAGE) for protected and conserved areas

Manual for SAGE facilitators

## Phase I: Preparation



## Phase II: Assessment



## Phase III: Taking action



## About the authors

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## Acknowledgements

This manual for SAGE version 2.0 draws on the experience of lead facilitators and participants of more than 20 SAGE assessments that have been conducted since the SAGE version 1.0 manual and Excel tool was released in June 2021. There are too many to name here, but thanks go to everyone who has used SAGE over the last two years and provided feedback in one way or another. That said, we would like to specifically recognise those who provided detailed comments on drafts of this manual: SAGE trainers and facilitators Veronica Lekopole, Cosmas Lambini, Medard Twinamatsiko, Teresa Morales and Naira Dehmel, and Christine Mentzel of the EU-funded IUCN BIOPAMA programme. Last but not least, thanks to the Arcus Foundation for its financial support for the development of this manual and to Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) and the German Federal Ministry for Economic Cooperation and Development (BMZ) for supporting research that has informed key improvements in SAGE version 2.

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# Foreword

Site-Assessment for Governance and Equity (SAGE) has three phases — preparation, assessment and taking action. This manual covers the preparation and assessment phases and is written primarily for lead facilitators of SAGE. Some sections will also be valuable for convenors and assistant facilitators of SAGE, and anyone who wants to know exactly how SAGE works. Along with this manual we are releasing an improved version of the SAGE data entry and analysis tool, which greatly simplifies the use of SAGE and production of the assessment report.

I want to stress up front that SAGE is the work of a global team of conservation practitioners and researchers from a wide range of different organisations, many of whom have contributed to development of the SAGE manual and tool — see [www.iied.org/site-level-assessment-governance-equity-sage](http://www.iied.org/site-level-assessment-governance-equity-sage).

At this point around 60 SAGE assessments have been conducted across protected and/or conserved areas (PCAs) in 25 different countries. In some cases, stakeholders have taken immediate action on some key issues without waiting for action planning. In other cases, SAGE results have served as an input to existing processes for planning, implementing and monitoring PCA-related activities. But this 'mainstreaming' into existing processes has been patchy because these processes tend to focus on management and the number of ideas for action to improve governance generated by SAGE can be many and at times overwhelming. In SAGE version 2 we have addressed this by adding some steps to prioritise actions.

In the SAGE manual version 1.0, we described SAGE Phase 3 (taking action) as an add-on to increase impact (an 'impact booster'). We now advise it be used wherever possible and for now refer users to our guidance for Governance Assessment for Protected Areas (GAPA). With the huge amount of experience of our partners in SAGE, as well as new technology, and drawing on the experience of other sectors, we know we can do better than this. Over the last two years we have been piloting existing and new elements of the taking action phase and will release detailed guidance for SAGE Phase 3 in draft form in late 2023. It will be published as a third section of this manual in April 2024.

This SAGE manual and the data entry and analysis tool aim to support a scaling-up process that will have reached at least 30 countries by 2030. This will deliver at scale real improvements in governance, equity, social and conservation outcomes that make a major contribution to national and global conservation goals including the new 30x30 target. This target is a key element of a new global strategy for nature conservation — the Global Biodiversity Framework — and includes the condition that PCAs should be equitably governed. Support for the principle of equitable governance is being driven both by requirements for social safeguards to avoid negative impacts on Indigenous Peoples and local communities (IPLCs) that are all too common, and by growing evidence that more equitable governance can deliver more effective and sustainable conservation.

The Management Effectiveness Tracking Tool (METT) for protected areas — and variants of it — launched over 20 years ago has had a major impact in improving PCA management not only in the sites that have used it, but also more broadly by increasing understanding of PCA management and what it takes to improve it. Our expectation (ie our theory of change) is that SAGE, variants of SAGE and other similar tools will do the same for governance and equity of area-based conservation.

This manual supports scaling up of the now well-proven stand-alone SAGE assessment. Alongside this, our SAGE team is currently developing and piloting 'lite' versions of SAGE that are combined with the METT to provide a single tool for PCA management and governance assessment, and can also be combined with our Social Assessment for Protected Areas (SAPA) tool for the development of social safeguards systems. There will be more on these in due course.

As users of this manual with specific PCA sites, keep in mind that as SAGE users you are part of a growing 'community of practice', which could transform PCA governance over the next 5–10 years. Please share your experience and learning with other users and with us to enable us to continue to improve SAGE. Also, if your stakeholders agree, please share your SAGE results for our cross-site analysis, which will contribute to national and global-level efforts to demonstrate the importance of governance and equity in conservation.

A handwritten signature in black ink, appearing to read "P. C. Franks".

Phil Franks, IIED  
June 2023

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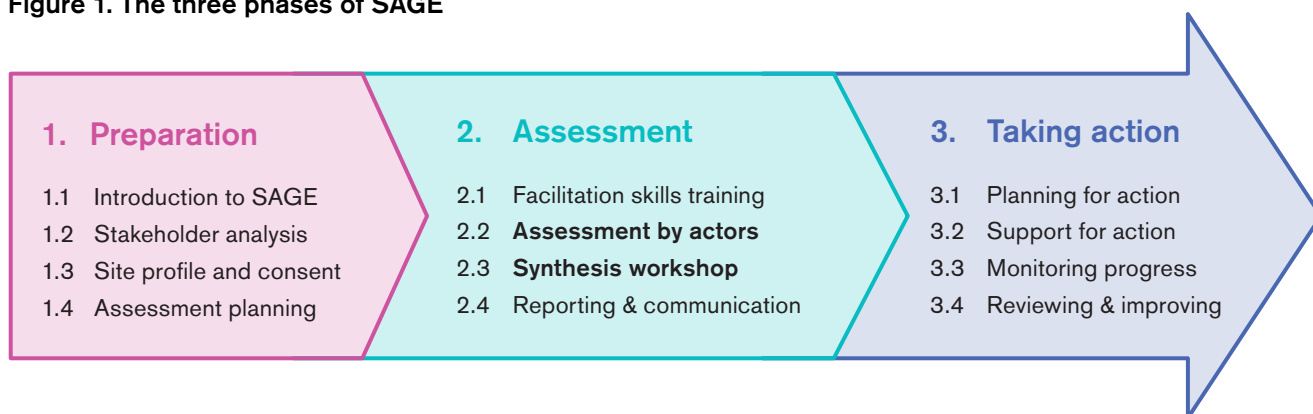
# Overview of SAGE

Site-Assessment for Governance and Equity (SAGE) is a methodology for assessing the governance and equity of actions to conserve biodiversity and ecosystem services of protected and/or conserved areas (PCAs) and any associated actions that are designed to support conservation of the PCA (for example, benefit-sharing schemes and conservation corridors). Using a multiple-choice questionnaire tailored to the context, the stakeholders and rightsholders themselves ('actors', for short) conduct a SAGE assessment.

SAGE has two objectives. The first is to enable site-level actors to improve the governance and equity of their conservation and related work so as to improve both social and conservation outcomes. The second is to generate information for actors at higher levels for management oversight, for improving governance of a system of protected areas, and for national and global-level reporting. In addition, SAGE is now being used as a tool for the design and implementation of social safeguards and quality standards for PCA management and governance, including the International Union for Conservation of Nature (IUCN) Green List. Work is also underway to adapt SAGE for use with PCA management effectiveness assessment tools such as the Management Effectiveness Tracking Tool (METT).

SAGE assessment is based on a questionnaire of up to 40 questions. Exactly like with METT, these are multiple-choice questions with four possible responses that represent difference levels of performance from excellent (best practice) to very poor. Eight questions that are factual rather than opinion-based are answered by a small technical group (for example, 'Are there arrangements for community participation in PCA decision making and are these clearly documented?'). The other 32, which are much more a matter of opinion than fact, are addressed by representatives of the key actors in a multi-stakeholder workshop (for example, 'What influence do community representatives have over PCA decision?').

**Figure 1. The three phases of SAGE**



There are two phases to conducting a SAGE assessment. Phase 1 comprises a series of steps to prepare for the assessment including tailoring the SAGE questionnaire and assessment process to the site context. Phase 2 is the assessment itself, which is typically a two-day multi-stakeholder workshop. On day 1 (step 2.2) the participants are split into four to eight 'actor groups' of similar stakeholders/ rightsholders (for example, community men, community women, local government, NGOs, PCA managers) and each actor group does the assessment from their perspective. Day 2 (step 2.3) is a plenary session of all participants where different actor groups share their findings and discuss differences of opinion on key issues (often many) and actions they could take to address these issues and narrow their differences of opinion.

Typically, the cost of a SAGE assessment is around US\$5,000 excluding the cost of hiring the lead facilitator who needs to be independent and so cannot be a staff member of a stakeholder organisation. For very small PCAs the cost could be as little as US\$2,000 while for large remote PCAs where travel is difficult and costly it could be as high as US\$20,000.

**Table 1: Steps in the SAGE process**

PHASES, STEPS AND MAIN TASKS		TIME	OUTPUTS
<b>PHASE 1: Preparation</b>			
1.1	<b>Introduction to SAGE</b> <ul style="list-style-type: none"> <li>▪ Introductory training on governance, equity, SAGE</li> <li>▪ Review feasibility of conducting SAGE at the site</li> </ul>	Week 1	<ul style="list-style-type: none"> <li>» Go/no-go decision</li> <li>» Plan for step 1.2</li> </ul>
1.2	<b>Stakeholder analysis</b> (more correctly called actor analysis)	Week 2	<ul style="list-style-type: none"> <li>» Completed actor analysis</li> <li>» List of 'key actors' and actor groups</li> </ul>
1.3	<b>Site profile and consent</b> <ul style="list-style-type: none"> <li>▪ Review relevant documents</li> <li>▪ Key informant interviews</li> <li>▪ Free, prior and informed consent process (if needed)</li> </ul>	Week 2	<ul style="list-style-type: none"> <li>» Completed site profile part I</li> </ul>
1.4	<b>Assessment planning</b> <ul style="list-style-type: none"> <li>▪ Select SAGE principles and define actor groups</li> <li>▪ Select and adapt the approach for the assessment by actors</li> <li>▪ Select the assistant facilitators and notetakers</li> <li>▪ Review and, as necessary, adapt the SAGE questions</li> <li>▪ Logistics planning (materials, venue, numbers of people, transport, invitations etc.)</li> <li>▪ Organise translation of the SAGE questionnaire (if needed)</li> <li>▪ Respond to X.1 questions</li> </ul>	Weeks 2-3	<ul style="list-style-type: none"> <li>» SAGE principles agreed</li> <li>» Key actors with similar interests grouped into 4–8 actor groups</li> <li>» SAGE questions tailored to the context and needs of the site » Detailed plan for Phase 2 » Venue booked etc.</li> <li>» If needed, SAGE questions and responses have been translated</li> <li>» X.1 questions completed</li> <li>» Complete site profile part II</li> </ul>
<b>PHASE 2: Assessment</b>			
2.1	<b>Facilitation skills training</b> <ul style="list-style-type: none"> <li>▪ Train the lead and assistant facilitators</li> <li>▪ Check and further adapt SAGE questions if needed</li> </ul>	Week 4	<ul style="list-style-type: none"> <li>» Facilitators have necessary skills</li> <li>» Finalised SAGE questionnaire</li> </ul>
2.2	<b>Assessment by actors</b> <ul style="list-style-type: none"> <li>▪ Introduction of SAGE to site-level actors/participants</li> <li>▪ Separate assessments by each actor group</li> </ul>	Week 4	<ul style="list-style-type: none"> <li>» Results from the 4–8 actor groups entered in the SAGE Excel tool</li> </ul>
2.3	<b>Synthesis workshop</b> <ul style="list-style-type: none"> <li>▪ Synthesis, presentation and discussion of results</li> </ul>	Week 4	<ul style="list-style-type: none"> <li>» Results from the overall analysis and discussion</li> </ul>
2.4	<b>Reporting and communication</b> <ul style="list-style-type: none"> <li>▪ Produce a basic assessment report</li> <li>▪ Information-sharing workshop for higher level actors (optional)</li> <li>▪ Produce communication materials for other key audiences</li> </ul>	Week 5–8	<ul style="list-style-type: none"> <li>» Basic SAGE report</li> <li>» SAGE PowerPoint presentation</li> <li>» Other communication materials</li> </ul>
<b>PHASE 3: Taking action</b>			
3.1	<b>Planning for action</b> <ul style="list-style-type: none"> <li>▪ Engage existing planning processes of key actors AND/OR</li> <li>▪ Organise a one-day SAGE action planning meeting</li> </ul>	Month 2–4	<ul style="list-style-type: none"> <li>» Actions to improve governance/equity included in key actors' plans</li> <li>» Equitable governance action plan</li> </ul>
3.2	<b>Support for action</b> <ul style="list-style-type: none"> <li>▪ Capacity building to improve governance/equity</li> <li>▪ Provide technical and financial support if needed</li> </ul>	Ongoing	<ul style="list-style-type: none"> <li>» Increased knowledge and skills of members of key actor groups</li> <li>» Support packages implemented</li> </ul>
3.3	<b>Monitoring progress</b> <ul style="list-style-type: none"> <li>▪ Activities and outputs</li> <li>▪ Governance, social and conservation outcomes</li> </ul>	Ongoing	<ul style="list-style-type: none"> <li>» Annual progress report</li> </ul>



PHASES, STEPS AND MAIN TASKS	TIME	OUTPUTS
3.4 Reviewing and improving	Ongoing	» Adaptation of plans

Each step in the SAGE process comprises a number of tasks. Table 1 summarises the tasks of each step, a typical timeline, and key outputs of each step.

This manual provides detailed guidance for the tasks of Phases 1 and 2 up to completion of the assessment and communication of the results, typically taking place over a period of four weeks. These step-by-step instructions have been developed so that someone with experience in facilitating multi-stakeholder processes in a conservation or similar context can conduct a SAGE assessment using just the information in this manual. For those with less experience, we can also provide hands-on SAGE training workshops at a country or sub-regional level (to date we have provided these in Eastern and Southern Africa) or a virtual training package (see <https://www.iied.org/sage-support-package-online>) comprising:

- Introduction to key concepts and overview of SAGE for the convenors and representatives of key actors at the site
- SAGE facilitation skills training for the lead facilitator and for representatives of key actors who can help tailor the SAGE questions and process to the site context
- Mentoring throughout the process of Phase 1 (preparation) and Phase 2 (assessment), as needed.

For further information on the available technical support contact [phil.franks@iied.org](mailto:phil.franks@iied.org)

## Changes in SAGE version 2

SAGE assesses governance and equity using a framework of ten principles of effective and equitable governance based on the well-established IUCN framework of governance principles for protected areas (see Table 2). These principles remain the same in SAGE version 2 although the wording of the first two has been modified to clarify that the first principle covers human rights as well as rights to land and resources, and that the second covers the traditional institutions of different actors as well as knowledge and values.

**Table 2. Ten principles of effective and equitable governance**

Equity: recognition	1. <b>Respect for resource rights and human rights</b> of community members
	2. <b>Respect for all relevant actors</b> and their knowledge, values and institutions
Equity: procedure	3. <b>Effective participation</b> of all relevant actors in decision making
	4. <b>Transparency, information sharing and accountability</b> for actions and inactions
	5. <b>Access to justice including effective dispute resolution</b> processes
	6. <b>Fair and effective law enforcement</b>
Equity: distribution	7. <b>Effective mitigation of negative impacts</b> on community members
	8. <b>Equitable sharing of benefits</b> among relevant actors



Other governance

9. Achievement of conservation and other objectives

10. Effective coordination and collaboration between actors, sectors and levels

In the SAGE questionnaire of version 2, eight of the ten principles have the same questions as in version 1 with just minor edits to make them easier to understand and use in a group discussion. But for two principles there are additional questions:

- **Respect for rights** — the two questions are now repeated three times in order to cover at least one human right along with rights of two different social groups to land/water and their resources.
- **Transparency and accountability** — there are two new questions that focus on financial issues.

The SAGE process is essentially the same as in version 1 but with five significant improvements:

- **Stakeholder analysis.** Now called actor analysis, this is more rigorous to ensure inclusion of actors who tend to be marginalised, and it is conducted at least two weeks before the assessment. This responds to problems we have seen at sites where the stakeholder analysis has been rushed.
- **Increasing the number of actor groups.** In early SAGE assessments the number of different actor groups conducting a SAGE assessment rarely exceeded five. As facilitators have become more experienced, we have been able to increase the maximum number to eight, for example community men, community women, Indigenous Peoples (if any), youth, PCA management, local government, NGOs and private sector.
- **Prioritising ideas for action.** The SAGE data entry and analysis tool now includes a way to prioritise the ideas for action to reduce the number from what is typically more than 100 to 20–30. The assessment phase now generates, with broad buy-in, a more manageable list of ‘priority actions’ that can be taken forward in existing planning processes, or, in some cases, without further planning.
- **Communicating results.** While reports have often been produced in good time, sharing the report with the assessment participants has often been very delayed or has not happened at all. Furthermore, there has rarely been any communication of assessment results with a wider audience beyond the assessment participants. This is partly because communication was previously the first step of the optional Phase 3. Communication is now the last step of Phase 2.
- **Ownership of the results and raw data.** There has been confusion over who owns the SAGE report and raw data and controls access to it. Logically, for an assessment that is by the stakeholders and for the stakeholders, ownership rights lie with the stakeholders who participated in the assessment. However, over the last two years we have seen a number of cases where the organiser and funder (ie, the convenor) has assumed this right. In SAGE version 2 we want to make it clear that this should not be the case. That said, for practical purposes the participants can mandate a few representatives to make decisions on their behalf regarding sharing the results and raw data. This is now done at the end of the synthesis workshop.

# Phase 1: Preparation

This phase begins with an introductory training module for SAGE convenors, facilitators and key actors at the site, which concludes with a review of whether the site is suitable for using SAGE. It nearly always is but there are exceptions. It then proceeds with a stakeholder analysis and development of a site profile, which will help identify key actors, threats to conservation, positive and negative impacts of conservation on human wellbeing, and important rights. This information is then used in planning the assessment, which is the final step of this phase.

## 1.1 Introduction to SAGE

### Objective

To build understanding of governance and equity in the context of area-based conservation, of SAGE as a tool for governance and equity assessment and action, and of the roles of different actors before, during and after the assessment.

### Time required

2–3.5 hours

### Who facilitates?

A SAGE trainer. If the trainer is a SAGE facilitator then they should have facilitated at least two assessments.

### Who participates?

Staff of the lead convenor (normally the organisation funding the assessment), the SAGE lead facilitator, and 1–2 representatives of each site-level actor that should be involved in the assessment.

#### Box 1. Roles in SAGE

**Convenors:** The organisation, or group of organisations, that organise the assessment and its logistics and are, as a group, responsible for the integrity of the process and preparing and sharing the assessment report. Convenors are likely to be stakeholders and so should not facilitate the assessment.

**Facilitators:** One lead facilitator who is experienced in workshop facilitation with basic knowledge of governance but not necessarily a governance expert. Three to seven assistant facilitators who do not necessarily need to have knowledge of governance or experience in facilitation.

**Site-level actors:** Organisations, social groups and in some cases individuals, based within or near the site that have a significant interest in the PCA's biodiversity and/or ecosystem services and one or more activities to conserve them. 'Actor' is shorthand for stakeholder or rightsholder.

### Background

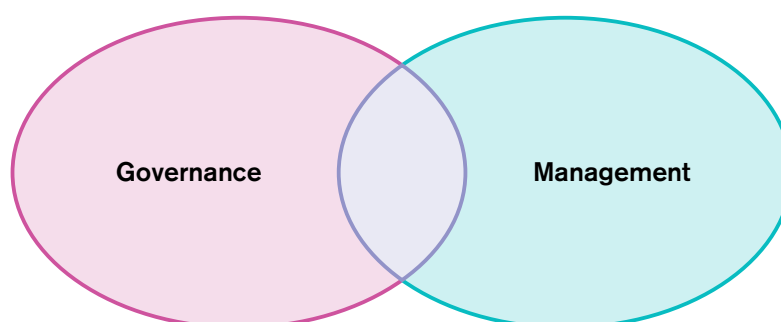
The introduction to SAGE begins with explaining the key concepts of management, governance, equity and equitable governance in the context of PCAs based on guidance endorsed by the IUCN and Parties to the Convention on Biological Diversity (CBD). This introduction should include a brief exercise to get

participants to consider what these concepts mean in practical terms. Many people think governance is mainly about decision making and avoiding corruption but in the context of conservation and sustainable development there are many other key aspects.

### Box 2. Governance versus management

**Governance** is about who has the authority to decide objectives and strategies, how decisions are made, how other actors influence these decisions, and how those with authority and responsibilities are held to account.

**Management** is about what is done to deliver the agreed objectives and strategies, including means and actions.



In the expression 'good governance', the 'good' means effective in achieving objectives and efficient in use of resources but not necessarily fair (ie, equitable). With growing recognition that governance in conservation needs to be more equitable, we now refer to 'effective and equitable governance' rather than 'good governance' of PCAs, and the 30x30 target of the Global Biodiversity Framework includes the condition that PCAs should be 'equitably governed'.

From the first mention of SAGE, it is crucial to emphasise that SAGE is a tool for site-level actors to themselves assess the governance and equity of a PCA and associated conservation interventions, and themselves plan, implement and monitor actions to improve governance.

Most PCAs are common-pool resources. In situations where there needs to be strong engagement of Indigenous Peoples and local communities (IP&LCs) in the management of the area, effective management depends on 11 conditions identified by the Nobel-prize winning research of Elinor Ostrom (see Table 3). Many of these Ostrom conditions/principles are issues of governance relating to engagement of IP&LCs and other key actors.

While an introduction to SAGE does not need to include reference to the academic research of Ostrom, it is essential to make sure that all actors understand and appreciate that SAGE needs to engage all actors that have some kind of interest in conservation of the PCA whatever their current level of influence. SAGE should never be focused on the work of just one project and the actors involved in that particular project.

A key implication of SAGE being an actor-owned and actor-led assessment is that the results are the collective property of the actors who participate in the process. How this works in practice is covered in step 2.3 when participants will better understand SAGE and the nature of the results.

