



CONSERVATION AGREEMENTS

FIELD GUIDE | 2016
FOR DESIGN AND IMPLEMENTATION

CONSERVATION
INTERNATIONAL



ACKNOWLEDGEMENTS

This Guide and the package of training materials of which it is a part have evolved over more than a decade based on global experience with the Conservation Agreement model. The following current and past CSP team members have been instrumental in developing these materials: Sarah Banks, Juliette Crepin, Tian Feng, Sarah Milne, Margarita Mora, Eduard Niesten and Patricia Zurita. Colleagues throughout Conservation International and many partner organizations around the world have provided valuable input. Using these materials, the current edition of the CSP Field Guide for implementers and associated training materials were prepared by EcoAdvisors (www.ecoadvisors.org), with graphic design services provided by Nancy Chuang (www.nancychuang.com/design/).

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CONSERVATION AGREEMENTS

FIELD GUIDE FOR DESIGN AND IMPLEMENTATION¹

The Conservation Stewards Program idea

Make biodiversity conservation a viable choice for local resource users through explicit agreements that provide tangible benefits in exchange for effective conservation of high priority areas and species.

The Conservation Agreement Model

For implementers involved in CSP-funded projects, as well as others interested in following the same model, this document provides guidelines for implementing conservation agreements.

The main steps are summarized as follows:

- Choose sites based on a rapid **feasibility analysis** conducted prior to agreement design.
- Begin engagement by **building a relationship** with interested resource users in a transparent and participatory manner.
- Build on this relationship to **design and formalize an agreement** that is:
 - a) **win-win** (benefits both biodiversity and resource users)
 - b) **quid-pro-quo** (provision of benefits depends on conservation performance)
- Before implementation **build socio-economic and biodiversity baselines** and **define a monitoring system** for both.
- During the **implementation** phase, meet commitments punctually and facilitate the resource users in meeting theirs.
- Consider an initial short-term “trial” agreement to allow both parties to **evaluate and refine the agreement** for the long term.
- If a long-term agreement is sought, work together to **secure long-term financing**.
- Throughout the implementation of the agreement, apply **biological and socio-economic monitoring** systems.
- Throughout the process, help improve the model through **participation in a global learning network of implementers**.

KEY PRINCIPLES OF THE CONSERVATION AGREEMENT APPROACH

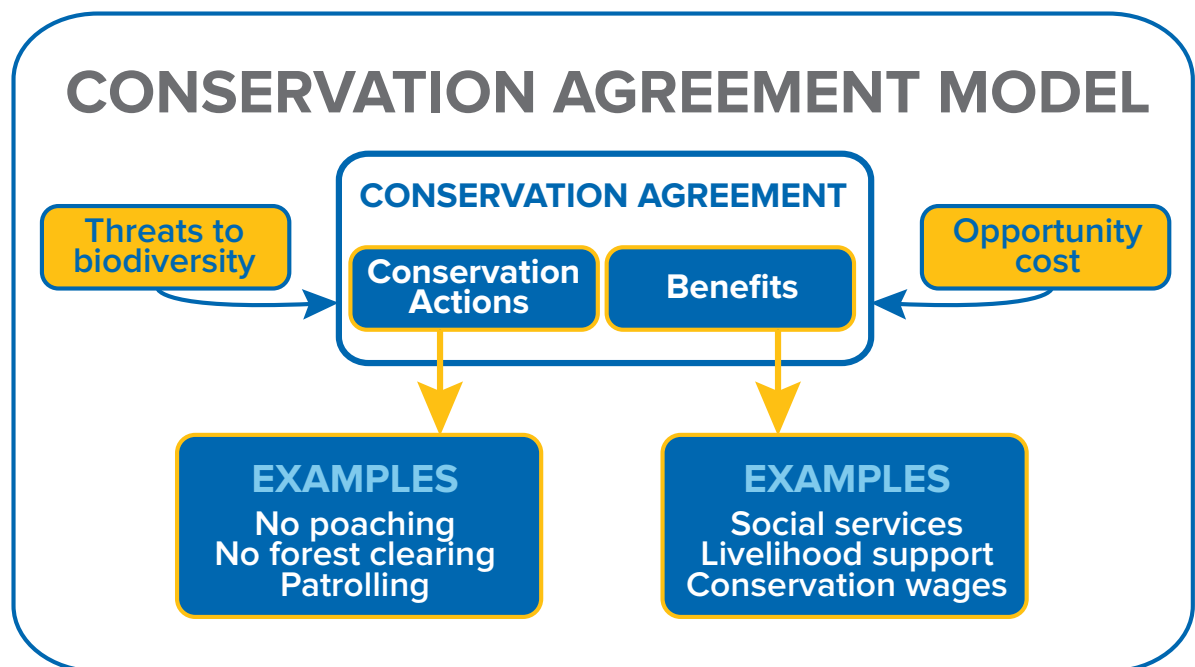
- Participation is **voluntary** for all parties.
- Design and negotiation processes must be **transparent** and **inclusive** of all parties.
- Resource users and conservation investors must interact on a **level playing field**.

