



Social safeguards for protected area tourism

Safeguard measures for
the protection of indigenous
and local populations in
sub-Saharan Africa

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Map of sub-Saharan Africa¹



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⁽¹⁾ Dark and lighter green: Definition of “sub-Saharan Africa” as used in the statistics of the United Nations institutions. Lighter green: However, Sudan is classified as Northern Africa by the UN Statistics Division, though the organisation states ‘the assignment of countries or areas to specific groupings is for statistical convenience and does not imply any assumption regarding political or other affiliation of countries or territories’. Map and text from https://en.wikipedia.org/wiki/Sub-Saharan_Africa#/media/File:Sub-Saharan_Africa_definition_UN.png

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ACTIVITY 2 REPORT: SOCIAL SAFEGUARDS FOR PROTECTED AREA TOURISM:
SAFEGUARD MEASURES FOR THE PROTECTION OF INDIGENOUS AND LOCAL POPULATIONS IN
SUB-SAHARAN AFRICA

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Acronyms

AEF	French Equatorial Africa (FEA)
ANPN	Agence Nationale des Parcs Nationaux (Gabon)
APC	African Parks Congo
APDS	Aire Protégée Dzanga-Sangha (CAR)
CAR	Central African Republic
CDP	community development plan
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
CSR	corporate social responsibility
DG DEVCO	Directorate General for International Cooperation and Development
DRC	Democratic Republic of Congo
ESIA	environmental and social impact assessment
ESMS	environmental and social management system
FPIC	free, prior, and informed consent
GPS	Global Positioning System
ICOMOS	International Council on Monuments and Sites
ICP	informed consultation and participation
IDP	Integrated Development Plans
IUCN	International Union for the Conservation of Nature
JPO	Judicial Police Officer
LDP	Local Development Plan
MSEFP	House of The Pygmy Child and Woman
NGO	non-governmental organisations
PAC	project affected community
PRA	participatory rural appraisal
RAMSAR	Convention on Wetlands of International Importance especially as Waterfowl Habitat
SANParks	South African National Parks
SEA	Strategic Environmental Assessments
TESSA	Toolkit for Ecosystem Service Site-Based Assessment
UN	United Nations
UNFCCC	United Nations Framework Convention on Climate Change

Table 1: Glossary²

Term	Description
Buffer zone	An area around a core protected area that is managed to help maintain protected area values. For example, a buffer zone may include a forest at the edge of a protected area that is open to community use under nature-friendly controls that do not impact on the aim of conservation. Typically a category V or VI protected area surrounding a more strictly protected core (I–IV). In some countries, buffer zones are legally declared as part of the protected area. ^a
Free, prior and informed consent (FPIC)^b	FPIC is a specific right that pertains to Indigenous Peoples that allows them to give or withhold consent to a project that may affect them or their territories. Once they have given their consent, they can withdraw it at any stage. Furthermore, FPIC enables them to negotiate the conditions under which the project will be designed, implemented, monitored and evaluated. FPIC is not just a result of a process to obtain consent to a particular project; it is also a process in itself, and one by which Indigenous Peoples are able to conduct their own independent and collective discussions and decision-making. They do so in an environment where they do not feel intimidated, and where they have sufficient time to discuss in their own language, and in a culturally appropriate way, on matters affecting their rights, lands, natural resources, territories, livelihoods, knowledge, social fabric, traditions, governance systems, and culture or heritage (tangible and intangible). Lastly, it is also important to underline that the FPIC process does not guarantee consent as a result. The result of an FPIC process can be any of the following outcomes: consent from the Indigenous Peoples' community on the proposed activity; consent after negotiation and change of the conditions under which the project will be planned, implemented, monitored and evaluated; or the withholding of consent. It is also important to bear in mind that consent, once given, can also be withdrawn at any stage.
Grievance	A concern or complaint raised by an individual or a group within communities affected by a project.
Indigenous peoples^c	Indigenous communities, peoples and nations are those which, having a historical continuity with pre-invasion and pre-colonial societies that developed on their territories, consider themselves distinct from other sectors of the societies now prevailing on those territories, or parts of them. They form at present non-dominant sectors of society and are determined to preserve, develop and transmit to future generations their ancestral territories, and their ethnic identity, as the basis of their continued existence as peoples, in accordance with their own cultural patterns, social institutions and legal system. An indigenous person is one who belongs to these indigenous populations through self-identification as indigenous (group consciousness) and is recognized and accepted by these populations as one of its members (acceptance by the group). This preserves for these communities the sovereign right and power to decide who belongs to them, without external interference.

- Dudley, N., Shadie, P. and Stolton, S. (2013). *Guidelines for Applying Protected Area Management Categories. Best Practice Protected Area Guidelines Series No. 21*. Gland, Switzerland: IUCN
- Food and Agriculture Organisation of the United Nations (FAO) *Free prior and informed consent: An indigenous people's right and a good practice for local communities: Manual for practitioners: p13*
- Martinez Cobo, J. R. (1982) *Study of the problem of discrimination against indigenous populations. Final report. UN Economic and Social Council. E/CN.4/Sub.2/1986/7/Add.4, paras. 379, 381-381*

⁽²⁾ Unless otherwise stated, terms are adapted from IFC (2012) Performance standard 1: Assessment and management of environmental and social risks and impacts; Performance standard 4: Community health, safety and security; Performance standard 7: Indigenous peoples; and IFC (2009) Good practice note: Addressing grievances from project-affected communities: guidance for projects and companies on designing grievance mechanisms

Table 1: Continued

Term	Description
Informed Consultation and Participation (ICP)	In-depth exchange of views and information, and an organized and iterative consultation, leading to the client's incorporating into their decision-making process the views of Project Affected Communities on matters that affect them directly, such as the proposed mitigation measures, the sharing of development benefits and opportunities, and implementation issues. The consultation process should: - capture both men's and women's views, if necessary through separate forums or engagements, and - reflect men's and women's different concerns and priorities about impacts, mitigation mechanisms, and benefits, where appropriate. The process should be documented, including measures taken to avoid or minimize risks to and adverse impacts on PACs.^d
Insourcing	Where a protected area authority staff deliver and finance a tourism service. Insourcing involves the authority functioning like a business, with the protected area facilities and staff providing visitor services.^e
Local community	A social group of any size whose members reside in or near a protected area.^f The concept 'community' can be used in different ways, but in general encompasses (a) any groups of people resident in protected areas who are non-staff members, (b) groups of people directly affected by the protected area because they are geographically located adjacent or close to it (e.g. in the buffer zone), or are linked through the flow of one or more ecosystem services.^g
Mitigation hierarchy	Addresses identified risks and impacts will favor the avoidance of impacts over minimization, and, where residual impacts remain, compensation/offset, wherever technically and financially feasible. It also addresses opportunities for culturally appropriate and sustainable development benefits. The client will ensure the timely and equitable delivery of agreed measures to the Project Affected Communities.
Monitoring and Evaluation	Monitoring can be defined as the ongoing process by which stakeholders obtain regular feedback on the progress being made towards achieving their goals and objectives. This can be done by project proponents, in collaboration with protected area authorities and PAC members. By contrast, evaluation is a rigorous and independent assessment of either completed or ongoing activities to determine the extent to which they are achieving stated objectives and contributing to decision-making.^h
Outsourcing	A protected area contracts a third party to deliver a service. Outsourcing of tourism services to a company or organization has both benefits and disadvantages. When public agencies do not have the expertise to perform a service, or when they lack the funding or legal abilities required to build such capability in-house, the transfer of rights in the protected area land to other organizations can relieve public agencies from resource constraints of budget, capability, or expertise.ⁱ
Project (or Tourism project)	A defined set of tourism activities, including those where specific physical elements, aspects, and facilities likely to generate risks and impacts, have yet to be identified. Where applicable, this may include aspects from the early developmental stages through the entire life cycle (i.e. design, construction, commissioning, operation, decommissioning, closure or, where applicable, post-closure) of a physical asset (e.g. accommodation for visitors).

d. IFC (2012) *Performance standard 1: Assessment and management of environmental and social risks and impacts*

e. Spenceley, A., Snyman, S., and Eagles, P. F. J. (2017) *Guidelines for tourism partnerships and concessions for protected areas: Generating sustainable revenues for conservation and development, Report to the Secretariat of the Convention on Biological Diversity and IUCN*;

f. Leung, Y-F., Spenceley, A., Hvenegaard, G., and Buckley, R. (2018) *Tourism and visitor management in protected areas: Guidelines for sustainability, Best Practice Protected Area Guideline Series No. 27, IUCN, Geneva*

g. Adapted from SADC (2019) *Guidelines for community engagement in Southern African Development Community Transfrontier Conservation Areas, Final Draft, SADC Transboundary Use and Protection of Natural Resources Project*;

h. UNDP (2009) *Handbook on planning, monitoring and evaluating for development results*. New York

i. Spenceley, et al. (2017) *op. cit.*

Table 1: Continued

Term	Description
Project Affected Communities (PAC)	Communities affected or specifically targeted by the project, noting that not all local communities may be affected. The affected communities may have little real influence over tourism projects, or of conservation in a protected area, but they may have the highest interests in both (e.g. for opportunities for employment, or to sell their products and services, human wildlife conflict, etc.). There may be particular people within these communities who are specifically affected (i.e. Project Affected People).
Project Proponent	The private entity developing the tourism project, which may be a private business, a non-governmental organisation, or other.
Protected area	Clearly defined geographical space, recognised, dedicated and managed, through legal or other effective means, to achieve the long-term conservation of nature with associated ecosystem services and cultural values. The IUCN protected area management categories are a global framework for categorizing the variety of protected area management types. ^j
Protected area authority	The management institution responsible for the conservation and management of a protected area, such as a national parks board, a private entity or an NGO with rights to manage a protected area (e.g., African Parks, The Nature Conservancy, etc.)
Sacred places	Sacred Natural Sites are areas of land or water having special spiritual significance to peoples and communities. ^k

- j. Dudley, N., Shadie, P. and Stolton, S. (2013). *Guidelines for Applying Protected Area Management Categories. Best Practice Protected Area Guidelines Series No. 21*. Gland, Switzerland: IUCN
- k. Oviedo, G. and Jeanrenaud, S. (2007) *Protecting sacred natural sites of indigenous and traditional peoples*, In Mallarach, J. M. and Payayannis, T. (eds) *Protected areas and spirituality*, IUCN and Publicacions de l'Abadia de Monsterrat, Gland, Switzerland.



1. Foreword

In 2021, the European Commission unveiled NaturAfrica, its new initiative for biodiversity conservation in sub-Saharan Africa. The initiative focuses on key landscapes for conservation and development, where it combines biodiversity conservation with green economic development and shared governance of natural resources. The aim of this people-centred approach to conservation is to increase the opportunities for local communities to participate in and benefit from conservation, as well as from job opportunities in related green sectors. Tourism in protected and conserved areas has untapped potential to contribute to this vision. Tourism is already a significant contributor to the GDP of several African economies and, after having been hit hard by COVID-19, it is slowly returning to pre-pandemic levels. The sector also brings significant opportunities to create indirect jobs in remote areas, and for local communities to take part in its development. However, when poorly designed and implemented, the sector can also be a source of environmental degradation and social inequalities. This is why it is key to assess social risks and opportunities associated with any given tourism development intervention. Best practice safeguards are needed to ensure equality, engagement, participation, community health and safe working conditions, as well as the preservation of cultural heritage and the respect of the rights of indigenous peoples. Only then can tourism fulfil its potential to reconcile the vision of protecting natural capital while expanding just and inclusive economies.

The current report has been produced as one of the outputs of a study entitled 'Strengthening and replication of ecotourism achievements in the protected areas of sub-Saharan Africa'. This report does not constitute a new standard for social safeguards, but rather aims to provide a useful overview and

background on a series of international best practices as well as outlining processes and tools for their application. The analysis is structured around different stages of the project cycle (from design and implementation to closure) and integrates best practices for screening, mitigation plans, monitoring, disclosure and grievance management.

This document, initially designed as internal guidance for development cooperation officers, is now made accessible to a broader public. Since the time of its drafting, other safeguard mechanisms have been developed and are key to look at in complement, such as the criteria of the EU Taxonomy determining the conditions under which investments by European financial institutions can qualify as contributing substantially to the protection and restoration of biodiversity and ecosystems – as well as determining criteria to understand whether activities cause no significant harm to any of the other environmental objectives of the Taxonomy Regulation.

We hope this report can help guide the systematic social assessment of tourism project proposals in conserved areas and more broadly of nature-based tourism projects. This is a first and essential step to ensure that social considerations are integrated into decision-making processes and guide stakeholder engagement, with the objective of enhancing the quality of project proposals and local ownership. Ultimately, beneficiaries of this analysis should be local populations associated with tourism development.

Chantal Marijnissen
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Box 1: Definition of social safeguards

Social safeguards are essential tools to prevent and mitigate undue harm to people during the development of a project or activity. When identifying and designing a project, safeguards should help assess the possible environmental and social risks and the impacts (positive or negative) associated with a development intervention. During project implementation, safeguards should help define measures and processes to effectively manage risks and enhance positive impacts.^a

a. Adapted from Food and Agriculture Organisation of the United Nations (FAO) *Environmental and social safeguards*

2. Background and scope

2.1 Overview

This social safeguards document provides measures to protect indigenous and local populations from being harmed by tourism initiatives in protected areas. It is based on the principle that tourism should respect human rights, avoid infringing these rights and address any negative impacts which it causes or to which it contributes.

2.2 Objectives

Tourism projects may have both positive and negative consequences for communities that live in and around protected areas. Protected area managers, project proponents and community members should be made aware of these possibilities during the design phase, risks should be identified, and then actions should be taken to reduce the chance of their taking place.

The objectives of this social safeguard for protected area tourism include to:

- Guide the systematic social assessment of tourism project proposals in protected areas and their buffer zones.
- Contribute to integrating social considerations into the decision-making process.
- Help assess the possible social risks and the impacts (positive or negative) associated with a tourism development intervention.
- Help define measures and processes to effectively manage risks and enhance positive impacts.
- Guide stakeholder engagement to enhancing the quality of project proposals and increase local ownership.

The focus of this document is to describe social safeguards for protected area tourism, and to provide links to resources elaborating social standards.

2.3 Scope of application

Structure and use of the safeguard: This guideline is structured around two main sections. One provides background on a series of social safeguard standards (section 3), and another outlines the process and tools for their application (section 4). The process is structured around different stages of a project cycle (i.e. design, implementation, and end of project) for easy integration. The key terms used throughout the document are explained in the glossary (see Table 1), and further reading materials are shared in boxes throughout the text, and also in Annex 1.

Audience: The safeguard is intended for use by protected area authorities, managers and employees, to support how they address the impacts of tourism projects on indigenous and local populations. A protected area authority will decide whether the process is conducted by representatives of the protected area (e.g. a project lead within the organization), by an external project developer, or by an independent auditor. In addition, it is recommended for a project appraisal committee with independent representation to provide an impartial review. The safeguard content and process should be clearly communicated among tourism project proponents and affected communities.

Intended beneficiaries: Ultimately, beneficiaries should be local populations associated with tourism projects and activities, or Project Affected Communities (PACs). These could be communities living in a protected area or its buffer zone, where a tourism project is planned.

Geographical scope: The measures apply to protected areas and their buffer zone (i.e. areas under the control or management of protected area managers) across sub-Saharan



Box 2: Process to develop this document

This safeguards document was developed by combining international guidance from reputable sources, with guidance and expertise from protected area representatives working with PACs. These resources and consultees are indicated in footnotes throughout.

A literature review was conducted of safeguard and risk management documents from institutions including World Bank Group and WWF, and also reports relating to PACs from protected areas in central Africa. Consultations took place with experts from the European Union, practitioners and protected area managers from across Africa. The consultees were working on the interface between protected areas and local communities, and the process was used to collate further experiences and knowledge. A series of online workshops were used to review and validate the safeguard with stakeholders. Their comments were integrated within this report (see Annex 3 for consultee details). Three rounds of peer review also took place within the European Commission between 2019 and 2023.

Africa. The area of influence includes those likely to be affected by³:

- Activities and facilities directly owned, operated or managed as parts of a project (e.g. buildings developed for tourists to use).
- Impacts from unplanned but predictable developments caused by the project. These may take place later, or even in a different location (e.g. higher local costs if tourism facilities buy up local produce for their clients, immigration of people seeking work).
- Indirect project impacts on biodiversity or on ecosystem services that livelihoods are dependent on (e.g. water resources or grazing land).
- Facilities associated with the tourism project that would not have been developed without it (e.g. new or improved access roads).
- Impacts throughout a tourism project's life cycle (e.g. during the planning, design, construction, opening, operation, decommissioning phases, and even after closure).

- Cumulative or synergistic impacts that result from the incremental impact on resources (e.g. the impact of multiple tourism initiatives using the same groundwater aquifer and affecting water availability for people).

Types of tourism projects: The types of tourism projects that the safeguard for protected areas applies to include large-scale infrastructure or substantial tourism that may have socio-cultural effects. They include tourism projects that protected area authorities conduct themselves (i.e. insourced) or those implemented by external parties (i.e. outsourced).⁴ For example, projects may include developing accommodation for visitors by a private sector operator (such as a safari lodge or campsite), or infrastructure services to support them undertaken by the protected area authority (such as a restaurant or visitor centre).

⁽³⁾ Adapted from IFC (2012) Performance standard 1: Assessment and management of environmental and social risks and impacts

⁽⁴⁾ For detailed information on outsourcing, tourism concessions, and partnerships, please refer to the Convention on Biological Diversity guidelines (in English, French, Spanish, and Portuguese) and UNDP guidelines (in English).

Table 2: Social principles and standards

Principles	Standards
Principle 1: Human Rights Principle 2: Gender Equality Principle 3: Stakeholder Engagement and Participation	Standard 1: Community Health, Safety and Working Conditions. Standard 2: Cultural Heritage Standard 3: Involuntary Resettlement and Access Restrictions Standard 4: Indigenous Peoples

3. Safeguards for indigenous and local communities

This social safeguard is based on overarching principles and standards for tourism projects (see Table 2), which are described in this section.

3.1 Principles

3.1.1 Principle 1: Human rights

Projects should comply with national law, and obligations under international law. They should also be underpinned by overarching principles of human rights, gender equality, stakeholder engagement and participation.