Table 3: 11 Ostrom conditions/principles

PRINCIPLE	DESCRIPTION
1A	<b>User boundaries:</b> Clear boundaries between legitimate users and nonusers must be clearly defined.
1B	<b>Resource boundaries:</b> Clear boundaries are present that define a resource system and separate it from the larger biophysical environment.
2A	<b>Congruence with local conditions:</b> Appropriation and provision rules are congruent with local social and environmental condition.
2B	<b>Appropriation and provision:</b> The benefits obtained by users from a common-pool resource (CPR), as determined by appropriation rules, are proportional to the amount on inputs required in the form of labor, material, or money, as determined by provision rules.
3	<b>Collective-choice arrangements:</b> Most individuals affected by the operational rules can participate in modifying the operational rules.
4A	<b>Monitoring users:</b> Monitors who are accountable to the users monitor the appropriation and provision levels of the users.
4B	<b>Monitoring the resource:</b> Monitors who are accountable to the users monitor the condition of the resource.
5	<b>Graduated sanctions:</b> Appropriators who violate operational rules are likely to be assessed graduated sanctions (depending on the seriousness and context of the offense) by other appropriators, by officials accountable to the appropriators, or by both.
6	<b>Conflict-resolution mechanisms:</b> Appropriators and their officials have rapid access to low-cost local arenas to resolve conflicts among appropriators or between appropriators and officials.
7	<b>Minimal recognition of rights to organize:</b> The rights of appropriators to devise their own institutions are not challenged by external governmental authorities.
8	<b>Nested enterprises:</b> Appropriation, provision, monitoring, enforcement, conflict resolution, and governance activities are organized in multiple layers or nested enterprises.

As a new addition to the SAGE process, this introductory session ends with a review of the SAGE feasibility conditions. In SAGE version 1 this was the responsibility of just the lead convenor, but experience shows it is important that all of the more important actors ('key actors') understand and accept the SAGE feasibility conditions and agree with the go/no-go decision. Assuming a positive outcome, the other issue to consider at this point is the timing of the assessment. While the actors may be keen to proceed as soon as possible, if there is an annual planning process for the PCA taking place within the next six months it could be a good idea to delay so that SAGE takes place just before this planning event and some ideas for action to improve governance can be incorporated in that plan.

#### Tasks for the SAGE convenor — preparing for the training

1. **Plan for the training.** Decide on a date and location for the training, if it will be face-to-face or virtual, and if any equipment and materials will be needed (for example, projectors, flipcharts, whiteboards).
2. **Select a lead facilitator for the assessment** and ensure they can attend this training. See Annex 5 for guidance on selecting facilitators.
3. **Identify and invite other relevant site-level actors** who should be involved in the assessment — at least two representatives of each (so at least one attends), aiming for gender balance where possible.

#### Tasks for the SAGE trainer — preparing the training

1. **Review and adapt the 'Introduction to SAGE' PowerPoint slides** and translate if necessary.
2. **Set up a whiteboard or flipchart** for the interactive exercise with the list of ten principles (in Zoom if virtual).
3. **Decide which SAGE video**, if any, you want to show and check that the link in the PowerPoint slide works with both visuals and sound.

### Tasks for the SAGE trainer — conducting the training

1. **Invite an appropriate person to open the meeting** and then ask each participant to introduce themselves.
2. **Facilitate the training** using the pre-prepared 'Introduction to SAGE' PowerPoint and the whiteboard or flipchart for the interactive exercise. Allow adequate time for questions and answers.
3. **Introduce the SAGE feasibility conditions** (see Box 3) and facilitate a discussion on whether these conditions are met. If yes, then proceed. If borderline, facilitate a discussion of mitigation measures that could be applied in preparation for and during the assessment to minimise any risks, and if confident these will be effective then proceed. If no, then discuss what measures will need to be taken to fulfil the conditions.
4. **Facilitate planning for conducting step 1.2 (stakeholder analysis)**, including when and where it will take place and who will be involved (see next section). If prepared in advance, the stakeholder analysis can be done immediately after this SAGE introduction with a sub-set of the participants in the introduction session.

#### Box 3. SAGE feasibility conditions

Before starting SAGE, it is important to check the feasibility of using SAGE at the proposed protected and conserved area (PCA). There are six key conditions that must be fulfilled if a SAGE assessment is to produce reliable results and contribute to improving governance and equity in the site:

1. The management and governance systems of the area have been functioning for at least two years (that is, the assessment is based on actors' actual experience of these systems rather than their hopes and fears).
2. There are no major governance problems or conflicts at the time of the assessment that could seriously bias the SAGE process, for example high levels of resentment between indigenous peoples and local communities and PCA managers from a recent conflict, or corruption related to benefits to be shared with the communities.
3. There is a low risk of the assessment causing or exacerbating conflict between or within different actor groups, for example by revealing problems that are unlikely to be resolved by SAGE.
4. All key actors are willing and able to engage in SAGE Phases 1 and 2 and will be invited and, if necessary, supported, to participate in the assessment.
5. PCA managers and at least some other actors are, in principle, willing and able to work together post-assessment to implement some low-cost actions while they secure funding for other actions (note: as a guide, 'low cost' means activity costs excluding staff time of less than US\$1,000).
6. Where national/international policy/law require that there be a free, prior and informed consent (FPIC) process with Indigenous Peoples, the SAGE convenors are willing and able to ensure this will be done to a high standard during the preparation phase of SAGE.

### Outputs

1. Go/no-go decision
2. Plan for implementing step 1.2 (assuming a go decision).

## 1.2 Stakeholder/actor analysis

### Objective

To identify actors who have a significant interest in how the PCA is conserved and used, and/or initiatives within nearby communities that may positively or negatively affect the PCA and the wellbeing of IPLCs, in order to ensure that all actors with medium to high interest will be invited to participate in the SAGE assessment.

In the past we used the term 'stakeholder' to mean any organisation, group or individual with any type of interest or right. But, with growing recognition of the importance of resource rights and human rights, the 'rightsholders', quite rightly, want to be distinguished from stakeholders more generally. This means that we often need to say 'rightsholder and stakeholders' and as a shorthand in English we now use the terms 'actors' and 'actor analysis', which we use from this point on.

The final selection of actors to be invited to the assessment workshop occurs in step 1.4.

### Time required

2–3 hours

### Who facilitates?

The actor analysis can be facilitated by the SAGE lead facilitator if already on board, a person from the lead convenor organisation or anyone else with experience of facilitating a similar method.

### Who participates?

The participants in an actor analysis should be people who, working together, will be able to identify all the important actors, including customary (ie, less formal) groups within communities. As a minimum, the facilitator can work with just four to five key informants together or individually. However, there is a risk that such a small number of participants may overlook one or more key actors and so, where possible, we recommend a meeting of around ten key informants including a representative of:

- PCA governance bodies at site level (if any)
- PCA management organisation(s) at site level
- Indigenous/local people, including women and youth, whose livelihoods substantially depend — directly or indirectly — on use of some PCA resources (consumptive use or non-consumptive use)
- Local people, including women and young people, who have little dependence on PCA resources
- Local government departments with responsibilities related to relevant conservation, environmental management and development activities (for example, fisheries, community development)
- NGOs that play an active and important role in relevant conservation and development activities, and
- The private sector if significant in the area, such as a tourism, hunting, forestry or fishing business.

If most of these actor representatives are attending the SAGE introduction (step 1.1), then this actor analysis can be done immediately after by a sub-group as long as this includes some community representatives.

## Background

A thorough actor analysis including assessment of the interest and influence of each actor is an essential first step of a SAGE assessment and must be completed at least two weeks before steps 2.2 and 2.3. Doing it at the last minute can lead to key actors being left out and the assessment being rejected.

Actors include formal organisations of government, civil society, the private sector (ie businesses), and formal and informal social networks and groups of people with a common interest — in this case an interest related to PCA conservation. Where there are very many different actors across different levels of governance (eg local to national) and within a given level (eg communities with different interests), it may not be practically possible for representatives of all actors to participate. So the actor analysis plays a crucial role in determining which actors must be represented in the process and which should be if possible.

Prioritisation of actors to participate in the assessment is based on their level of interest as judged by the group of key informants that conduct the analysis — in English, ‘stake’ literally means interest. But level of interest in what? With SAGE we are talking about interest in conservation of the PCA’s biodiversity and ecosystem services and/or interest in any activities, shorter-term projects or longer-term programmes that contribute to conservation of a PCA or to the wellbeing of IPLCs living within and around the area in a way that affects PCA conservation. We use the phrase ‘associated initiatives’ as shorthand for this. The governance and equity of these associated initiatives can be as important as the governance and equity of PCA management, and so are also a focus of SAGE and its actor analysis.

**Associated initiatives:** activities, shorter-term projects or longer-term programmes of state or non-state actors that contribute to conservation of a PCA or to the wellbeing of IPLCs living within and around the area in a way that affects PCA conservation.

The condition ‘in a way that affects PCA conservation’ means we exclude initiatives that have no significant impact on PCA conservation, but include initiatives that support human wellbeing but have a negative impact on PCA conservation, as long as they are legal (eg legal mining, logging).

There is four-point scale of interest — high interest, medium interest, low interest and no interest. Our rule with SAGE is that all actors judged to have a high or medium level of interest (called ‘key actors’) should participate in SAGE. In practical terms this means that they should be invited to the assessment workshop. In this way we use actor analysis as a relatively objective and transparent tool to determine who participates in SAGE, and justify, if asked, why certain actors were, or were not, included.

As well as assessing actors’ level of interest, our actor analysis also assesses an actor’s power to influence conservation of the PCA and associated initiatives. Influence is important information when it comes to identifying and planning ideas for action but it is normally not a criteria for identifying who should participate in the SAGE assessment as some who are key actors in terms of interest may, at present, have little or no influence (ie they are currently marginalised). However, in some cases there may be an actor who seems to have little or no genuine interest in PCA conservation but a lot of influence and should be invited to participate in the hope that their interest can be increased and their influence used more positively.

## Tasks for the convenor(s) in preparing for the actor analysis

1. **Organise a meeting for participants in the actor analysis.** Select these participants according to the criteria in the previous section. Ideally, participants will meet face-to-face with a whiteboard or flipchart and cards. Where a face-to-face meeting is not feasible, the actor analysis can be done virtually using a tool that provides a virtual whiteboard (eg the whiteboard function of Zoom, Mural).



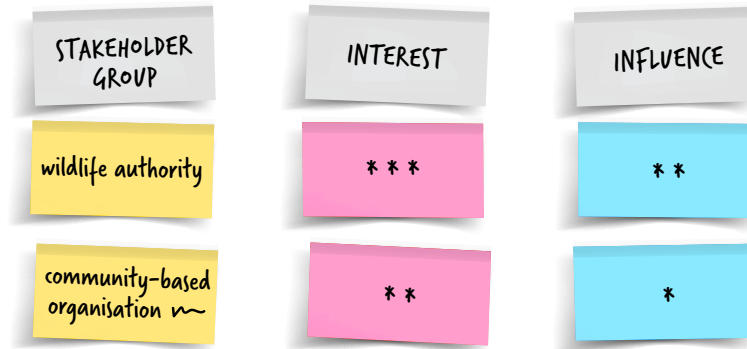
### Tasks for the facilitator of the actor analysis

1. **Explain the meaning of the term ‘actor analysis’** to the participants as an exercise to identify important state actors and non-state actors that have significant interest in, or power to influence, conservation of the PCA and/or associated initiatives. Give some examples of associated initiatives: mitigation of human–wildlife conflict (HWC), wildlife corridors, benefit sharing and alternative livelihood interventions.
2. **Identify and list state actors that have a significant interest** using the template below. These include government departments and agencies at national and lower levels, and parastatal organisations, including research organisations, that are controlled by government.
3. **Review the list and combine organisations that have similar interests**
4. Moving from the top to the bottom of the list, **score each actor on their level of interest at the present time:** high (\*\*\*), medium (\*\*), low (\*) or zero ( ). This is best judged as the actor’s level of interest in matters related to conservation of the PCA in question versus their interest in other matters that they deal with on a regular basis. For example, PCA managers have a high level of interest in poaching while the level of interest of police will be low unless there are regular, serious incidents that require their intervention. Completing the interest column before moving to influence makes this easier as participants can compare scores for different actors and make adjustments so that the scoring more accurately reflects the relative interest of different actors.
5. **Repeat this process for the power to influence of each state actor** at the present time, scoring this as high (\*\*\*), medium (\*\*), low (\*) or zero ( ). Again, compare and, where necessary, adjust the influence scores of different actors so that they reflect as accurately as possible their influence relative to other actors.
6. **Repeat tasks 2–5 for non-state actors.** This broader category may include:
  - Communities living within and/or around the PCA
  - Indigenous Peoples’ organisations
  - Community-based organisations, for example, beach management units, fishers’ cooperatives and women’s associations
  - Interest groups: formal or informal groups of individuals that have common interests, for example, fishers, fish traders, women, youth, tour guides
  - Marginalised groups: social groups within communities that tend to be excluded from decision making, such as women, ethnic minorities, religious minorities
  - NGOs
  - Private sector organisations.
7. **Identify the key actors that need to be represented in the assessment process (steps 2.2 and 2.3).** We recommend that all actors with medium (\*\*) or high (\*\*\*) interest be regarded as ‘key actors’ whatever their score for influence. This list of key actors is a key input for the next two steps (1.3 and 1.4).
8. **Confirm with representatives of all key actors that they are willing to participate in the assessment** — SAGE feasibility condition number 4. While you could proceed with SAGE if one or two actors with medium interest (\*\*) are, for some reason, unwilling or unable to participate, if an actor with high interest (\*\*\*) is not able to participate in assessment steps 2.2 and 2.3, the assessment should be put on hold until they are.

**Output**

Completed actor analysis using the following template:

ACTOR	INTEREST IN CONSERVATION OF THE PCA AND ASSOCIATED INITIATIVES	POWER TO INFLUENCE CONSERVATION OF THE PCA AND ASSOCIATED INITIATIVES
State actors	*** = High interest ** = Medium interest * = Low interest Blank = No interest	*** = High influence ** = Medium influence * = Low influence Blank = No influence
Non-state actors	*** = High interest ** = Medium interest * = Low interest Blank = No interest	*** = High influence ** = Medium influence * = Low influence Blank = No influence



**1.3 Site profile and consent**

**Objective**

To gather and summarise information about the site, including threats to conservation of the PCA, impacts of the PCA and its conservation on human wellbeing, and key PCA-related rights of local people, which will enable the assessment to be tailored to the context, and external actors to understand this context.

**Time required**

1–3 days if visiting communities is needed

**Who facilitates?**

The lead facilitator with help from the convenor

**Who participates?**

The site profile is developed by the convenor and/or lead facilitator, with input from other key actors.

**Tasks for the convenor or lead facilitator**

- Gather information from secondary sources** to complete, as much as possible, the site profile. Annex 1 provides a template for the site profile.

2. **Conduct interviews with representatives of key actors** to get additional information needed to complete the site profile, including key negative social impacts, key positive social impacts and the rights of individuals and groups of people (collective rights) that might be infringed or violated by a negative social impact of a PCA or actions to conserve it.

SAGE focuses on two categories of rights — rights to own/manage/use land and waters and their resources (called ‘rights to lands, territories and resources’), and human rights (see Box 4).

#### Box 4: Respecting human rights

Respecting someone else’s right means making sure that the actions of your organisation and yourself do not directly or indirectly limit or prevent that person from exercising that right.

A human right is a right of any individual human being that they have simply by being a human being and most are enshrined in international law and the law of every country.

SAGE focuses on five human rights that are particularly relevant to conservation:

- Right to life — for example if people are being killed by wildlife or law enforcement
- Right to an adequate standard of living — for example if crops or livestock are being seriously damaged by wildlife, people are evicted from a PCA or conservation stops them from doing an activity on which their livelihoods are highly dependent.
- Right to health — for example if people are being injured by wildlife or law enforcement
- Freedom from cruel or degrading treatment — for example by law enforcement
- Free, prior and informed consent (FPIC) — the right of Indigenous Peoples (and local communities in some countries) to require other actors to obtain their informed consent in advance of any actions that affect their lands, territories and resources.

The site profile lists any of these rights that might be infringed or more seriously violated and the negative impact concerned. For example, the site profile included in Annex 1 lists human–wildlife conflict as an impact that affects the right to an adequate standard of living and, in the extreme case of death, the right to life.

As a minimum, interview one person from each actor that has high interest (\*\*\*) in the actor analysis, including one man and one woman from each of three communities that are located in contrasting areas bordering or within the PCA. Key informant interviews also provide an opportunity to consult key actors on the choice of governance principles to be used in the assessment — see step 1.4.

3. If resources permit, the **participatory impact assessment** method described in the Social Assessment for Protected and Conserved Areas (SAPA) manual should be used to provide a more participatory and comprehensive assessment of positive and negative social impacts (SAPA manual page 36, activity 2.1).
4. **Free, prior and informed consent (FPIC)**. If national policy or the policy of the convening or participating organisations requires the FPIC of Indigenous Peoples and/or local communities (IP&LCs) for participatory assessments like SAGE then an FPIC process should be started while compiling the site profile, and the necessary visits to IP&LCs can be combined with task 3 above.

#### Output

Part I of the SAGE site profile completed — see the SAGE report in Annex 1.

## 1.4 Assessment planning and preparation

### Objective

To plan the assessment (steps 2.1–2.3) including selecting principles, defining actor groups, adapting the assessment process, selecting and training assistant facilitators, planning the logistics, adapting the SAGE questionnaire, translating the questionnaire if needed, and answering the X.1 questions (shaded questions in Annex 3).

### Time required

1 to 1.5 days for tasks 1-6 depending on how much adaptation of questions is needed

### Who facilitates?

The lead facilitator

### Who participates?

- **Tasks 1-4:** the lead facilitator, representatives of the convenor(s), and representatives of all high interest (\*\*\*) actors not only to help ensure their full buy-in and engagement in the process but also to get their input in adapting the assessment process and questionnaire to the site context.
- **Tasks 5-8:** the lead facilitator, representatives of the convenor(s),

### Tasks for the lead facilitator

1. **Select SAGE principles:** SAGE has ten principles of effective and equitable governance (see Table 4). SAGE assessments to date have managed to cover as few as six and as many as ten, depending on the experience of the facilitators and how much need there is for interpretation into local languages. Given the time available, and to enhance ownership and avoid participant 'burn-out', we recommend using no more than **eight principles**.

**Table 4. The ten principles of effective and equitable governance used in SAGE**

Equity: recognition	1. <b>Respect for resource rights and human rights</b> of community members
	2. <b>Respect for all relevant actors</b> and their knowledge, values and institutions
Equity: procedure	3. <b>Effective participation</b> of all relevant actors in decision making
	4. <b>Transparency, information sharing and accountability</b> for actions and inactions
	5. <b>Access to justice including effective dispute resolution</b> processes
	6. <b>Fair and effective law enforcement</b>
Equity: distribution	7. <b>Effective mitigation of negative impacts</b> on community members
	8. <b>Equitable sharing of benefits</b> among relevant actors
Other governance	9. <b>Achievement of conservation and other objectives</b>
	10. <b>Effective coordination and collaboration</b> between actors, sectors and levels

SAGE has four core principles that must always be included to ensure we have at least one principle for each of the three dimensions of equity:

**Table 5. Four core principles of SAGE**

<b>Equity: recognition</b>	Respect for human rights and resource rights <b>OR</b> Respect for all relevant actors
<b>Equity: procedure</b>	Effective participation in decision making <b>AND</b> Transparency, information sharing and accountability
<b>Equity: distribution</b>	Effective mitigation of negative impacts <b>OR</b> Equitable sharing of benefits

Select the remaining four principles based on the needs and context of the PCA and information from the key informant interviews in step 1.3. Once chosen, the principles should be added to the site profile in the order in which they will be addressed in the assessment. Avoid starting with principle 1 (rights), which is usually one of the more difficult. Plan to start with an easier, less controversial principle to give participants time to get used to the method before they get to more difficult or sensitive issues. Make sure that the four core principles are in the top six so that they will be covered if there is not enough time to finish all eight.

**2. Defining actor groups.** All key actors identified in the actor analysis — those with medium (\*\*) or high (\*\*\*) interest — should be represented in the assessment. For the assessment by actors (step 2.2) we recommend no more than eight groups. This means it is often necessary to group actors that have similar interests. Community members should always be sub-divided into two or three groups — these should be decided based on social/cultural distinctions that might lead to different groups having different opinions or that cause some groups to be unwilling to voice their opinions because another group tends to be dominant. In most cases, community men and women are separated, and where there is a significant population of Indigenous Peoples (IP) they will also form a separate group. In some cases, IP men and IP women have had separate groups, which has meant combining two other actor groups so as not to exceed eight groups in total. Where there are no Indigenous Peoples, a third community group can be youth (people less than 30 years old). This is increasingly common with the growing interest of the youth in conservation and their growing influence.

An alternative approach for community actor groups is to base the grouping on geographical location and social context with up to four different groups. For example, one group from the area to the north of the PCA where there is ethnic group A, one from the south-east and one from the south-west with the same ethnic group but different farming systems. The decentralised approach to assessment by actors uses this approach to defining groups (see pages 19 and 28).

**Table 6. Examples of actor groups**

EXAMPLE OF FOUR ACTOR GROUPS	EXAMPLE OF EIGHT ACTOR GROUPS
PCA managers and board members	PCA managers
	PCA board members
Local government departments	Local government departments
NGOs	NGOs
Community members	Private sector (eg tourism operators)
	Community group A
	Community group B
	Community group C

- 3. Select and adapt the approach for the assessment by actors.** In the first step of the actual assessment, the different actor groups work separately to complete the questionnaire (step 2.2). In the standard SAGE process this is the first day (or day and a quarter) of a two-day workshop. Then for the remaining time all participants come together in plenary to share and synthesise the results (step 2.3). This is the centralised approach. However, where logistics make it very difficult and costly for community members from different areas around the PCA and other actor groups to meet in one place then the assessment by actors can be decentralised, and then each actor group sends just two to four representatives to the synthesis workshop (step 2.3). The advantage of this is that for step 2.2, different actor groups can meet on different days in the places most convenient for them, and if group members are familiar with virtual meeting technology, they can even meet virtually. A disadvantage is that community representation in the synthesis workshop will be defined by location (eg northern, western and eastern boundaries of the PCA) rather than social factors such as gender and age.

Based on the decisions from tasks 2 and 3 above, **develop a list of actor representatives to invite** for the assessment and send out the invitations giving them at least two weeks' notice to minimise the risk of key actors failing to participate because of short notice. For community groups, invite at least six and up to ten people, and for other groups invite at least three and up to six people. The total should be 25–50, with at least one third being community representatives (50% women, 50% men). Invitation letters should include a brief description of SAGE and its objectives (see Box 5).

#### Box 5. SAGE objectives

SAGE is a tool that enables stakeholders and rightsholders of a protected or other type of conserved area to assess the governance and equity of activities supporting conservation, plan and implement actions to improve, and monitor progress.

##### Objectives:

1. To enable site-level actors to improve the governance and equity of their work in order to improve conservation and social outcomes.
2. To provide information to external actors for assessment, evaluation, safeguards systems, learning and reporting.

- 4. Review and, as necessary, adapt the SAGE questions for each selected principle.** This is a vital aspect of preparing for a SAGE assessment, which can take as long as one full day. Any SAGE question can be adapted so that it is easier to understand and more appropriate for the PCA and associated initiatives that are to be covered by the assessment (see Box 6). The SAGE questionnaire is available in English, Spanish and French and we recommend that adaptations be done in one of these languages before translating into another.