¹ The conservation agreement model is an evolving concept, and therefore this field guide is subject to continued revision and refinement. For the most recent version of this document and other informational materials, please visit www.conservation.org/csp.

Summary of the Conservation Agreement Approach

A Conservation Agreement specifies conservation actions to be undertaken by the resource users and benefits that will be provided in return for those actions:

- The conservation actions to be undertaken by the resource users are designed in response to threats to biodiversity or ecosystems.
- The benefits provided by the conservation investor are structured to offset the opportunity cost of conservation incurred by the resource users.
- The agreement details the monitoring framework used to verify conservation performance and the consequences of failure to comply with the agreement by either party.



The **opportunity cost of conservation** reflects the value of what resource users give up by not utilizing their resources under the business-as-usual scenario. This is the balance of:

- The income that would be derived from destructive resource use such as clearing forest for agriculture or timber extraction (e.g., the value of crops or timber that would be harvested in the absence of conservation).
- The value of ecosystem services that would be lost by destructive resource use (e.g., reduced water quality, soil erosion, loss of culturally significant resources).

Total foregone income from destructive resource use minus the total avoided environmental costs is the opportunity cost of conservation. In some cases, resource users may not recognize environmental costs of unsustainable use, resulting in a difference between actual and perceived opportunity cost; during engagement and negotiations, the conservation investor can try to enhance resource users' understanding of environmental costs to reduce this difference. In any case, to secure an agreement, the benefit package must be designed to offset the opportunity cost that resource owners believe they will incur if they choose conservation.

Conservation Agreements (CAs) and Human Rights

CSP's conservation agreement model reflects Conservation International (CI)'s Rights-based Approach (RBA), which recognizes that respecting human rights is an integral part of successful conservation and emphasizes community rights to choose and shape conservation and development projects that affect them. CI's RBA includes principles, policies, guidelines, tools and practical examples to guide the organization, ensuring that we respect human rights in all of our work. Any conservation agreement initiative involves a thorough community engagement process and a participatory design and negotiation stage that together must embody the principle of Free, Prior and Informed Consent (FPIC).² Moreover, project implementers must seek culturally appropriate ways to ensure that the unique needs and priorities of disadvantaged or marginalized groups within a community are included, with particular attention to gender considerations and differences among other social groups (see Box 1).

Box 1. FPIC Best Practices When implementing CAs

- Developing the feasibility analysis for CA implementation using mainly secondary sources helps avoid raising expectations in the communities.
- Respecting customary decision-making mechanisms within communities ensures that CAs are adapted to local realities. However, it is important to also remember that some customary decision-making mechanisms do not allow for disadvantaged or marginalized groups to be heard. It is necessary to find culturally-appropriate ways to ensure those voices are part of decision-making.
- Explaining the CA model to the communities during the engagement phase allows them to understand the interests of the implementers and to decide if they want to work together on a CA.
- Designing the CAs together with the communities and ensuring that communities have enough time to discuss the content and to decide if they want to sign such an agreement helps ensure that the CAs have the consent of all or most of the community members.
- Ensuring that the communities know how the benefit package amount has been defined reduces conflicts when negotiating the benefits to be provided by the CAs.
- Showing biodiversity and socio-economic monitoring results to the community increases their engagement and helps them see how the CA impacts their natural resources and well-being.
- Establishing one-year agreements allows the communities and implementers to learn from the experience, improve the CA design and build trust among the parties involved.

² Although FPIC is recognized primarily for indigenous peoples, local people often face some of the same problems, such as restricted access to their land and lack of input into their own development. Therefore, CI recognizes that all projects should involve the full and effective participation of everyone involved, whether they are indigenous or not.