Human rights are central to sustainable development, poverty alleviation and the fair distribution of development opportunities and benefits. There should be universal respect for, and observance of, human rights and fundamental freedoms for all, in compliance with the Universal Declaration of Human Rights.⁵ These rights were given legally binding status through the United Nations through the International Covenant on Civil and

Political Rights⁶, and the International Covenant on Economic, Social and Cultural Rights⁷. The Declaration on the Right to Development further states that the right to development is an inalienable human right, and that nation's duties to improve the well-being of all should be on the basis of active, free and meaningful participation in development and fair distribution of its benefits.⁸ The United Nations Guiding principles on Business and Human rights⁹ provide foundational and operational principles on state duty and corporate responsibility for human rights, and access to remedy. These principles are the standard used in general and sectoral EU Due Diligence legislation. Human rights education aims to build a universal culture of human rights. It provides knowledge about human rights and the mechanisms that protect them, and promotes universal values, such as equality and non-discrimination, human dignity, and respect for others.¹⁰

A human-rights-based approach ensures that human rights are achieved and fulfilled throughout the design, implementation, monitoring and evaluation of development policies and

⁽⁵⁾ Charter of the United Nations, Article 1, para. 3, cited in UNDP (2014) Social and environmental standards, Standard 3: Community health, safety and working conditions, p23-26

⁽⁶⁾ UN (1966) International Covenant on Civil and Political Rights

⁽⁷⁾ UN (1966) International Covenant on Economic, Social and Cultural Rights

⁽⁸⁾ UN (1986) Declaration on the Right to Development

⁽⁹⁾ UN (2011) Guiding principles on business and human rights, Implementing the United Nations' 'Protect, respect and Remedy' framework Available at: https://www.ohchr.org/sites/default/files/documents/publications/guidingprinciplesbusinesshr_en.pdf

⁽¹⁰⁾ UN Human Rights Regional Office for Europe (2018) Making a difference: An introduction to human rights

Box 3: Resources on human rights

- UN (1948) [Universal Declaration of Human Rights](#)
- UN (1966) [International Covenant on Civil and Political Rights](#)
- UN (1966) [International Covenant on Economic, Social and Cultural Rights](#)
- UN (1986) [Declaration on the Right to Development](#)
- UN (2011) [Guiding principles on business and human rights](#)
- UN Human Rights Regional Office for Europe (2018) [Making a difference: An introduction to human rights](#)
- UNDP (2014) [Social and environmental standards, Principle 1: Human rights, p. 9](#)
- OHCHR Manual: [“Making a Difference: An introduction to Human Rights”](#)
- OECD (2018) [Due Diligence Guidance for Responsible Business Conduct](#)

Box 4: Resources on gender equality

- Inter-American Development Bank (2010) [Operational policy on gender equality in development](#)
- UNDP (2014) [Social and environmental standards, Principle 2: Gender equality and women’s empowerment, p. 10](#)
- UNDP (2018) [Gender Equality Strategy 2018-2021](#)

programmes.¹¹ Projects should uphold the principles of accountability and the rule of law, participation and inclusion, and equality and non-discrimination (including race, ethnicity, gender, age, language, disability, sexual orientation, religion, opinion, origin, property, birth, indigenous person or a member of a minority.¹² Furthermore, implementing the OECD’s Due Diligence Guidance for Responsible Business Conduct recommendations can help enterprises avoid and address adverse impacts related to workers, human rights, the environment, bribery, consumers and corporate governance that may be associated with their operations, supply chains and other business relationships.¹³

3.1.2 Principle 2: Gender equality

Projects should promote gender equality and women’s empowerment, including advocating for women’s and girls’ human rights, combating discriminatory practices, and challenging the roles and stereotypes that create inequalities and exclusion. Projects should therefore identify and integrate the different needs, constraints, contributions and priorities of women, men, girls and boys. Both women and men are able to participate meaningfully and equitably, have equitable access to project resources, and receive comparable social and economic benefits.¹⁴

3.1.3 Principle 3: Stakeholder engagement and participation

Stakeholder engagement takes place throughout the project cycle, from design phase through to the end of the project. Following a human rights-based approach to development, identification of both right-holders and duty-bearers should be conducted with the appropriate capacity building to make claims and fulfil obligations. There should be meaningful, effective and informed participation of stakeholders in the formulation, implementation, monitoring and evaluation of tourism projects. The types of activity that may take place during the project cycle include stakeholder analysis and planning, dissemination of information, consultation and meaningful participation, dispute resolution and grievance redress.¹⁵

3.1.3.1 Stakeholder identification and analysis

Stakeholders that may be affected by the tourism project need to be identified. They may include:

- **Local communities:** Communities living in or near protected areas should be the main social focus of protected area management plans, municipal and district development plans.¹⁶ They may be directly affected by the protected area, or indirectly through the flow of ecosystem

⁽¹¹⁾ European Commission (2014) Commission staff working document. Tool-box. A rights-based approach, encompassing all human rights for EU Development cooperation. SWD (2014) 152 final

⁽¹²⁾ UNDP (2014) Social and environmental standards, Principle 1: Human rights, p. 9

⁽¹³⁾ OECD (2018) Due Diligence Guidance for Responsible Business Conduct, Available at: <https://www.oecd.org/corporate/mne/due-diligence-guidance-for-responsible-business-conduct.htm>

⁽¹⁴⁾ UNDP (2014) Social and environmental standards, Principle 2: Gender equality and women’s empowerment, p. 10

⁽¹⁵⁾ Adapted from UNDP (2014) Social and environmental standards

⁽¹⁶⁾ World Bank (2005) Transfrontier conservation areas and tourism development project, Mozambique, Process framework, Draft, March 3rd 2005



*Ba'Aka community member, Dzanga-Sangha protected area complex in Central African Republic
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Box 5: Definition of indigenous peoples

Indigenous peoples are a distinct social and cultural group characterised by:

- Self-identification as members of a distinct indigenous cultural group and recognition of this identity by others;
- Collective attachment to geographically distinct habitats or ancestral territories in the project area and to the natural resources in these habitats and territories;
- Customary cultural, economic, social, or political institutions that are separate from those of the mainstream society or culture; or
- A distinct language or dialect, often different from the official language or languages of the country or region in which they reside.

The United Nations Declaration of the Rights of Indigenous Peoples^a (Article 31.1) advocates that “Indigenous peoples have the right to maintain, control, protect and develop their cultural heritage, traditional knowledge and traditional cultural expressions, as well as the manifestations of their sciences, technologies and cultures, including human and genetic resources, seeds, medicines, knowledge of the properties of fauna and flora, oral traditions, literatures, designs, sports and traditional games and visual and performing arts”.

a. United Nations. (2016). 2007 UN declaration on the rights of indigenous peoples. Retrieved from <https://www.un.org/development/desa/indigenouspeoples/declaration-on-the-rights-of-indigenous-peoples.html>

services from it.¹⁷ Community stakeholders may include individuals including representatives (e.g. community leaders), or community-based organisations (e.g. women’s groups, farmers’ groups, community forums). Local communities may include indigenous peoples (see **Box 5**).

- **Project Affected Communities (PACs):** These are the communities affected or specifically targeted by the project, noting that not all local communities may be affected. The affected communities may have little real influence over tourism projects, or of conservation in a protected area, but they may have the highest interests in both (e.g. for opportunities for employment, or to sell their products and services, human wildlife conflict, cultural heritage etc.). There may be particular people within these

communities who are specifically affected (i.e. Project Affected People), who may be rights-holders, or who may self-determine that they are affected (and therefore should be consulted).

- **External stakeholders:** These stakeholders tend to have influence over the outcomes of tourism project, and over what PACs will gain or lose as a result of planning and implementing them. These include government at national, provincial and local level; NGOs; and other stakeholders who are influential and have varying interests in the outcomes of tourism projects.¹⁸ As with PACs, external stakeholders may also self-determine that they wish to be included within stakeholder engagement processes.

⁽¹⁷⁾ Adapted from SADC (2019) Guidelines for community engagement in Southern African Development Community Transfrontier Conservation Areas, Final Draft, SADC Transboundary Use and Protection of Natural Resources Project;

⁽¹⁸⁾ World Bank (2005) Transfrontier conservation areas and tourism development project, Mozambique, Process framework, Draft, March 3rd 2005

Box 6: Examples of stakeholder engagement platforms of protected areas

DRC:^a Stakeholders have been brought together under the “Virunga Alliance” which brings together public authorities, civil society and the private sector in North Kivu around a shared vision of development. The Alliance has three goals: conservation of natural resources, poverty reduction and peace building. The Alliance embodies a genuine community will to use development as a lever to restore peace and prosperity, and as long-term solution to end the violence. The development strategy aims to make sustainable use of the park’s most valuable assets to create value for the benefit of its neighbouring communities.

Gabon:^b Laws governing the establishment and management of national parks provide for the creation of local management consultative committees (CCGL, after their French name, Comité Consultatif de Gestion Local). These bring together different platforms of populations living around parks (e.g. civil society, economic, administrative and village platforms). However, because national park creation was a top-down process, the involvement of local populations in the management of parks is not very effective, and so the rights are not necessarily guaranteed to local populations. Although tourism concession agreements indicate that royalties should be paid, in part, to the CCGL to finance social projects, but the space granted to the concessionaire is not discussed with populations. Under the social protection policy, local populations have a legitimate right over areas conceded for tourism investments, and should be included in negotiations for park concessioning.

Tanzania:^c Wildlife Management Areas (WMA) are established through a process that integrates stakeholder engagement. A village assembly agrees to form a WMA based on village council recommendations of what land to donate. Villages form a representative community-based organization, and agree to make by-laws and register it with the Ministry of Home Affairs, The CBO develops a strategic plan for the WMA, land use plans, by laws, and conducts environmental impact assessments. WMAs develop either a 5-year resource zone management plan or a 10-year general management plan zoning use (such as tourism) in the WMA. The CBO applies to the Wildlife Director for Authorised Association (AA) status, and is gazette. The AA then applies to the Wildlife Director for user rights to wildlife in the WMA, and a hunting block if desired. The AA enters investment agreements with tourism operators and others.

a. Institut Congolais pour la Conservation de la Nature Parc National des Virunga (2019) op. cit.

b. Pers. Com, C. Johnson-Ogoula, Agence nationale des Parcs Nationaux Gabon

c. WWF (2014) Tanzania’s wildlife management areas: A 2012 status report, Dar es Salaam

Many protected areas have established platforms to discuss management issues of the protected area with local communities. These can be used to identify stakeholders for specific tourism projects, and also to engage and communicate with them (see **Box 6**).

A matrix can be created to describe and analyse the stakeholders, which includes:¹⁹

- Their interests in and expectations from the tourism project.
- How they might influence the project (positively or negatively).
- How their livelihoods could be impacted by the project (positively or negatively).
- How they should be involved in the tourism project.
- How and they should be involved in stakeholder consultation).
- When they should be involved (e.g. design, implementation and at the end of the project, or throughout).

3.1.3.2 Stakeholder engagement and participation

An example of a stakeholder identification process and matrix applied in Malawi is included in Annex 4.

Engagement with stakeholders – including PACs – should be characterized by a broad, inclusive, and continuous processes, and engagement should last for the entire life of a project.²⁰ Some principles of proactive PAC engagement include the following:²¹

- **Don’t wait for problems to emerge to engage.** Engaging with PACs from the start of the project design phase supports the cultivation of robust relationships that are helpful during challenging times.
- **Integrate opportunities for livelihood support in the project, including through access to jobs, training, sales of goods and services, equity and ownership of tourism project entities, or renting land or property to tourism proponents (see Table 3).** Such benefits can be planned and integrated into the design of a project.

⁽¹⁹⁾ IUCN (2016) Social impact assessment (SIA) Guidance note, ESMS Manual, Version May 2016

⁽²⁰⁾ IFC (2007) Stakeholder engagement: A good practice handbook for companies doing business in emerging markets

⁽²¹⁾ Adapted from IFC (2007) Stakeholder engagement: A good practice handbook for companies doing business in emerging markets; World Bank (2005) op. cit. WWF (2019) WWF Environmental and social safeguards: Overview document, Version 1.0; Frascaroli, F. (undated) Case study: Recognising millennial of cultural and spiritual heritage at the Majella National park, Abruzzo, Italy; IFC (2012) Performance standard 7: Indigenous peoples

Box 7: Guidelines on stakeholder consent, participation, inclusion and collaboration for sacred natural sites^a

Sacred Natural Sites are ‘areas of land or water having special spiritual significance to peoples and communities’.^b The IUCN Guidelines on Sacred Natural Sites provide best practice guidelines on stakeholder consent, participation, inclusion and collaboration. These are:

- Ascertain the free, prior and informed consent of appropriate custodians before including sacred natural sites within new formal protected areas and protected area systems and when developing management policies affecting sacred places.
- Ensure that state or other stakeholder involvement in the management of sacred natural sites is with the consent and voluntary participation of appropriate custodians.
- Make all efforts to ensure the full inclusion of all relevant custodians and key stakeholders, including marginalized parties, in decision-making about sacred natural sites, and carefully define the processes for such decision-making, including those related to higher level and national level policies.
- Recognise that different groups have different levels of legitimacy in decision-making about sacred natural sites.
- Where relevant and appropriate, use conflict management, mediation and resolution methods to promote mutual understanding between traditional custodians and more recent occupants, resource users and managers.

- a. Wild, R. and McLeod, C. (Editors) (2008) *Sacred Natural Sites: Guidelines for Protected Area Managers*. Gland, Switzerland: IUCN.
- b. Oviedo, G. and Jeanrenaud, S. (2007) *Protecting sacred natural sites of indigenous and traditional peoples*, In Mallarach, J. M. and Payayannis, T. (eds) *Protected areas and spirituality*, IUCN and Publicacions de l'Abadia de Monsterrat, Gland, Switzerland.

- **Consider how to engagement with different social groups.** Some social groups (i.e. men, women, youth, elderly, leaders, etc.) separately to ensure they can express their own needs and priorities without inhibitions. Ensure that consultation and communication is culturally sensitive, conducted in local languages, and uses approaches to encourage participation and gather all views (e.g. clustered focus group).
- **Provide relevant information** that is in a form and language that is understandable to the stakeholders. Capacity of PACs can be strengthened so that they can interface better with the project proponent, and so generate better cooperation and benefits. Sometimes there is need to recognize that this process can be biased without any prior capacitation about rights in Free, Prior and Informed Consent (FPIC), local communities’ consultation. Rights awareness is a precondition to empower individuals to establish as a group their collective rights, and indigenous peoples are among the most discriminated and marginalised groups.²² Human rights education should empower individuals of any age to promote, defined and apply human rights in their daily lives.²³
- **Ensure engagement is timely, and at regular intervals** during the project cycle, and allow sufficient time for discussion and decision-making.
- **Use consultation within established planning processes to engage with communities** in protected areas and their buffer zones. These may include strategic environmental assessment; macro or spatial zoning; integrated development planning, and environmental and social impact assessments.
- **See opportunities for meaningful and beneficial participation in tourism:** There are many ways that tourism projects can be designed to provide positive opportunities for local people, ranging from revenue sharing to jobs (see **Table 3**). These can be used to strengthen local livelihoods and reduce poverty. Economic development and poverty reduction opportunities and trainings should be integrated into the project, incorporating conservation awareness and related responsibilities.²⁴

⁽²²⁾ Pers. Com. Sebastien Porter, European Commission

⁽²³⁾ UN Human Rights Regional Office for Europe (2018) *Making a difference: An introduction to human rights*. pp 13

⁽²⁴⁾ Pers. Com. Ahmed Youssouf, Parc National Coelocanthe, Comoros

Table 3: Examples of beneficial participation of local people in tourism²⁵

Type of participation	Examples
Receive a proportion of protected area user fees (e.g. entrance fees)	Central African Republic (CAR)^a: 40% of revenues from park entrances are paid to the municipality for achievements of general interest. Rwanda: Virunga Volcanoes National Park shares 5% of tourism revenue with local communities. Between 2005 and 2008, USD 428,000 of this money was used on social projects in local communities.^b Uganda: National parks allocate 20% of entrance fees to local communities. For Bwindi Impenetrable Park between 1996 and 2009, USD 178,901 was spent from this allocation plus USD5 from every gorilla permit. It was used on local administration buildings, education, feeder roads, health, income generation projects and fighting crop raiding.^c
Rent of land or delegation of use rights to tourism projects	South Africa:^d Xaus! Lodge in the Kgalagadi Transfrontier Park is owned by the #Khomani San and Mier Community Trust and managed by the private company Transfrontier Parks Destinations, through a contract between the community Trust and the company. Botswana^e: In the Okavango Delta, Vumbura and Little Vumbura Camps pay annual lease fees to the Okavango Community Trust that escalate by 5% per year. Kenya^f: Satao Elerai Lodge is in the Elerai Conservancy. The operator pays the conservancy lease fees, conservation fee (USD 20 per visitor, per night), USD 8 bednight fee, USD 15 per visit to a cultural village.
Employment by outside investor	Chad: The dedicated staff drawn from PACs around Zakouma National Park have benefited from training and internships at hotel facilities in the country and abroad. São Tomé and Príncipe: The capacity of park guides at Obô Natural Parks has been strengthened to provide quality ecotourism services to visiting local and foreign tourists. South Africa^g: In the Makuleke's contractual national park inside the Kruger National Park, Pafuri Camp employs around 52 permanent staff members, and 94% of them (including the senior management staff) are from the Makuleke community. Employees from the community receive approximately USD 298,000 in wages and related benefits annually, collectively.

a.. Results retrieved from responses to written questionnaire provided by WWF CAR

b. Nielsen, H., & Spenceley, A. (2011). The success of tourism in Rwanda: Gorillas and more. In P. Chunhan-Pole & M. Angwafo (Eds.) *Yes Africa Can: Success stories from a dynamic continent* (231–249). Washington, DC: World Bank.

c. Tumusiime, D. M., & Vedeld, P. (2012). False promise or false premise? Using tourism revenue sharing to promote conservation and poverty reduction in Uganda. *Conservation and Society*, 10(1), 15–28.

d. Snyman, S. and Spenceley, A. (2019) *Private sector tourism in conservation areas in Africa* CABI

e. Snyman, S. and Spenceley, A. (2019) *Private sector tourism in conservation areas in Africa* CABI

f. Snyman, S. and Spenceley, A. (2019) *Private sector tourism in conservation areas in Africa* CABI

g. Snyman, S. and Spenceley, A. (2019) *Private sector tourism in conservation areas in Africa* CABI

(25) Obô Parque Natural, União Europeia (2019) op. cit., Ministère du Tourisme et des Parcs Nationaux (2009) Plan de Directeur du développement de l'écotourisme 2008–2015, Neary, J., Machnik, L., Edwardsen, M., Kates, R. Service forestier des Etats-Unis (2009) Rapport de mission, Elaboration de la politique nationale du Gabon pour l'écotourisme, Janvier 2009, Ministère de l'Environnement, de la Salubrité et du développement durable, Office Ivoirien des parcs et réserves (2015) op. cit., Parc National de Zakouma (2018) op. cit., European Union (2016) op. cit., Institut Congolais pour la Conservation de la Nature Parc National des Virunga (2019) op. cit.