Annex 3 contains the standard SAGE questionnaire including notes for each question to clarify the meaning of that question and specific technical terms used in the question and/or the responses. All changes to the SAGE questions should be made in the MASTER worksheet of the Excel-based SAGE data entry and analysis tool and they will then be automatically copied to all the relevant sections of the SAGE Excel tool. See the guidance sheet in the Excel file for an explanation of how to use the tool.

Any SAGE question or response can be adapted so long as the revised question remains relevant to the theme. This is essential for the questions of principles 1, 4, 7, 8 and 9, which include blank spaces where you have to insert a word or phrase that makes the question relevant to the site.

**Principle 1: Respect for rights of community members**

From the list of relevant and important rights in the site profile select the four rights to use in the questionnaire. Two of these should be a resource right and two a human right.

For resource rights, key criteria for selecting the ones to include in the questionnaire (questions 1.2–1.5) are:

- They should be rights that most members of communities living around and, if applicable, within the PCA, should, in theory, be aware of. SAGE will identify if, in reality, they are.
- They should be rights that a substantial proportion of adults (at least 25%) have and wish to exercise — for example, the right to fish or collect firewood, the right to use footpaths within the PCA.
- The duties to ensure people can exercise the right fall mainly on one or more PCA actors — that is, the main ‘duty-bearers’ are PCA actors.
- One should be a right that is very important to men and one a right that is very important to women, or where there are Indigenous Peoples then one should be a right that is more important to them and one that is more important for non-Indigenous Peoples.

SAGE is not a human rights assessment. It only focuses on one human right that is considered to be particularly relevant for the PCA being assessed (see Box 4). Human rights are often more difficult to assess than rights to land and resources because they can seem more abstract. Therefore, the SAGE human rights question has to be prefaced by an explanation of the right before asking the participants to what extent they feel that right is being respected.

**Principle 4: Transparency and accountability.**

In this second version of SAGE we have added two additional questions to cover issues of financial transparency and accountability. We did not cover this in version 1 because of sensitivities around these issues but have added them now as an optional extra. If you don’t want to use them just leave the data entry cells in the SAGE Excel tool blank. If you do want to use these two questions you will need to insert in the first question an example of a specific type of financial information that all actor groups would like to have access to — for example, in a park with tourism lodges, the number of visitor nights at each lodge or gross income.

**Principle 7: Effective mitigation of negative impacts**

From the list of negative social impacts on communities that have been identified and summarised in the site profile, select the two impacts to use in the questionnaire.

Key criteria for selecting these impacts are:

- They should be important for most communities living around and, if applicable, within the PCA although not necessarily the most important as the following two criteria must also apply.
- One of the negative social impacts on communities should be more important to men and one more important to women. Or both impacts could be equally important to men and women.
- One or more actors participating in the assessment should have an obligation to mitigate the negative impacts selected. This obligation could be a legal duty or a voluntary commitment. Governance of mitigating negative impacts relates to whether/how they fulfil this obligation.

**Principle 8: Benefits equitably shared**

From the list of positive social impacts on communities that have been identified and summarised in the site profile select the two impacts to use in the questionnaire.



Key criteria for selecting these impacts:

- They should be important for most communities living around and, if applicable, within the PCA although not necessarily the most important as the following two criteria must also apply.
- One should be more important for men and one more important for women, or both equally important to both men and women.
- They should be 'excludable' benefits, meaning benefits that can be allocated to/shared with some people and not others. Whether/how excludable benefits are shared is a governance issue but how people benefit from 'public goods' such as improved rainfall is not.

### Principle 9: Achieving objectives

Select a PCA management or conservation objective for question 9.5 where response options are:

- A No progress towards achieving this conservation objective
- B No evidence of progress towards this objective, but the relevant activities are being implemented
- C Progress towards this objective is in line with the expectations of your actor group
- D Progress towards this objective significantly exceeds expectations of your actor group.

This should be an objective that all key actors consider important, that most key actors are expected to contribute to, and where any change for the better (or worse) is likely to be measurable within five years or less.

5. **Select the assistant facilitators and notetakers.** If you select the centralised SAGE assessment approach where all actor groups meet on the same day then there will need to be an assistant facilitator for every actor group. In contrast to the lead facilitator, an assistant facilitator does not need to be neutral. If they are from a particular actor group they can facilitate the discussion of their own group. However, they must not facilitate the assessment of another group where they could bias the discussion or inhibit group members from sharing their real opinions. Further guidance on selecting assistant facilitators is in Annex 5.

An advantage of the decentralised approach is that the lead facilitator can facilitate most of the actor group assessments without the need for assistant facilitators. You will only need assistant facilitators for the community groups — one for men and one for women, or just one in cultures where there is no need to separate men and women.

Notetakers will be needed for any actor group that will be discussing in a different language from that in which the questionnaire is written so that the facilitator can concentrate on translation and facilitation. Without a notetaker to help the assistant facilitator, groups working in a language different from the language of the questionnaire will take longer to complete the questionnaire. Having a notetaker can therefore prevent groups from getting frustrated with having to wait for groups working in another language to finish.

6. **Planning for Phase 2.** Undertake planning of all activities and logistics for steps 2.1, 2.2 and 2.3. Do not plan to audio/video record the assessment. This is not necessary and can make people reluctant to express their views. If recording is desired for mentoring or learning purposes, all participants must first provide consent.

**Box 6: Developing alternative questions for SAGE**

Each SAGE principle has five themes (see Annex 2, column 2), which describe key aspects of that principle in the context of conservation. These themes have been identified from a literature review that included the IUCN framework of protected area governance principles and considerations, and an analysis of the results of six assessments using IIED's Governance Assessment for Protected Areas (GAPA) methodology and the nine SAGE pilots conducted in the first round of SAGE development.

The SAGE questionnaire has one question for each theme. The first question focuses on key information that is necessary for even the most basic level of governance quality. Since the response is based on a document review, the assessment can be done by the lead facilitator alone. However, the other four questions must be assessed by the actors themselves (step 2.2) as these are much more a matter of opinion and very often the evidence that shapes actors' opinions on the question is not documented.

SAGE questions can be adapted to the needs and context of a particular site, but to ensure consistency in the use of SAGE and interpretation of the results, it is important that any modified or replacement question covers the same theme as the one it is replacing. For example, question 4.2 relates to the theme 'PCA management sharing key information with communities'. The standard SAGE question for this theme focuses on the extent to which communities know the location of the boundaries of the PCA. If communities have to comply with certain rules within these boundaries, it is the responsibility of PCA management to ensure they have good information on where the boundaries are. This is a good question for PCAs where boundary marking is unclear or inaccurate but would not be a good question for a PCA where the boundary is clearly marked by a fence.

For each question there are four alternative responses, and there are two general rules for formulating questions and responses. First, ensure that the question focuses on just one issue, so avoid questions such as 'are PCA boundaries accurate and clearly marked on the ground' as an average score could mean they are clearly marked (good) but in the wrong place (poor) or in the right place (good) but not clearly marked (poor). Second, try to keep the questions relatively simple and short, and if there is a need for more detail then these details should be in the alternative responses not the question.

When a question is changed, the alternative responses will also need revising, formulating them in the same way so that: D represents very good; C represents good but could still do better; B represents poor and could do a lot better; A represents very poor and major improvement is necessary.

7. **Organise translation of the SAGE questionnaire (if needed).** Where the language of the assessment and synthesis workshop will be something other than English, French or Spanish, the SAGE questions and alternative responses for the eight selected principles will need to be translated. This needs to be done, and then carefully checked by the lead facilitator, before the facilitation skills training. Whether the questionnaire is in English, French or Spanish, or another language, there may be a need for further adjustments to the translation during the facilitation skills training to ensure that all the facilitators understand it in the same way.
8. **Address the X.1 questions** (the first question under each principle in Annex 3), which are designed to be answered by the facilitator based on a review of documents and, where necessary, key informant interviews. These mainly refer to policies, laws, regulations, institutions, strategies and plans, and any studies on which they are based. For more guidance on how to address the X.1 questions see Annex 6.

**Outputs**

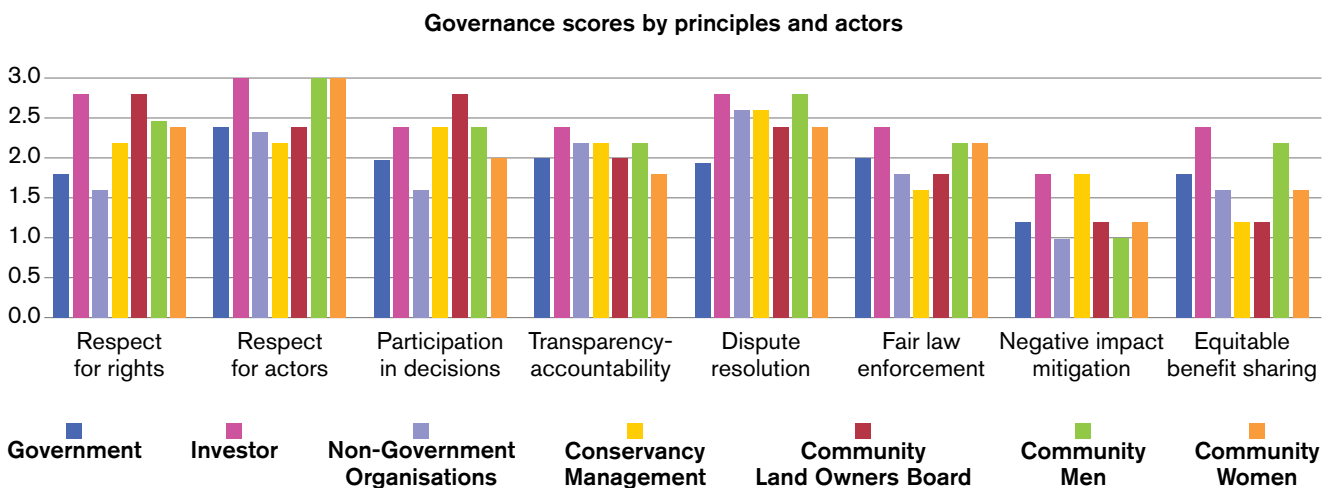
- Eight SAGE principles have been agreed and arranged in the most appropriate order (easier first)

- Key actors with similar interests have been grouped into four to eight actor groups
- A detailed plan for Phase 2, including logistics for the assessment by actors and the synthesis workshop
- SAGE questions have been tailored to the context and needs of the site
- Logistical arrangements have been planned and confirmed
- If needed, SAGE questions and responses have been translated
- X.1 questions have been completed.
- Part II of the site profile is completed

## Phase 2: Assessment

This phase begins with a skills training for facilitators and notetakers and also provides a second opportunity to review and, where necessary, adjust the SAGE questions — this time with the facilitators. It then moves to the actual assessment by the different actor groups and then the synthesis workshop where the different actor groups share and discuss their results. In both the assessment and synthesis steps, ideas for action that might improve governance and equity are identified. As the raw data is entered in the SAGE data entry and analysis tool, the tool automatically conducts a basic analysis, presenting scores for each governance principle in bar charts (see Figure 2) and a list of priority actions (see Table 7), which can be shown in the synthesis workshop, and used in a basic SAGE report.

Figure 2. Example of scores presentation



In SAGE version 2 we have modified the final step of Phase 2 to include — in addition to preparing and sharing a report of the assessment with the participants — effective communication of the results of the assessment to other key audiences. Previously this was the first step of Phase 3 but some SAGE users were concluding SAGE at the end of Phase 2 without communicating the results beyond sharing the report with a few key actors. Wider communication of SAGE results is important for boosting motivation and accountability for action, as well as for transparency.

Another limitation of SAGE version 1 is that it generates an overwhelming number of ideas for action (100–200). It was then left to the facilitator to remove duplicates, conflicting ideas and ideas too vague to be useful, and, when writing the report, to select ideas that seem more useful. Version 2 addresses this weakness with a basic process to prioritise ideas for action based on: a) actor groups selecting one priority action for each principle from their list of ideas for action to improve governance (in step 2.2); and b) the assessment score of that group for that principle. In the example in Table 7, the cut-off score is 2.0, so the 23 actions listed are those from actor groups whose score for that principle was less than 2.0. This is why there are no actions for ‘Respect for actors’ as the score from all actor groups was 2.0 or more.

**Table 7. Example of a list of priority actions**

<b>PRINCIPLE</b>	<b>PRIORITY ACTIONS – ALL GROUPS</b>
<b>Respect for rights</b>	<ul style="list-style-type: none"> <li>▪ Sensitisation of land owners to know their right to access conservancy related information</li> <li>▪ Capacity building by NGOs for communities to understand the value of land, and undertake communal ownership in areas where demarcation has not happened so community has more negotiating power</li> </ul>
<b>Respect for actors</b>	No score of any actor group was less than 2.0
<b>Participation in decisions</b>	<ul style="list-style-type: none"> <li>▪ The conservancy should send out invitations for meetings in advance including an agenda</li> <li>▪ Establish communication platforms and clear information flow across all actors</li> <li>▪ Increase the number of women in the land-owners board to 50:50</li> </ul>
<b>Transparency-accountability</b>	<ul style="list-style-type: none"> <li>▪ Sensitisation on different roles of key actors in the conservancy facilitated by management</li> <li>▪ Need by the conservancy to produce the maps to be shared with the land owners</li> <li>▪ The number of scouts/rangers be increased to improve patrols and handle law breakers</li> </ul>
<b>Dispute resolution</b>	<ul style="list-style-type: none"> <li>▪ Organise more community meetings targeting women and youth to provide more information on dispute resolution processes.</li> </ul>
<b>Fair law enforcement</b>	<ul style="list-style-type: none"> <li>▪ Upscale coordination between the government and conservancy law enforcers through joint meetings, joint patrols, information sharing, joint community sensitisations.</li> <li>▪ Documentation of by-laws to reduce law breaking and land owners to sign and show commitment</li> <li>▪ Regular coordination meetings to discuss laws and develop good working relationship</li> </ul>
<b>Negative impact mitigation</b>	<ul style="list-style-type: none"> <li>▪ Improve mobility and employ more personnel and open new stations in areas prone to HWC</li> <li>▪ Improve community representation in grazing committees including women, various communities</li> <li>▪ Creating awareness through community meetings on a better approach to balance livestock and grazing lands</li> <li>▪ Additional fund raising for the wildlife conflict compensation payment scheme</li> <li>▪ Mobile bomas to be provided for protection of livestock especially at night</li> <li>▪ Government to act as fast for HWC cases that affect people as they do for wildlife</li> </ul>
<b>Equitable benefit sharing</b>	<ul style="list-style-type: none"> <li>▪ Future employment within the camp should emulate the ranger recruitment, which was inclusive</li> <li>▪ Capacity building for conservancy leadership, including board and management, to exercise their powers without bias and favouritism</li> <li>▪ Fundraising and apprenticeships targeting community members</li> <li>▪ Increase the revenue to support the school bursary scheme</li> <li>▪ Board to consider the gender balance in employment and increase number of women employed</li> </ul>

## **2.1 Facilitation skills training**

### **Objective**

To ensure that the assistant facilitators and notetakers have the knowledge and skills to facilitate the SAGE assessment by actors (step 2.2), including a good, shared understanding of the SAGE questionnaire and how to enter data into the SAGE data entry and analysis tool.

### **Time required**

- **0.5–1 day** if the entire assessment will take place in English, Spanish or French and most of the necessary adjustments to the questionnaire have already been done in step 1.4.

- **1 full day or 2 half days** if either:
  - a. Some of the actor groups want to do the assessment in a local language, but data will be entered in English, Spanish or French. The extra half day is to discuss and agree how to explain each question in the local language so that all actor groups understand each question in the same way.
  - b. The questionnaire has already been translated into a national or local language. In this case the extra time is to check the accuracy of the translation and make sure that all facilitators have the same understanding of the translation.

### Who facilitates?

SAGE lead facilitator possibly with support from an experienced SAGE trainer if needed

### Who participates?

Assistant facilitators and notetakers (if needed). Notetakers will be needed for any actor group that will be discussing in a different language from that in which the questionnaire is written so the facilitator of that group can concentrate on translation and facilitation. Without a notetaker to help the assistant facilitator these groups working in a different language will take longer to complete the questionnaire. When all actor groups are meeting at the same time this can result in other groups getting frustrated while they wait for the community groups.

### Background

This manual is written primarily for lead facilitators of SAGE to use when preparing for and facilitating a SAGE assessment. If the lead facilitator has attended a SAGE training or already has experience of facilitating an assessment, then they will be well able to lead this training session for assistant facilitators. If this is the lead facilitator's first time facilitating a SAGE assessment they may need some support from a SAGE trainer.

### Tasks for the lead facilitator — preparing for the training

1. Carefully review the SAGE questionnaire including specific guidance for each question (see Annex 3).
2. Read the guidance for using the Excel-based SAGE data entry and analysis tool, which is included in the Excel spreadsheet, and make sure that you understand how to use the tool.
3. If adaptation of the SAGE questions is not yet done, then read the guidance for this and allow half a day to do the adaptation if the site is a fairly typical protected area or one full day if it is not.
4. Prepare the following materials needed for the training:
  - a. For face-to-face training, a projector, flipchart/whiteboard, 11 cards/sheets of paper, masking tape, five black marker pens, and one set of coloured marker pens. Write one of the ten equitable governance principles on each card and 'other' on the remaining card. Arrange these cards in a column on the left side of the whiteboard/flipchart leaving space to the right for cards with examples of governance issues.
  - b. If conducting an online training, a virtual tool similar to a flipchart and cards (for example, Mural or the whiteboard function of Zoom) can be used as described above. Ensure each participant has a computer with an adequate internet connection.
  - c. Slides for the training based on the SAGE facilitation skills training PowerPoint which can be downloaded from the SAGE webpage (<https://www.iied.org/site-level-assessment-governance-equity-sage>) and a printout of the step-by-step guidance provided in Annex 4.

- d. Printouts of the full SAGE questionnaire and guidance notes for each trainee (Annex 3 of this manual).
- e. Printout of the four SAGE questions for the participation principle from the worksheet 'Printout-4Q per page' in the SAGE data entry and analysis tool.

**Tasks for the lead facilitator — conducting the training**

This training has five sessions – see below.

Session 1. Overview of SAGE

Session 2. Understanding governance and equity

Session 3. Principles to be covered and actor groups

Session 4. Understanding the SAGE questions and responses

Session 5. Assessment process and data entry

See Annex 4 for step-by-step guidance for each session.

**Outputs**

- Assistant facilitators and notetakers have a common understanding of all the questions and alternative responses and the necessary skills to facilitate step 2.2 of a SAGE assessment.
- The SAGE questionnaire is finalised in the MASTER worksheet of the SAGE data entry and analysis tool.

**2.2 Assessment by actors**

**Objective**

To enable the key actors to assess the governance and equity of conservation of the PCA and any associated initiatives, including their opinions, evidence supporting their opinions and ideas for action to improve the situation.

**Time required**

1–1.25 days depending on whether the synthesis (step 2.3) will be done at question or principle level

**Who facilitates?**

Lead facilitator, assistant facilitators and, if needed, notetakers

**Who participates?**

Representatives of the key actors that have been identified by the actor analysis and then merged into four to eight actor groups (task 4 under step 1.4). For community groups, invite at least six and up to ten people and for other groups invite at least three and up to six people. The total number of participants in the assessment is normally 25 to 50 with community representatives being at least one third, and with a 50:50 ratio of women to men. An actor group needs to have at least two people to avoid the assessment of that group being just a personal view. If on the day of the assessment there are some no-shows that leave an actor group with only one member, this person should join the group that has the most similar perspective on conservation of the site.



## Background

This step is the heart of the SAGE process. It is where different groups of actors — community men, community women, local government, NGOs, PCA managers and so on — have their own discussion space to do the assessment from their perspective. This groupwork is particularly important for representatives of communities, especially for marginalised groups that do not usually have a voice, such as women and in some places Indigenous Peoples.

There are two approaches to the assessment by actors. The choice of approach is made in the preparation phase (step 1.4) and either way the actor groups use the same assessment process.

- **Centralised approach** where all actor groups meet at the same time in one venue. Essentially this is a one-day workshop where, after a brief plenary, the actor groups work in separate places within the venue.
- **Decentralised approach** where the different actor groups can meet on different days in locations that are convenient for them, which may include online if group members are familiar with this technology. Then each actor group selects 2–4 representatives to attend the synthesis workshop.

Experience from SAGEs conducted to date shows that actor groups tend to spend around 45 minutes on the four questions of the first principle and then, as they get more used to the process, the time needed reduces to around 30 minutes for each principle. So for eight principles a total of about five hours will be needed.

However, participants for whom governance is a new topic may be disadvantaged by such a rapid introduction to SAGE. Where this is likely, we recommend that these actor groups (eg community representatives) have their own two-hour session in the late afternoon of the previous day (day 0) where they are given a more comprehensive introduction to governance and SAGE in their local language. This should be done by the lead facilitator.

Our aim with SAGE is to have a multi-stakeholder process that can be completed with just a two-day workshop to keep the cost relatively low in terms of both funding and time. We are finding that participants appreciate this and almost everyone who attends the assessment by actors on day 1 comes to the synthesis on the following day. However good time management is crucial. In the assessment by actors, introducing the participants, introducing SAGE and the approach of the assessment, consent and the first break need to be completed by 11:00 (see Annex 7). If the synthesis workshop on day 2 uses the more rapid principle-by-principle approach, the assessment by actors can be extended by an additional 1.5 to 2 hours up to the first break of day 2 (see step 2.3).

In terms of how the exercise is explained to participants, experience has highlighted two points to be emphasised:

- Each participant has been invited to contribute to the perspective/point of view of people like themselves in their organisation or social group — for example, law enforcement rangers in PCA management, men and women who farm on the PCA boundary — not their personal view. So in the contributions that they make they should be confident that there are others in their organisation or social group who share their point of view.
- The governance assessment covers not only activities that directly support conservation of the PCA itself but also 'associated initiatives' that are designed to support conservation (see page 13). This is why there are participants and governance questions focused mainly on associated initiatives.

It is important that all actor groups assess the principles in the same order starting with one of the core principles that the actors will find easy to understand (for example, participation or mitigation of negative impacts). This means they will not struggle to understand an unfamiliar topic as well as a new

process. After this relatively easy start, the process can continue with the other principles in order of their importance, so that if time runs out, the principle left out will be the least important.

When the assessment of a certain governance question reveals significant weaknesses, the discussion of that question ends with groups members brainstorming ideas for action to improve the situation. Although this is just a brainstorm without further discussion at this stage, it is important that these ideas are described as specific actions that an actor group could implement, not just a restatement of the principle — for example, ‘increase the number of women on the Board of the conservancy’ and not just ‘more participation of women in decision making’.

Data from the assessment by actors (that is, evidence, the response they select and ideas for action) can be recorded directly into the data entry form in the SAGE data entry and analysis tool or on a hard copy of the data entry form, which can be printed from the tool. If group members select ‘don’t know’ then the cells are left blank and this question is excluded from the generation of average scores (ie treated as a missing value).