FIELD GUIDE FOR DESIGN AND IMPLEMENTATION

Phase 1: Feasibility Analysis

1.1 Rapid initial assessment (2 weeks). When considering whether a site may be suitable for a conservation agreement, the following enabling criteria will help you decide whether to pursue a more in-depth feasibility analysis. A conservation agreement project may be compelling if:

- The site offers a valuable and measurable conservation outcome (e.g., species protected, number of hectares protected, ecosystem service maintained).
- There is a funder with a strong interest in supporting an initiative at the site.
- There is a capable implementer ready to commit to engagement, agreement design and project implementation (see Box 2).
- There is a local resource user who can serve as a clear agreement counterpart.
- The actions needed to achieve the conservation outcome can be performed by the counterpart.
- The site offers other attractive characteristics, such as:
 - The site is likely to score high on all feasibility criteria (below).
 - The potential agreement offers concrete contributions to human well-being.
 - There are potential synergies with other organizations (NGOs or government) working in the area, either on conservation or related themes (health, education, development, etc.).
 - The project offers a valuable learning experience regarding the potential of the model (new type of implementing partner, funder, financing mechanism, or legal mechanism).

Box 2. Engagement Team Composition

Few implementers will have all capacities needed to execute all the steps of the model in-house. An effective implementer must be able to partner and obtain support required for the different phases of the model. The implementer must identify an **engagement team**. This team consists of one or more persons who will establish, build and maintain the relationship with the resource users. The engagement team is the face of the project in the field and deals with the day-to-day activities of implementing agreements. This team should remain as constant as possible so as to solidify the relationship with the resource users.

These criteria will help prepare an initial proposal to a donor or to decision-makers in your organization. The output of this step is a 2- or 3-page concept note that makes the case for conducting a full feasibility analysis. For an example of such a concept, see Annex 1.

1.2 Feasibility Analysis (2 weeks – 6 months). For projects that pass a rapid initial assessment, a formal analysis of feasibility is needed. The first step is to identify the conservation goal to be achieved, as well as the expected conservation outcomes. Then the analysis can proceed to assess whether a conservation agreement is the most suitable tool for the site. Much of the information needed likely will be known already to the potential implementers and partners, or can be obtained from secondary sources. If fieldwork is necessary, surveys or interviews can be carried out but it is important to avoid raising stakeholder expectations about the project. The following criteria inform assessment of the feasibility of implementing conservation agreements. The questions below should be used as a guide; depending on particular site characteristics, other information may also be relevant.

1.2.1 Conservation priority

- Why is the site important for biodiversity or ecosystem services?
- Is information about the site's importance available? What types of information? Do you have access to this information?
- If additional assessments are undertaken to assess conservation priority, bear in mind the need for baselines to be used for future monitoring.

1.2.2 Threats to biodiversity or ecosystem services

- What are the major threats and how difficult will it be to address them?
- Who is responsible for the major threats?
- Are the conservation activities you might include in an agreement sufficient to reduce/eliminate the threat? If not, what else is needed in the overall strategy for the site?

1.2.3 Resource users as an effective conservation partner (see Box 3)

- How are they organized? What are their governance institutions?
- How are decisions made? If through traditional structures, how are women or other marginalized people included?
- Do they have elected leaders? For how long? What is their role?
- Who can provide consent on behalf of the community?
- How can we ensure that decision-makers reflect community-wide perspectives?
- Do they have traditional resource management rules? What kinds of rules?
- How are rules enforced?
- What are the main institutional or capacity weaknesses of the resource users?
- Do resource users carry out communal activities? What types of activities?
- What are their main economic activities? Do these activities differ between men and women or other social groups (e.g., youth)?
- Are there established markets for their products? If so, who are the main buyers?

Box 3. What is a Community?

In conservation and development, we often refer to community as one stakeholder group. However, communities are anything but homogenous, and it is important to recognize and understand the individuals that make up the community. Various socio-economic and cultural dimensions shape social groups, such as ethnicity or race, poverty level, gender, age, field of work or religion, among others. Each of these social groups will have different resource needs and priorities, as well as different skills or knowledge to bring to natural resource management.

Box 4. Integrating Gender Considerations into a CA:

Men and women interact with their environment in different ways, and therefore have different needs, priorities and interests in conservation. It is important to consider these differences, and ensure that both men and women are involved with developing and implementing CAs.