Table 3: Continued

Type of participation	Examples
Supply of goods and services	Chad: Workers from PACs around Zakouma National Park are employed to maintain tourism infrastructure. CAR^h: Related activities such as rentals of rolling stock (vehicles, canoes, horse riding, etc.) and motels, restaurants are also sources of job generation and income. Rwanda: Associated with Ruzizi Lodge in Akagera National Park, the Umoja Women's Cooperative was provided with training on tailoring and basket weaving, and generated sales of USD 1,700, including through the Akagera Curio Shop. South Africa: A major objective at the outset of the tourism concessions program of South African National parks was the economic empowerment of historically disadvantaged individuals and groups. Empowerment bids are sought during the tender process. Within tenders, 20% of the points used to rate bids were allocated to empowerment plans. These in turn were weighted in relation to: (i) shareholding by historically disadvantaged individuals or groups (40%); (ii) training and affirmative action in employment (20%), and (iii) business and economic opportunities for local communities (40%).
Community - private sector joint venture	Mozambique^k: Anvil Bay is a lodge on the coast of the Maputo Special Reserve. The government of Mozambique awarded a 50-year concession to the Ahi Zameni Chemucane Association (AZC), a community association, which in turn has a 25-year agreement with the Chemucane Tourism Company (CTC), a JV company, to develop and operate the lodge. The CTC has 40% ownership by AZC, which was financed by a grant from the World Bank and a loan from the Ford Foundation administered by the African Safari Foundation. The AZC receives lease fees, a bed levy, preferential employment, and operational goods are sourced locally where possible. Namibia: Doro Nawas Camp is a joint-venture between private sector operator Wilderness Safaris and the Doro !Nawas Conservancy. Wilderness Safaris has a 55% shareholding in the camp, with the conservancy holding the remaining 45%.
Independent community enterprise	Democratic Republic of Congo (DRC): Around Virunga National Park there has been support to develop and diversify tourism products offered by PACs. This includes support to develop new tourism attractions including Lulimbi pedestrian and ornithological circuits aiming particularly at the specialist market of 'birdwatchers'. Tourism infrastructure development offered in PACs includes: housing (e.g. lodges, tent camps, cottages); access trails (e.g. hiking trails, motorized trails). South Africa^m: 56 Tsonga women have been hand-harvesting salt at the Soutini Hot Spring at Baleni in Limpopo for many years, but this tradition was threatened by machine-harvesting and a lack of interest from the younger generation. Transfrontier Parks Destinations (TFPD) helped identify consumers interested in buying Baleni salt and provided a simple chain of distribution for Baleni salt to reach these markets. Since then the TFPD Foundation have increased the producer price of salt by 50% in 2014 and generated a sale of 375 kg over and above what the harvesters typically produced in a year.

h.. Results retrieved from responses to written questionnaire provided by WWF CAR

i. Snyman, S. and Spenceley, A. (2019) *Private sector tourism in conservation areas in Africa* CABI

j. Spenceley, A. (2004) *Responsible nature-based tourism planning in South Africa and the commercialization of Kruger National Park*, in Diamantis, D. (ed) *Ecotourism: management and assessment*, Thomson Learning, London, pp267-280

k. Snyman, S. and Spenceley, A. (2019) *Private sector tourism in conservation areas in Africa* CABI

l. Snyman, S. and Spenceley, A. (2019) *Private sector tourism in conservation areas in Africa* CABI

m. Spenceley, A., Rylance, A., Nanabhay, S. and van der Watt, H. (2016) *Operational Guidelines for Community-based Tourism in South Africa*, Department of Tourism: Republic of South Africa

Table 3: Continued

Type of participation	Examples
Individual local enterprise	South Africaⁿ: Grootbos Private Nature Reserve has set up enterprises to provide quality products to both the lodge and its guests. The Siyakhula Growing the Future Organic Farm employs 12 people who supply the lodge with fresh produce, bottled water, honey and candles. South Africa^o: Phinda Private Game Reserve in KwaZulu-Natal is a partnership between the Mngobokazi and Makhasa communities and the tourism operator andBeyond. The company also sources a variety of services from members of the community, including staff transport, staff catering and shops, cultural entertainment, community tours, bush clearing and alien plant control, refuse removal, supply of fresh produce to lodges, and the production of artisanal crafts from local weavers.

- n.. Spenceley, A., Rylance, A., Nanabhay, S. and van der Watt, H. (2016) *Operational Guidelines for Community-based Tourism in South Africa*, Department of Tourism: Republic of South Africa
- o. WWF (2014) *Getting financed: 9 tips for community joint ventures in tourism*. World Bank Group: Washington DC.



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Consultation in Madagascar with protected area officials and project affected communities regarding proposed tourism concessions
 Photo credit: © Hitesh Mehta (Reproduced with permission)

Participatory processes aim at gathering information to ensure that plans are based on the realities on the ground, and also establishing consensus about how a project will impact on communities, and defining boundaries.²⁶ Approaches to consultation that can be effective include face-to-face interviews, focus groups discussions, and workshops. These may be used in combination with each other. For example²⁷:

- **Face-to-face interviews with local leaders and recognised traditional authorities**, for individual consultation on strategic-level issues and to obtain a high-level understanding of local policy, social and cultural issues affecting communities as a whole.
- **Consultation with groups** of project-affected people to raise awareness about the participatory planning process and objectives of the project, explain policy and procedures for planning and assessment, and build trust in the participatory process itself.
- **Workshops** can be used to quickly gather information and brainstorm options, or to generate agreement and validate them. For example, they can be used to review draft proposals before they are finalized.

⁽²⁶⁾ Adapted from World Bank (2005) op. cit.

⁽²⁷⁾ Adapted from World Bank (2005) op. cit.



Box 8: Examples of participatory approaches used in practice

São Tomé and Príncipe^a: Obô Natural Parks have created a small support scheme for local communities to implement green enterprise that value local natural resources. They have also created a multi-stakeholder Community-based Management Committee involving local communities in the governance and management of the buffer zone and facilitated the exchange of information between the various stakeholders.

Côte d'Ivoire^b: Participatory approaches have been used at Tai National Park to identify and map tourism potential and products; establish a monitoring system for the PAC members who benefit from tourism; and to ensure equitable sharing of the benefits of tourism.

CAR^c: A dialogue framework has been set up called the Aire Protégée Dzanga-Sangha (APDS) Reflection and Exchange Framework involving all stakeholders and is set up for a grassroots consultation on all conservation and development issues. In addition, the local arbitration committee of the APDS is a decision-making process that allows APDS to consult the population at the base and define the broad directions of the protected area. The APDS management authority plays a vital role in protecting local populations in that they not only implement the Community Development and Rights Strategy that works for the social well-being of the population, but also in establishing partnerships with human rights NGOs such as the House of The Pygmy Child and Woman (MSEFP) which has set up the Human Rights Centre which works to protect the indigenous peoples of Ba'Aka and Sangha Sangha.

Madagascar^d: During the development of a tourism concessions program for 14 national parks in 2019 by IUCN, consultations took place with protected area managers, local community representatives, community-based organisations and non-governmental organisations (NGO). This was mainly done through face-to-face meetings and interviews and also online questionnaires.

Malawi^e: Between 2021 and 2023 a Tourism Development Plan for Nkhotakota Wildlife Reserve (NWR) was prepared^f under a long-term partnership between the United States Forest Service (USFS) and African Parks, with support from USAID/Malawi. The purpose of the plan was to provide a ten-year strategic framework and action plan to guide tourism development in the reserve, and shape actionable opportunities for tourism-related job creation for the reserve's nearby communities. Consultation processes included a series of participatory planning workshops with a broad range of stakeholders including representatives of local communities.

a. *Obô Parque Natural, União Europeia (2019) op. cit.*

b. *Ministère de l'Environnement, de la Salubrité et du développement durable, Office Ivoirien des parcs et réserves (2015) op. cit.*

c. *WWF (2014) Tanzania's wildlife management areas: A 2012 status report, Dar es Salaam*

d. *Results retrieved from responses to written questionnaire provided by WWF CAR*

e. *Spenceley, A. Pawliczek, M. and Fabricius, M. (2019) Value chain linkages for concessionaires in Madagascar National Parks, Report to IUCN and Madagascar National Parks*

f. *Massyn, P.J. and Spenceley, A. (2022) Nkhotakota Wildlife Reserve Tourism Development Plan, USAID, USFS*

Box 9: Resources on participatory approaches, consultation and engagement

- European Commission (2014) [Commission staff working document. Tool-box. A rights-based approach, encompassing all human rights for EU Development cooperation](#)
- Food and Agriculture Organisation of the United Nations (FAO) [Free prior and informed consent: An indigenous people's right and a good practice for local communities: Manual for practitioners](#)
- IUCN (2016) [Social impact assessment \(SIA\)](#) Guidance note, ESMS Manual, Version May 2016
- IFC (2007) [Stakeholder engagement: A good practice handbook for companies doing business in emerging markets](#)
- Pretty J N. (1995) [Regenerating Agriculture: Policies and Practice for Sustainability and Self-Reliance](#). Earthscan Publications Ltd, London
- Wild, R. and McLeod, C. (Editors) (2008) [Sacred Natural Sites: Guidelines for Protected Area Managers](#). Gland, Switzerland: IUCN.
- WWF (2019) [Environmental and Social Safeguards: Integrated policies and procedures](#)
- UN Human Rights Regional Office for Europe (2018) [Making a difference: An introduction to human rights](#)

3.2 Standard

Use of the social standards is established during the screening process, to establish what risks and impacts the project has, and which standards are triggered. As background, an overview of potential negative social impacts of protected area tourism on communities that can take place is provided in Table 4.

Table 4: Potential negative impacts of protected area tourism on communities²⁸

Area of impact	Examples of potential consequences
Social and cultural	
Traditions	<i>Commodification and demeaning of ceremonies</i> that are re-enacted for tourists, causing changes in arts, crafts, dress, festivals for display. <i>Disruption of traditional patterns and timing of cultural and religious ceremonies.</i> <i>Deterioration of workmanship of crafts</i> as increased volumes are made for tourists.
Psychology	The “<i>demonstration effect</i>” whereby people change their behaviour by observing others in hopes of achieving what they perceive to be a higher status; may lead local people to imitate tourists but become disillusioned. <i>Offence</i> caused to residents when confronted by inaccurate depiction of their cultures or inappropriate behaviour from tourists, resulting in xenophobia and conflict between communities and tourists.
Crime and stability	<i>Destabilisation of communities</i>, leading to increased crime, prostitution, gambling, begging, alcohol and drug use. <i>Sexual exploitation</i> of women and youths. <i>Displacement and resettlement</i> of local communities deemed incompatible with tourism development.

⁽²⁸⁾ Leung, Y-F, Spenceley, A, Hvenegaard, G, and Buckley, R. (eds.) (2018) Tourism and visitor management in protected areas: Guidelines for sustainability. Best Practice Protected Area Guidelines Series No. 27, Gland, Switzerland: IUCN

Table 4: Continued

Area of impact	Examples of potential consequences
Social and cultural	
Roles	Tension and loss of self-esteem, especially for men and older generations who are not actively involved in the tourism industry.
Economic	
Employment	<i>Employment options may be menial</i> , with low wages and low skills requirements, offering little opportunity for advancement and training of local people. <i>Seasonal job losses</i> during low seasons.
Local business development	<i>Economic leakage</i> , when a large portion of foreign exchange earnings from tourism is repatriated (i.e. is taken out of the country by an international investor), hindering local business development. <i>Seasonality of business</i> may cause difficulties for enterprises during low seasons.
Diversification	<i>Opportunity costs</i> of forgoing other revenue-generating industries with which tourism may be incompatible, such as agriculture or mining. <i>Dependency on tourism</i> , making the economy vulnerable, with service and product providers at risk if there is a downturn in visitation (e.g. due to political unrest, disease outbreaks, or natural disaster). <i>Unequal distribution of benefits</i> , as when they are accrued by a small, elite group. <i>Inflation</i> , through which destinations in tourism growth regions may become too expensive for staff (e.g. housing or food prices may rise, as the tourists and project proponents may be willing to pay more for them).

3.2.1 Standard 1: Community health, safety and working conditions

Project activities, equipment, and infrastructure can increase community exposure to risks and impact, and this standard aims the need to reduce these. Respect of workers' rights and safe working conditions are keystones for a strong and productive workforce.²⁹

Application: The standard aims to anticipate and avoid adverse impacts on local communities from hazards caused and/or exacerbated by activities during the project cycle. These may include landslides, contamination, disease, or injuries caused by the accidental collapse or failure of project structures. It aims to respect and promote the right to decent work, fair treatment, non-discrimination, and equal opportunity for workers, and to avoid the use of forced labour and child labour (as defined by the ILO).³⁰

Requirements: Projects should be compliant with national labour and occupational health and safety laws, obligations under international law, and also be consistent with the

principles of the International Labour Organization (ILO) conventions, including freedom of association, elimination of discrimination in employment and occupation, elimination of forced or compulsory labour, and elimination of the worst forms of child labour.³¹

Project workers should be protected from accident, injury or illness associated with exposure to hazards encountered in the workplace, using preventative and protective measures.³² If security personnel are engaged to project facilities, their operations should not violate human rights or their safety and security. Infrastructure safety should be assured through the design and construction by competent professionals and approved by competent authorities.³³

Appropriate plans and training should be provided for emergency preparedness, including response procedures, equipment, and designated responsibilities. These may be differentiated for women, men, youth, the elderly and potentially marginalized groups.³⁴

⁽²⁹⁾ UNDP (2014) Social and environmental standards, Standard 3: Community health, safety and working conditions, p23-26

⁽³⁰⁾ UNDP (2014) Social and environmental standards, Standard 3: Community health, safety and working conditions, p23-26

⁽³¹⁾ UNDP (2014) Social and environmental standards, Standard 3: Community health, safety and working conditions, p23-26

⁽³²⁾ e.g. World Bank (2007) Environmental, health and safety general guidelines

⁽³³⁾ UNDP (2014) Social and environmental standards, Standard 3: Community health, safety and working conditions, p23-26

⁽³⁴⁾ UNDP (2014) Social and environmental standards, Standard 3: Community health, safety and working conditions, p23-26



Box 10: Standards and resources on community health, safety and working conditions

- IFC (2012) [Performance standard 4: Community health, safety and security](#)
- ILO (1996-2020) [Publications on international labour standards](#), including key publications on international labour standards, freedom of association, informal economy, employment policy, youth employment, equality and discrimination, indigenous and tribal peoples.
- ILO (1996-2020) [Conventions and recommendations](#), including freedom of association, right to organize and collective bargaining, forced labour, minimum age, child labour, equal remuneration, and discrimination
- UNDP (2014) [Social and environmental standards](#), Standard 3: Community health, safety and working conditions, p23-26
- World Bank Group (2007) [Environmental, health and safety general guidelines](#)

3.2.2 Standard 2: Cultural heritage

Cultural Heritage is important for current and future generations and should be protected during the course of tourism project activities.

Application: This Standard applies to projects that may adversely impact cultural heritage by being: (i) located in, or in the vicinity of, a cultural heritage site; (ii) involving significant excavations, demolitions, movement of earth, flooding, or other environmental changes; (iii) propose to use tangible or intangible forms of cultural heritage. This Standard applies whether or not the cultural heritage is legally protected, or previously disturbed.³⁵

Cultural heritage refers to (i) tangible forms of cultural heritage, such as tangible moveable or immovable objects, property sites, structures, or groups of structures, having archaeological (prehistoric), paleontological, historical, cultural, artistic, and religious values; (ii) unique natural features or tangible objects that embody cultural values, such as sacred groves, rocks, lakes,

and waterfalls; and (iii) certain instances of intangible forms of culture, defined as the practices, representations, expressions, knowledge, skills – as well as associated instruments, objects, artefacts and cultural spaces – that communities, groups and, in some cases, individuals recognize as part of their cultural heritage.³⁶ Critical cultural heritage consists of one or both of the following types of cultural heritage (i) the internationally recognized heritage of communities who use, or have used within living memory the cultural heritage for long-standing cultural purposes, and (ii) legally protected cultural heritage areas.³⁷

Requirements: Project proponents should identify and protect cultural heritage by ensuring that internationally recognized practices for the protection, field-based study, and documentation of cultural heritage. Where the screening process (see section 4.1.2) determines that there is a chance of impacts to cultural heritage, the project proponents should retain competent professionals to assist in the identification and protection of cultural heritage.³⁸

⁽³⁵⁾ UNDP (2014) Social and environmental standards, Standard 4: Cultural heritage, p27-28

⁽³⁶⁾ UNDP (2014) Social and environmental standards, Standard 4: Cultural heritage, p27-28

⁽³⁷⁾ Adapted from IFC (2012) Performance standard 8: Cultural Heritage

⁽³⁸⁾ Adapted from IFC (2012) Performance standard 8: Cultural Heritage

Box 11: Examples of critical cultural heritage and linkages with tourism

DRC^a: Virunga National Park is home to an abundance of cultural wealth. It includes traditional knowledge, cultural and religious sites, as well as sites of historical value and archaeology. The park helps protect the integrity of places of worship that are important to communities that have traditionally practiced traditional rites and ceremonies to obtain good harvests and abundant fisheries, or to guard against crop damage or volcanic eruptions. This approach perpetuates a strong link between communities and park managers that must be preserved and sustained. The rich culture also led the park management authority to register the park as a cultural value property on the UNESCO World Heritage Site list.