### Tasks for the lead facilitator — preparing for the assessment

1. **Confirm who has been invited (task 4 of step 1.4) and whether they plan to attend.** If there are likely to be significant gaps then invite appropriate substitutes to make sure that groups of community members have at least six people and other groups at least three people. If there will be an introduction to SAGE for community members in the afternoon/evening of the day before, make sure they know to arrive in time for this.
2. **Review and adapt the ‘Introduction to SAGE’ slides** used in step 1.1 and translate if necessary. For the special session for participants for whom governance is a new topic, if planned, allow plenty of time for questions and discussion. For the introduction of SAGE at the start of the assessment workshop use the same slides but plan to go through them more quickly to leave as much time as possible for the assessment work.
3. **Prepare the materials needed for the assessment exercise:**
  - For each actor group prepare printouts on A4 of SAGE questions and alternative responses for the selected principles (from the SAGE Excel tool ‘print 1Q per page’) and the SAGE data entry form for each of the selected principles (from SAGE Excel tool ‘print 4Q per page’) – see table 8.
  - Video projector, whiteboard or flipcharts and marker pens.
4. **Decide which assistant facilitator will be with which actor group** based on the following considerations:
  - Actor groups determine what language they want to work in and their facilitator must be fluent in this
  - If there is a group of community women they should have a female facilitator
  - A facilitator must be seen to be neutral (ie having no significant interest in the PCA) or be someone with the same kind of interest as the group they are facilitating (ie PCA staff can facilitate a group of PCA staff but not any of the other actor groups).

### Tasks for lead facilitator — introduction to SAGE if needed for community members or other participants for whom governance is a new topic

Use the same introduction to SAGE as was used in step 1.1 but allow more time for questions and discussion, checking that all participants understand the ten different aspects (principles) of governance, what SAGE is, and the process that will be used in the assessment by groups and synthesis workshop.

This can take as little as one hour but could be up to three hours, for example if the interactive session on improvements in governance generates a lot of discussion.

### Tasks for lead and assistant facilitators — facilitating the assessment

1. **Invite an appropriate person to open the meeting** and then ask each participant to introduce themselves.
2. **Introduce SAGE** using the adapted 'Introduction to SAGE' slide set. Be sure to emphasise that the assessment is done by them. When explaining the general objectives of a SAGE assessment, explain that the report and results will be shared with them within four weeks and only shared with others with their agreement. Reassure participants that this report will not include any information that can be traced to any individual participant.
3. **Explain to all participants the approach of the assessment:**
  - Participants are divided into groups of actors who have similar interests in the PCA and any associated initiatives, based on the actor analysis. Each group does the same thing.
  - SAGE assesses eight different aspects (called principles) of governance and equity (present them in the order in which they will be covered rather than the order in Table 4). There are four questions for each principle making 32 in total.
  - Taking one question at a time, group members first read and share their opinions on the question. They are then shown four possible responses labelled A, B, C and D and are asked to choose the one closest to their opinion. Note: at this stage do not mention that these represent different scores.
  - Lastly, where governance weaknesses are identified, group members are asked to suggest some ideas for action to improve the situation.
4. **Consent to proceed.** Once participants are clear about the objectives, reporting of results and the approach to be used, ask them for their consent to proceed by raising of hands. If any participant seems unsure, ask if they would like further clarification on any aspect and clarify as necessary. Then ask again for their consent. If only one or two people are still unhappy then they have the option to leave but if a significant number do not want to continue then you will have to suspend the process until their concerns are resolved. Try to ensure that tasks 1–4 and the first break are completed by 11:00 so that there will be enough time to cover all eight principles, but you must not rush the consent process — if it needs more time then the number of principles to be assessed will have to be reduced (eg from eight to six).
5. Divide the participants into their different actor groups, each with an assistant facilitator and, if needed, a notetaker. Make sure they sit far enough apart so that voices from one group don't distract another.
6. Assistant facilitators facilitate the following process, starting with one of the four core principles that will be relatively easy and not too controversial so that the group gets used to the process before dealing with a more difficult topic.
  - Place the A4 printout of the first question and its responses where all group members can see it (eg on the floor or small table) but cover the responses so that the members can't yet see them. Read out the question and ask the group members to share their opinion on the issue and explain why they have this opinion (their supporting evidence). Record this supporting evidence on a hard copy of the data entry form or direct into the Excel spreadsheet on a laptop computer..
  - Reveal the four alternative responses to the question. Read these out and ask each member to choose the response (A, B, C or D) that is closest to their own opinion, or 'don't know/no comment'.

**Table 8: Hard copy of SAGE data entry form for principle 2**

QUESTION	ALTERNATIVE RESPONSES	VOTE	SUPPORTING EVIDENCE	IDEAS FOR ACTIONS
2.2 How do people who work for the PCA regard community members and their interests in the PCA?	A Most people who work for the PCA do not regard community members as legitimate actors			
	B Most people who work for the PCA regard community members as legitimate actors but do not listen to them			
	C Most people who work for the PCA regard community members as legitimate actors and usually listen to them			
	D As above, and they listen to community members with great respect			
	Leave blank if don't know			
2.3 How do community members regard people who work for the PCA and the roles that they perform?	A Community members do not regard the PCA as a legitimate institution			
	B Most community members regard the PCA as legitimate but do not have a good opinion of the people who work for it			
	C Most community members regard the PCA as legitimate and have a good opinion of the people who work for it			
	D Most community members regard the PCA as legitimate and have great respect for the people who work for it			
	Leave blank if don't know			
2.4 What do people who work for the PCA think of the traditional knowledge of community members?	A People working for the PCA are not aware of traditional knowledge relevant to the PCA			
	B People working for the PCA are aware of some traditional knowledge relevant to the PCA but do not take it seriously			
	C People working for the PCA are aware of some traditional knowledge relevant to the PCA and take it seriously			
	D People working for the PCA are aware of a lot of traditional knowledge relevant to the PCA and take it very seriously			
	Leave blank if don't know			
2.5 Is there any negative bias against any particular group of actors?	A Negative bias against come groups of actors is common and often severe			
	B Negative bias against some groups of actors is quite common and sometimes severe			
	C Negative bias against some groups of actors is only occasional and is not severe			
	D There is no negative bias against any group of actors			
	Leave blank if don't know			

- If everyone chooses the same response, record the total number of group members voting for that response in the data entry form.
  - If group members choose different responses, facilitate a brief discussion to try to find consensus. Ask members to provide more evidence to support their opinion, if they can, and record this as additional supporting evidence. If after five minutes it seems unlikely that a consensus will be reached, record the number of members voting for each response in the data entry form.
  - Ask any group members who have chosen response A or B (ie poor performance) why they chose A or B and record this as additional supporting evidence.
  - Ask group members for ideas for action by their own actor group, or another actor group, to improve the situation, asking them to be as specific as possible. These should not be debated as this is just a brainstorm to capture possibilities, which will be reviewed later. Record them in the data entry form.
  - Repeat the above steps for the next question of the principle until all four have been covered.
  - After all four questions of a principle have been covered, facilitate the group to review all their ideas for action for this principle and select one priority action for the next 12 months that is important, doable, and likely to show some positive results (though not necessarily the final outcome) within 12 months. Record this in the 'priority action' space at the bottom of the data entry form for that principle.
  - Move on to the next principle in the agreed order so that all groups cover the same principles, and repeat the above steps for the four questions of this principle.
7. Transfer the data from the hard copies of the data entry form to the SAGE Excel tool. Note that all facilitators can work on the Excel tool at the same time if you use Google Docs.

### **Output**

Responses, supporting evidence and ideas for action from each of the four to eight actor groups recorded in the SAGE Excel tool.

## **2.3 Synthesis workshop**

### **Objectives**

1. Share the governance assessment results of different actor groups, understand the reasons for significant differences of opinion and generate ideas for action to narrow these differences of opinion.
2. Enable communication and dialogue between different actor groups that can help improve collaboration.

### **Time required**

0.75 day with the principle-level approach

1 day with the question-level approach

### **Who facilitates?**

Lead facilitator, and 1–2 notetakers

## Who participates?

All of the people who participated in the assessment by actors (step 2.2); or, in case of the decentralised approach to assessment by actors, two to four representatives from each actor group.

All assistant facilitators and notetakers should also attend in case the actor groups that they worked with need some support and to translate the discussion into a local language for those participants who do not understand the language that is used at the workshop.

Additional people can be invited to join, especially representatives of key actors who were not able to attend the assessment by actors, but they must be advised before the workshop that they can ask questions for clarification but will not be allowed to influence the results presented by the actor groups. The exception is the results from their own actor group — for example if they have information that other members of their group did not have.

## Background

The synthesis workshop makes SAGE more than a participatory assessment of the quality of governance. In this workshop, the different actor groups share the results of their assessment with the other actor groups and this stimulates a type of dialogue between the groups that has often never happened before at the site.

Often where one actor group has a very different opinion from another, both groups come to realise that there is no right and wrong. Most issues of governance quality are by nature more a matter of opinion than fact. Even something as simple as ‘has information on ... been made available to community members’ depends on what you mean by community members (leaders or everyone) and what you mean by ‘made available’ (put on a website, a village notice board, or read out at community meetings). And cultural values can also greatly affect opinion — something that a community member feels is really important may not seem important to a PCA manager.

The synthesis workshop is not about validating the assessment results. Its main role is triggering discussions that build understanding for why different actors have different opinions regarding the same issue, and building, more broadly, mutual respect for differences of opinions. Often the discussion of why there are differences of opinion reveals governance challenges that may not have surfaced in the group work, and the facilitator can channel this into generating additional ideas for action to improve governance. These are now captured in the SAGE Excel tool — see the new ‘synthesis workshop’ sheet.

There are two alternative approaches to discuss differences of opinion between actor groups:

- **Question level.** Facilitate with all participants in plenary a review — question by question — of the results from each group. Figure 3 is an example of the slide that would be used for this discussion. If the response of any two groups differs by one full letter or more (ie C versus D), then the reasons for this difference should be explored. In the example in Figure 3, all questions would be discussed. This is the approach of SAGE version 1. It typically takes five to six hours for eight principles — in other words a whole day allowing for a brief introduction, breaks and a short wrap up at the end. See task 2A for step-by-step guidance.
- **Principle level.** Facilitate with all participants in plenary a review of the assessment results from each group but at the higher level of principle by principle. Figure 4 is an example of the slide that would be used showing average scores of each actor group at the principle level. It includes the questions just as a reminder of what they are. Where the scores of any two groups differ by 0.5 or more, which

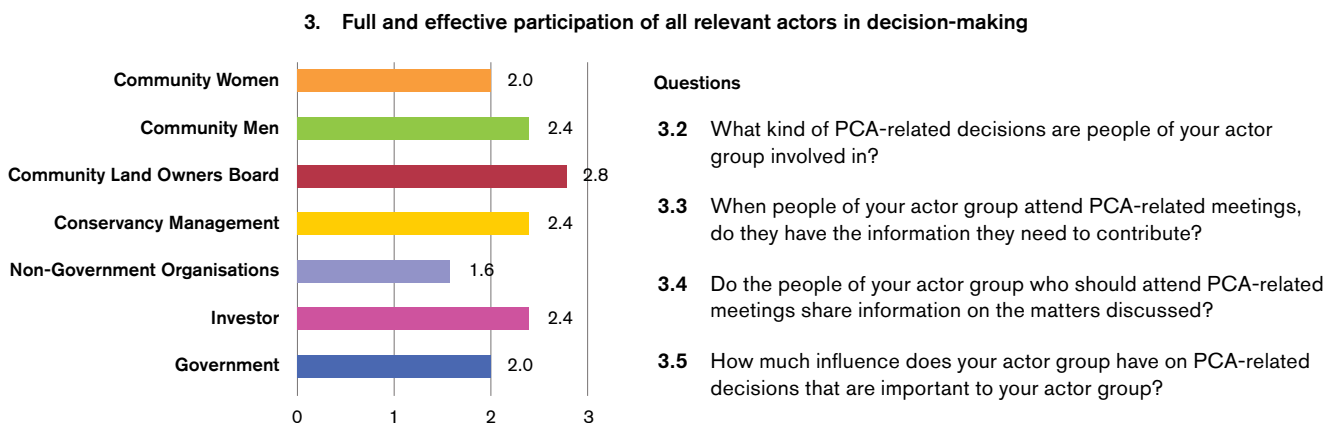
is clearly the case in this example, then the reasons for this difference should be explored. With this principle-level approach, the actor group giving the lowest score is asked if they can share a reason for their low opinion of the situation regarding that principle — in this case it would be NGOs regarding the principle of participation in decision making. However, no-one can see which is the particular question that is bringing down their score and push them to respond on that specific question. This modification has been made because of concerns that powerful actors could put a spotlight on representatives of Indigenous Peoples and local communities. This principle-level approach takes only half the time of the question-level approach, which is also a benefit, allowing more time for the assessment by actors (step 2.2) to cover more principles or a session at the end of the day to flesh out and agree a few ideas for action. Another difference is that the averaging of scores at principle level uses numerical values to show the results while at question level we can still use the letters A, B, C, D, which participants will be familiar with from the assessment in their group.

**Figure 3. Example of a slide used in the question-level approach**

**3. Full and effective participation of all relevant actors in decision-making**

Questions	Government	Investor	Non-Government Organisations	Conservancy Management	Community Land Owners Board	Community Men	Community Women
<b>3.2</b> What kind of PCA-related decisions are people of your actor group involved in?	C	D	C	D	D	D	D
<b>3.3</b> When people of your actor group attend PCA-related meetings, do they have the information they need to contribute?	B	D	B	D	D	D	A
<b>3.4</b> Do the people of your actor group who should attend PCA-related meetings share information on the matters discussed?	C	C	B/C	D	D	C	D
<b>3.5</b> How much influence does your actor group have on PCA-related decisions that are important to your actor group?	D	C	B/C	B	D	C	C

**Figure 4. Example of a slide used in the principle-level approach**





If all the data from the assessment by groups is entered into the SAGE Excel tool before the synthesis workshop then the tool will generate all the outputs that you need to present SAGE results. The list of priority ideas for action that is generated in this new version of SAGE is an important addition. It enables the synthesis workshop to wrap up with a focus on actions to improve governance and equity. For many of the actions a follow-up meeting will be needed for refinement and planning, but there are usually a few simple actions that can be implemented almost immediately with little further discussion, and the synthesis workshop ends on this positive note.

### **Tasks for the lead facilitator — preparation for the workshop**

1. Decide whether to use the question-level or principle-level approach for the synthesis and discussion.
2. Enter all the data from the assessment (step 2.2) into the SAGE Excel tool.
3. Review the 'slides — scores & questions' worksheet to check that the outputs look correct. Then copy them into a PowerPoint presentation with one slide per principle — the tables with capital letters for the question-level approach, and the bar charts for the principle-level approach.
4. Identify which assistant facilitator will be the notetaker and show them where to enter these notes in the 'synthesis workshop' sheet of the SAGE Excel tool.
5. Allocate the other assistant facilitators and notetakers to the actor groups that they already worked with if these groups are likely to need help explaining their results and/or translation.
6. Prepare the materials needed for the workshop: projector, whiteboard or flipcharts and marker pens.

### **Tasks for the lead facilitator — facilitating the workshop**

1. Present the same introduction to SAGE as in step 2.2, a recap of the process to date, a brief overview of the objectives and process of the workshop, and then the following key norms/ground rules for the synthesis:
  - a. Opinions are not right or wrong. Differences in opinion are based on differences in the information that actors have and the different knowledge, values, hopes and fears that affect what they make of this information. Actors should respect different opinions even if they do not agree with them.
  - b. The facilitator or an actor group can ask for clarification of the assessment results of another actor group but should not challenge their results.
  - c. A group or individual has the right to change an element of their results (ie response or supporting evidence) if they come to realise that they misunderstood something, but not as a result of evidence that they have just heard or pressure from other groups.
  - d. Ideas for action should not be challenged. All ideas for action will be reviewed in a follow-up meeting where only ideas that have broad support and are feasible will be considered for implementation.

While the lead facilitator does this introduction, the notetaker should open on a laptop computer the SAGE Excel tool in case any actor group wants to change some aspect of their results.

## **2A. Synthesis with the question-level approach**

- Starting with a principle that is important and not too controversial so that participants get to understand the synthesis process before they get into the more challenging issues, present the results for the four questions on a slide or flipchart using the table format shown in figure 3.
- Taking the first question, if no scores of any two groups differ by one full letter or more (eg C versus D but not C versus C/D) then move to the next of the four questions.

- If the scores of any two groups differ by one full letter or more then ask members of the group with the lowest score to share one reason why they gave a lower score. Record the question and reasons in the 'synthesis workshop' data entry form. **Do not** ask the group with the highest score to justify their score, but they, or any other group, can comment on why they have a different opinion if they want to, and these comments should also be recorded. Usually, the two groups will stick to their different opinions, but a group can ask the facilitator to change its score (eg, from B to B/C or C) or supporting evidence in its own data entry form and this change can be made immediately.
- Invite participants to suggest ideas for action by any actor group, or groups working together, to narrow the difference in scores (ie get a situation where the two actor group are 'on the same page'). The ideas should not be debated as this is just a brainstorm to capture possibilities that will be reviewed later. Record the ideas in the synthesis workshop data entry form. These will usually be ideas for action to increase the lower score but could be to reduce the higher score. An example from Zambia is where community members thought conservation objectives were being met but PCA managers knew they were not. The action was to share the PCA management plan with community leaders and involve them in the next review.
- Repeat the above steps for the next question of the principle until all four have been covered.
- After all four questions of a principle have been covered, facilitate the group to review all their ideas for action for this principle and select one priority action for the next 12 months that is important, doable, and likely to show some positive results (though not necessarily the final outcome) within 12 months. Do this quickly by show of hands without debate, reminding participants that all ideas for action will be reviewed at a later stage. Record this in the 'priority action' cell at the end of the table for that principle.
- Move to the next principle.

## **2B. Synthesis with the principle-level approach**

- Ask each actor group to nominate a spokesperson for the participants who, with help from an assistant facilitator if needed, can refer to their data entry form on a laptop.
- Start with a principle that is important and not too controversial so that participants get to understand the synthesis process before they get into the more challenging issues. Present the slide with a bar chart showing the average score from each actor group and the four questions. Explain how the letters have been converted into scores — A=0, B=1, C=2 and D=3.

### **Box 7. What the scores mean**

- 3 = Very good (best practice)
- 2 = Good but still some room for improvement
- 1 = Poor with a lot of room for improvement
- 0 = Very poor, major improvement is needed

- If the score of any two groups differs by 0.5 or more then ask the spokesperson for the group that has the lowest score to share one or more reasons why their score might be lower. Then invite other group members to add if they want to. Record the reasons in the 'reasons' column in the 'synthesis workshop' data entry form. Do not ask the group with the highest score to justify their score, but they, or any other group, can comment on why they have a different opinion if they want to, and these comments should also be recorded in the reasons column. If, during the course of

this discussion, members of a group realise that they misunderstood one of the four questions they can ask the facilitator to change their response for that question, which will have a small effect on the average score shown in the bar chart. They can also change their evidence if they want to. The changes should be made in their SAGE Excel tool right away.

- Invite participants to suggest ideas for action by any actor group, or groups working together, to narrow the difference in scores (ie, get a situation where the two actor group are 'on the same page'). The ideas should not be debated as this is just a brainstorm to capture possibilities that will be reviewed later. Record the ideas in the "Synthesis Workshop" worksheet of the SAGE Excel tool.
- Lastly, facilitate the participants to review their ideas for action for this principle and select one priority action for the next 12 months that is important, doable, and likely to show some positive results (though not necessarily the final outcome) within 12 months. Do this quickly by show of hands without debate, reminding participants that all ideas for action will be reviewed at a later stage. Record this in the 'priority action' cell at the end of the table for that principle in the SAGE Excel tool.
- Move to the next principle until all principles have been covered.

**3. Preparation of slides for the wrap up.** During the break before the final session refer to the worksheet 'Slides — workshop wrap-up' in the SAGE Excel tool. Any changes or additions that have been made during the discussion of differences in opinion will be reflected in the charts and tables on this worksheet. Copy the bar chart at the top onto a slide, and one of the three tables that summarise ideas for action. These tables differ in terms of the cut-off value used to prioritise the actions. The table on the right uses a value of 1.5 meaning that for a given principle it includes only the ideas for action from actor groups whose score for this principle was 1.5 or less. The table in the centre has a cut-off value of 2.0 resulting in more ideas for action being included (ie all ideas for action where the score of the group was less than 2.0). The table on the left has no cut-off so the table shows all ideas for action. Use the table that has 20–30 ideas for action. Copy this table into a Word document, delete any spare bullet points, which represent actor groups whose score for that principle was above the cut-off value, and edit the text where necessary so the ideas for action are clearly expressed. Then copy the table onto one or two PowerPoint slides.

**4. Wrap up.** For the participants this is the final stage of the assessment. The session aims to reflect on the results of the assessment, and in particular which principles have the lower scores indicating challenges that need some attention. Present the chart that shows the scores disaggregated by actor group ie the chart similar to figure 2. If the principle-level approach was used then this just combines into one chart the separate charts that participants have already seen, but if the question-level approach was used then this will be the first time that the participants have seen a chart like this and you will need to explain it (ie longer bars indicate higher scores) and explain what the scores mean (see Box 7). Either way, summarise the pattern, going principle by principle (ie higher scores are from ... group, lower scores are from ... group), and ask participants for any final comments that they may have on any specific principle or the overall picture.

End by reminding participants that the assessment also generates ideas for action to improve governance and equity of PCA management and any associated initiatives, and that these have been prioritised first by the members of the actor groups and then by prioritising actions for the governance principles with lower scores. Present the summary table of 20–30 priority actions. Explain that this is probably still too many to take on in the coming year so there will be a need for some further prioritisation based on more in depth discussion of the practicalities of each, potential benefits, and chances of success. That said, there are often a few actions that are simple and low cost that could be easily implemented by one or more actor groups without further discussions. Ask participants if they can see a few examples.

**5. Fleshing out and agreeing some action.** If you finish with at least 45 minutes remaining then divide the participants into two mixed groups and give each group one of these simple, low-cost actions and ask them to:

1. Flesh out the action by describing the specific activities to be implemented in the coming year.
2. For each activity agree when it should be implemented, and which actors should be involved.

In other words, the groups will develop a basic workplan for their action. Afterwards, ask them to return to the plenary and present this workplan to the other groups.