During the initial feasibility analysis stage, be sure to ask questions about how men and women use the natural resource the CA seeks to protect, e.g.:

- Who uses the resources in X area?
- Of the threats you identify, who is responsible for them?
- How are decisions made in the community? If the system does not allow for marginalized voices (women, indigenous people, etc.) how can the implementer ensure all opinions and concerns are heard?

In some cases, men and women will feel more comfortable speaking about these issues with people of the same sex. For example, when possible, a woman should lead focus groups or surveys where women's input is sought. Similarly, it may be beneficial to have men and women produce separate resource use maps and then combine them to produce the community resource use map.

These initial questions will give you a better idea of the gender dynamics found within the community, but it is important to delve further into this during the full Feasibility Analysis. At the very least, continue to ask more questions like these, and consider hiring someone with a gender background to investigate further. (Please see Annex 5 for further tips on integrating gender considerations in your project).

1.2.4 Resource rights

- Who owns and who uses land and resources? (e.g., A man might own the land but his wife is the one who farms it.)
- Who holds legal rights over resources to be protected (land titles, use rights, benefit sharing rights)? If users are not owners, how will their rights and needs be respected?
- Are there conflicts of use between different resource users?
- If resource users do not hold legal rights, do they have customary rights? Can they exclude others from using the resources to be protected? How?
- Can legal rights be obtained by/transferred to the resource users? How?

1.2.5 Legal context

- Do overlapping rights conflict with conservation objectives (e.g., subsurface mineral rights)?
- What legal options do resource users have to protect their resources?
- Is the rule of law reliable (e.g., application of penalties by authorities, effective court system)?
- What options are there for legal protection in the long term (e.g., transfer of resource rights, protected area establishment, etc.)? How viable are these options?

1.2.6 Policy context

- What are the likely effects on the project of supportive policies (e.g., government support for community-based management) and of unfavorable policies (e.g., policies that promote habitat conversion)?
- Are there policies that will directly impact the implementation of conservation agreements (e.g., plans for hydroelectric dam construction)?
- What previous conservation and/or development efforts have taken place with this group of resource users or in the area?

1.2.7 Implementation capacity

- What is the conservation (or other) mission of the proposed implementer?
- Do they have good relationships with the community or a track record of good relationships in similar places?
- Do they have experience in implementing relevant activities (e.g., community engagement, reforestation, species management, patrolling, etc.)?
- Do they have experience engaging with marginalized populations (such as women, indigenous peoples, youth, etc.)?
- What are their weaknesses? Do they need support from other partners?
- If additional partners are needed (e.g. to deliver development benefits such as agricultural extension services), who are they and what is their capacity?
- In the event that this becomes a long-term agreement, is the implementer prepared to accept this responsibility or is there an alternative vision for long-term management?

1.2.8 Stakeholder and conflict analysis (see Annex 2)

- Who are the main stakeholders who can influence use of the resources to be protected

under the conservation agreement?

- Which actors need to be engaged to ensure success of the agreement?
- Are there organizations undertaking related activities in the area? Do their efforts offer potential synergies?
- What existing or potential conflicts are there among the resource users? Are they caused by internal or external factors? What are they?
- Are there parties who will not be involved directly in the project but who will experience impacts that must be considered?
- What options are there for managing existing or potential conflicts that you have identified?

Box 5. Who are Indigenous Peoples?

Although there are many words that reflect what is meant by indigenous, national definitions vary from country to country and may not fully coincide with self-identification of indigenous peoples, which is the only fundamental criterion recognized at the international level. For the purpose of our work, CI identifies indigenous peoples in specific geographic areas by the presence, in varying degrees, of:

- Close attachment to ancestral and traditional or customary territories and the natural resources in them;
- Customary social and political institutions;
- Economic systems oriented to subsistence production;
- An indigenous language, often different from the predominant language; and
- Self-identification and identification by others as members of a distinct cultural group.

1.3 Feasibility Analysis Report. The key output of the feasibility analysis will be a narrative report of about 15-20 pages, discussing the criteria listed above. The report should be accompanied by a sketch or map that depicts the area where the project will take place, identifying land use, location of the threats, tenure and conflicts (see Box 6).