CAR^b: The Aires Protégées de Dzanga-Sangha area demonstrates cultural elements of the Ba'Aka Aboriginal community. They are hunter-gatherers who depend on their sacred forest for their survival. There are Ba'Aka cultural peculiarities such as the Jengi dance in which the Ba'Aka evoke the spirits of the forest for hunting, fishing, fruit gathering or to ensure their protection.

South Africa^c: A South African study of the indigenous South Kalahari Bushmen (≠Khomani) found colonial prejudice towards Bushmen continues even though successful tourism ventures in the region were dependent on the portrayal of the indigenous people to tourists. They found that the “Bushman image and symbolism” have created exchange value and is used in public relations, marketing and branding tourism. In the Baasskap culture, there are paternalistic attitudes towards Bushmen. There is a harsh contrast between luxury lodges and poverty-ridden villagers who do not have secure land tenure, and who provide cheap tourism labour. Because of traditional power dynamics, even cooperative ventures are not fulfilling promises, with few benefits despite the use of their cultural image in tourism’s marketing.

- a. *Institut Congolais pour la Conservation de la Nature Parc National des Virunga (2019) op. cit.*
- b. *Results retrieved from responses to written questionnaire provided by WWF CAR.*
- c. *Koot, S.P. (2016) Contradictions of capitalism in the South African Kalahari: Indigenous Bushmen, their brand and baasskap in tourism. Journal of Sustainable Tourism, 24(8-9). doi:10.1080/09669582.2016.1158825*

Box 12: Guidelines on stakeholder consent, participation, inclusion and collaboration for sacred natural sites^a

- **Principle 1:** Since domestic and international tourism is among the foremost vehicles for cultural exchange, conservation should provide responsible and well-managed opportunities for members of the host community and visitors to experience and understand that community’s heritage and culture at first-hand.
- **Principle 2:** The relationship between heritage places and tourism is dynamic and may involve conflicting values. It should be managed in a sustainable way for present and future generations.
- **Principle 3:** Conservation and tourism planning for heritage places should ensure that the visitor experience will be worthwhile, satisfying and enjoyable.
- **Principle 4:** Host communities and indigenous peoples should be involved in planning for conservation & tourism.
- **Principle 5:** Tourism and conservation activities should benefit the host community.
- **Principle 6:** Tourism promotion programmes should protect and enhance natural & cultural heritage characteristics.

- a. *ICOMOS (1999) International Sustainable Cultural Tourism Charter.*



Box 13: Standards and resources on cultural heritage

- ICOMOS (1999) [International Sustainable Cultural Tourism Charter](#)
- IFC (2012) [Performance standard 8: Cultural Heritage](#)
- UNDP (2014) [Social and environmental standards](#), Standard 4: Cultural heritage, p27-28
- UNESCO (2003) [Convention for the Safeguarding of Intangible Cultural Heritage](#)

If a tourism project proposes to use cultural heritage, the affected communities will be informed of their rights under the law, the scope and nature of the proposed project its potential consequences and obtain their Free and Prior Informed Consent (FPIC) for the impact. The project will not proceed without meaningful, effective participation of affected communities and unless (i) good faith negotiations with affected communities result in a documented outcome, and (ii) the project provides for fair and equitable sharing of benefits from any commercialization of such knowledge, innovation, or practice, consistent with the affected community's customs and traditions.³⁹

Cultural heritage should not be removed, significantly altered, or damaged. In exceptional circumstances when impacts on critical cultural heritage are unavoidable, the client should use a process of Informed Consultation and Participation (ICP) of the PACs that uses a good faith negotiation process that results in a documented outcome.⁴⁰ ICP involves an in-depth exchange of views and information, and an organized and iterative consultation. The consultation process should (i) capture both men's and women's views, if necessary through separate forums or engagements, and (ii) reflect men's and women's different concerns and priorities about impacts, mitigation mechanisms, and benefits, where appropriate. The process should be documented, including measures taken to avoid or minimize risks to and adverse impacts on PACs.⁴¹

Where potential adverse impacts are unavoidable, appropriate mitigation measures will be identified and incorporated.⁴²

3.2.3 Standard 3: Involuntary resettlement and access restrictions

Wherever possible, project proponents should avoid relocation of people from communally held lands and natural resources subject to traditional ownership or under customary use to make way for tourism. Relocation presents extremely challenging processes, expense, it disrupts livelihoods, and raises human rights concerns (see **Table 5**). Projects should always consider alternative project designs that are feasible to avoid resettlement or access restrictions.⁴³

Application: The standard applies to project activities that may involve physical displacement (i.e. relocation or loss of shelter), whether full or partial and permanent or temporary, or economic and occupational displacement (i.e. loss of assets or access to assets that leads to loss of income sources or means of livelihood) as a result of project-related land or resource acquisition or restrictions on land use or access to resources that people depend on for physical, economic, social, cultural, or spiritual well-being. It also applies to displacement activities occurring for associated facilities (i.e. components that are not funded as part of the project but whose viability and existence depend on the project).⁴⁴

⁽³⁹⁾ UNDP (2014) Social and environmental standards, Standard 4: Cultural heritage, p27-28 and IFC (2012) Performance standard 8: Cultural Heritage

⁽⁴⁰⁾ Adapted from IFC (2012) Performance standard 8: Cultural Heritage

⁽⁴¹⁾ IFC (2012) Performance standard 1: Assessment and management of environmental and social risks and impacts

⁽⁴²⁾ UNDP (2014) Social and environmental standards, Standard 4: Cultural heritage, p27-28

⁽⁴³⁾ Adapted from IFC (2012) Performance standard 7: Indigenous peoples

⁽⁴⁴⁾ UNDP (2014) Social and environmental standards, Standard 5: Displacement and resettlement, p33-35

**Table 5:** Displacement of indigenous populations in five central African countries⁴⁵

Name	Country	Promoter	Total Area in km ²	Impact on local populace	Population	Compensation	Success?
Korup	Cameroon	WWF	1 259	Involuntary resettlement of villages Expropriation	1 465	Yes No	No No
Lake Lobeke NP	Cameroon	WWF	4 000	Expulsion of Pygmy-bands Expropriation	~ 8 000	No Partly	No No
Dzanga-Ndoki NP	CAR	WWF	1 220	Expulsion of Pygmy-bands Expropriation	350	No Partly	No No
Nsoc NP	Equatorial Guinea	ECOFAC	5 150	Expulsion of settlements Expropriation	10 197	No No	No No
Gamba	Gabon	WWF	7 000	Expulsion of settlements Expropriation	~ 12 600	Partly Partly	No No
Ipassa – Mingouli	Gabon	ECOFAC	100	Expulsion of Pygmy-bands Expropriation	110	No Partly	No No
Nouabalé Ndoki NP	Republic of Congo	WCS	3 865	Expulsion of Pygmy-bands Expropriation	~ 5 802	No Yes	No Yes
Odzala NP	Republic of Congo	ECOFAC	13 000	Expulsion of Pygmy-bands Expropriation	9 750	No No	No No

⁽⁴⁵⁾ Cernea, M. M., and Schmidt Soltau, K. (2003). Biodiversity conservation versus population resettlement: Risks to nature and risks to people. Key terms: 2 = A 'Promoter' is an organisation which appealed to and assisted the national government in the implementation of the specific national park. 4 = While 'involuntary resettlement' is an organised approach in which the local population receives assistance through the national government and/or the promoter, an 'expulsion' is a displacement without assistance. A village or settlement is permanently inhabited. 'Expulsion of Pygmy-bands' refers to the expulsion of 'pygmies', which do not utilise permanent settlements, from some parts of the forest utilised and inhabited by them on a temporary basis. 'Expropriation' addresses cases in which the national government or the promoter did not consider common law rights - such as traditional land use titles - as legal title. 6 & 7 = Displacement is noted as a success when all parties involved are satisfied with the outcome of the displacement and the change of land-use patterns. Compensation refers to financial mitigation instruments (according to the 'best practice' of the World Bank = livelihood restoration), which are offered to the resettlers.

Box 14: Example of relocation and resettlement

Chad^a: For Zakouma National Park, the relocation of the Bône village outside the boundaries of the park was initiated by setting up an official inter-ministerial committee guided by the legal framework (Act No. 85 / PR / PM / 2016 of 20 January 2016) and the Prime Minister. The Act was used as a roadmap for the process, and several field missions of the technical committee took place. The relocation of the village was officially decreed and the park was established once this was completed.

Mozambique^b: The Great Limpopo Transfrontier Park was inhabited by around 26 000 people, of whom 700 were to be resettled to the south-east of the park. However, pressure from restrictions on livelihood strategies coupled with increased wildlife meant that some were forced to 'accept' resettlement.

a. *European Union (2016) op. cit.*

b. *Milgroom, J. and Spierenburg, M. (2008) Induced violation: Resettlement from the Limpopo National Park, Mozambique, Journal of Contemporary African Studies, 26 (4), 435-448*

Requirements: Avoid physical and economic displacement, and mitigate displacement impacts and inherent risks when displacement cannot be avoided. A Resettlement Action Plan or Livelihood Action Plan should be developed transparently with the individuals and communities to be displaced (see Box 15 below). The plans should:

- i. Identify the persons who will be displaced by the project, determine who will be eligible for compensation and assistance, and discourage ineligible persons from claiming benefits.
- ii. Identify how the needs and priorities of potentially affected individuals and communities will be met.
- iii. Ensure that fair and just compensation is provided, prior to displacement, for any losses of personal, real or other property or goods, including rights or interests in property recognized by applicable law.
- iv. Establish an adequate budget and time frame for displacement activities.
- v. Establish the entitlements of all categories of affected persons (including host communities).
- vi. Ensure that support is provided for communities to return to pre-displacement locations or status when possible.
- vii. Provide particular attention to the needs of the poor and marginalized and avoid discriminatory activities, including against vulnerable and marginalized groups and individuals.
- viii. Provide to displaced individuals and communities secure access to necessary services, shelter, food, water, energy, and sanitation.
- ix. Clarify tenure rights and provide secure tenure consistent

with applicable law.

- x. Allow for independent monitoring of displacement and resettlement activities.
- xi. Support, as appropriate, efforts to progressively realize rights.⁴⁶

Forced evictions are prohibited. Forced evictions include the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating or limiting the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protection. Lawful evictions are those meeting all of the following criteria: (i) authorized by national law; (ii) carried out in accordance with international human rights law (ii) undertaken solely for the purpose of promoting the general welfare; (iv) reasonable and proportional; and (v) follow due process standards and are regulated to ensure full and fair compensation and rehabilitation⁴⁷.

⁽⁴⁶⁾ UNDP (2014) Social and environmental standards, Standard 5: Displacement and resettlement, p33-35

⁽⁴⁷⁾ UNDP (2014) Social and environmental standards, Standard 5: Displacement and resettlement, p33-35

Box 15: Resettlement and Livelihood Action Plans^a

Resettlement Action Plan: Prior to physical displacement, this includes resettlement options selected by the displaced persons; compensation for the land, property, equipment and business losses; replacement land that is the same or better; opportunities to improve income-earning capacity; sufficient time; relocation assistance; documentation of all transactions.

Livelihood Action Plan: Prior to economic displacement, this plan includes compensation for the loss of assets, or access to them (e.g. land, commercial structures, tenure rights, assets), improve or at least restore their means of income-earning capacity and standards of living.

a. UNDP (2014) *Social and environmental standards, Standard 5: Displacement and resettlement*, p33-35

Box 16: Standards and resources on involuntary resettlement and access restrictions

- AfDB (2003) [Involuntary resettlement policy](#)
- IFC (2012) [Performance standard 5: Land acquisition and involuntary resettlement](#)
- UNDP (2014) [Social and environmental standards](#), Standard 5: Displacement and resettlement, p30-35, including content for a Resettlement Action Plan, and a Livelihood Action Plan
- UN (2007) [UN Basic Principles and Guidelines on Development-based Evictions and Displacement](#)

3.2.4 Standard 4: Indigenous peoples

Indigenous individuals and indigenous peoples or communities are entitled to enjoy and exercise their human rights without discrimination. Indigenous peoples possess collective human rights that are indispensable for their existence, well-being and development as peoples.⁴⁸

Application: This Standard applies to all projects which may affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples regardless of (i) whether the project is located within or outside of the lands and territories inhabited by the indigenous peoples in question, (ii) whether or not title is possessed by the affected indigenous peoples over the lands and territories in question, or (iii) whether the indigenous peoples are recognized as indigenous peoples by the country in question. Indigenous peoples refer to distinct collectives, regardless of the local, national and regional terms applied to them, who satisfy any of the more commonly accepted definitions of indigenous peoples.⁴⁹

Requirements: Respect for domestic and international laws on human rights of indigenous peoples. Indigenous peoples have collective rights to own, use, and develop and control the lands, resources and territories that they have traditionally owned, occupied or otherwise used or acquired, including lands and territories for which they do not yet possess. Indigenous peoples' rights to legal personality is critical to the protection, respect and fulfilment of their human rights. Indigenous peoples should receive equitably shared benefits from the project, in a manner that is culturally appropriate and inclusive and that does not impede land rights or equal access to basic services. Special considerations should be given to gender, and the rights and needs of women and girls; vulnerable and marginalized indigenous peoples; uncontacted and voluntarily isolated indigenous peoples. If it is established that the proposed project may affect rights, lands, resources or territories of indigenous peoples, an Indigenous Peoples Plan should be elaborated (see box below).⁵⁰

⁽⁴⁸⁾ UNDP (2014) *Social and environmental standards*, Standard 6: Indigenous peoples, p36-41

⁽⁴⁹⁾ UNDP (2014) *Social and environmental standards*, Standard 6: Indigenous peoples, p36-41

⁽⁵⁰⁾ UNDP (2014) *Social and environmental standards*, Standard 6: Indigenous peoples, p36-41



Box 17: United Nations Declaration of the Rights of Indigenous Peoples^a

UN Declaration affirms that “Indigenous peoples are equal to all other peoples, while recognizing the right of all peoples to be different, to consider themselves different, and to be respected as such”. Many of the “rights” in the Declaration underpin issues relevant to tourism in protected areas, including:

- The rights to lands and territories (Articles 10 and 25).
- Involvement in decision-making processes (Article 18).
- Involvement in development and employment opportunities (Articles 20, 21).

Article 31.1 of the Declaration advocates that “Indigenous peoples have the right to maintain, control, protect and develop their cultural heritage, traditional knowledge and traditional cultural expressions, as well as the manifestations of their sciences, technologies and cultures, including human and genetic resources, seeds, medicines, knowledge of the properties of fauna and flora, oral traditions, literatures, designs, sports and traditional games and visual and performing arts”.

a. United Nations. (2016). 2007 UN declaration on the rights of indigenous peoples.

Box 18: Indigenous tourism in Africa^a

Ethiopia: Bishangari Naure Reserve is on the shore of Lake Langano. An ecolodge was developed by an Ethiopian family-owned business, using solar power and conserving the adjacent forest. Clean water and a health clinic were provided for local people, and tree planting was supported.

Ghana: The Wechiau Community Hippo Sanctuary is located on the Black Volta River, and is managed by 22 villages of the local Daga, Lobi and Wala people. A community-based ecotourism project was established, and Earthwatch trained local men as tourist guides.

Senegal: The Djoudi National Bird Sanctuary is a Ramsar site in the Senegal River. Local people were removed from the area when the sanctuary was declared, and now there are eight villages surrounding it with people from three main tribal groups: Wolof, Moors and Peuls. Some local people worked as tourist guides for sport hunters. An ecotourism committee coordinates local artisans who sell craft at a sanctuary shop.