## 6. Next steps

- Explain that a basic assessment report will be produced and shared with all the participants.
- Ask participants if they are willing for this information to be shared beyond themselves, for example sharing the report more widely, or developing a PowerPoint presentation for policymakers and planners and a leaflet in local language for IP&LCs. If some participants express concerns about sharing beyond their group, ask them to propose one person from each actor group who can review, amend where necessary and then approve the report on their behalf. In the meantime, distribution should be limited to the participants.
- Remind participants to consider which ideas for action they might inject into the planning and budgeting processes of their own organisations, but also remind them of actions that could be taken up almost immediately if some such actions were identified in the previous step.
- Thank all the participants for their active engagement in the assessment, reminding them that it is their own self-assessment, which will enable them to plan and implement actions to improve governance and equity of the PCA and any associated conservation and development activities.

## Output

Finalised SAGE Excel file, notes of agreed next steps and, time permitting, simple workplans for two actions that can be implemented in the coming year.

## 2.4 Reporting and communication

### Objective

To communicate SAGE results (assessment of governance quality and ideas for action to improve governance) to key actors and encourage the implementation of the ideas for action generated by the assessment.

### Time required

Five to six days' work over the one to two months following the assessment. It should take two to three days to prepare the communications outputs and several more days to organise sharing them through, for example, presentations at meetings. The SAGE convenors or SAGE lead facilitator can do this on a part-time basis, around their other duties.

### Who facilitates?

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

## Who participates?

There are three broad audiences for SAGE results. You will have identified many of the specific actors that make up your audience during the actor analysis in step 1.2 and some of them will have attended the synthesis workshop as participants or observers.

## Background

There are several reasons why you should communicate SAGE results to a wider audience and these include:

- **Actor engagement:** SAGE generates and shares information with local and national actors to foster actor engagement in tackling key governance challenges.
- **Transparency:** Whatever the specific issues raised by the assessment, openly sharing the results is important for building trust, which is integral to the SAGE process. A lack of information sharing can lead to rumours and suspicion, disrupting conservation and causing conflict.
- **Research ethics:** Sharing SAGE results with the people who contributed to them is a key element of the ethical code of conduct of researchers and donors who fund assessments.

The other key consideration in terms of research ethics is who owns the report and the raw data and has the right to determine who these are shared with. In principle it is the participants in the assessment. In practical terms it is one or two actors who are mandated by these participants to make this decision.

In this section, we summarise the three key audiences and the communication methods you could use to share the SAGE results with them. You do not need to restrict yourself to the methods we list below; feel free to use other methods, particularly if they are more innovative and creative. But always try to use the most appropriate communication method for your target audience.

- a. Participants in the assessment and other local-level actors with influence in relevant planning processes, including the PCA management planning processes and planning by other key local-level actors — such as local government, NGOs and/or tourism operators — that is relevant to the PCA and/or associated initiatives. For this audience we recommend:
  - A basic report in the national language summarising results for each principle, such as that in Annex 1.
  - A comprehensive PowerPoint presentation in the national language. This presentation serves as the complete, formal record of SAGE results.
- b. Higher-level decision makers who influence financial and political support for action. These include senior PCA managers, local government leaders and senior private sector and donor agency staff who are unlikely to have attended the synthesis workshop or have the time to sit through a full presentation of the SAGE results. For this audience we recommend:
  - A short PowerPoint presentation in the national language. This should be no more than fifteen slides highlighting key points and ideas for action. For the presentation to share technical information and convince the audience of the credibility and importance of the results, it must have clear messages, nice formatting, and some photos of key activities to break up the text.
  - A brief report in the national language of highlights from the basic report written for a higher-level audience that knows little or nothing about SAGE.
- c. Wider audience of actors at site/local level. To define this wider target audience, you will need to refer to the actor analysis from step 1.2. Pay attention to actors with a medium to high level of interest. Reaching all will be impossible; even reaching a substantial proportion can be challenging and costly.

So, you will need to think creatively to achieve the best coverage with the available resources. For this wider audience, we suggest three possible communication methods/tools:

- A brief report in the local language based on the report written for planners/decision makers. For this wider audience, you will need to carefully manage expectations, explaining that ideas for action are only suggestions and not yet commitments.
- Community meetings where you verbally present a summary of SAGE results to communities beyond those who were involved in the assessment. To minimise costs, you could combine this presentation with another community meeting. Even so, the cost of visiting many communities may be prohibitive.
- Radio and web-based media. For many years in developing and developed countries, agriculture and other sectors have used radio programmes to disseminate important information. More recently, web-based platforms and social media are performing this role and you could use these to share SAGE results.

### **Outputs**

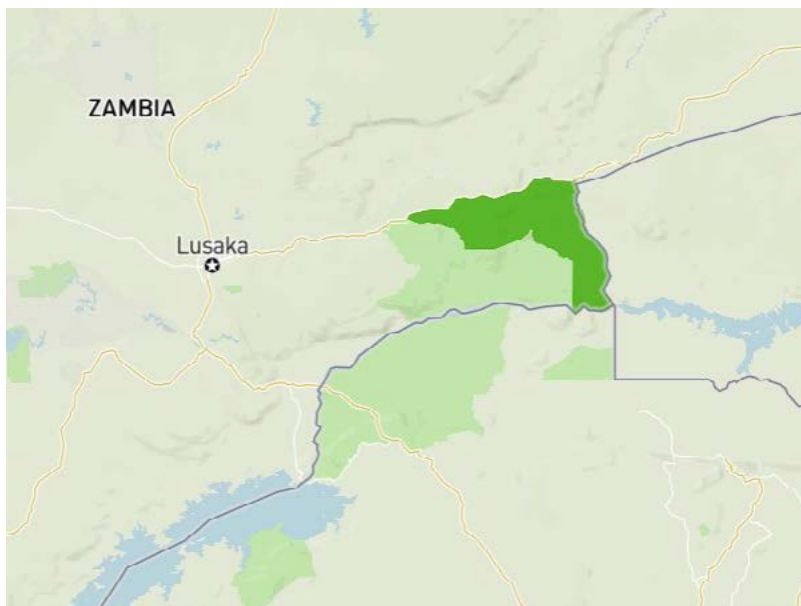
- Comprehensive PowerPoint presentation
- Short PowerPoint presentation of the key results
- Report of assessment results and priority ideas for action written for participants in the assessment
- Brief report of highlights for higher-level decision makers
- Brief report for community members in the local language, for example, a leaflet.



# Annex 1: SAGE assessment report – Rufunsa Game Management Area, Zambia

## Summary

Site-level Assessment of Governance and Equity (SAGE) is a tool designed to improve governance and equity of conservation for both nature and people. The assessment is carried out by the actors and ends with participants developing and sharing ideas for actions to improve the situation. This assessment was conducted in December 2020 at Rufunsa Game Management Area (GMA) by the key actors working in six groups with similar interests: the national protected area (PA) authority, local government, NGOs and private sector, community men, community women, and members of the



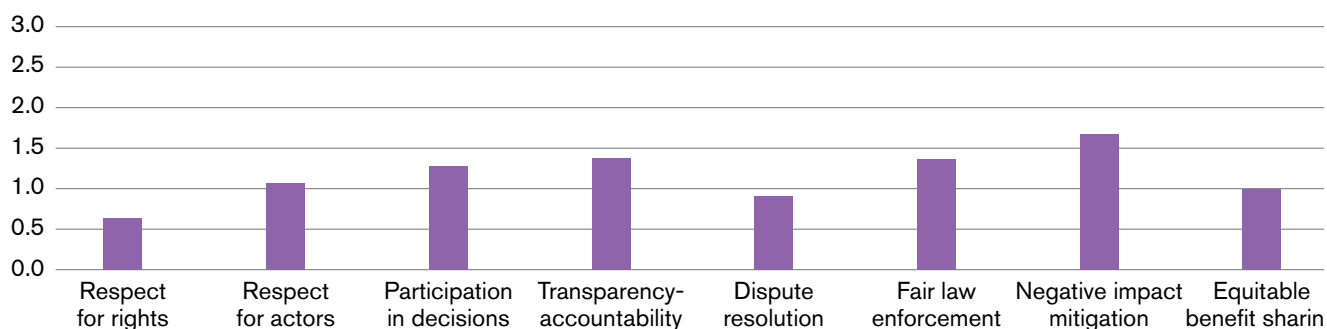
Community Resource Boards (CRBs) that co-manage the GMA with the PA authority. The assessment was facilitated by Zambia CBNRM Forum with support from IIED under the IUCN BIOPAMA programme funded by the EU and the UNDP Global Support Initiative for Indigenous and Community Conserved Areas. The project will continue to support the actors at the GMA over the next two years to implement their priority actions to improve the governance and equity of conservation and associated development activities at the GMA.

The actors chose to focus on the eight aspects (principles) of governance which are summarised in the chart below. For each aspect (principle), this chart shows the average of the scores of the six actor groups. This shows that respect for rights, access to justice and equitable benefit sharing have major shortcomings (scoring less than 1 out of a maximum of 3). Other aspects identified as having shortcomings (scoring 1.0 to 2.0) were respect for actors, participation in decisions, transparency-accountability, fair law enforcement, and negative impact mitigation. In the wrap-up workshop, taking one principle at a time, the six actor groups compared their scores, and discussed the reasons for any big differences in their scores. This enabled them to better understand the challenges and different views on these challenges, and identify additional actions to improve the situation. The results for each aspect of governance are summarised in the eight tables on the following pages.

Regarding the recognition dimension of equity there was consensus that the PA staff and other actors such as private sector and town-based entities assume that communities know their rights which is not the case. Additionally, there was consensus that the attitude of PA staff to community members is generally rather negative. There is need for sensitisation campaigns and literacy programmes at the grassroots level on all rights that actors are entitled to.



Mean governance score by principle



Regarding participation, transparency and accountability, there was consensus that there is transparency on the use of funds and some accountability (reprimanding of non-performing individuals). However, while NGOs and private sector actors feel they are fully involved in PA-related decision making, all agreed that community members have little influence on some decisions related to the GMA. When it comes to access to justice and dispute resolution, all actors except the PA staff scored low indicating a lack of meaningful mechanisms to resolve disputes. PA staff justified their high score indicating that they apply the law as provided for in the relevant Acts. Contradicting this, on fair and effective law enforcement, some actors mentioned lack of proper procedures and inappropriate behaviour including bias in applying the law. Even so, there was some consensus that the law is generally applied fairly.

**Introduction to SAGE**

SAGE stands for Site-level Assessment of Governance and Equity and is designed to be used with protected areas and other conservation areas. SAGE is an assessment conducted by the actors themselves. Its main purpose is improving the governance and equity of conservation in order to achieve better results for nature and people, and in particular for poorer people in local communities and Indigenous Peoples. A SAGE assessment looks at eight different aspects of governance and equity using a questionnaire with five questions for each aspect. The actors do the assessment in groups of actors that have similar interests. Each question has four alternative responses, which represent scores of 0–3. A score of 3 represents very good/best practice while 1 indicates some major shortcomings. They also discuss ideas for actions to improve the situation. At the end, the different actor groups share their assessment scores, discuss the reasons for any big differences and identify ideas for actions that could narrow the difference and contribute to building trust. Following the assessment is a crucial third phase, which supports planning and implementation of priority actions.

Governance refers to how decisions are made, how actors with different interests and rights in the area may influence these decisions, and how the actors who have authority and responsibilities are held to account. A SAGE assessment focuses on eight aspects of good governance which are described as principles, for example equitable sharing of benefits. Equity is about all aspects of governance being fair as well as good in terms of achieving the goals of the conservation area. Equity has 3 dimensions — recognition (respect for actors and their rights), procedure (participation, transparency and accountability, access to justice/ dispute resolution, fair law enforcement), and distribution (reducing negative impacts and equitable benefit sharing). For more on SAGE visit [www.iied.org/site-level-assessment-governance-equity-sage](http://www.iied.org/site-level-assessment-governance-equity-sage).

Lastly, when we look at costs to communities and benefit sharing, all actors are aware of the negative impacts of human wildlife conflict (HWC) to the wellbeing of communities and to the PA. However, while the PA does respond to incidents of HWC, this is inefficient due to lack of sufficient logistical support.

Regarding benefit sharing, there was consensus among actors that some forms of benefits are received despite some actors (usually communities) not being involved in decision making.

In terms of ideas for actions to improve governance and equity across the eight principles that were looked at, many of the actions that stand out are related to awareness raising, training, including all actors, and information sharing and communication among the various actors. In addition, to increase the influence of community members on GMA decisions, there will be a need for changes in the various platforms for coordination and decision making so that they are inclusive of all key actors and have equitable gender representation.

For more information contact: Zambia CBNRM Forum [zambiacbnrmforum.wordpress.com/contact-us/](http://zambiacbnrmforum.wordpress.com/contact-us/)

SAGE SITE PROFILE – PART I		
Name of protected/ conserved area	Rufunsa Game Management Area (GMA)	
WDPA reference number (if any)	4089	
Habitat/ecosystem types	Savannah habitat. Vegetation types namely, Forest, Woodland (classified into Miombo, Mopane, Kalahari and Munga), Termite mound and Grassland	
Management category	National system IUCN category	Game Management Area IV
Governance type (if defined). In the case of shared governance specify who are the key actors according to relevant policy/law	Shared governance. Key actors: <ul style="list-style-type: none"> <li>▪ Department of National Parks and Wildlife</li> <li>▪ Department of Fisheries</li> <li>▪ Forestry Department</li> <li>▪ Department of Chief Affairs</li> <li>▪ Department of Community and Social Welfare</li> <li>▪ Local communities and their traditional leaders</li> <li>▪ Local government</li> </ul>	
Area and zones (km2)	Total area	4092 km2
	Area of buffer zone	Not yet zoned
	Area of conservation (limited use)	Not yet zoned
	Area of exclusive conservation	Not yet zoned
	Area of development zone	Not yet zoned
Key conservation values	Rufunsa has outstanding examples of natural, geologic, scenic, recreational values; population of rare, sensitive, endemic threatened plants and animals; habitats and resources that are usually sensitive to human use and activities. Archaeological or cultural resources that reflect the human evolutionary processes and contemporary cultural values.	
Key threats to conservation of the PA resulting from the activities of people	Poaching, farming, settlement in animal corridors. Lack of a General Management Plan and lack of zoning.	
Key rights of community members that relate to the PCA, i.e. where duties to ensure people can exercise the right fall mainly on PCA actors	RESOURCE RIGHTS	PROCEDURAL RIGHTS
	Right to fish (under permit) Right to hunt (under permit) Right to harvest resources, eg fruits, herbal medicine (under permit) Right to a percentage of revenues generated by hunting/tourism	HUMAN RIGHTS Freedom from cruel and degrading treatment (by law enforcement)

**SITE-LEVEL ASSESSMENT OF GOVERNANCE AND EQUITY FOR PROTECTED AND CONSERVED AREAS**

**SAGE SITE PROFILE — PART I**

Key positive impacts (benefits) on community members' wellbeing of the PCA and related conservation and development activities (in order of priority)	<p><b>MEN</b></p> <ol style="list-style-type: none"> <li>1. Employment opportunities (village scouts and specific projects)</li> <li>2. Infrastructure development such as community schools, health projects</li> <li>3. Sustainable management of natural resources</li> <li>4. Source of food and other resources such as herbal medicine</li> <li>5. Community involvement in managing some resources such as community protected forests</li> </ol>	<p><b>WOMEN</b></p> <ol style="list-style-type: none"> <li>1. Employment opportunities (village scouts and specific projects)</li> <li>2. Infrastructure development such as community schools, health projects</li> <li>3. Source of food and other resources (herbal medicine, grass, poles etc.)</li> <li>4. Conservation of natural resources for posterity</li> <li>5. Creation of awareness on the value and importance of natural resources in the wellbeing of communities</li> </ol>
Key negative impacts (burdens/costs) on community members' wellbeing of the PCA and related conservation and development activities (in order of priority)	<p><b>MEN</b></p> <ol style="list-style-type: none"> <li>1. Human — wildlife conflicts, including loss of crops (food insecurity)</li> <li>2. Deforestation (farming, charcoal and other fuel related activities)</li> <li>3. Infections of livestock by diseased wildlife</li> </ol>	<p><b>WOMEN</b></p> <ol style="list-style-type: none"> <li>1. Human — wildlife conflicts, including loss of crops (food insecurity)</li> <li>2. Access restrictions to resources</li> <li>3. Biased and inappropriate law enforcement by PA managers</li> <li>4. Lack of development of some social and economic infrastructure such major roads, shopping centres, etc.</li> </ol>
Owners	State	
Managers	Department of National Parks and wildlife (DNPW)	
Important governance structures / committees	Community Resource Board (PCA level per Chiefdom), Village Action Groups (village level)	

**SAGE SITE PROFILE — PART II**

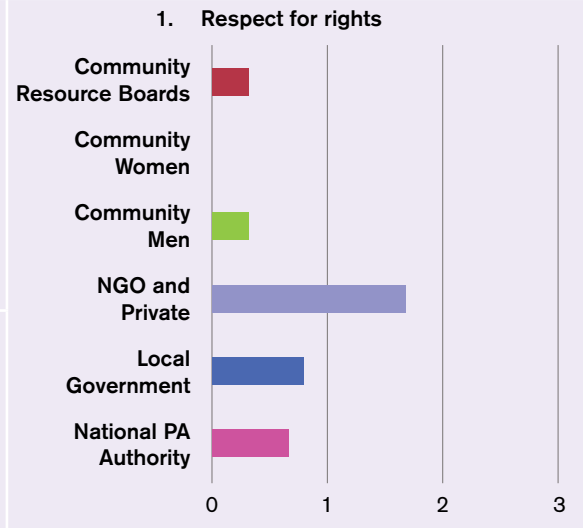
<b>Equitable governance principles used in the assessment</b>	<b>Sequence</b>
1. Recognition and respect for rights of community members	1
2. Recognition and respect for all relevant actors and their knowledge	2
3. Full and effective participation of all relevant actors in decision making	3
4. Transparency, information sharing and accountability for actions and inactions	4
5. Access to justice including effective dispute resolution processes	5
6. Fair and effective law enforcement	6
7. Effective mitigation of negative impacts on community members	7
8. Benefits equitably shared among relevant actors	8
9. Achievement of conservation and other objectives	
10. Effective coordination and collaboration between actors, sectors and levels	
Dates of the assessment and synthesis steps	17th and 18th December, 2020
Name and gender of lead facilitator	Donald C. Chikumbi (Male)
Names and gender of assistant facilitators	Sandra Ngoma (Female) and Choolwe Namakobo (Male)
Approach used for the assessment	Centralised approach

**SAGE SITE PROFILE — PART II**

Presentation of assessment results at the synthesis		Question-level		
Actor groups and their members	Men < 30yrs (youth)	Women < 30 (youth)	Men > 30yrs	Women > 30
▪ Staff of organisations managing the PCA			6 (group 1)	
▪ Staff of local government			4 (group 2)	1 (group 2)
▪ Staff of NGOs/community-based organisations and private sector			2 (group 3)	
▪ Community representatives — men			4 (group 4)	
▪ Community representatives — women				6 (group 5)
▪ Community PCA management committee			5 (group 6)	2 (group 6)

**Summary of results for each principle**

**RECOGNITION AND RESPECT FOR THE RIGHTS OF COMMUNITY MEMBERS**

<p><b>Reasons for low scores (key challenges)</b></p>	<ul style="list-style-type: none"> <li>▪ Communities do not receive information and no sensitisation about their rights in the protected area and its resources.</li> <li>▪ High illiteracy (87%) in the communities as few community members understand their rights.</li> <li>▪ Some actors' rights are more pronounced and respected than others, eg rights of private sector and other government amenities more than rights of ordinary community members.</li> </ul>	<p><b>1. Respect for rights</b></p>  <table border="1"> <caption>Data for Figure 1: Respect for rights</caption> <thead> <tr> <th>Actor Group</th> <th>Score (approx.)</th> </tr> </thead> <tbody> <tr> <td>Community Resource Boards</td> <td>0.5</td> </tr> <tr> <td>Community Women</td> <td>0.2</td> </tr> <tr> <td>Community Men</td> <td>0.3</td> </tr> <tr> <td>NGO and Private</td> <td>1.8</td> </tr> <tr> <td>Local Government</td> <td>0.8</td> </tr> <tr> <td>National PA Authority</td> <td>0.6</td> </tr> </tbody> </table>	Actor Group	Score (approx.)	Community Resource Boards	0.5	Community Women	0.2	Community Men	0.3	NGO and Private	1.8	Local Government	0.8	National PA Authority	0.6
Actor Group	Score (approx.)															
Community Resource Boards	0.5															
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Community Men	0.3															
NGO and Private	1.8															
Local Government	0.8															
National PA Authority	0.6															
<p><b>Reasons for large differences in groups' scores</b></p>	<p>There is consensus that the PA staff and other actors such as private sector and town-based entities have taken for granted that community members know their rights when that is not the case. There is a big difference between community members (rows 1–3) and other actors (rows 4–6), especially on community awareness of their rights.</p>															
<p><b>Ideas for action to improve</b></p>	<ul style="list-style-type: none"> <li>▪ Make available information (in local dialects) on all rights that all the actors are entitled to</li> <li>▪ Carry out sensitisation campaigns especially at village levels</li> <li>▪ Government and other stakeholders embark on the literacy campaigns</li> <li>▪ Engage traditional leadership and other actors to respect the rights of communities in the PA</li> <li>▪ Need for more human resources (patrolling to prevent building or farming in animal corridors)</li> <li>▪ Literacy programmes so that community members can read for themselves especially those in the Community Resource Board (CRB) committee.</li> </ul>															

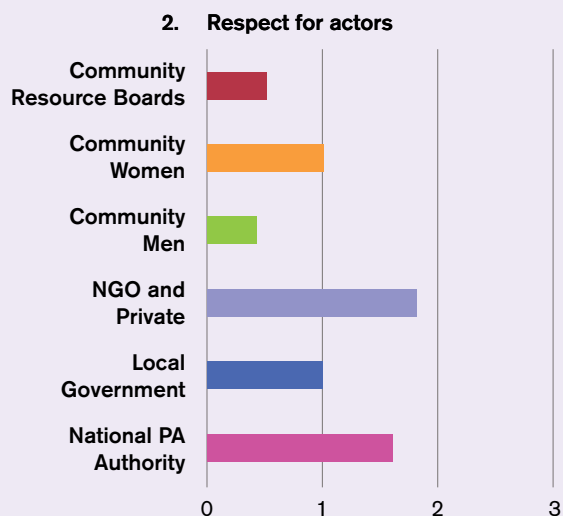
RECOGNITION AND RESPECT FOR ALL RELEVANT ACTORS AND THEIR KNOWLEDGE

**Reasons for low scores (key challenges)**

- Communities have no sense of ownership of the protected area and its resources
- Communities have a low opinion of protected area authorities
- Lack of recognition of Local or Traditional Ecological Knowledge
- Some of communities' cultural sites have been desecrated and some completely disappeared
- Lack of defined agreements with communities

**Reasons for large differences in groups' scores**

There is consensus that the attitude of protected area staff to community members is not good (mean score 1) but otherwise there are substantial differences between the views of different actors especially on non-recognition of local knowledge and lack of defined agreements with communities. PA staff, private sector and local government officers consider community ecological knowledge as outdated.