Tanzania: Misali Island is a small forest-covered island in the north of Zanzibar. Misali Island Conservation was established, and the island became a community-managed ecotourism site with controlled fishing. Visitor charges offset fishing restrictions with tourism revenue, and these revenues are divided among member villages.

a. Zeppel, H. (2006) Indigenous ecotourism: sustainable development and management, Ecotourism series no. 3, CABI



© Jim Sano

Box 19: Indigenous Peoples Plan inclusions^a

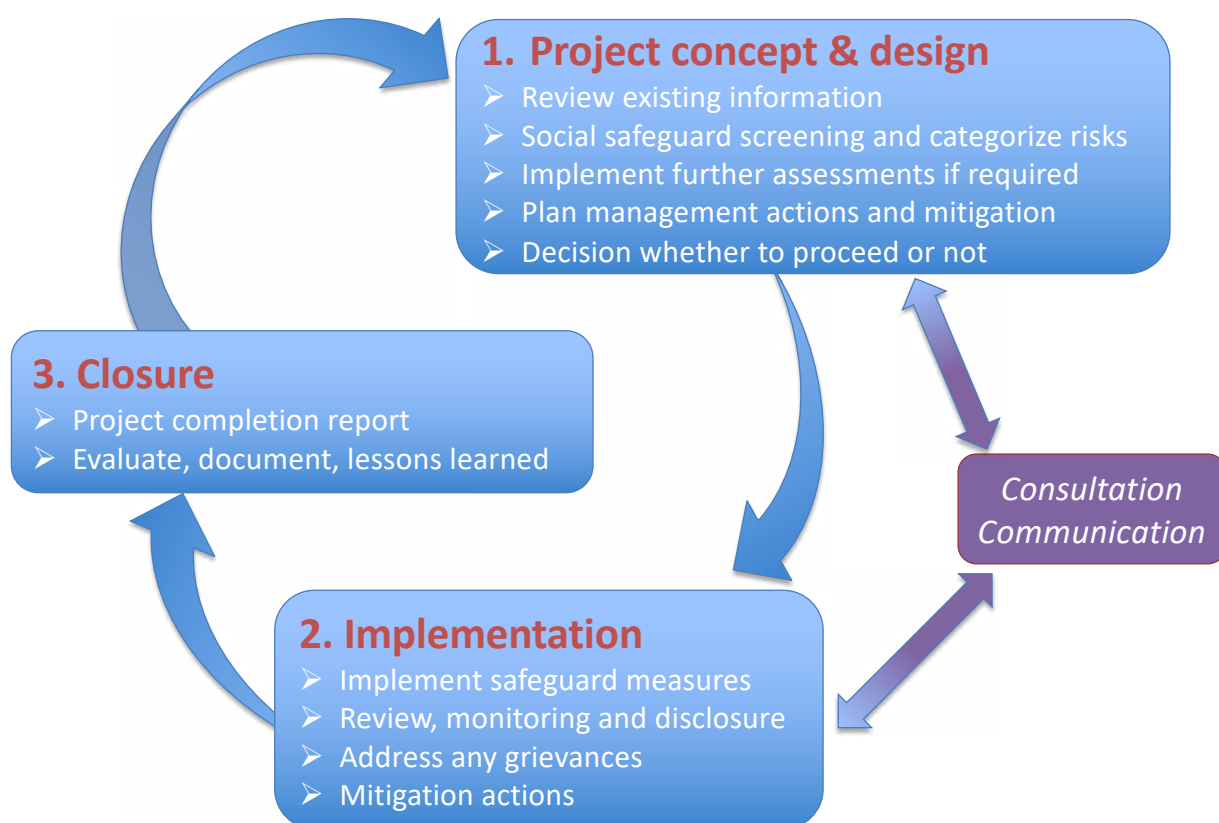
- Description of the project and objectives
- Participatory planning process
- Analysis of impacts on indigenous communities
- Identification of mitigation measures
- Requirements and implementation arrangements

a. IUCN (2017) *Indigenous peoples plan (IPP), Guidance note – Standard on Indigenous peoples*, March 2017

Box 20: Standards and resources on indigenous peoples

- Asia Pacific Forum & UN Human Rights (2013) [The United Nations Declaration on the Rights of Indigenous Peoples: A manual for national human rights institutions](#)
- IFC (2012) [Performance standard 7: Indigenous peoples](#)
- Inter-American Development Bank (2006) [Operational policy on Indigenous peoples and strategy for development](#)
- IUCN (2017) [Indigenous peoples plan \(IPP\), Guidance note – Standard on Indigenous peoples](#), March 2017
- UNDP (2014) [Social and environmental standards](#), Standard 6: Indigenous peoples, p36–41
- UNDP (2012) [Guidelines on Indigenous Peoples and the UN-REDD Guidelines on Free, Prior and Informed Consent](#)
- United Nations (2016) [2007 UN declaration on the rights of indigenous peoples](#)

Figure 1: Safeguard application process

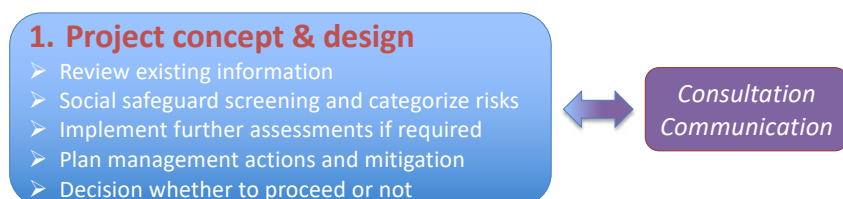


4. Safeguard application process

The safeguard application process is aligned with a typical tourism project cycle: design, implementation, and end of project (see **Figure 1**). This section describes how to undertake this process.

4.1 Project concept and design

Safeguard activities that take place during the project concept and design phase of a tourism project include a review of existing information and social safeguard screening. If substantial social risks are identified, then further assessments may be required, and the development of management actions and mitigation plans. These steps are briefly described here, with links to further guidance information.





4.1.1 Review existing information

Review available information relevant to the tourism project's social aspects, such as planning documents including existing gender, human rights, and social studies; applicable legal and regulatory framework including national laws on indigenous rights; input from stakeholder engagement activities; relevant reports⁵¹. Use these to understand the context for the project, and any potentially negative impacts or risks that need to be further appraised.

The project proponent's institutional internal policies should include senior management commitments to human rights, and rights-based approaches to PACs. If these are not in place already, then Standards 1-4 (see section 3.2) should be embedded within the governance system of the tourism project (see section 4.1.3), to ensure internal compliance to them.

4.1.2 Social Safeguard Screening

A Social Safeguard Screening Tool (see Annex 2) is used to identify and categorise potential social risks, and establish which require further assessment and/or a mitigation plan. This is an important exercise to conduct at the concept and design phase in order to identify important identify likely risks to local communities and indigenous populations (e.g. in relation to human rights, gender equality, and cultural heritage) that need to be addressed over the lifetime of the project.

Screening should be undertaken by a project lead – such a representative of the protected area authority, or the project proponent – or else delegated to an authorised independent expert. The screening should take place in conjunction with stakeholders, including partners and representatives of local and indigenous communities that could be affected by the project (see section 3.1.3 on consultation and participation).

Based on responses to the screening questions, the Social Safeguard Screening Tool is used to highlight potential risks; predict their impact, probability, and significance (i.e. high, moderate, or low: see **Table 6**). The screening process further establishes which of the principles and standards are relevant (see section 3), and what management measures – including mitigation plans – are required.

4.1.3 Further assessments, management actions and mitigation plans

If a project is categorised as Moderate or High Risk, then further social assessments are needed to provide detailed information about the risk, and how it should be avoided, or else minimised, mitigated and managed, or whether it should be cancelled. No further assessments are needed if the project is rated as Low Risk. An overview of assessment tools is provided in **Table 7**.

⁽⁵¹⁾ UNDP (2014) Social and environmental standards, Standard 6: Indigenous peoples, p36-41

Table 6: Overview of risk significance categories⁵²

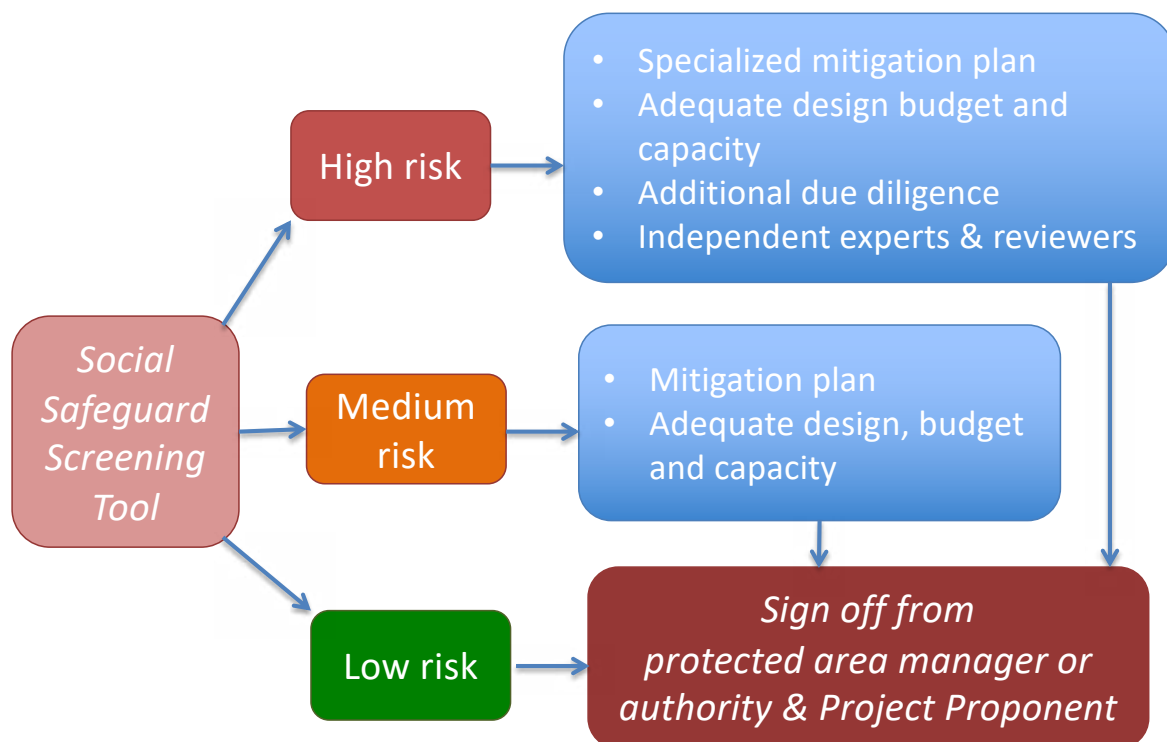
Risk level	Description
High	Potential significant and/or irreversible adverse social risks and impacts, or which raise significant concerns among potentially affected communities and individuals as expressed during the stakeholder engagement process.
Moderate	Activities with potential adverse social risks and impacts, that are limited in scale, can be identified with a reasonable degree of certainty, and can be addressed through application of standard best practice, mitigation measures and stakeholder engagement during Project implementation.
Low	Projects that include activities with minimal or no risks of adverse social impacts.

Table 7: Additional assessment approaches for high and moderate risk projects⁵³

Risk level	Assessment approaches
High	• Strategic social and environmental assessments, including a range of analyses and participatory processes and the interlinkages of economic considerations. • Environmental and social impact assessment, to analyse potential adverse impacts and risks, quantify them, and establish mitigation and management measures to avoid, minimise or manage them. These may be required if there is a high degree of displacement/resettlement, or adverse impacts on rights, lands, and resources of indigenous peoples.
Moderate	• Focused social and environmental assessments specific to the risks and impacts identified. • Risk / hazard assessments to address risk of injury to workers and the public. • Environmental and social audits to review potential risks of the Project's physical facilities, and develop corrective plans.

⁽⁵²⁾ Adapted from UNDP (2015) Social and Environmental Screening Procedure

⁽⁵³⁾ Adapted from UNDP (2015) Social and Environmental Screening Procedure



The assessments are used to establish the management actions and mitigation measures required. These may include Resettlement Action Plans and Livelihood Action Plans (see **Box 15**), Indigenous Peoples Plans (see **Box 19**), Human rights impact assessments, and social and conflict analyses.

Mitigation planning for high- and medium-risk projects is conducted through an inclusive consultative process with PACs (see section 3.1.3.2). These discussions are used to explain possible impacts of the tourism project, and discuss options to address them. Costs associated with the implementation of management and mitigation plans need to be included within project budgets, including actions that may be required to address negative impacts that arise during implementation. The mitigation plans need to be reviewed by qualified safeguard experts before they are finalised and disclosed⁵⁴.

Safeguard documents and mitigation plans should be disclosed to stakeholders before they are finalised. This may include on a protected area or authority website, but PACs may not have access to these. Therefore, the documents should be shared in hardcopy, in the local language and disseminated in a culturally appropriate manner to facilitate awareness of them⁵⁵. They may also include standard operating procedures to embed Standards 1-4 (see section 3.2) within the governance system of the tourism project (see section 4.1.1), to ensure internal compliance to them.

Based on the findings of these assessments, the project proponent and/or protected area may decide to sign off on the project to proceed to implementation, if risks and mitigation plans are deemed acceptable. Alternatively, they may also decide not to proceed with the project if the potential social impacts and risks make the project untenable, particularly where there are no acceptable alternatives. If a project is cancelled, all stakeholders consulted should be informed of the decision, and the reasons for not proceeding.

⁽⁵⁴⁾ Adapted from WWF (2019) WWF Environmental and social safeguards: Overview document, Version 1.0

⁽⁵⁵⁾ WWF (2019) Environmental and Social Safeguards: Integrated policies and procedures

Box 21: Resources on social assessments, management action and mitigation planning

- Asian Development Bank (2012) [Environment Safeguards: A Good Practice Sourcebook \(Draft Working Document\)](#)
- Global Environment Facility (2019) [Policy on environmental and social safeguards](#)
- IFC (2012) [Guidance Note 1: Assessment and Management of Environmental and Social Risks and Impacts](#)
- IFC (2002) [Handbook for creating a Resettlement Action Plan](#)
- IFC (2007) [Stakeholder engagement: A good practice handbook for companies doing business in emerging markets](#)
- IUCN (2017) [Indigenous peoples plan \(IPP\)](#), Guidance note – Standard on Indigenous peoples
- OECD (2018) [Due Diligence Guidance for Responsible Business Conduct](#)
- UNDP (2015) [Social and Environmental Screening Procedure](#)
- World Bank (2005) [The Conflict Analysis Framework](#) (draft)
- WWF (2019) [Environmental and Social Safeguards: Integrated policies and procedures](#); Standard on stakeholder engagement; Procedures for Implementation of standard on stakeholder engagement

2. Implementation

- Implement safeguard measures
- Review, monitoring and disclosure
- Address any grievances
- Mitigation actions



*Consultation
Communication*

During the implementation of the project, the safeguard measures that had been flagged need to be implemented, and consultation and communication with stakeholders should continue (see section 3.1.3.2). Actions identified in the risk mitigation plans should be undertaken and overseen, with recognition that they may need to adapt if circumstances change, or if new activities trigger further safeguard actions⁵⁶. Any conflicts or grievances that arise during implementation should be addressed.

4.2.1 Monitoring

Monitoring is an ongoing process by which stakeholders obtain regular feedback on the progress being made towards achieving their goals and objectives. This can be done by project proponents, in collaboration with protected area authorities and PAC members (see example in **Table 8**). It is recommended that:

- progress and impact monitoring as a joint learning process⁵⁷.
- Written agreements between protected area authorities, tourism project proponents and PAC representatives should be jointly monitored. Where possible community organizations will be responsible for ensuring the compliance of community members⁵⁸.
- The status of vulnerable groups should be regularly monitored through consultation⁵⁹.
- A monitoring and evaluation specialist should be responsible for the development and oversight of all monitoring and evaluation activities.

Compliance with the safeguards, and performance against mitigation plans, should be monitored during the course of the implementation of the project (i.e. including any construction and operation of tourism facilities). This should take place on a regular basis (e.g. quarterly) by a qualified safeguards expert⁶⁰, and with the active participation of PACs.

⁽⁵⁶⁾ Adapted from WWF (2019) WWF Environmental and social safeguards: Overview document, Version 1.0

⁽⁵⁷⁾ World Bank (2005) op. cit.

⁽⁵⁸⁾ World Bank (2005) op. cit.

⁽⁵⁹⁾ World Bank (2005) op. cit.

⁽⁶⁰⁾ Adapted from WWF (2019) WWF Environmental and social safeguards: Overview document, Version 1.0

Table 8: Extract from a mitigation monitoring plan from Swaziland⁶¹

Proposed mitigation measures	Parameters to be monitored	Measurements and equipment	Frequency of measurement	Responsibility	Cost
Pre-construction phase (design and planning): Establish and enforce ecolodge design criteria	Ecofriendly lodge physical design according to well-defined criteria including landscape integration, sustainable use of natural materials, local labour, etc.	Architect review according to defined criteria	At preliminary design stage; if necessary make changes and re-assess	Project proponent for submission, financing facility for review	Architect review (2 hours) USD 400
Establish and enforce social inclusion criteria	Level of participation and ownership of community according to established criteria addressing equity, benefit sharing and access issues	Community expert	At preliminary design stage; if necessary make changes and re-assess	Project proponent for submission, financing facility for review	Community expert 2 hours (USD 200)
Establish and enforce participatory planning criteria	Project specific participatory plan according to sustainability criteria, and including land use zonation map if relevant	Financing facility review with community or planning specialist	At design stage	Project proponent for submission, financing facility for review	Participatory planning process may be supported under project USD 25 000 per community Planning or community specialist as required

Box 22: Monitoring and evaluation systems with local input

Uganda^a: The attitudes of local community members to a 7-year community conservation program around Lake Mburo National Park were assessed. Program activities included dialogue, conflict reduction, education, community resource access and support for community development. Surveys showed that the communities benefiting from the program were significantly more positive towards the park and wildlife than those who did not benefit.

São Tomé and Príncipe^b: Obô Natural Parks have developed a biodiversity monitoring system. As part of this system, community monitoring activities and reporting mechanisms take place involving local eco-guides from buffer zones.

a. Infield, M. and Namara, A. (2008) *Community attitudes and behaviour towards conservation: an assessment of a community conservation program around Lake Mburo National Park, Uganda*, Oryx, <https://doi.org/10.1046/j.1365-3008.2001.00151.x>

b. Obô Parque Natural, União Europeia (2019) *op. cit.*

⁽⁶¹⁾ Government of Swaziland (2015) Swaziland private sector competitiveness project, Environmental and social management framework.



Lodge in a Wildlife Management Area in Tanzania. © Anna Spenceley

Figure 2: Commonly anticipated grievances⁶²

Grievances commonly anticipated for most project types

- Flaws in the consultation process
- Noise and pollution
- Roads and traffic
- Access to natural resources
- Access to project benefits (e.g., no or insufficient jobs created for local communities)

Grievances typical in complex projects

- Access to land, land acquisition, and resettlement
- Influx and in-migration of workers
- Access roads and heavy traffic
- Security forces
- Indigenous peoples

4.2.2 Disclosure

Disclosure is the process of making information accessible to interested and affected parties. Principles of good disclosure include:⁶³

- **Transparency:** Be forthcoming with information whenever possible, and ensure it is accessible. A lack of information can lead to the spread of misinformation about a project that can be damaging to reputations, and may undermine efforts to engage in an informed dialogue with stakeholders.
- **Tell it like it is:** Keep information factual, meaningful and objective. Avoid exaggerating the good news and understating bad news. Provide information in a format and language that is readily understandable and tailored to the target stakeholder group.

- **Manage information on sensitive and controversial issues:** Some issues are particularly sensitive and carry risks to the project if information is not communicated and managed effectively (e.g. land acquisition and resettlement). In these cases, it may be better to release information during face-to-face consultations. In this way, any misinformation and immediate reactions of the affected parties can be addressed right away with the facts.

4.2.3 Grievances

A grievance is a concern or complaint raised by an individual or a group within PACs. Both concerns and complaints can result from either real or perceived impacts of a project's operations⁶⁴. Conflicts or grievances may arise from the implementation of any activities of the tourism project or may already exist (i.e.