**Ideas for action to improve**

- Document local/traditional ecological knowledge and institutions and make use of this knowledge in the management and governance practice
- Evaluate enabling factors of traditional ecological knowledge that can be included in the systems of common pool resources governance
- Allow access to cultural significant sites
- Greater respect for culture, values, beliefs and traditions of communities (especially those that are not in conflict with the PA governance objectives)
- Instil a sense of ownership to change the perception that the resources have been taken away
- Revive and support customary Institutions that are still teaching traditional ecological knowledge
- Need for clearly defined agreements with the communities

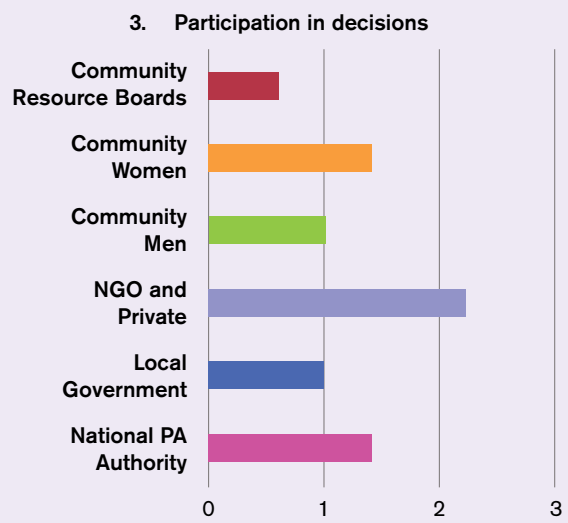
**FULL AND EFFECTIVE PARTICIPATION OF ALL RELEVANT ACTORS IN DECISION MAKING**

**Reasons for low scores (key challenges)**

- Lack of a common forum that involves all actors
- Unbalanced gender representation in existing fora
- Some actor's views and concerns are not taken on board
- Perception that some actors are not important in governance of the protected area
- Domination of decision making relating to the protected area by the government agencies
- Lack of agenda to be discussed prior to meetings

**Reasons for large differences in groups' scores**

NGOs and private sector actors feel they are fully involved in PA-related decision making. Otherwise, scores are low even from PA staff who recognise that community members have little influence on some decisions. Community members and local government felt they are only invited to participate in the programs and activities that are of interest to the PA staff.



**Ideas for action to improve**

- Creation of a common forum for all actors so that all feel relevant and important and for smooth coordination of programs and activities
- Circulate agenda and issues to be addressed prior to meetings and decision making
- Decision making should be inclusive of all actors
- Equitable gender representation in various fora
- Feedback to all actors of decisions made on the governance of the protected area

**TRANSPARENCY, INFORMATION SHARING AND ACCOUNTABILITY FOR ACTIONS AND INACTIONS**

**Reasons for low scores (key challenges)**

- There is information flow and dissemination at community (village) level on use of funds
- Majority of community members are aware of threats to the protected area
- There is rapport between management agency and ordinary community members on auditing of use of funds
- Interference from some political circles on disciplining inept/non-performing officers

**Reasons for large differences in groups' scores**

There was consensus on the transparency on the use of funds and reprimanding of non-performing individuals, though there is some interference from sections of politicians. That all actors scored above (mean score 1) indicating that there is transparency in utilisation of resources and a response and improved performance.



**Ideas for action to improve**

- Regular and scheduled meetings for information dissemination especially on use of funds
- Reduced political interference in the operations of specific actors
- Protection of whistle blowers and a specific outline of community obligations
- Stop shielding law breakers by their relations

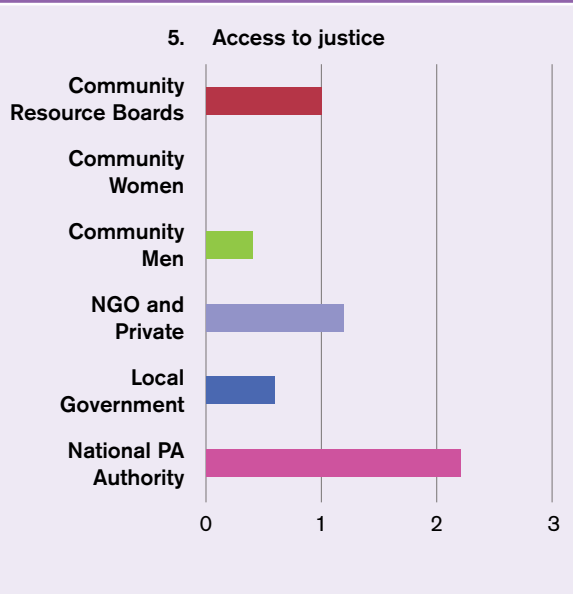
**ACCESS TO JUSTICE INCLUDING EFFECTIVE DISPUTE RESOLUTION PROCESSES**

**Reasons for low scores (key challenges)**

- Lack of dispute resolutions mechanisms at any level
- Lack of information on dispute resolution
- Lack of confidence in the current legal arrangements of resolving disputes
- Lack of rapport between management agency and ordinary community members
- There is no coordination between agencies mandated to resolve disputes, eg police service, PA managers and Traditional Authorities.

**Reasons for large differences in groups' scores**

The low scoring by actors other than PA staff and a zero score from the community women group indicates the gravity of lack of any meaningful mechanisms of resolving disputes. PA staff scored highly simply because they just apply the Law as provided for by their Acts without recourse to other mechanisms of resolving issues — thus the resentment by other actors.



**Ideas for action to improve**

- Develop dispute resolution structures and mechanisms at all levels of and between actors
- Produce information (eg booklets) on the dispute resolution procedures
- Protection of whistle blowers on violation of PA regulations
- Need for coordination between law enforcement agencies
- Need to constantly engage communities on procedures to resolve disputes and access to justice

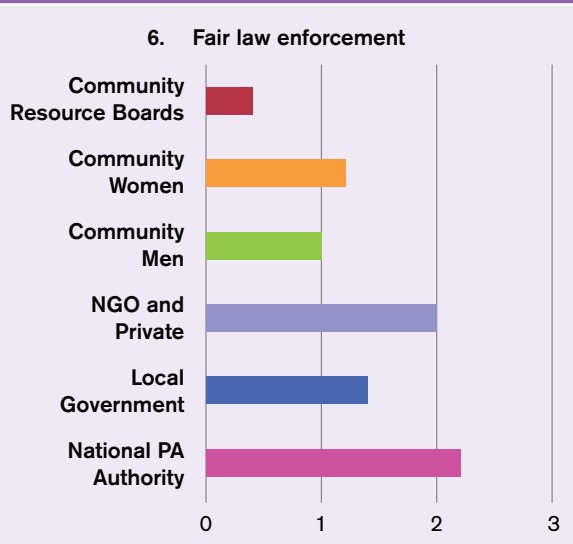
**FAIR AND EFFECTIVE LAW ENFORCEMENT/RULE OF LAW**

**Reasons for low scores (key challenges)**

- Biased and inappropriate application of the law (selective and widespread corruption)
- No procedures in apprehending suspects
- Inappropriate conduct of law enforcers on suspects
- Lack of coordination among law enforcement agencies (CRB, police service and PA managers)
- Lack of adequate resources for preventive enforcement of the law

**Reasons for large differences in groups' scores**

Despite some consensus that the law is applied fairly there were several concerns raised by some actors on the lack of proper procedures and inappropriate behaviour as well as bias in applying the law.



**Ideas for action to improve**

- Refresher courses for law enforcers, including human rights
- Transparency in law enforcement
- Respect for human rights
- Improved coordination between law enforcement agencies
- Adequate resources (human and logistics) for preventive measures
- Sustained awareness campaigns on violation of PA regulations
- Swift implementation of the zoning plan in the new PA management plan



EFFECTIVE MITIGATION OF NEGATIVE IMPACTS ON COMMUNITY MEMBERS

<p><b>Reasons for low scores (key challenges)</b></p>	<ul style="list-style-type: none"> <li>▪ Inadequate skills, human and other necessary resources (vehicles, field equipment) to cover the large area</li> <li>▪ Lack of regular assessments</li> <li>▪ Responses are sometime biased to certain people</li> <li>▪ Inaccessible areas for monitoring impacts</li> </ul>	<p><b>7. Negative impact mitigation</b></p> <table border="1"> <caption>Data for Figure 7: Negative impact mitigation</caption> <thead> <tr> <th>Actor</th> <th>Score</th> </tr> </thead> <tbody> <tr> <td>Community Resource Boards</td> <td>1.4</td> </tr> <tr> <td>Community Women</td> <td>1.4</td> </tr> <tr> <td>Community Men</td> <td>1.4</td> </tr> <tr> <td>NGO and Private</td> <td>2.0</td> </tr> <tr> <td>Local Government</td> <td>1.8</td> </tr> <tr> <td>National PA Authority</td> <td>2.0</td> </tr> </tbody> </table>	Actor	Score	Community Resource Boards	1.4	Community Women	1.4	Community Men	1.4	NGO and Private	2.0	Local Government	1.8	National PA Authority	2.0
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NGO and Private	2.0															
Local Government	1.8															
National PA Authority	2.0															
<p><b>Reasons for large differences in groups' scores</b></p>	<p>There is a consensus that all actors are aware of the negative impacts to the well-being of communities and to the PA and that the PAs response to human-wildlife conflict are generally attended to given the availability of the necessary logistical support.</p>															
<p><b>Ideas for action to improve</b></p>	<ul style="list-style-type: none"> <li>▪ Capacity building (skills upgrade and adequate resources)</li> <li>▪ Regular assessments with strong community inputs and making the results of these assessments available to all actors</li> <li>▪ Regular sensitisation on negative impacts, implementing preventive mechanisms and mitigation measures</li> <li>▪ Response needs to be timely and without bias</li> <li>▪ Approval and implementation of the new draft General Management Plan (GMP)</li> </ul>															

BENEFITS EQUITABLY SHARED AMONG RELEVANT ACTORS

<p><b>Reasons for low scores (key challenges)</b></p>	<ul style="list-style-type: none"> <li>▪ Not all actors are involved in decisions regarding sharing of benefits even within a given group of actors (intra communities)</li> <li>▪ Some members of communities receive more (men) benefits than others (women)</li> <li>▪ Usually benefits received are less (quantity and quality) than earlier agreed</li> </ul>	<p><b>8. Equitable benefit sharing</b></p> <table border="1"> <caption>Data for Figure 8: Equitable benefit sharing</caption> <thead> <tr> <th>Actor</th> <th>Score</th> </tr> </thead> <tbody> <tr> <td>Community Resource Boards</td> <td>0.5</td> </tr> <tr> <td>Community Women</td> <td>1.0</td> </tr> <tr> <td>Community Men</td> <td>1.0</td> </tr> <tr> <td>NGO and Private</td> <td>1.0</td> </tr> <tr> <td>Local Government</td> <td>1.0</td> </tr> <tr> <td>National PA Authority</td> <td>1.4</td> </tr> </tbody> </table>	Actor	Score	Community Resource Boards	0.5	Community Women	1.0	Community Men	1.0	NGO and Private	1.0	Local Government	1.0	National PA Authority	1.4
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<p><b>Reasons for large differences in groups' scores</b></p>	<p>There is a consensus among various actors that some form of benefits (monetary, fishing, hunting, harvesting of non-timber products, education and health facilities) are received though some actors are not involved in decisions regarding benefit sharing which is why scores are generally low. Most actors noted also that benefits are not dispensed regularly and their quantity and/or quality is usually compromised.</p>															
<p><b>Ideas for action to improve</b></p>	<ul style="list-style-type: none"> <li>▪ All relevant actors to be involved in making decisions on sharing of benefits</li> <li>▪ Dispensing of benefits should be timely</li> <li>▪ Enhanced transparency in benefit sharing</li> <li>▪ Community members should made aware of their benefit entitlements</li> <li>▪ Quantities and quality of benefits should be maintained as earlier agreed</li> </ul>															

## Annex 2: SAGE governance and equity principles, themes and questions

	THEMES	SAGE QUESTION
1. Respect for rights	Documentation of policies, laws, structures, plans, processes	1.1 Are the PCA-related property rights of community members clearly defined and documented?
	Community awareness of an important right — 1st example	1.2 What proportion of adults in the community are aware of their right to [insert a relevant right]?
	Exercising the right — 1st example	1.3 What proportion of adults in the community who have this right can exercise it?
	Community awareness of an important right — 2nd example	1.4 What proportion of adults in the community are aware of their right to [insert a relevant right]?
	Exercising the right — 2nd example	1.5 What proportion of adults in the community who have this right can exercise it?
	Respect of human rights	1.6 Does conservation of the PCA respect the human right to [insert one of the 5 human rights]?
2. Respect for actors	Analysis of stakeholders	2.1 What kind of stakeholder/actor analysis has been done?
	One actor's opinion of another actor	2.2 How do people who work for the PCA regard community members and their interests in the PCA?
	One actor's opinion of another actor (inverse)	2.3 How do community members regard people who work for the PCA and the roles that they perform?
	Respect for local and traditional knowledge	2.4 What do people who work for the PCA think of the traditional knowledge of community members?
	Bias or discrimination towards an actor	2.5 Is there any negative bias against any particular group of actors?
3. Participation in decisions	Documentation of policies, laws, structures, plans, processes	3.1 Are governance structures and processes for PCA-related decision making clearly defined and documented?
	Scope of decisions in which actors are involved	3.2 What kind of PCA-related decisions are people from your actor group involved in?
	Information needed to effectively contribute	3.3 When people of your actor group attend PCA-related meetings do they have the information they need to contribute?
	Effective representation	3.4 Do the people of your actor group who should attend PCA-related meetings share information on the matters discussed?
	Level of influence on decision making	3.5 How much influence does your actor group have on PCA-related decisions that are important to your actor group?
4. Transparency accountability	Documentation of policies, laws, structures, plans, processes	4.1 Are the PCA-related responsibilities of key actors clearly defined and documented?
	PCA management sharing key information with communities	4.2 What proportion of adults in the community know the location of PCA boundaries in their area?
	Communities sharing key information with PCA management	4.3 If community members know of a threat to the PCA from their community do they report this to [insert name of authority]?
	Access to financial information	4.4 Does your actor group receive information on [insert a type of financial information]?
	Performance versus financial policies and responsibilities	4.5 Are funds for conservation of the PCA and support to communities being properly managed and used?
	Response to poor performance of another actor group	4.6 What does your actor group do if concerned about how another actor is performing its PCA-related responsibility?
	Response to poor performance within your own actor group	4.7 What happens if someone in your own actor group performs poorly on an important PCA-related responsibility?

**SITE-LEVEL ASSESSMENT OF GOVERNANCE AND EQUITY FOR PROTECTED AND CONSERVED AREAS**

	THEMES	SAGE QUESTION
5. Dispute resolution	Documentation of policies, laws, structures, plans, processes	5.1 Are the existing PCA-related dispute resolution processes clearly defined and documented?
	Existence of suitable dispute resolution processes	5.2 How suitable are existing PCA-related dispute resolution processes for resolving disputes related to the PCA?
	Community's awareness of the dispute resolution processes	5.3 What proportion of adults in the community are aware of these dispute resolution processes?
	Community's access to the dispute resolution processes	5.4 What proportion of adults in the community are able to use a dispute resolution process if they want to?
	Success rate of dispute resolution processes	5.5 How often do dispute resolution processes succeed in resolving PCA-related disputes?
6. Fair law enforcement	Documentation of policies, laws, structures, plans, processes	6.1 Are policies, laws and regulations related to enforcement of laws to protect the PCA clearly defined and documented?
	Coordination between actors involved in law enforcement	6.2 How good is the coordination between PCA management and other actors who assist with law enforcement?
	Correct and consistent application of the law	6.3 Are incidents of law breaking dealt with according to what the law says and treating similar cases in the same way?
	Conduct of law enforcement agents	6.4 How is the conduct of people responsible for enforcing PCA laws when interacting with community members?
	Effectiveness of law enforcement activities	6.5 How effective are law enforcement activities in reducing law breaking?
7. Negative impact mitigation	Assessment of negative social impacts	7.1 Have there been any recent studies of negative impacts of the PCA and its conservation on community members?
	Implementation of mitigation actions — 1st example	7.2 Do organisations responsible for reducing impacts on communities of [insert negative impact] act as they are supposed to?
	Effectiveness of mitigation actions — 1st example	7.3 How successful are their actions in reducing the impacts on communities of [insert negative impact]?
	Implementation of mitigation actions — 2nd example	7.4 Do organisations responsible for reducing impacts on communities of [insert negative impact] act as they are supposed to?
	Effectiveness of mitigation actions — 2nd example	7.5 How successful are their actions in reducing the impacts on communities of [insert negative impact]?
8. Equitable benefit sharing	Assessment of positive social impacts	8.1 Have there been any recent studies of positive impacts of the PCA on the wellbeing of community members?
	Decisions on allocation of benefits — 1st example	8.2 How and by whom are decisions made on who gets [insert a type of benefit]?
	Integrity of benefit sharing implementation — 1st example	8.3 Is [insert a type of benefit] provided to community members in line with the decision(s)?
	Decisions on allocation of benefits — 2nd example	8.4 How and by whom are decisions made on who gets [insert a type of benefit]?
	Integrity of benefit sharing implementation — 2nd example	8.5 Is [insert a type of benefit] provided to community members in line with the decision(s)?
9. Achieving objectives	Documentation of policies, laws, structures, plans, processes	9.1 Which actors have their PCA-related activities included in the PCA management plan?
	Involvement of key actors in PCA planning	9.2 Which actors are regularly involved in developing PCA plans?
	Use of local/traditional knowledge in PCA planning	9.3 Does the existing PCA management plan make use of local and traditional knowledge?
	Adaptive management informed by learning	9.4 Have there been changes in PCA management activities in response to learning?
	Achievement of conservation objectives	9.5 Is the objective of [insert an important conservation objective] being achieved?
10. Coordination collaboration	Documentation of policies, laws, structures, plans, processes	10.1 Are the structures and processes for coordination between actors clearly defined and documented?
	Coordination meetings	10.2 What kind of meetings actually take place for coordination between key actors?
	Information sharing between organisations	10.3 How good is information sharing between organisations of key actors at site level?
	Effectiveness of coordination efforts	10.4 How good is coordination of activities between organisations of key actors at site level?
	Alignment of policies and plans	10.5 How good is the alignment of policies and plans between organisations of key actors at lower and higher levels?

## Annex 3: SAGE questionnaire with specific guidance

	QUESTION	ALTERNATIVE RESPONSES	SPECIFIC GUIDANCE
1. Respect for rights	1.1 Are PCA-related property rights of community members clearly defined and documented?	<p>A There is no documentation of any PCA-related property rights of community members</p> <p>B Some of these property rights are clearly defined and documented but others are not</p> <p>C Most of these property rights are clearly defined and documented</p> <p>D As C, and anyone who wants to see and review this information is able to do so</p>	<p>These questions focus on rights of community members that are relevant to the PCA and related conservation actions. There are three main types:</p> <p>a) rights to land and/or the resources on the land; b) procedural rights (eg, access to information, justice, and participation in decision making, free, prior and informed consent); and c) human rights. SAGE focuses on five human rights that are more often affected by PCA conservation: rights to life, adequate standard of living, health, and freedom from cruel or degrading treatment.</p> <p>“Awareness” means knowing but not necessarily understanding.</p> <p>“Obstacles” are factors that make it hard for rightsholders to exercise a right.</p> <p>“Exercising a right” means to gain some benefit from it.</p> <p>“Respect” for someone else’s right means making sure that the actions of your organisation and yourself do not directly or indirectly limit or prevent that person from exercising that right.</p> <p>“Serious human rights violation” is a case where failure to respect human rights has had a major negative impact on the wellbeing of one or more community members.</p> <p>“Duty-bearer” Is the organisation that has the legal responsibility to respect the right.</p> <p>For selection of the rights to include in the questionnaire see task 4 principle 1 on page 19.</p> <p>There is a second question on human rights – question 1.7 – which is for a second human right using the same format as 1.6. This is not included here simply in order to keep each principle to one page but it is in the SAGE Excel tool.</p>
	1.2 What proportion of adults in the community who have a right to [insert a relevant right] are aware of this?	<p>A Very few (only 1–2 people out of 10)</p> <p>B Some (3–5 people out of 10)</p> <p>C Many (6–8 people out of 10)</p> <p>D Most (9 or more people out of 10)</p> <p>Leave blank if don’t know</p>	
	1.3 What proportion of adults in the community who have this right can exercise it?	<p>A Very few (only 1–2 people out of 10) who have this right can exercise it owing to serious obstacles</p> <p>B Some (3–5 people out of 10) who have this right can exercise it, but many others cannot due to obstacles</p> <p>C Many (6–8 people out of 10) who have this right can exercise it, but some cannot due to obstacles</p> <p>D Most (9 or more people out of 10) people who have this right can exercise it without facing any significant obstacles</p> <p>Leave blank if don’t know</p>	
	1.4 What proportion of adults in the community who have a right to [insert a relevant right] are aware of this?	<p>A Very few (only 1–2 people out of 10)</p> <p>B Some (3–5 people out of 10)</p> <p>C Many (6–8 people out of 10)</p> <p>D Most (9 or more people out of 10)</p> <p>Leave blank if don’t know</p>	
	1.5 What proportion of adults in the community who have this right can exercise it?	<p>A Very few (only 1–2 people) who have this right can exercise it owing to serious obstacle</p> <p>B Some (3–5 people) who have this right can exercise it, but many others cannot due to obstacles</p> <p>C Many (6–8 people who have this right can exercise it, but some cannot due to obstacles</p> <p>D Most (9 or more people out of 10) who have this right can exercise it without facing any significant obstacles</p> <p>Leave blank if don’t know</p>	
	1.6 Does conservation of the PCA respect the human right to [insert one of the 5 human rights)?	<p>A Very often no — the duty-bearer makes no effort to prevent serious violations and often is the main cause of them</p> <p>B Often no — duty-bearer makes little or no effort to prevent serious violations</p> <p>C Generally yes, but a few cases of violations do occur due to poor response to the problem by the duty-bearer.</p> <p>D Fully — there have been no cases of violations in the last 5 years</p> <p>Leave blank if don’t know</p>	

	<b>QUESTION</b>	<b>ALTERNATIVE RESPONSES</b>	<b>SPECIFIC GUIDANCE</b>
<b>2. Respect for actors</b>	<b>2.1</b> What kind of stakeholder/actor analysis (SA) has been done?	<p>A There has been no stakeholder analysis (SA)</p> <p>B SA done but the output does not indicate the relative level of interest of different groups of actors</p> <p>C SA done, the output indicates the level of interest of different groups of actors, and no important group is left out</p> <p>D As C, and the analysis of communities separates social groups that have different interests, eg men and women</p>	Stakeholder analysis is done by facilitators in Phase 1 based on what already exists before SAGE. If the response is A or B, then the SA must be redone as part of SAGE (step 1.2).
	<b>2.2</b> How do people who work for the PCA regard community members and their interests in the PCA?	<p>A Most people who work for the PCA do not regard community members as legitimate actors</p> <p>B Most people who work for the PCA regard community members as legitimate actors but do not listen to them</p> <p>C Most people who work for the PCA regard community members as legitimate actors and usually listen to them</p> <p>D As C, and they listen to community members with great respect</p> <p>Leave blank if don't know</p>	Legitimate means "reasonable and acceptable" or "allowed according to law". In other words, even if not recognised in law, an actor is considered legitimate if this is generally accepted by other actors.
	<b>2.3</b> How do community members regard people who work for the PCA and the roles that they perform?	<p>A Community members do not regard the PCA as a legitimate institution</p> <p>B Most community members regard the PCA as legitimate but do not have a good opinion of people who work for it</p> <p>C Most community members regard the PCA as legitimate and have a good opinion of the people who work for it</p> <p>D Most community members regard the PCA as legitimate and have great respect for the people who work for it</p> <p>Leave blank if don't know</p>	The concept of "people who work for the PCA" needs to be defined according to the context, especially when several different actors are involved, and may include people who work on a voluntary as well as paid basis.
	<b>2.4</b> What do people who work for the PCA think of the traditional knowledge of community members?	<p>A People working for the PCA are not aware of traditional knowledge relevant to the PCA</p> <p>B People working for the PCA are aware of some traditional knowledge relevant to the PCA but do not take it seriously</p> <p>C People working for the PCA are aware of some traditional knowledge relevant to the PCA and take it seriously</p> <p>D People working for the PCA are aware of a lot of traditional knowledge relevant to the PCA and take it very seriously</p> <p>Leave blank if don't know</p>	In this question "traditional knowledge" is understood as including Indigenous knowledge.
	<b>2.5</b> Is there any negative bias against any particular group of actors?	<p>A Negative bias against some groups of actors is common and often severe</p> <p>B Negative bias against some groups of actors is quite common and sometimes severe</p> <p>C Negative bias against some groups of actors is only occasional and is not severe</p> <p>D There is no negative bias against any groups of actors</p> <p>Leave blank if don't know</p>	The word discrimination can be used in place of bias, if appropriate. "Severe" should be interpreted in context but, in general, means outcast (ie the majority considers the affected minority as not part of their group).