⁽⁶²⁾ IFC (2009) Good practice note: Addressing grievances from project-affected communities: guidance for projects and companies on designing grievance mechanisms

⁽⁶³⁾ IFC (2007) Stakeholder engagement: A good practice handbook for companies doing business in emerging markets

⁽⁶⁴⁾ IFC (2009) Good practice note: Addressing grievances from project-affected communities: guidance for projects and companies on designing grievance mechanisms

Box 23: Addressing grievances in national parks

Central African Republic^a: CAR ratified the ILO Convention on Indigenous and Tribal Peoples convention, 1989 (no 169) in 2010^b and the involvement of local communities in the management of tourism activities takes place through the creation of nationally and locally recognised associations. The development of community tourism activities in villages located in and around the Dzanga-Sangha park are measures aimed at avoiding conflicts that might arise in the exercise of ecotourism activities. The park management authority encourages local providers to prevent conflict arising. Village chiefs and neighbourhood chiefs are the first to receive complaints and conduct customary conciliation hearings; otherwise, they refer the matter to the Municipal Council, which may attempt to reconcile the parties in conflict.

a. Results retrieved from responses to written questionnaire provided by WWF CAR

b. See https://www.ilo.org/dyn/normlex/en/f?p=1000:11200:0::NO:11200:P11200_COUNTRY_ID:103381

Box 24: Resources on implementing safeguard frameworks

- Global Environment Facility (2019) [Policy on environmental and social safeguards](#)
- IFC (2009) [Good practice note: Addressing grievances from project-affected communities: guidance for projects and companies on designing grievance mechanisms](#)
- OECD (2018) [Due Diligence Guidance for Responsible Business Conduct](#)
- WWF (2019) [WWF environmental and social safeguards framework: overview document](#)

conflicts between people and wildlife). Conflicts generally arise from poor communication, inadequate or lack of consultation, inadequate flow of accurate information, or restrictions that may be imposed on PAC members⁶⁵. These can often be avoided if project awareness-raising activities will be continued throughout the project in order to reduce misunderstanding.

Training for technical teams and local leaders in conflict management can also assist in minimizing the negative impact of conflicts. PACs should be made aware of their rights and obligations, how to obtain legal advice and representation, and also how to seek redress against unfair practices by investment partners.⁶⁶

Principles of good grievance mechanisms include:

- **Proportional and appropriate:** The scope, form, and level of complexity of a project grievance mechanism should be proportionate to the potential adverse impacts on and interaction with the local communities⁶⁷. The process should use culturally appropriate to handle community concerns. For example, they involve the local community leaders in providing a first level of listening and informal resolution⁶⁸.
- **Accessibility:** Mechanisms should be clear and understandable, so they are accessible to all segments of affected communities at no cost. If people perceive the grievance process to be unclear, difficult, or inappropriate, they are less likely to use it. Grievance procedures work only if they present no (or low) barriers to access by communities.

⁽⁶⁵⁾ World Bank (2005) op. cit.

⁽⁶⁶⁾ Adapted from World Bank (2005) op. cit.

⁽⁶⁷⁾ IFC (2009) op. cit.

⁽⁶⁸⁾ Adapted from World Bank (2005) op. cit.

3. Closure

- Project completion report
- Evaluate, document, lessons learned

- **Transparency and accountability to all stakeholders:** All complainants want to be sure that they are being heard, taken seriously, and treated fairly. They expect consistency and predictability in the process. A grievance mechanism should provide a way for the community to hold the company accountable, to be sure it takes community inputs seriously, deals with them through a clear and transparent process, follows through with actions, and communicates with the community.⁶⁹
- **Appropriate protection.** A grievance mechanism will work when communities are encouraged to share their concerns freely, with the understanding that no retribution will take place if they participate⁷⁰.
- **Grievances with secondary/external stakeholders:** Grievances with secondary or external stakeholders should be presented to the protected area authorities and project proponent. If the issues are not resolvable at this level, they should be transmitted via the local authorities for redress or mediation⁷¹.
- **Timely communication of decisions:** The results of a grievance should be communicated to all relevant stakeholders and structures at the same time for good coordination and awareness purposes. If the community or person that lodged the complaint is not satisfied with the decision, then as an ultimate recourse they may submit it to a further relevant entity (e.g. government department, ombudsman, etc.)⁷².

4.3 Closure

At the end of the project, an evaluation should take place. An evaluation is a rigorous and independent assessment of either completed or ongoing activities to determine the extent to which they are achieving stated objectives and contributing to decision-making⁷⁴. Findings should be documented and disclosed in a way that is understandable to stakeholders (see section 4.2.2). Applying the principles of adaptive management (see **Figure 3**), the lessons learned should be used to adjust and adapt processes for future projects.

Figure 3: An adaptive management cycle: Plan, do, learn⁷³



⁽⁶⁹⁾ IFC (2009) op. cit.

⁽⁷⁰⁾ IFC (2009) op. cit.

⁽⁷¹⁾ Adapted from World Bank (2005) op. cit.

⁽⁷²⁾ Adapted from World Bank (2005) op. cit.

⁽⁷³⁾ Snider, N. P. (2018) Climate change will force us to make tough decisions. Adaptive management can help. <http://blogs.edf.org/growingreturns/2018/08/23/adaptive-management-climate-resilience/> Credit to ESSA Technologies Ltd.

⁽⁷⁴⁾ Adapted from UNDP (2009) Handbook on planning, monitoring and evaluating for development results. New York



5. Conclusion

The objective of this social safeguards document is to provide measures to protect indigenous and local populations from being harmed by tourism initiatives in protected areas.

While the safeguards have been developed based on best practices and consultation with protected area authorities, it is recommended that they are field-tested in pilot protected areas with tourism projects that are in progress, to ensure their functionality and practicality, and that they are compatible with existing protocols in place. Based on the pilots, the safeguards may be adjusted accordingly. Subsequently, effort will be required to raise awareness of the safeguards, potentially through webinar briefings or short trainings.

To be implemented effectively, the safeguards should become an operational document of protected area authorities, and integrated into individual protected areas operational plans and monitoring and evaluation systems.

6. Annexes

6.1 Annex 1

Further reading and links

Institutional safeguards/standards reviewed:

1. IFC / WBG
2. FAO
3. IUCN
4. European Investment Bank
5. WWF
6. Critical Ecosystem Partnership Fund (CEPF)
7. Agence Francaise de Developpement (AFD)
8. African Development Bank (AfDB)
9. European Bank for Reconstruction and Development
10. Inter-American Development Bank
11. GEF
12. United Nations
13. European Commission
14. OECD
15. Articles

Document	Weblink	Notes
1. IFC / WBG		
Environmental and social framework resources	https://www.worldbank.org/en/projects-operations/environmental-and-social-framework/brief/environmental-and-social-framework-resources#guidance-notes	Series of good practice notes for borrowers, templates and checklists (not mandatory or WB policy)
The World Bank Environmental and Social Framework (2017)	http://pubdocs.worldbank.org/en/837721522762050108/Environmental-and-Social-Framework.pdf#page=29&zoom=80	Guidance for borrowers. Use of the Env and Soc Framework; assessment, commitment plan, M&E and reporting, stakeholder engagement.
EES1 Assessment and management of environmental risks and impacts (2018)	http://pubdocs.worldbank.org/en/837721522762050108/Environmental-and-Social-Framework.pdf#page=29&zoom=80	Guidance for borrowers. Use of the Env and Soc Framework; assessment, commitment plan, M&E and reporting, stakeholder engagement.
Performance standards	https://www.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/sustainability-at-ifc/policies-standards/performance-standards	Website with links to IFC environmental and social performance standards - defining client responsibilities for managing env. and soc. risks. Including risk, indigenous peoples, cultural heritage
Performance standard 1: Assessment and management of environmental and social risks and impacts (2012)	https://www.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/sustainability-at-ifc/policies-standards/performance-standards/ps1	Website with link to all Assessment and management of env and soc risks and impacts documents - guidance notes, systems, and implementation resources

6.1 Further reading and links

Document	Weblink	Notes
Performance standard 1: Assessment and management of environmental and social risks and impacts (2012)	https://www.ifc.org/wps/wcm/connect/8804e6fb-bd51-4822-92cf-3dfd8221be28/PS1_English_2012.pdf?MOD=AJPERES&CVID=jiVQlfe	Actual standard document: objectives, scope of application (business activities with env/soc risks or impacts, requirements - identification of risks/impacts; management programs; organisational capacity/competency; emergency preparedness & response; monitoring and review; stakeholder engagement; external comms; ongoing reporting to affected communities;
Guidance note 1: Assessment and management of environmental and social risks and impacts (2012)	https://www.ifc.org/wps/wcm/connect/6df1de8f-2a00-4d11-a07c-c09b038f947b/GN1_English_2012.pdf?MOD=AJPERES&CVID=mRQjKE9	Supports application of the Performance standard 1. Outlines objectives, scope of application, requirements (as per the PS1 contents)
Performance standard 7: Indigenous peoples (2012)	https://www.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/sustainability-at-ifc/policies-standards/performance-standards/ps7	Website with link to all indigenous peoples' documents - guidance notes, systems, and implementation notes
Performance standard 7: Indigenous peoples (2012)	https://www.ifc.org/wps/wcm/connect/3274df05-7597-4cd3-83d9-2aca293e69ab/PS7_English_2012.pdf?MOD=AJPERES&CVID=jiVQlD	Actual standard document: objectives, scope of application, requirements (e.g. avoiding adverse impacts) Free prior and informed consent; mitigation and development benefits; private sector responsibilities where government is responsible for managing indigenous people's issues
Guidance note 7: Assessment and management of environmental and social risks and impacts (2012)	https://www.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/sustainability-at-ifc/policies-standards/performance-standards/ps8	Website with link to all cultural heritage - guidance notes, systems, and implementation notes
Performance standard 8 Cultural heritage (2012)	https://www.ifc.org/wps/wcm/connect/a02b1f32-1d64-4454-a7c4-aac49c-9daa04/PS8_English_2012.pdf?MOD=AJPERES&CVID=jiVQJ7k	Actual standard document: objectives, scope of application, requirements (e.g. protection of cultural heritage in design and execution; project use of cultural heritage)
Guidance note 8: Cultural heritage (2012)	https://www.ifc.org/wps/wcm/connect/cce98f3d-f59e-488f-be59-6456c87d3366/Updated_GN8-2012.pdf?MOD=AJPERES&CVID=mRQk91V	Supports application of the Performance standard 8. Outlines objectives, scope of application, requirements (as per the PS8 contents).
2. FAO		
Environmental and social safeguards	http://www.fao.org/investment-learning-platform/themes-and-tasks/environmental-social-safeguards/en/	Link to Environment and social safeguard documents
Social safeguards	http://www.fao.org/investment-learning-platform/themes-and-tasks/environmental-social-safeguards/social-safeguards/en/	Document with overview of what safeguards are, why you need to know it how policies are applied, and links to examples from other institutions (e.g. AfDB, ADB, IADB, WB, IFAD)
Free prior and informed consent: An indigenous people's right and a good practice for local communities: Manual for practitioners	http://www.fao.org/3/a-i6190e.pdf	Manual defining FPIC, indigenous peoples, key elements of FPIC, when it is required and benefits of the process. Implementation and reflections on organisations

6.1 (Continued)

Document	Weblink	Notes
3. IUCN		
Safeguards: Environmental and social safeguards	https://www.iucn.org/gcf-iucn-partnership/safeguards	Introduction: Image of safeguards (web page)
Social impact assessment (SIA) (2016)	https://www.iucn.org/sites/dev/files/iucn_esms_sia_guidance_note.pdf	Project description, policy framework, stakeholder identification, context, SIA – method, and prediction of impacts, analysis of alternatives, Env and Soc Mgt Plan, stakeholder consultation. Standard on involuntary resettlement & access restrictions. Standard on indigenous peoples
Environmental and social management system	https://www.iucn.org/resources/project-management-tools/environmental-and-social-management-system	Page with various ESMS documents weblinks (including those below) to standards and guidance. Includes ESMS templates (e.g. screening, clearance, ESMP, and reporting incidents. Includes grievance mechanism information and template
Environmental and social management system (ESMS) manual (2016)	https://www.iucn.org/sites/dev/files/iucn_esms_manual.pdf	Manual linked to GEF Policy on Min Env and Soc Standards and Green climate Fund Env and Soc Standards. Includes ESMS principles; and project cycle (screening, Env and SIA, appraisal, clearance, M&E
Social Impact Assessment (SIA) guidance note (2016)	https://www.iucn.org/sites/dev/files/iucn_esms_sia_guidance_note.pdf	Includes method overview (e.g. policy review, stakeholder identification; SIA; analysis of alternatives, plan, consultation, and standards – e.g. involuntary resettlement; indigenous peoples)
Environmental and social management system (ESMS) standard on cultural heritage (2019)	https://www.iucn.org/sites/dev/files/iucn_esms_standard_cultural_heritage-2.1.pdf	Standard linked to GEF Policy on Min Env and Soc Standards and Green climate Fund Env and Soc Standards. Includes conformity/relationship other systems, scope, requirements for projects that (a) risk damage s; (b) restrict access, (c) develop benefits to cultural resources, and WHSs
Indigenous peoples plan (IPP) guidance note (2017)	https://www.iucn.org/sites/dev/files/iucn_esms_ipp_guidance_note.pdf	Note on when IPP needed, its purpose, how developed, (part of SIA), and components it includes
Resettlement action plan (RAP) guidance note (2018)	https://www.iucn.org/sites/dev/files/iucn_esms_rap_guidance_note.pdf	Note on when RAP needed, its purpose, how developed, and components it includes
Stakeholder engagement in IUCN projects guidance note (2019)	https://www.iucn.org/sites/dev/files/esms_stakeholder_engagement_guidance_note.pdf	Note to complement the ESMS policy framework with principles, definitions, diagram of 'intensity of stakeholder engagement' (useful), steps of stakeholder engagement during project cycle (described)
4. European Investment Bank		
Environmental and social standards	https://www.eib.org/attachments/strategies/environmental_and_social_practices_handbook_en.pdf	Assessment & management of env and soc impacts and risks; Cultural heritage, involuntary resettlement, rights and interest of vulnerable groups; Stakeholder engagement

6.1 (Continued)

Document	Weblink	Notes
5. WWF		
Safeguard resources	https://www.worldwildlife.org/pages/safeguards-resources	Website with links to WWF policies and GEF papers (safeguards)
Environmental and social safeguards: Integrated policies and procedures (2019)	https://c402277.ssl.cf1.rackcdn.com/publications/1204/files/original/Safeguards_Manual.pdf?1578070066	Report including WWF policies, standards and procedures - including policies on env. and soc risk management; involuntary resettlement; indigenous peoples, accountability & grievance. Standards on cultural resources, stakeholder engagement, consultation and disclosure & implementation arrangements. Annexes include guidance and procedures
WWF environmental and social safeguards framework: overview document (2019)	https://www.worldwildlife.org/publications/environmental-and-social-safeguards-framework	Outlines WWF's safeguards framework and its policies, standards, risk screening tools and planning documents, as well as the institutional arrangements that make implementation possible. Useful models of 7 core principles (p7) and integration in program/project cycle (p8), screening process (p19)
6. Critical Ecosystem Partnership Fund (CEPF)		
Safeguards	https://www.cepf.net/grants/before-you-apply/safeguards	Website with introduction to CEPFs safeguard policies, what happens when safeguards are triggered, and summaries of safeguard policies. Links to grievance mechanisms, Env and Soc mgt framework, and operational manual. Includes safeguard templates and examples of completed safeguard documents.
Safeguard policies: environmental and social management framework (2017)	https://www.cepf.net/sites/default/files/cepf-environmental-and-social-management-framework-june-2017.pdf	A. Implementation arrangements; process and responsibilities; selection criteria; disclosure; grievance. B. Environmental management framework; D. Indigenous people's planning framework (policy requirements; disclosure; roles and responsibilities); process framework; stakeholder engagement. Useful table (3.6) of safeguard policy and project cycle framework (e.g. process, responsibility e.g. applicant, safeguard, decisions) - adapt for EU
CEPF Operational manual (2017)	https://www.cepf.net/sites/default/files/CEPF-Operational-Manual-updated-2017.pdf	Describes financial management; project management cycle (including the safeguard policies of the Env and Soc Mgt Framework); procedures for grant management; donor council; WB reporting procedures
EIA and EMP - safeguard template (2017)	https://www.cepf.net/node/15511	Word template
7. Agence Francaise de Developpement (AFD)		
Environmental and social risk management policy for AFD funded operations (2017)	https://www.afd.fr/sites/afd/files/2017-10/Environmental-social-risk-management-policy-afd_0.pdf	List of principles

6.1 (Continued)

Document	Weblink	Notes
8. African Development Bank (AfDB)		
Involuntary resettlement policy (2003)	https://www.afdb.org/fileadmin/uploads/afdb/Documents/Policy-Documents/10000009-EN-BANK-GROUP-IN-VOLUNTARY-RESETTLEMENT-POLICY.PDF	Policy and implementation strategies
Environmental and social assessment procedures for AfDB's public sector operations (2001)	https://www.afdb.org/en/documents/document/environmental-and-social-assessment-procedures-17092	Assessment process: country programming; project ID, preparation, appraisal; loan negotiations; implementation, supervision; completion. Responsibilities of borrower etc
9. European Bank for Reconstruction and Development		
Environmental and social policy (2019)	https://www.ebrd.com/news/publications/policies/environmental-and-social-policy-esp.html	Policy, performance requirements
10. Inter-American Development Bank		
Sector policies and sector framework documents	https://www.iadb.org/en/about-us/sector-policies-and-sector-framework-documents	Website with links to other documents, including those below (e.g public consultation, multisectoral policies, sector framework documents including tourism)
Environmental safeguards and compliance policy (2006)	http://idbdocs.iadb.org/wsdocs/getdocument.aspx?docnum=665902	Scope, objectives - mainstreaming environment - aims to enhance social devt. Screening, risk, env assessment requirements (including SEA and Enf and Soc Mgt Plan), consultation, transboundary impacts, natural habitats/ cultural sites;
Implementation guidelines for the Environmental safeguards and compliance policy (2019)	http://idbdocs.iadb.org/wsdocs/getdocument.aspx?docnum=EZSHARE-110529158-95	Environmental mainstreaming; environmental safeguards
Tourism sector framework document (2017)	http://idbdocs.iadb.org/wsdocs/getdocument.aspx?docnum=EZSHARE-112499197-11	Sector framework in context of regulations/strategy; international evidence on effectiveness of policies in tourism (e.g. economic benefits; environmental protection); challenges for the region to address; lessons from bank experience; goal principles, dimensions of success
Operational policy on Indigenous peoples and strategy for development (2006)	http://idbdocs.iadb.org/wsdocs/getdocument.aspx?docnum=2032081	1. Operational policy (definitions, objectives, goals, scope of application, policy directives, implementation, coordination, indicators M&E, entry into force). 2. Strategy (introduction, diagnostic assessment, bank experience, objectives, strategic focus and priorities, implementation, performance indicators)
Operating guidelines for Indigenous peoples policy (IPP) (2019)	http://idbdocs.iadb.org/wsdocs/getdocument.aspx?docnum=EZSHARE-110529158-99	Procedures, definitions, Project cycle
Operational policy on gender equality in development (2010)	http://idbdocs.iadb.org/wsdocs/getdocument.aspx?docnum=35428399	Scope, objectives policy directives (proactive action; preventative) implementation and compliance, monitoring