**SITE-LEVEL ASSESSMENT OF GOVERNANCE AND EQUITY FOR PROTECTED AND CONSERVED AREAS**

	QUESTION	ALTERNATIVE RESPONSES	SPECIFIC GUIDANCE
<b>3. Participation in decisions</b>	<b>3.1</b> Are the governance structures and processes for decision making clearly defined and documented?	<p>A Structures and processes for PCA related decision making are not clearly defined and not documented</p> <p>B Structures and processes for PCA related decision making are known by those involved but not documented</p> <p>C Structures and processes for PCA related decision making are clearly defined and documented</p> <p>D As C, and the information is easily available to anyone who wants to see and review it</p>	To be assessed by facilitators during Phase 1 based on review of documents and key informant interviews (KIIs). D means information is easily available to all on request and in some cases may be on public display (eg, on a noticeboard, website).
	<b>3.2</b> What kind of PCA-related decisions are people of your actor group involved in?	<p>A No-one from our actor group is involved in any PCA-related decisions</p> <p>B Some of our people are involved in PCA-related decisions but only when PCA managers want our contribution</p> <p>C Some of our people are routinely involved in PCA-related decisions, but not on all issues that are of interest to us</p> <p>D Some of our people are routinely involved in PCA-related decisions on all issues that are of interest to us</p> <p>Leave blank if don't know</p>	Question 3.2 focuses on the term "full" in the participation principle, which means that the actor group is routinely involved (ie at least once a year) when decisions are made, not just when PCA managers ask for their opinion (which is consultation rather than participation). Full also means involved in decisions on the full range of issues that the actor group has a significant interest in. Questions 3.3 and 3.4 are on information that people representing the actor group need to have to make well-informed decisions and should share with other people in their actor group. Question 3.5 focuses on the term "effective" in the participation principle. It means that contributions of the actor group have some real influence on the decisions being made.
	<b>3.3</b> When people of your actor group attend PCA-related meetings, do they have the information they need to contribute?	<p>A No-one from our actor group attends PCA-related meetings</p> <p>B Some people attend PCA-related meetings but usually lack information they need to effectively contribute</p> <p>C Some people attend PCA-related meetings and the information they need to effectively contribute is provided during the meeting but not before</p> <p>D As C, and information is provided before the meeting so people attending can consider the issues in advance</p> <p>Leave blank if don't know</p>	
	<b>3.4</b> Do the people of your actor group who should attend PCA-related meetings share information on the matters discussed?	<p>A They do not attend any PCA related meetings, or attend the meetings but do not share any information</p> <p>B They generally share information on the matters discussed, but just with a few other people of our actor group</p> <p>C They generally share information on the matters discussed with many other people of our actor group</p> <p>D As C, and they ask people they share information with to give feedback to guide their input at future meetings</p> <p>Leave blank if don't know</p>	
	<b>3.5</b> How much influence does your actor group have on PCA-related decisions that are important to your actor group?	<p>A We have no influence on any PCA-related decisions</p> <p>B We can sometimes influence these decisions but usually we have no influence</p> <p>C We can usually influence these decisions, but there is an actor that has more influence than we do</p> <p>D We can usually influence these decisions and usually have more influence than other actors</p> <p>Leave blank if don't know</p>	Actor groups should consider issues that are most important to them when responding to this question (ie management priorities for managers, women's priorities for a women's group, IP priorities for IPs). In terms of PCA governance type, A and B are state/private governance, C and D are shared governance.

**SITE-LEVEL ASSESSMENT OF GOVERNANCE AND EQUITY FOR PROTECTED AND CONSERVED AREAS**

	QUESTION	ALTERNATIVE RESPONSES	SPECIFIC GUIDANCE
4. Transparency accountability	4.1 Are the PCA-related responsibilities of key actors clearly defined and documented?	A Responsibilities are not clearly defined and documented B Some responsibilities are clearly defined and documented C Most responsibilities are clearly defined and documented D As C, and anyone who wants to see and review this information is able to do so	To be assessed by the facilitators in Phase 1. Option D means that the information is available to all on request and in some cases may be on public display (eg, on a noticeboard, website)
	4.2 What proportion of adults in the community know the location of PCA boundaries in their area?	A Very few (only 1–2 people out of 10) B Some (3–5 people out of 10) C Many (6–8 people out of 10) D Most (9 or more people out of 10) Leave blank if don't know	This question looks at effectiveness of PCA-related information sharing using awareness of PCA boundaries as an indicator. Instead, the question could cover other PCA-related information that is considered important, eg allocation of resource use permits
	4.3 If community members know of a threat to the PCA from their community do they report this to [insert name of the relevant authority]?	A No — they keep quiet B Sometimes it is reported but most times not C Most times it is reported although sometimes not D Almost always reported with very few exceptions Leave blank if don't know	This question focuses on threats that community members are likely to be aware of that come from their own community (which makes this an issue of transparency). It should be a serious threat that community members could be expected to report if transparency is good.
	4.4 Does your actor group receive information on [insert a type of financial information]	A We receive no information on this issue B When we ask for it, we receive some but not all the information that we ask for C When we ask for it we receive all the information that we ask for (ie the full picture) D We routinely receive all the information that we want (ie without having to ask for it every time) Leave blank if don't know	This question is about access to financial information and whether there is full financial transparency (ie actors can see all the relevant information).
	4.5 Are funds for conservation of the PCA and related support to communities being properly used?	A Misuse of funds is common in most activities B Misuse of funds happens with some activities but not others C Misuse of funds is rare — funds are in most cases properly used D There have been no cases of misuse of funds in the last 5 years Leave blank if don't know	This covers: a) how funds are managed from being received to being disbursed; and b) whether they are used for the intended purpose. Corruption is covered but using less sensitive terms to avoid conflict. But if this risk is serious, leave out this question.
	4.6 What does your actor group do if concerned about how another actor performs on a key PCA-related responsibility?	A We keep quiet B We raise the concern and it is discussed privately with the actor in question whose performance is concerning us C We raise the concern and the matter is openly discussed with the actor in question but not in public D As C, and the concern is raised at a public event (eg AGM) where the actor must explain their actions Leave blank if don't know	This question focuses on the processes through which one actor can hold another to account if their performance is poor. Each actor group should respond from their own perspective.
	4.7 What happens if someone in your own actor group performs poorly on a key PCA-related responsibility?	A There is no monitoring of how we perform our responsibilities B Poor performance is usually reported but there is very rarely any improvement in performance C Poor performance is reported and there is sometimes an improvement in performance D Poor performance is reported, and there is usually an improvement in performance Leave blank if don't know	This question looks at internal accountability processes within an actor group. Action to improve performance can be disciplinary and/or supportive (eg, more resources, capacity building). Each actor group should respond from their own perspective.



**SITE-LEVEL ASSESSMENT OF GOVERNANCE AND EQUITY FOR PROTECTED AND CONSERVED AREAS**

	QUESTION	ALTERNATIVE RESPONSES	SPECIFIC GUIDANCE
5. Dispute resolution	5.1 Are existing dispute resolution processes relevant to the PCA clearly documented?	<p>A There are no processes for dispute resolution (DR)</p> <p>B Some of the relevant dispute resolution processes are clearly documented but others are not</p> <p>C Most of the relevant dispute resolution processes are clearly documented</p> <p>D As C, and anyone who wants to see and review this information is able to do so</p>	A list of customary and statutory DR processes is developed by the facilitators in Phase 1 based on literature review and KILs.
	5.2 How suitable are existing dispute resolution processes for resolving disputes related to the PCA?	<p>A There are no processes for dispute resolution</p> <p>B They are not suitable for solving PCA-related disputes</p> <p>C They are suitable for many PCA-related disputes but not all</p> <p>D They are suitable for most types of PCA-related disputes</p> <p>Leave blank if don't know</p>	This is about whether the DR process(es) are suitable to address the range of different PCA-related disputes. It is about what they should be able to do in principle, not their success in reality (covered by question 5.5).
	5.3 What proportion of adults in the community are aware of these dispute resolution processes?	<p>A Very few (1–2 people out of 10), or no-one because there are no dispute resolution processes</p> <p>B Some (3–5 people out of 10)</p> <p>C Many (6–8 people out of 10)</p> <p>D Most (9 or more people out of 10)</p> <p>Leave blank if don't know</p>	Questions 5.3 and 5.4 look from the community perspective at common barriers facing actors who want to use DR processes. Question 5.3 is about whether they are aware of the processes (ie, if they know about them). Then question 5.4 looks at whether they are, in reality, able to use the processes. This is about access, which may need money or political support, and then about having the information and skills needed to use them effectively.
	5.4 What proportion of adults in the community are able to use a dispute resolution process if they want to?	<p>A Very few (1–2 people out of 10), or no-one because there are no dispute resolution processes</p> <p>B Some (3–5 people out of 10)</p> <p>C Many (6–8 people out of 10)</p> <p>D Most (9 or more people out of 10)</p> <p>Leave blank if don't know</p>	
	5.5 How often do dispute resolution processes succeed in resolving PCA-related disputes?	<p>A Almost never as very few people are aware of the processes and are able to use them</p> <p>B Some disputes are resolved (up to 5 out of 10 disputes) but most remain unresolved</p> <p>C Many disputes are resolved (eg 6-8 out of 10) but not all</p> <p>D Almost all disputes are resolved (eg 9 or more out of 10) and do not re-occur</p> <p>Leave blank if don't know</p>	This question looks at the outcomes of DR across all processes that exist. First, whether the dispute is resolved, and secondly if actors are satisfied with the outcome, which is key to minimise risk of a recurrence.

**SITE-LEVEL ASSESSMENT OF GOVERNANCE AND EQUITY FOR PROTECTED AND CONSERVED AREAS**

	QUESTION	ALTERNATIVE RESPONSES	SPECIFIC GUIDANCE
6. Fair law enforcement	6.1 Are PCA-related laws and regulations clearly defined and documented?	<p>A PCA-related laws and regulations are not clearly defined and documented</p> <p>B Some PCA-related laws and regulations are clearly defined and documented but there are some important gaps</p> <p>C Most PCA-related laws and regulations are clearly defined and documented with no important gaps</p> <p>D As C, and anyone who wants to see and review this information is able to do so</p>	To be assessed by the facilitators in Phase 1 by looking at what information exists on laws/regulations and what is actually available to different actors.
	6.2 How good is the coordination between PCA management and other actors who assist with law enforcement?	<p>A There is no coordination</p> <p>B There is some effort to coordinate but this does not work well</p> <p>C Coordination is good but with some occasional problems</p> <p>D Coordination is very good</p> <p>Leave blank if don't know</p>	Coordination on law enforcement may include patrols but could also be assisting PCA management in other ways, eg prosecuting offenders. Remember there are PCAs with community governance type where the managers are the communities.
	6.3 Are incidents of law breaking dealt with according to the law and are similar cases treated in the same way?	<p>A Prosecution of law breakers is very arbitrary and often does not follow the law</p> <p>B Some incidents are handled according to the law, but irregularities are common</p> <p>C Most incidents are handled according to the law, but there are occasional irregularities</p> <p>D All incidents are properly handled according to the law</p> <p>Leave blank if don't know</p>	This is about the compliance mechanisms – customary as well as statutory. Words for “law breaking” vary by from one country to another and may be a sensitive topic. Alternatively Uuse for example, violations of the law, illegal activities
	6.4 How is the conduct of people responsible for enforcing PCA laws when interacting with community members?	<p>A Their conduct is generally aggressive with frequent cases of inappropriate conduct</p> <p>B Their conduct is generally OK but there is some inappropriate conduct from time to time</p> <p>C Their conduct is generally good, and cases of inappropriate conduct are rare</p> <p>D Their conduct is generally very good and there are no cases of inappropriate conduct</p> <p>Leave blank if don't know</p>	This is about conduct of law enforcement agents when they interact with community members. This reflects concerns, in some countries, around conduct being aggressive and sometimes violating human rights.
	6.5 How effective are law enforcement activities in reducing law breaking?	<p>A There are no law enforcement activities to stop law breaking</p> <p>B Law enforcement activities are partially effective, but law breaking is still common</p> <p>C Law enforcement activities are generally effective but there are still occasional cases of law breaking</p> <p>D Law enforcement activities are very effective and so law breaking is very rare</p> <p>Leave blank if don't know</p>	Although this is normally considered an issue of PCA management rather than governance, it is included here to ensure balance between the two key aspects of the principle, ie, both the fairness and effectiveness of law enforcement.

**SITE-LEVEL ASSESSMENT OF GOVERNANCE AND EQUITY FOR PROTECTED AND CONSERVED AREAS**

	QUESTION	ALTERNATIVE RESPONSES	SPECIFIC GUIDANCE
7. Negative impact mitigation	7.1 Have there been any recent studies of the negative impacts of the PCA and its conservation on the wellbeing of community members?	<p>A No studies</p> <p>B One or more studies but with no community input on deciding which negative impacts to study</p> <p>C One or more studies with substantial community input on deciding which negative impacts to study</p> <p>D As C, and the study explored differences in how the negative impacts affect men and women</p>	To be determined by the facilitators in Phase 1. The issue of community input is important as, without this at the start, the people leading the study may overlook or underestimate some important impacts. Response D refers to gender disaggregation.
	7.2 Do the organisations responsible for reducing impacts on community members of [insert a negative impact] act in the way they are supposed to?	<p>A They do not act, or their action comes too late to reduce the negative impact on the affected people</p> <p>B They assist some of the affected people but not others (eg 3-5 out of 10 people)</p> <p>C They assist many of the affected people (eg 6-8 out of 10 people)</p> <p>D They assist most of the affected people and give particular attention to people whose wellbeing is most affected</p> <p>Leave blank if don't know</p>	This question is about whether actors having made voluntarily commitments or having legal responsibility for mitigation are doing what they are supposed to. Level of poverty and vulnerability affects how much a person is affected by a negative impact (eg for a poor person loss of one cow may be more serious than loss of 10 for a rich person)
	7.3 How successful are their actions in reducing the impacts on community members of [insert a negative impact]?	<p>A Their actions are successful for very few (1-2 out of 10) of the affected people</p> <p>B Their actions are successful for some (3-5 out of 10) of the affected people</p> <p>C Their actions are successful for many (6-8 out of 10) of the affected people</p> <p>D Their actions are successful for most (9 or more out of 10) of the affected people</p> <p>Leave blank if don't know</p>	This question is looking at the effectiveness of actions to try to reduce the negative impact on community members considering the PCA as a whole, not the effectiveness of specific actions in specific communities.
	7.4 Do the organisations responsible for reducing impacts on community members of [insert another negative impact] act in the way they are supposed to?	<p>A They do not act, or their action comes too late to reduce the negative impact on the affected people</p> <p>B They assist some of the affected people but not others (eg 3-5 out of 10 people)</p> <p>C They assist many of the affected people (eg 6-8 out of 10 people)</p> <p>D They assist most of the affected people and give particular attention to people whose wellbeing is most affected</p> <p>Leave blank if don't know</p>	This question is about whether actors having made voluntarily commitments or having legal responsibility for mitigation are doing what they are supposed to. Level of poverty and vulnerability affects how much a person is affected by a negative impact (eg for a poor person loss of one cow may be more serious than loss of 10 for a rich person)
	7.5 How successful are their actions in reducing the impacts on community members of [insert another negative impact]?	<p>A Their actions are successful for very few (1-2 out of 10) of the affected people</p> <p>B Their actions are successful for some (3-5 out of 10) of the affected people</p> <p>C Their actions are successful for many (6-8 out of 10) of the affected people</p> <p>D Their actions are successful for most (9 or more out of 10) of the affected people</p> <p>Leave blank if don't know</p>	This question is looking at the effectiveness of actions to try to reduce the negative impact on community members considering the PCA as a whole, not the effectiveness of specific actions in specific communities.

	<b>QUESTION</b>	<b>ALTERNATIVE RESPONSES</b>	<b>SPECIFIC GUIDANCE</b>
<b>8. Equitable benefit sharing</b>	<b>8.1</b> Have there been any recent studies of the positive impacts of the PCA and its conservation on the wellbeing of community members?	<p>A No studies</p> <p>B One or more studies but with no community input on deciding which positive impacts to study</p> <p>C One or more studies with substantial community input on which positive impacts to study</p> <p>D As C, and the study explored differences in how the positive impacts affect men and women</p>	To be determined by the facilitators in Phase 1. The issue of community input is important as, without this at the start, the people leading the study may overlook or underestimate some important impacts. Response D refers to gender disaggregation.
	<b>8.2</b> How and by whom are decisions made on who gets [insert a type of benefit]?	<p>A Decisions are made by managers of the benefit sharing system, community members have no influence</p> <p>B Decisions are made by the managers of the benefit sharing system, community members have some influence</p> <p>C Decisions are made by community representatives, managers of the benefit sharing system have some influence</p> <p>D As C, and ensuring that community representation includes men and women and other key social groups</p> <p>Leave blank if don't know</p>	<p>In Phase 1, the facilitators develop a list and ranking of the more important benefits from the perspective of men and women based on KIIs and/or focus group discussions.</p> <p>Questions 8.2 and 8.3 focus on the men's top priorities and questions 8.4 and 8.5 on the women's top priorities. The difference between responses B and C in questions 8.2 and 8.4 is who has more influence on decisions. In C and D, community representatives are people selected by community members to represent them.</p>
	<b>8.3</b> Is [insert a type of benefit] provided to communities in line with the decision(s)?	<p>A This benefit has never been provided to any community</p> <p>B This benefit has been provided to the intended communities, but for most of them is much less than was decided</p> <p>C This benefit has been provided to the intended communities, and is in line with what was decided</p> <p>D As C, and the way that the benefit is shared between communities and within communities is generally fair</p> <p>Leave blank if don't know</p>	<p>With questions 8.3 and 8.5, "less" could be a lower quantity or poorer quality and this should be clarified in the supporting evidence. Reasons may be poor management but may also include corruption. Corruption takes a variety of different forms including bias in benefit allocation towards powerful people ('elite capture'), inflated profits by suppliers, and outright theft.</p>
	<b>8.4</b> How and by whom are decisions made on who gets [insert a type of benefit]?	<p>A Decisions are made by managers of the benefit sharing system, community members have no influence</p> <p>B Decisions are made by managers of the benefit sharing system, community members have some influence</p> <p>C Decisions are made by community representatives, managers of the benefit sharing system have some influence</p> <p>D As C, and ensuring that community representation includes men and women and other key social groups</p> <p>Leave blank if don't know</p>	
	<b>8.5</b> Is [insert a type of benefit] provided to communities in line with the decision(s)?	<p>A This benefit has never been provided to any community</p> <p>B This benefit has been provided to the intended communities, but for most of them is much less than was decided</p> <p>C This benefit has been provided to the intended communities and is in line with what was decided</p> <p>D As C, and the way that the benefit is shared between and within communities is generally fair</p> <p>Leave blank if don't know</p>	

**SITE-LEVEL ASSESSMENT OF GOVERNANCE AND EQUITY FOR PROTECTED AND CONSERVED AREAS**

	QUESTION	ALTERNATIVE RESPONSES	SPECIFIC GUIDANCE
9. Achieving objectives	9.1 Which actors have their PCA-related activities included in the PCA management plan?	<p>A There is no management plan, or the plan expired more than 2 years ago</p> <p>B The plan only includes the activities of the PCA management</p> <p>C The plan includes activities of PCA management and activities of some other actors but there are some key gaps</p> <p>D The plan includes the activities of all key actors that are related to the PCA</p>	To be assessed by facilitators – focuses on whether the PCA management plan includes PCA-related activities led by other actors alongside those led by the PCA managers.
	9.2 Which actors are regularly involved in developing PCA plans?	<p>A PCA managers alone</p> <p>B PCA managers and some other actors, but one or more key actors are not included</p> <p>C PCA managers and all key actors but with some of these actors having little influence on the plans</p> <p>D All key actors, and with all key actors being able to have some influence on the plans</p> <p>Leave blank if don't know</p>	Involvement of other actors could be through a consultation process rather than stakeholder workshops. Either way, we seek evidence of them having influence, although how much influence depends on PCA governance type.
	9.3 Does the existing PCA management plan make use of any local and traditional knowledge?	<p>A There is no management plan, or a plan exists but does not use any local or traditional knowledge</p> <p>B The management plan has a few examples of using local and traditional knowledge but is largely blind to it</p> <p>C The management plan has many examples of activities that have been informed by local or traditional knowledge</p> <p>D As C, and the plan includes activities that have been mainly inspired/guided by local and traditional knowledge</p> <p>Leave blank if don't know</p>	This focuses how much the PA management plan makes use of traditional knowledge (TK) of communities. D goes beyond elements of the plan being informed by TK to elements of the plan being driven by TK.
	9.4 Have there been changes in PCA management activities in response to learning?	<p>A There have been no changes in PCA management in response to learning</p> <p>B Most learning is not acted upon to improve PCA management, much more could be done to apply learning</p> <p>C Most learning is being acted upon in some way to improve PCA management</p> <p>D As C, and there are regular meetings to reflect on experience and results and adapt plans as necessary</p> <p>Leave blank if don't know</p>	This question focuses on whether PCA management is being adapted in response to learning from experience or research and monitoring. D represents institutionalisation of learning and adaptive management.
	9.5 Is the objective of [insert an important conservation objective] being achieved?	<p>A No progress towards achieving this conservation objective</p> <p>B No evidence of progress towards this objective, but the relevant activities are being implemented</p> <p>C Progress towards this objective is in line with the expectations of your actor group</p> <p>D Progress towards this objective significantly exceeds expectations of your actor group</p> <p>Leave blank if don't know</p>	If there is a current management plan, then the conservation objective can be taken from this. Facilitators select the objective during Phase 1 in consultation with key actors including communities.

**SITE-LEVEL ASSESSMENT OF GOVERNANCE AND EQUITY FOR PROTECTED AND CONSERVED AREAS**

	QUESTION	ALTERNATIVE RESPONSES	SPECIFIC GUIDANCE
10. Coordination collaboration	10.1 Are the structures and processes for coordination between actors clearly defined and documented?	<p>A Structures and processes for coordination between actors are not defined and documented</p> <p>B Some structures and processes for coordination between actors are defined and documented</p> <p>C Most responsibilities are clearly defined and documented</p> <p>D As C, and anyone who wants to see and review this information is able to do so</p>	To be assessed by facilitators during Phase 1 based on a literature review and KIs. This is about mechanisms that should be in place according to policy/ law/regulations, not if they actually work.
	10.2 What kind of meetings actually take place for coordination between key actors?	<p>A There are no coordination meetings for PCA-related activities of different actors</p> <p>B There are coordination meetings for PCA-related activities, but they only take place if there is a problem to solve</p> <p>C There are regular coordination meetings for PCA-related activities, but some key actors do not participate</p> <p>D There are regular coordination meetings for PCA-related activities and all key actors usually participate</p> <p>Leave blank if don't know</p>	This focuses on meetings to coordinate the planning and implementation, both of activities that may benefit the PCA and/or its communities and activities that might cause harm to the PCA and/or its communities.
	10.3 How good is information sharing between organisations of key actors at site level?	<p>A There is little or no sharing of information between actors' organisations at site level</p> <p>B Some actors' organisations share some information on their plans and activities, but this is not common</p> <p>C Most actors' organisations share information on their plans and activities</p> <p>D As C, and they share information not just on their plans/ activities but also on the results</p> <p>Leave blank if don't know</p>	Questions 10.3–10.5 relate to the interaction of organisations of key actors, eg, PCA management, government sectoral agencies, NGOs, research. Good information sharing should include information both on activities and results of these (eg, progress reports). Coordination is where actors work together but towards different objectives. Basic coordination is about avoiding negative interactions that undermine the efforts of one or both organisations or waste resources, while effective coordination enables one or both organisations to achieve better results than they would have without coordination. Collaboration refers to the situation where the coordinating actors also have one or more common objectives.
	10.4 How good is the coordination of activities between the organisations of key actors at site level?	<p>A Little or no coordination of activities</p> <p>B Some coordination of activities but with weaknesses leading to waste of resources or conflict</p> <p>C Effective coordination of activities although the different actors have different objectives</p> <p>D Effective coordination of activities and the different actors have at least one objective in common</p> <p>Leave blank if don't know</p>	
	10.5 How good is the alignment of policies and plans between organisations of key actors at lower and higher levels?	<p>A Little or no alignment of policies and plans between actors at lower and higher levels</p> <p>B Some alignment of policies and plans between lower and higher levels but with disconnects in some key areas</p> <p>C Good alignment of policies and plans between lower and higher levels but with still some room for improvement</p> <p>D Very good alignment of policies and plans between lower and higher levels</p> <p>Leave blank if don't know</p>	



## Annex 4: Guidance for facilitation skills training

The timings are for the option where some of the actor groups need to, or would prefer to, do the assessment in a local language, but will be entering data in English, Spanish or French. Where all groups are working in English, French or Spanish this programme may be completed in as little as half a day. Conversely where all groups are working in a language other than English, French or Spanish, and there are a lot of translation issues to be discussed and resolved, up to a day and a half may be needed.

09:00– 09:30	<p><b>Introduction and overview of SAGE</b></p> <ul style="list-style-type: none"> <li>▪ Welcome and introduction of the lead facilitator and trainees, and external SAGE trainer if there is one.</li> <li>▪ Present the training objective: To ensure that the assistant facilitators and notetakers have the knowledge and skills to facilitate the SAGE assessment by actors (step 2.2), including a good, shared understanding on the SAGE questionnaire.</li> <li>▪ Present a brief overview of SAGE and where it has been used to date. Ask all trainees to read the standard SAGE introduction and explain that it is important to use this when introducing SAGE to anyone involved in the assessment in order to minimise risk of bias.</li> <li>▪ Present the SAGE arrow showing the three phases of SAGE process. Summarise the progress to date of Phase 1 and explain that this training is step 2.1.</li> </ul>
09:30–10:15	<p><b>Understanding governance and equity</b></p> <ul style="list-style-type: none"> <li>▪ Explain the meaning of governance and the difference between governance and management.</li> <li>▪ Present the ten principles of equitable governance, explaining that they are based on the IUCN framework of governance principles for protected and conserved areas (PCAs), and that SAGE uses these ten principles to assess the quality of governance.</li> <li>▪ Present an example of SAGE results from a relevant site:             <ul style="list-style-type: none"> <li>- Scores for eight principles</li> <li>- Ideas for action for one principle of recognition, the principles of participation and of transparency/ accountability and one principle of distribution.</li> </ul> </li> <li>▪ Interactive exercise — ask each participant to think of one example of an improvement in governance that might result from this SAGE assessment and write this on a card. Place each card on the whiteboard/flipchart next to the principle that it relates to, or next to “other” if it does not relate to any of the governance principles. Then ask if anyone can suggest another example, especially for a principle that does not yet have an example. Once there are around ten examples, review the table and for any principle that has no example, provide an example. Lastly review the ‘other’ category — these tend to be management issues, or sometimes governance issues that are beyond the scope of SAGE, for example, the right to education. If conducting the training online, conduct this exercise using a similar virtual tool (eg, Mural).</li> </ul>



<p><b>10:15–11:00</b></p>	<p><b>Principles to be covered and actor groups</b></p> <ul style="list-style-type: none"> <li>▪ Review the principles that have been selected for the assessment and explain how these were selected.</li> <li>▪ If principle 1 on rights has been selected, review the key rights that have been identified, and discuss which two rights have been proposed for the SAGE questionnaire and why.</li> <li>▪ If principle 7 has been selected, review the negative impacts on communities that have been identified and which two impacts have been proposed for the questionnaire and why.</li> <li>▪ If principle 8 has been selected, review the positive impacts (benefits) that have been identified, and which two impacts have been proposed for the questionnaire and why.</li> <li>▪ If principle 9 on conservation objectives has been selected, present the conservation objective identified and explain that it will be used for the questionnaire.</li> <li>▪ Review the list of key actors (stakeholders + rightsholders) and how they have been combined into 'actor groups' for the assessment. Discuss and agree which facilitator and, if needed which notetaker, will work with which actor group for activity 2.2.</li> </ul>
<p><b>11:00–11:15</b></p>	<p><b>BREAK</b></p>
<p><b>11:15–15:15 including lunch break</b></p>	<p><b>Understanding the SAGE questions and responses</b></p> <ul style="list-style-type: none"> <li>▪ Give each trainee a copy of the complete SAGE questionnaire.</li> <li>▪ Start with principle 3 on participation. Explain that the questions cover different aspects of what is important in order to deliver on the principle.</li> <li>▪ Starting with question 3.2, read out the question and the five responses (including “don’t know”), check whether all the trainees understand the question and responses and clarify where necessary. You should not need to read out the guidance notes for every question but refer to these where you need to clarify some aspect of the question or responses. Conclude the discussion of this question by asking the trainees if they see a need to adjust the way the question and/or responses are written so that they can be sure to explain them clearly. You can make small adjustments if this helps to improve clarity but normally you should not be making major changes to the question at this stage. Any changes should be made directly into in the MASTER worksheet of the SAGE data entry and analysis tool.</li> <li>▪ Lastly, for facilitators who will be working in a local language, discuss and agree how the question and responses will be translated and ensure the facilitators note down key words in the local language that they will use so that they all use the same words.</li> <li>▪ Now take the next question of principle 3 and repeat this process. Then repeat the same process for the remaining seven principles.</li> </ul>
<p><b>15:15– 1530</b></p>	<p><b>BREAK</b></p>
<p><b>15:30–16:30</b></p>	<p><b>Assessment and data entry</b></p> <ul style="list-style-type: none"> <li>▪ Give the trainees the printout of the four questions for principle 3 and explain the layout — question, responses (A–D and don’t know), number of group members voting for each response, average score and equivalent letter, evidence and ideas for action. If you have not been able to do the printouts, then show this in the worksheet for Actor 1.</li> <li>▪ Go to a question under principle 3 and ask the trainees to play the role of community men. Follow the process described in task 6 on page 30 of this manual. Now select a different question and invite each of the trainees in turn to facilitate the assessment for this question while another trainee practices entering the data in the data entry sheet..</li> </ul>

## Annex 5: Selecting SAGE facilitators

A SAGE facilitator's role is to facilitate an assessment of the governance quality of the target PCA and its associated conservation and community development activities. All SAGE facilitators must participate in SAGE training — step 2.1 of the SAGE process.

A SAGE facilitation team comprises a lead facilitator and two to seven assistant facilitators. The lead facilitator should participate in steps 1.1–2.1 and take the lead in facilitating steps 2.2–2.4. If they are an experienced SAGE facilitator, they can also lead step 2.1 (training of assistant facilitators). Steps 2.1–2.3 normally take three to five days excluding travel time, and step 2.4 is an additional two to three days. This will be around ten days in total.

The assistant facilitators are recruited to assist with steps 2.1–2.3 plus a day for organising, and where necessary cleaning, the outputs from steps 2.2 and 2.3. This will be four to five days in total. The number of assistant facilitators required depends on the number of actor groups that are working in parallel in step 2.2. This can be anywhere between two and five depending on the methods used in step 2.2, assuming that the lead facilitator takes one actor group.

### **A lead facilitator should have:**

- Experience in facilitating workshops involving a range of stakeholders in an initiative, community meetings and focus group discussions
- At least basic knowledge of principles and practice of good governance
- The authority and experience to be respected by all actors involved in the SAGE process
- Skills in the use of Excel worksheets for the basic analysis of SAGE.

### **Assistant facilitators should have:**

- Some experience facilitating community meetings or focus group discussions
- Basic computer skills sufficient to type text and numbers into an Excel spreadsheet
- Knowledge of the local area (useful but not essential).

Assistant facilitators do not need to have experience in facilitation or knowledge of governance. They may therefore be recruited from the local area, for example staff of local NGOs, school teachers.

### **All facilitators should be:**

- Perceived by participants in the assessment as independent except in the case where they facilitate the assessment by their own actor group
- Perceived as trustworthy by actors at the PCA. They should command the confidence of all the actors to treat their perspectives with respect and accurately record their views.
- Fluent in the language of the assessment — that is, in all steps of the assessment other than step 2.2 where some working groups may use local languages.

### **The team as a whole should have:**

- At least one woman, or at least one third of the team should be female
- At least one member with a good knowledge of the local area and key conservation and development activities in the area (to help other team members to understand the local context if/when the convenor is not available to do this).

## Annex 6: Guidance for facilitators addressing X.1 questions

The X.1 questions that are addressed by the lead facilitator rather than the assessment participants refer to policies, laws, regulations, structures, and processes and any studies (PLR/SPS) on which they are based. The alternative responses refer to both whether the PLR/SPS exist and aspects of their quality that are key in this context.

- |      |   |
|------|---|
| 1.1  | Are the PCA-related property rights of local actors clearly defined and documented?                           |
| 2.1  | What kind of stakeholder/actor analysis already exists?   |
| 3.1  | Are governance structures and processes for PCA-related decision making clearly defined and documented?       |
| 4.1  | Are the PCA-related responsibilities of key actors clearly defined and documented?                            |
| 5.1  | Are the existing PCA-related dispute resolution processes clearly defined and documented?                     |
| 6.1  | Are PCA-related laws and regulations clearly defined and documented?  |
| 7.1  | Have there been studies of negative impacts of the PCA and its conservation on the wellbeing of local people? |
| 8.1  | Have there been any recent studies of positive impacts of the PCA on the wellbeing of local people?           |
| 9.1  | Which actors have their PCA-related activities included in the PCA management plan?                           |
| 10.1 | Are the structures and processes for coordination between actors clearly defined and documented?              |

The fact that some actors are not aware of the PLR/SPS does not mean they don't exist, but if they respond "don't know" then the assessment will have a bias towards the responses of those who are aware of them, which tends to be those in authority. In other words, assessment by the impartial lead facilitator is likely to give a more accurate result.

If the facilitator is to make this assessment, the phrase 'clearly defined and documented' must be well understood and consistently applied. This phrase comes from the IUCN Green List Standard criteria 1.1: 'there are clearly defined, legitimate, equitable, and functional governance arrangements', and the first generic indicator for this criteria is about these being documented.

In the context of SAGE, we interpret 'documented' as meaning that the PLR/SPS are within a document that has been approved by the relevant agency/agencies (ie that have authority to approve such a document). However, the criteria 'clearly defined' is more difficult to interpret and the interpretation will depend on the issue, the site and its context. Here are some initial thoughts:

- **Clearly defined responsibilities** describe both what the specific responsibilities are and which actors are supposed to fulfil these responsibilities. If they are legally binding, then the terms 'duties' and 'duty-bearers' apply in place of 'responsibilities' and 'responsible actors'.
- **Clearly defined laws and regulations** include the actual text of the law or regulation and a reference to the relevant documents, and, where the legal language is hard to understand, an explanation in simpler terms.
- **Clearly defined governance structures and processes for decision making.** 'Structures' refers to the architecture of decision making — what type of decisions are made, when and by whom, including formal committees, informal groups and/or individuals, and linkages between these within and across levels. 'Processes' refers to how the decisions are made, including the actual decision making itself (eg by consensus or otherwise), provision of relevant information to inform decision making including consultation processes to get input from those actors not directly involved, provisions to help certain actors to more effectively engage (eg funding, training), and how community representatives are selected and communicate with the people they are supposed to represent.

## Annex 7: Schedule for assessment by actors and synthesis workshop

The schedule below assumes that the synthesis uses the principle level approach. See section 2.3 for detailed guidance for each session.

DAY 1	
09:00-09:30	Opening in the customary way Self-introduction of participants
09:30-10:30	Introduction to SAGE (including SAGE process to date) Workshop objectives and approach Consent to proceed (can be reduced to 45 minutes if starting late)
10:30- 11:00	BREAK (can be reduced to 15 minutes if starting late)
11:00-13:00	Assessment by groups – session 1 (start with dividing into groups and then each group to complete 2 principles before breaking for lunch)
13:00-14:00	LUNCH
13:30-15:30	Assessment by groups – session 2 (each group to complete 2 more principles)
15:30-16:00	BREAK
16:00-17:30	Assessment by groups – session 3 (each group to complete 2 more principles)
DAY 2	
09:00-10:30	Assessment by groups – session 4 (each group to complete 2 more principles, making a total of eight)
10:30-11:00	BREAK
11:00-13:00	Synthesis in plenary – part one
13:00-14:00	LUNCH
14:00-15:30	Synthesis in plenary – part two
15:30-16:00	BREAK (facilitators prepare slides for the wrap up)
16:00-17:30	Wrap up Fleshing out and agreeing some action (time permitting) Next steps

## Annex 8: Guide to the SAGE Excel tool

The **SAGE data entry and analysis Excel tool (SAGE Excel tool)** is used to:

1. Adapt the questions in the SAGE questionnaire to the context of the site where SAGE is used.
2. Create hard copies of the questions and alternative responses for use in the assessment.
3. Record data (responses, evidence, ideas for action) from the assessment by actors
4. Analyse the data to generate a set of tables and charts.
5. Generate Powerpoint slides of the scores from actor groups to use in the synthesis workshop.
6. Record notes in the synthesis workshop (reasons for actors giving different opinions/scores)
7. Generate charts and tables that summarise the assessment outputs and for use in the report.

The number of actors groups in a SAGE assessment can vary between four and eight, and to avoid the user having to make adjustments to the tool we provide a different version of the SAGE data entry and analysis tool for each. Unless you are an Excel expert do not make modifications to the tool apart from adapting the SAGE questions on the MASTER worksheet and entering data.

The SAGE Excel tool is available in English (EN) and also good translations in French (FR) and Spanish (SP). Other language version can be generated by translating the text in the Master sheet and then copying the translated text back into the Master sheet. For many languages you can use Google Translate which can translate Excel files, although the translation may need so much editing that it's better to do it yourself.

The following table provides a brief description of each of the worksheets in the SAGE Excel tool.

### Additional notes:

1. We do provide an example of a completed version of the tool so that you can see how the tool works and what the charts and tables look like but always start with a blank version. Do not try to delete the data in the example provided as you may end up deleting key links.
2. Never try to delete rows or columns in any workshop as this will break key links.
3. If you are not using a certain principle, just leave blank the whole table for that principle.
4. If group members are not able to answer a question or don't want to answer it because of some sensitivities, then put their votes against "leave blank if don't know". This will generate a blank space, and any blank in the spreadsheet is treated as a missing value, ie excluded from averaging.
5. We advise that a SAGE assessment use 8-10 principles so as to cover most key aspects of governance but if a less comprehensive assessment will serve the purpose you can use as few as 4 principles – in other words a "SAGE lite" (more guidance on this to follow).

**SITE-LEVEL ASSESSMENT OF GOVERNANCE AND EQUITY FOR PROTECTED AND CONSERVED AREAS**

WORKSHEET	PURPOSE AND COMMENTS
MASTER	For entering names of actor groups and adapting the questions and responses. All of these are then copied into the other sheets as necessary. Translations into other languages should be made in this sheet, for example by copying this sheet into a separate Excel or Word file, translating in Google Translate, editing the translation as necessary and then copying it back into the MASTER sheet.
Print 1Q per page	From this sheet you can print out the SAGE questions and alternative responses that will be used in the assessment by actors – 1 question per A4 sheet of paper. These are used if you want participants to be able to read the responses to the questions.
Hard copy for data entry	To print hard copies of the SAGE questionnaire for recording responses, evidence and ideas for action from each actor group during the assessment by actors. After the session, the data is then transferred from the hard copies into the Excel file.
Facilitator	For the recording data for the X.1 questions which are technical questions to be addressed by the facilitator based on a review of relevant documents.
Actor groups 1...	For recording data from the assessment by actors. There is a worksheet for each actor group and the name appears in the top left cell. There is a table for each principle where the voting of each group member is recorded and used to generate a score for the group, and supporting evidence and ideas for action are recorded. Normally this data is taken from the hard copies that have been used during the assessment by actors session, but very experienced facilitators/notetakers may record data directly into the SAGE Excel tool using Google Docs to enable several facilitators to do this at the same time. Alternatively, the whole actor group worksheet can be copied into a separate Excel file, completed on a laptop and then copied back onto the correct worksheet of the SAGE Excel tool. This should work provided the completed sheet is copied back into exactly the same position.
Analysis – scores in tables	Brings all the scores into tables and then calculates average scores by principle and equity dimension. Note that scores for the X.1 questions (1.1, 2.1, 3.1, 4.1, 5.1, 6.1, 7.1, 8.1, 9.1 and 10.1) come from the facilitator and for the purposes of calculating average scores by group are applied equally to all actor groups, but the weighting of scores for X.1 questions to scores for all the other questions can be adjusted in cell I3. Default is 1:1.
Analysis – scores in charts	Creates a number of different types of chart for the scores that are used in “slides for workshop discussion” and “slides for workshop wrap-up” and may also be used in the assessment report.
Analysis – evidence & actions	Compiles all the supporting evidence and ideas for action from the assessment by actors into one large table to provide an overview of all the issues emerging from the different actor groups.
Analysis – priority actions	Generates a list of 20-30 priority actions from the 75-150 ideas for action that are generated by a typical SAGE assessment. This is the new addition to the SAGE Excel tool which generates priorities through a two-stage process. Firstly, in the assessment by actors (step 2.2), when an actor group completes all four questions for a given principle the group members are asked to review the various ideas for action they have proposed and select one priority for action in the coming year. Secondly all these priority actions as screened against their overall score for that principle and only if the score is less than a defined threshold is the idea considered to be a priority of that actor groups. The lower the threshold the fewer the number of priority ideas. So priority actions are the actions considered by one or more actor groups as top priority for the coming year for the principles that they gave a low score. Though quite crude, this is a useful addition to SAGE phase 2 where there is unlikely to be a follow-up workshop to more systematically identify priority actions.
Slides for synthesis	Generates the PowerPoint slides that are needed for the discussion in the synthesis workshop. Columns A to C are the slides to use if the discussion is done at principle level, and E to L if the discussion is done at question level (see the manual page 33).
Synthesis – evidence & actions	This is a form for recording key points in the discussion in the synthesis process around differences of opinion between different actor groups (which often indicate weaknesses in governance) and ideas for actions to narrow these differences. New ideas for action that have not already been proposed by an actor group can be added to priority actions in the wrap up slides if there is a consensus to do so.
Wrap-up	This workshop provides a summary of the scoring and ideas for actions that can be used to close the workshop with a focus on next steps. For the scoring there are 4 different types of graphic that will be more or less suitable for different audiences. For the priority ideas for action, you should use the table where – depending on the threshold use - the list of ideas for action is at least 15 and not more than 30.





From its first pilot in Tanzania in 2019, Site-level Assessment of Governance and Equity (SAGE) for protected and conserved areas has been used in over 25 countries in Africa, Asia, Latin America and Europe and is now the most widely used tool for governance assessment in conservation. SAGE facilitators in each of these countries have provided feedback that has informed substantial improvements to the tool. We have now reached the point where we are more than confident to openly release this SAGE users' manual and SAGE data entry and analysis Excel tool for use with any protected area or other type of conserved area that has some history of stakeholder engagement and willingness to work on improving governance and equity. The release of this manual and tool represents an important transition from development to scaling up which we hope will be further boosted by the inclusion of "equitably governed" in the new global '30x30 target' for the expansion of area-based conservation.



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*Keywords:*

Protected areas, conservation, equity