6.1 (Continued)

Document	Weblink	Notes
Involuntary resettlement (1998)	https://www.iadb.org/en/about-us/about-us-7	Webpage with general information - good summary
Involuntary resettlement in IDP projects - principles and guidelines (2019)	http://idbdocs.iadb.org/wsdocs/getdocument.aspx?docnum=EZSHARE-110529158-97	Base line studies, resettlement plan, project cycle, case studies, methods
11. GEF		
Policy on environmental and social safeguards (2019)	https://www.thegef.org/sites/default/files/documents/gef_environmental_social_safeguards_policy.pdf	Definitions, application, policy requirements (minimum standards; documentation; portfolio monitoring and reporting; conflict resolution), min standards: 1. Env and soc assessment; 2. accountability, grievance and conflict; 5. Indigenous people; 6. Cultural heritage. Good glossary
Guidelines on GEF's policy on environmental and social safeguards (2019)	https://www.thegef.org/sites/default/files/documents/guidelines_gef_policy_environmental_social_safeguards.pdf	
Review of the GEF Policy on Agency Minimum Standards on Environmental and Social Safeguards (2018)	https://www.gefio.org/evaluations/review-gef-policy-agency-minimum-standards-environmental-and-social-safeguards-2017	Safeguards of GEF; Gef 6 social and env risks; safeguard developments & gaps; recommendations
12. United Nations		
Toolkit for UNDP's social and environmental standards	https://info.undp.org/sites/bpps/ses_toolkit/default.aspx	Link to other tools
UNDP Social and Environmental screening procedure (2016)	https://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-screening-procedure/	Screening requirements; completing screening template + Annexed templates
UNDP Social and Environmental standards (2014)	https://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-standards/	Policy and principles; standards (e.g. cultural heritage; displacement; indigenous people) Policy delivery process and accountability
The United Nations Declaration on the Rights of Indigenous Peoples: A Manual for National Human Rights Institutions	https://www.ohchr.org/documents/issues/ipeoples/undripmanualforhris.pdf	Background, context and implementation; domestic activities and functions, international engagement
Study of the problem of discrimination against indigenous populations.	https://www.un.org/esa/socdev/unpfij/documents/MCS_v_en.pdf	Definition, ancestry, culture (religion, tribal system, membership, dress, livelihood), language, group consciousness
International Covenant on Civil and Political Rights	https://www.ohchr.org/en/professionalinterest/pages/cescr.aspx	General assembly resolution

6.1 (Continued)

Document	Weblink	Notes
International Covenant on Economic, Social and Cultural Rights	https://www.ohchr.org/en/professionalinterest/pages/cescr.aspx	General assembly resolution
Declaration on the Right to Development	https://www.ohchr.org/en/professionalinterest/pages/righttodevelopment.aspx	General assembly declaration
Making a difference: An introduction to human rights	https://europe.ohchr.org/_layouts/15/WopiFrame.aspx?sourcedoc=/Documents/Publications/MakeADifference_EN.pdf&action=default	Introduction to human rights, including definitions of key terms, mechanisms, freedomsprotection of specific groups, universal issues, 2030 Agenda for Sustainable Development
Guiding principles on business and human rights	https://www.ohchr.org/sites/default/files/documents/publications/guidingprinciplesbusinesshr_en.pdf	Provide foundational and operational principles on state duty and corporate responsibility for human rights, and access to remedy. The principles are the standard used in general and sectoral EU Due Diligence legislation.
13. European Commission		
Commission staff working document. Tool-box. A rights-based approach, encompassing all human rights for EU Development cooperation	https://europa.eu/capacity4dev/public-gender/documents/rba-toolkit	Underlying concepts, common misunderstandings, how to apply an RBA, working principles, checklists
14. OECD		
Due Diligence Guidance for Responsible Business Conduct	https://www.oecd.org/corporate/mne/due-diligence-guidance-for-responsible-business-conduct.htm	Provides practical support to enterprises on the implementation of the OECD Guidelines for Multinational Enterprises by providing plain-language explanations of its due diligence recommendations and associated provisions. Implementing these recommendations can help enterprises avoid and address adverse impacts related to workers, human rights, the environment, bribery, consumers and corporate governance that may be associated with their operations, supply chains and other business relationships. The Guidance includes additional explanations, tips and illustrative examples of due diligence.
15. Articles		
Social Safeguards in REDD+: A Review of Existing Initiatives and Challenges	https://www.researchgate.net/publication/270126924_Social_Safeguards_in_REDD_A_Review_of_Existing_Initiatives_and_Challenges	Brief overviews of various international level social and environmental safeguards
Can REDD+ social safeguards reach the 'right' people? Lessons from Madagascar	https://www.sciencedirect.com/science/article/pii/S095937801630005X	Social safeguard processes to mitigate negative impacts of REDD+ are being developed and can learn from existing safeguard procedures such as those implemented by the World Bank.

6.2 Annex 2

Social safeguard screening tool^a

Contents

- Social Safeguard Screening Tool
- Part A: Project Information
- Part B: Social Risk Screening Checklist
- Part C: Identifying and Managing Social Risks
- Part D: Final Sign Off
- Annex 1: IUCN Protected area categories and governance (p.42)

PART A: Project information

Project & Protected area information		
1. Project title		
2. Project Proponent / Lead	Note: The Lead may be from the protected area authority (insourced projects) or an external party (outsourced projects)	
3. Project Partners		
4. Project description	e.g. up to 200 words briefly describing the project, including the project type (e.g. accommodation, visitor centre, support infrastructure, concession program etc.)	
5. Estimated start & end dates	Start:	End:
6. Protected area		
7. IUCN Protected Area Category: (See Annex 1 for explanation)		Ia Strict nature reserve
		Ib Wilderness area
		II National park
		III Natural monument or feature
		IV Habitat/species management area
		V Protected landscape or seascape
		VI Protected areas with sustainable use of natural resources

a. This tool is adapted from the UNDP (2015) Social and Environmental Screening Procedure, and the WWF (2019) WWF Environmental and Social Safeguards Screening Tool for Landscapes and Seascapes, v1.0 August 2019

PART A: Project information

Project & Protected area information	
8. Protected area governance: (See Annex 1 for explanation)	Governance by government
	Shared governance
	Private governance
	Governance by indigenous peoples and local communities
9. Location of project	e.g. include location in relation to country, protected area/s and buffer zone, GPS coordinates. Attach a map of the protected area including the site/s of the tourism project.
10. Extent of project	e.g. area of direct, and indirect impact, in hectares or km ² in the protected area and/or buffer zone
11. Population	Approximate figure within the protected area/buffer zone
12. Communities	Describe communities (e.g. villages, cities and towns, displaced peoples' settlements and other) and/or indigenous peoples)
13. Livelihoods	Describe the 3-5 most important community livelihoods

PART B: Social risk screening checklist

Answer **yes/no** to the following questions

Checklist Potential Social Risks	Answer (Yes/No)
Principle 1: Human Rights	
1. Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	
2. Is there likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ^a	
3. Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	
4. Is there likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	
5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	

- a. Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

PART B: Social risk screening checklist

Checklist Potential Social Risks	Answer (Yes/No)
6. Is there a risk that rights-holders do not have the capacity to claim their rights?	
7. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	
8. Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	
Principle 2: Gender Equality and Women's Empowerment	
1. Is there likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	
2. Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	
3. Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	
4. Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?	
Principle 3: Stakeholder engagement and participation	
1. Have stakeholders that may be affected by the tourism project been identified? (i.e. local communities, project affected communities, indigenous peoples, external stakeholders)	
2. Has a project stakeholder analysis been carried out and documented – identifying not only stakeholders' interests in the Project, their rights and their influence but also whether they might be affected by the Project?	
3. Does the stakeholder analysis differentiate between women and men, where relevant and feasible?	
4. Has information about the Project – objectives, activities, sites and potential risks – been shared with stakeholders?	
5. Have consultations been held with relevant groups to discuss the Project concept and risks?	
6. Were women involved or consulted separately?	
7. Were consultations conducted in a culturally appropriate way?	
8. Did the consultations involve stakeholders that might be negatively affected by the Project?	
9. Have results of the consultations been documented?	
10. Were results used to inform the Project design?	

PART B: Social risk screening checklist

Checklist Potential Social Risks	Answer (Yes/No)
Standard 1: Community Health, Safety and Working Conditions	
3.1 Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	
3.2 Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	
3.3 Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	
3.4 Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	
3.5 Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	
3.6 Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	
3.7 Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	
3.9 Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	
3.8 Does the Project involve support for employment or livelihoods that may fail to comply with national and international labour standards (i.e. principles and standards of ILO fundamental conventions)?	
Standard 2: Cultural Heritage	
4.1 Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	
4.2 Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	
Standard 3: Involuntary Resettlement and Access Restrictions	
5.1 Would the Project potentially involve temporary or permanent and full or partial physical displacement?	
5.2 Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	
5.3 Is there a risk that the Project would lead to forced evictions? ^b	
5.4 Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	

- b. *Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.*

PART B: Social risk screening checklist

Checklist Potential Social Risks	Answer (Yes/No)
Standard 4: Indigenous Peoples	
6.1 Are indigenous peoples present in the Project area (including Project area of influence)?	
6.2 Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	
6.3 Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognised as indigenous peoples by the country in question)?	
6.4 Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	
6.5 Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	
6.6 Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	
6.7 Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	
6.8 Would the Project potentially affect the physical and cultural survival of indigenous peoples?	
6.9 Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	

PART C. Identifying and managing social risks

Answer the questions in order:

QUESTION 1: What are the Potential Social Risks?

Describe briefly potential social and environmental risks identified in Part B: The Risk Screening Checklist (based on any “Yes” responses). *If no* risks have been identified in part B then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.

QUESTION 2: What is the level of significance of the potential social risks?

- For guidance, see tables i and ii on page 7
- Table i provides guidance on rating the ‘impact’ of a risk, considering the type and location of the Project; magnitude and intensity; manageability; duration; reversibility; community involvement
- Table ii provides guidance for determining ‘Significance’ of Risk
- Note: Respond to Questions 3 and 4 (on page 8) before proceeding to Question 5

QUESTION 3: What is the overall Project risk categorization?

Indicate whether the project is low, moderate or high risk

QUESTION 4: Based on the identified risks and risk categorization, what requirements are relevant?

Indicate which of the principles and standards apply

QUESTION 5: What social assessment and management measures have been conducted and/or are required to address potential risks?

This question is in the same table as Questions 1 and 2 on page 6. Complete this for or Risks with Moderate and High Significance

PART C. Identifying and managing social risks

QUESTION 1: What are the Potential Social Risks? Note: Describe briefly potential social and environmental risks identified in Part B: The Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in part B then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.		QUESTION 2: What is the level of significance of the potential social risks? (see tables i and ii below) Note: Respond to Questions 3 and 4 below before proceeding to Question 5			QUESTION 5: What social assessment and management measures have been conducted and/or are required to address potential risks? (for Risks with Moderate and High Significance)?
Risk Description	Risk Description	Probability (1-5)	Significance (Low, Moderate, High)	Comments	Description of assessment and management measures as reflected in the Project design
Risk 1:					
Risk 2:					
Risk 3:					
Risk 4:					
Etc					

Table i. Guidance for Question 2, on the impact and probability of a risk

Rating the ‘impact’ of a risk			Rating the ‘probability’ of a risk
Note: Consider the type and location of the Project; magnitude and intensity; manageability; duration; reversibility; community involvement			
Score	Rating	Indicative social impacts	Rating
5	Critical	Significant adverse impacts on human populations. Adverse impacts high in magnitude and/or spatial extent (e.g. large geographic area, large number of people, transboundary impacts, cumulative impacts) and duration (e.g. long-term, permanent and/or irreversible); adverse impacts to rights, lands, resources and territories of indigenous peoples; involve significant displacement or resettlement; impacts may give rise to significant social conflict	Expected
4	Severe	Adverse impacts on people of medium to large magnitude, spatial extent and duration more limited than critical (e.g. predictable, mostly temporary, reversible). The potential risk impacts of projects that may affect the human rights, lands, territories, and traditional livelihoods of indigenous peoples are to be considered at a minimum potentially severe.	Highly likely
3	Moderate	Impacts of low magnitude, limited in scale (site-specific) and duration (temporary), can be avoided, managed and/or mitigated with relatively uncomplicated accepted measures	Moderately likely
2	Minor	Very limited impacts in terms of magnitude (e.g. small affected area, very low number of people affected) and duration (short), may be easily avoided, managed, mitigated	Not likely
1	Negligible	Negligible or no adverse impacts on communities and/or individuals.	Slight

Table ii. Guidance for determining ‘Significance’ of Risk

Impact	5	High	High	High	High	High
	4	Moderate	Moderate	High	High	High
	3	Low	Moderate	Moderate	Moderate	Moderate
	2	Low	Low	Low	Low	Low
	1	Low	Low	Low	Low	Low
		1	2	3	4	5
Probability						

Key to ‘Significance’ categories

High	Potential significant and/or irreversible adverse social risks and impacts, or which raise significant concerns among potentially affected communities and individuals as expressed during the stakeholder engagement process.
Moderate	Activities with potential adverse social risks and impacts, that are limited in scale, can be identified with a reasonable degree of certainty, and can be addressed through application of standard best practice, mitigation measures and stakeholder engagement during Project implementation
Low	Projects that include activities with minimal or no risks of adverse social impacts.

QUESTION 3: What is the overall Project risk categorisation?		
Select one	Comments	
Low Risk		
Moderate Risk		
High Risk		

QUESTION 4: Based on the identified risks and risk categorisation, what requirements are relevant?

Check all that apply		Comments
Principle 1: Human Rights		
Principle 2: Gender Equality and Women's Empowerment		
Principle 3: Stakeholder Engagement and Participation		
Standard 1. Community Health, Safety and Working Conditions		
Standard 2. Cultural Heritage		
Standard 3. Involuntary Resettlement and Access Restrictions		
Standard 4. Indigenous Peoples		

PART D: Final sign off

Signature	Date	Description
Project proponent		
Protected area management		
Protected area authority		

Annex 1: IUCN protected area categories and governance

- **A protected area** is defined by IUCN as clearly defined geographical space, recognised, dedicated and managed, through legal or other effective means, to achieve the long-term conservation of nature with associated ecosystem services and cultural values. The IUCN protected area management categories are a global framework for categorizing the variety of protected area management types (see Annex 1).
- **A buffer zone** is described as an area around a core protected area that is managed to help maintain protected area values. For example, a buffer zone may include a forest at the edge of a protected area that is open to community use under nature-friendly controls that do not impact on the aim of conservation. Typically a category V or VI protected area surrounding a more strictly protected core (I–IV) (see table below). In some countries, buffer zones are legally declared as part of the protected area^a

IUCN Protected Area Category ^b	Primary goal and protected value(s)	Approach to tourism and visitor use
Ia) Strict Nature Reserve	Biodiversity or geoheritage protection (ecological and scientific values)	Public access only possible through organised scientific, citizen science or volunteer service programmes
Ib) Wilderness Area	Protection of the natural character and condition of unmodified or slightly modified areas (wilderness and ecological values)	- Low-density, self-reliant visitor use is often a management objective - Restricted public access in terms of amount of use, group size, activity, etc. - Tourism activity limited and highly regulated (e.g. through special use permits)
II) National Park	Protection of an ecosystem and its large-scale ecological processes (ecological, recreation and community values)	- Visitor use and experience is often a management objective - A range of recreation opportunities typically provided through zoning, facility development and visitor services (countries have marked differences in their attitudes to tourism accommodation within protected areas)
III) Natural Monument	Conservation of specific natural features (ecological, recreation and community values)	- Visitor use and experience is often a management objective - Recreation opportunities are typically provided to facilitate feature protection and public understanding
IV) Habitat/ Species Management Area	Conservation through management intervention (ecological, community and recreation values)	- Recreation visitation and commercial tourism are usually management objectives - A range of recreation opportunities is provided with associated facilities and services - Commercial tourism common for wildlife viewing
V) Protected Landscape/ Seascape	Landscape / seascape conservation (community, ecological and recreation values)	- Tourism is usually a management objective - A range of recreation opportunities is provided with associated facilities and services - Commercial tourism common
VI) Managed Resource Protected Area	Sustainable use of natural ecosystems (community, recreation and ecological values)	- Recreation visitation and commercial tourism can be key objectives - A range of recreation opportunities is provided with associated facilities and services - Commercial tourism common

- a. Dudley, N., Shadie, P. and Stolton, S. (2013). *Guidelines for Applying Protected Area Management Categories*. Best Practice Protected Area Guidelines Series No. 21. Gland, Switzerland: IUCN
- b. Table adapted from Leung et al, (2018) op. cit, based on Dudley, N. (ed.) (2008). *Guidelines for Applying Protected Area Management Categories*. Gland, Switzerland: IUCN. Accessed 1 April 2018; Dudley, N., Shadie, P. and Stolton, S. (2013). *Guidelines for Applying Protected Area Management Categories*. Best Practice Protected Area Guidelines Series No. 21. Gland, Switzerland: IUCN.; and Spenceley, A., Kohl, J., McArthur, S., Myles, P., Notarianni, M., Paleczny, D., Pickering, C., Turner, K., Bhutia, P. and Worboys, G. L. (2015). *Visitor management*. In: G. Worboys, M. Lockwood, A. Kothari, S. Feary and I. Pulsford (eds.), *Protected Area Governance and Management*,

The IUCN category should be based around the primary management objective(s), which should apply to at least three-quarters of the protected area (the 75% rule).

Governance of protected areas

The management categories are applied with a typology of governance types – a description of who holds authority and responsibility for the protected area. IUCN defines four governance types:

- Governance by government: Federal or national ministry/agency in charge; sub-national ministry/agency in charge; government-delegated management (e.g. to NGO)
- Shared governance: Collaborative management (various degrees of influence); joint management (pluralist management board; transboundary management (various levels across international borders)
- Private governance: By individual owner; by non-profit organisations (NGOs, universities, cooperatives); by for-profit organisations (individuals or corporate)
- Governance by indigenous peoples and local communities: Indigenous peoples' conserved areas and territories; community conserved areas – declared and run by local communities

For more information on the IUCN definition, categories and governance type, see the 2008 *Guidelines for applying protected area management categories* which can be downloaded at: www.iucn.org/pa_categories

6.3 Annex 3 Consultees

Consultation (2019) and validation (2020)

Country	2019 Consultation	2020 Validation
Algeria		Ilham Loucif Kabouya
Angola		Aristófanés Romão da Cunha Pontes
Benin		Ir Ferdinand Claude KIDJO José Pliya Junior Ohouko Yves Olatoundji
Botswana		Cyril Taolo Gaogakwe Phorano Lisa Blanken
Burkina Faso		Dieudonné YAMEOGO

Consultation (2019) and validation (2020)

Country	2019 Consultation	2020 Validation
Burundi		Hatungimana Berchmans
Cameroon		Lekealem Joseph Ndenga Mikeng Edmond
Central African Republic	ARRANZ Luis Bruce BAKOULA Claude MBENGONO David FEIKERAM Dieudonné NDOMATE Eric ROKOSSE KAMOT Feddy BIZZO-KASSOUKA Florent Zowoya Fred DOUI Gertrude ZOUTA Jérémie BERE Jose Carlos Bario de PEDRO Joseph Marie TCHISSIKOMBRE Norbert BOGBEGATE ORTEGA Nuria Rod CASSIDY Urbain Romuald KAPETO Yvon-jules NDANGO	ARRANZ Luis Claude MBENGONO Fred DOUI Jose Carlos Bario de PEDRO ORTEGA Nuria Waliwa Nestor
Chad		Abdramane CHAIBO HAMID
Comoros		Fouad Abdou Rabi Youssef Elamine Youssef Mbechezi
Congo (Brazzaville)		Frédéric Lambert BOCKANDZA-PACO
Cote d'Ivoire		Adama TONDOSSAMA Alain ROUSSEAU Brice NEHOUN Djafarou TIOMOKO Louis DIABATE Marc VICENS Marie-Reine KONE Vincent BELIGNE
Democratic Republic of the Congo	Anaclet BUDAHERA Arnold Jacques de Dixmude Benjamin Balengolo Carmen NIBIGIRA Constant Bopima Didier Bolamba Elisee Butalale Emma STOKES Emmanuel DE MERODE Fidèle RUZIGANDEKWE Gloria GLORBIT Julie WILLIAMS Kapaya Ali B Aruani Karim GISAGARA Paul Lemvo Raphael Maneka Simon STANDAERT Thierry Normand Victor Mazangama Yves Shirimpumu	Arnold Jacques de Dixmude Ben Ebuela Balongelwa Constant Bopima Cosma Wilungula Elisee Butalale Emma STOKES Emmanuel DE MERODE Joseph Mapilanga Tsaramu Julie WILLIAMS Kapaya Ali B Aruani Nick Radford Simon STANDAERT Thierry Normand Victor Mazangama

Consultation (2019) and validation (2020)

Country	2019 Consultation	2020 Validation
Djibouti		Mohamed Elmi Obsieh
Egypt		Dr. Mostafa Fouda
Equatorial Guinea		Fidel Esono MBA EYONO
Eritrea		Mr. Yacob Yohannes
Eswatini (Swaziland)		Thulani Methula
Ethiopia		Mr Kumara Wakjira
Gabon	Christian JOHNSON Dr Zinga KOUMBA Gustavo GANDINI Ida ANDAGUI Jannie FOURIE Jocelyne HALAJKO Joseph OKOUYI Lee WHITE Mathieu MSELLATI Matt STEYN	Christian JOHNSON Christian TCHEMAMBELA Gustavo GANDINI Ida ANDAGUI Joseph OKOUYI Lee WHITE Mathieu MSELLATI Zinga KOUMBA
Germany		Michelle Neuhaus Sebastien Cognet Thomas Breuer
Ghana		Bernard Asamoah-Boateng Kwadwo Owusu Afriyie Momodou Lamin Kassama
Guinea		Mamadi Saiba KEITA
Guinea Bissau		Abilio Rachid SAID Justino BIAI
Ivory Coast	Adama TONDOSSAMA Alain ROUSSEAU Brice NEHOUN Carole COLIN Djafarou TIOMOKO Louis DIABATE Marc VICENS Marie-Reine KONE Patrick BOIREAU Vincent BELIGNE	Carole COLIN
Kenya		Charles Musyoki Daniel Sopia Dickson Kaelo John Waweru Liz Rihoy

Consultation (2019) and validation (2020)

Country	2019 Consultation	2020 Validation
Lesotho		Bokang Theko Lieketseng Selinyane Mamasheane Motabotabo
Liberia		Evangeline Sworpe Nyantee Jallah J. Johnson
Libya		El Makee ElAgil
Madagascar		Mamy Rakoto Rantonirina RAKOTOARIDERA Rinah RAZAFINDRABE
Malawi		Brighton Kumchedwa Chizamsoka Manda
Mali		Sagaba Samaké
Mauritania		Maitre Aly Ould Mohamed Salem Mohamed EL HACEN OULD KHOUNA
Mauritius		Mannickchand Puttoo
Morocco		Zouhair Amhaouch
Mozambique		Colgar Sikopo Maxi Louis Vitalis Mushongo
Nigeria		Ibrahim Musa Goni
Republic of Niger		Arfou Saley Bello Nakata Dodo Garba Hama Saidou Laouali Tounaou Moussa Djibey
Rwanda		Abel Musana Ariella Kageruka Belise Kariza Eugene Mutangana ildephonse kambogo Prosper Uwingeli Telesphore Ngoga
Sao Tome	Bastien LOLOUM Eugenio NEVES –PTRS Hugo MENEZES Jean-Baptiste DEFFONTAINES Luis YARIO ALMEIDA Marion TAFANI Tiziano PIZONI	Arlindo de Carvalho Victor Manuel DO SACRAMENTO BONFIM Marion TAFANI Tiziano PIZONI Eugenio NEVES –PTRS Luis YARIO ALMEIDA Hugo MENEZES

Consultation (2019) and validation (2020)

Country	2019 Consultation	2020 Validation
Senegal		Boucar Ndiaye
Seychelles		Selby Remy
Sierra Leone		Joseph Musa
Somalia		Ahmed Mohamud Osman
South Africa		Dave Wilson Fundisile Mketeni Lamson Makuleke Marisa Coetzee Piet Theron Roland Vorwerk
Sudan		Benneth Bojo Nicholas
Tanzania		Allan J. Kijazi Ananias Weja Lugendo George Wambura Lilian Magoma Paul Banga William Mwakilema
Togo		Amah ATUTONU Banaventure Kipidi
Tunisia		Hela Guidara
Uganda		Helen Lubowa Samuel John Mwandha
UK		Benjamin Carey Penny Stock
Zambia		Chuma Simukonda Nyambe Nyambe Richard Mwamba
Zimbabwe		Charles Jonga F Mangwanya Patience Gandiwa Tsvakai Chiwunya Yvonne Chingarande

Consultation (2019) and validation (2020)

Country	2019 Consultation	2020 Validation
Others (country not specified)		A. Bong Ahmed Youssouf Arfou Saley Baouna Constant Bopima Moelo Bokoto Debbie Peak Dieudonné Yameogo Emmanuel Ntuyang Erika Um Flores Perú Evans Sitati Ezejide Kingsley Goetz Schroth Inela Weeks John Christiansa Joseph Assam Kpidiba Bonaventure Nadia Moutawakkil RAHAMATA AHAMADA Sonigitu Ekpe Usman Abubakar

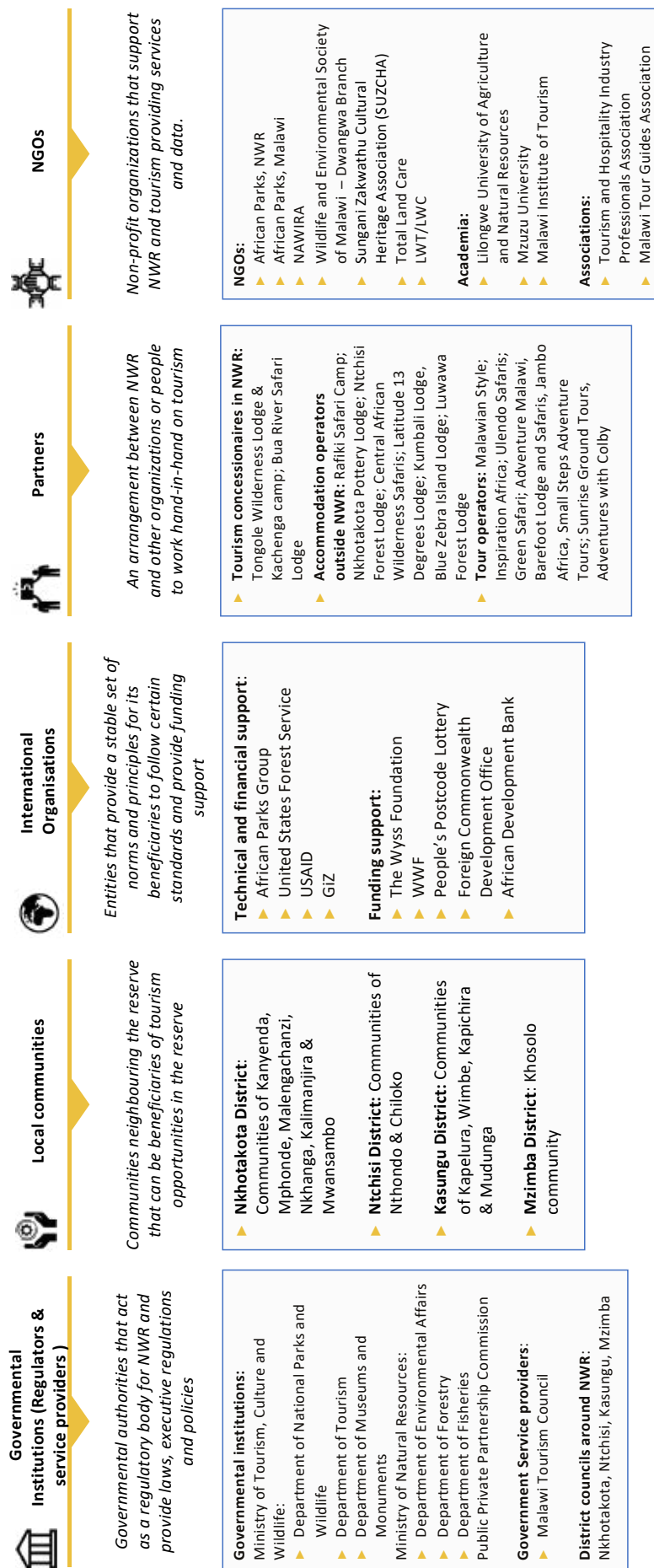
6.4 Annex 4

Case study example of stakeholder identification matrix

A Tourism Development Plan for Nkhotakota Wildlife Reserve (NWR) in Malawi was prepared under a long-term partnership between the United States Forest Service (USFS) and African Parks with support from USAID/Malawi. The purpose of the plan is to provide a strategic framework and action plan to guide tourism development in the reserve over a ten year timeframe (2023 – 2032)^a. Part of the plan incorporated identification of NWR's stakeholders, and establishing how they would be consulted. Tourism stakeholders of NWR include internal stakeholders, affected and host communities, and external stakeholders.

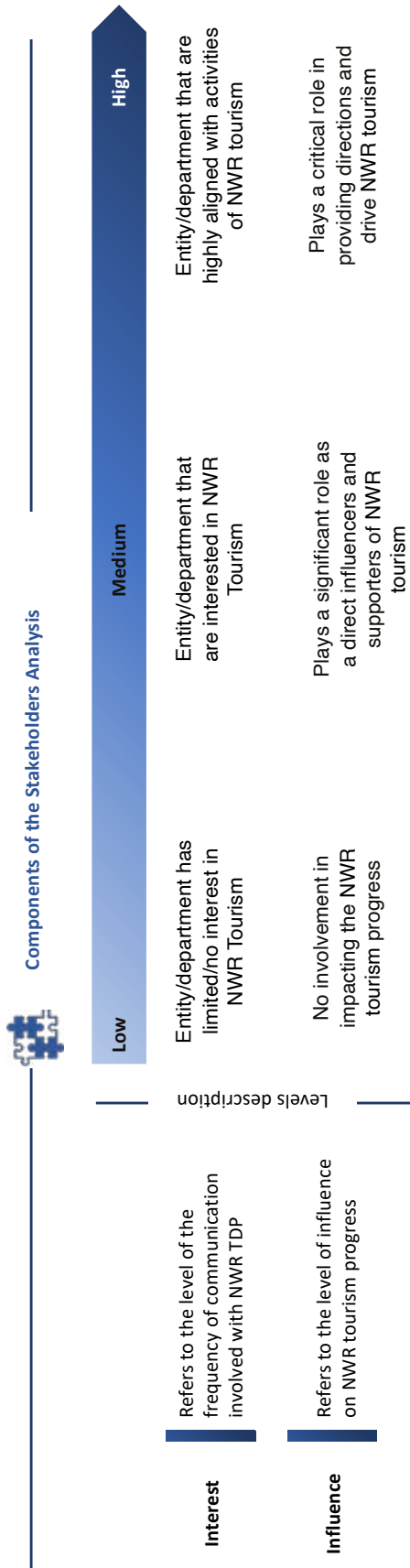
a. Massyn, P.J. and Spenceley, A. (2022) Nkhotakota Wildlife Reserve Tourism Development Plan, USAID, USFS

Figure 1: NWR's tourism stakeholders



The level of interest in the NWR TDP, and their influence on its implementation were rated from low to high, using the criteria below.

Figure 2: Criteria for analysis of stakeholder interest and influences



Mapping these ratings on a matrix of interest and influence provided guidance on how the reserve would consult with parties on implementation of the TDP, ranging from a low level of interaction (keep informed), through to high levels of involvement (work closely). This mapping suggested that those in the green cells would be closely involved in the successful realization of the TDP (**Figure 3**).

Figure 3: Stakeholder mapping of priority stakeholders for the TDP



The TDP advised that stakeholder engagement for tourism in the reserve should be constant throughout the project cycle – from the design phase to the operationalization of tourism facilities, and, eventually, to any decommissioning of concessions or operations.

Based on the tourism stakeholder analysis, the table below describes how the reserve plans to engage with its tourism stakeholders during implementation of the TDP.

Table 1: NWR tourism stakeholder engagement profiles

Level of priority	Type of consultation	NWR stakeholders
1	Work Closely: Key stakeholders who have high impact on the project and are highly interacted with. They have shared objectives or strong effect on tourism in the NWR. They are usually involved in several priority constituencies participatory planning (e.g., workshops), decision-making, and reports.	<i>NWR:</i> Nkhotakota Wildlife reserve African Parks (Malawi & Africa) <i>Government:</i> Ministry of Tourism, Culture, and Wildlife: Dept. National Parks and Wildlife, Department of Tourism Malawi Tourism Council; Nkhotakota District Council -Executive committee, (Agriculture and Environment Committee & Full Council <i>Communities:</i> NAWIRA <i>Accommodation:</i> Tongole Wilderness Lodge; Bua River Safari Lodge; Rafiki Safari Camp; Nkhotakota Pottery Lodge <i>Tour operators:</i> Adventure Malawi; Adventures with Colby; Barefoot Lodge and Safaris; Inspiration Africa; Jambo Africa; Orbis Expeditions; Small Steps Adventure Tours; Sunrise Ground Tours <i>Technical/Funding Partners:</i> USFS, USAID, GiZ <i>NGOs:</i> Sungani Zakwathu Cultural Heritage Association (SUZCHA)
2	Keep Satisfied: Stakeholders who should be kept satisfied throughout tourism projects. They may have an important influence on tourism projects as their actions may strongly affect the project progress. They are involved only in some major meetings or decisions.	<i>District councils:</i> Kasungu and Mzimba Area Development Committees <i>Associations:</i> Tourism and Hospitality Industry Professionals Association <i>Accommodation:</i> Ntchisi Forest Lodge <i>Technical/Funding Partners:</i> USFS; USAID; Wyss Foundation; WWF; People's Postcode Lottery; Foreign Commonwealth Development Office <i>Academia:</i> Mzuzu University, Lilongwe University of Agriculture and Natural Resources
3	Keep Informed: Stakeholders must be kept informed given that they might be the beneficiaries of the project and might be impacted in different areas. They might have and indirect impact on the project. Methods of consultation may include outreach through email, social media, local newspapers, or community radio.	<i>Government:</i> Ministry of Natural Resources: Department of Environmental Affairs, Department of Forestry, Department of Fisheries <i>Local communities & traditional leaders</i> in Nkhotakota, Ntchisi, Kasungu, and Mzimba Districts <i>Associations:</i> Malawi Tour Guides Association <i>Accommodation:</i> Luwawa Forest Lodge, CAWS; Latitude 13 Degrees Lodge; Sunbird Malawi Tourism; Kumbali Lodge; Blue Zebra Island Lodge <i>Tour operators:</i> Malawian Style; Robin Pope Safaris; Steppes Travel; Wayfarer Travel; Journeys by Design, Kiboko; Land & Lakes Safaris; Opatrip.com; Sunway Safaris; Responsible Safari Company Malawi; Timbuktu; Ulendo Safaris <i>Partners:</i> African Development Bank <i>NGOs:</i> Wildlife and Environment Society of Malawi, Total Land Care, Lilongwe Wildlife Trust <i>Academia:</i> Lilongwe University of Agriculture and Natural Resources; Malawi Institute of Tourism

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