Box 6. Feasibility Analysis Maps

This map was drafted for a conservation agreement in Southwest China. It shows areas where resource users live, forested areas, natural resource use areas (such as for mushroom and herb collection), and the location of roads.



The information presented in the feasibility analysis must be used to develop a **Theory of Change (ToC)**. The ToC articulates how a conservation agreement will change the behavior of resource users to advance the desired conservation goal and outcomes. Thus, the ToC allows implementers and donors to understand the logic of the proposed intervention, based on current threats, drivers causing the threats and actions needed to manage drivers and threats to reach the conservation outcomes (see Table 1; for further guidance on developing the ToC, please see Annex 6).

TABLE 1: ELEMENTS OF THE CONSERVATION AGREEMENT THEORY OF CHANGE			
Conservation Agreement goal			
Conservation outcomes	Threats	Drivers	Actions
What conservation result do we want to achieve using the conservation agreement?	What are the main threats to conservation?	What is causing the threats? Who is causing the threats?	What can be done to manage the drivers and reduce the threats?

A critical aspect of project feasibility is whether the conservation agreement will be affordable and cost effective at the site under consideration. Based on the Theory of Change analysis, the feasibility assessment must consider the following questions relating to costs and funding:

1.3.1 Project costs

- What are the expected costs of designing and negotiating the conservation agreement?
- What are the expected opportunity costs (e.g. the value of forgone timber harvests; see p. 2)? What are the expected costs of the anticipated conservation activities? What is the expected cost of the benefit package? (for detailed explanation, see Annex 3)
- Once the agreement is signed, what are the expected operating costs (salaries for the engagement team, travel, workshops, etc.)?
- What are the expected costs of biological and socioeconomic monitoring?
- What are the expected costs of long-term technical support?

1.3.2 Financing options

- What potential sources exist to fund design of the agreement and implementation of activities, as well as long-term sustainable funding? (bilateral and multilateral institutions, corporate and private donors, foundations, payments for ecosystem services, etc.)
- What financing mechanisms might be considered for long-term financing of the site? (PES, REDD+, government support, trust funds, corporate offsets, etc.)
- What are the expected costs of fundraising activities to secure long-term financing?

1.3.3 Management sustainability

- What will be the medium and long-term management needs for the site? Such needs can include resource management and governance, as well as management of a long-term conservation agreement if that is part of the potential project vision.
- Who can take responsibility for these management needs?
- What investments might be required to ensure the needed management capacity?

1.3.4 Exit Strategy

- How long will the conservation investor need to support the conservation agreement?
- How will the conservation agreement transition away from dependence on the conservation investor?
- How long will the implementer need to be directly involved in the conservation agreement?
- How will the conservation agreement transition away from dependence on the implementer?

The conclusion of the feasibility assessment report will summarize the main results of the analysis. This summary should provide a brief overview of the principal criteria, which can be done by presenting the information as in Table 2 below. The table should support a recommendation on whether or not a conservation agreement should be pursued, based on whether the approach is able to achieve behavior change as per the Theory of Change.

TABLE 2: FEASIBILITY ANALYSIS SUMMARY			
Conservation goal			
Conservation outcome			
Criteria	Opportunities	Challenges	Risks
Conservation priority			
Threats to biodiversity or ecosystem values			
Resource users as a conservation partner (collectively and noting different subgroups)			
Resource rights			
Legal context			
Policy context			
Implementer's capacity and experience with community-based approaches, including gender and FPIC concepts			
Stakeholder and conflict analysis			
Project costs			
Financing opportunities			
Management sustainability			
Exit options			

The narrative, Theory of Change, cost analysis and summary table will support an informed judgment regarding the feasibility of the project. No project will have entirely favorable conditions, but the balance of factors, placed in the context of competing alternatives (in terms of sites as well as approaches), will yield a concluding recommendation as to the feasibility of a conservation agreement in a particular setting. If the feasibility analysis produces a decision to go ahead with a conservation agreement, the implementer should be selected and produce a work plan (list of activities and timeline) for Phase 2 (Engagement) and Phase 3 (Design and Negotiation), a budget and a financing plan to support that work plan.

Phase 2: Engagement (1-6 months)

In the engagement phase the implementer presents the conservation agreement concept to the resource users (stewards) to introduce the idea and explore whether the resource user is interested in working together toward an agreement. The implementer must be sure to involve all relevant groups within a community (women and men, youth as well as the elderly, different resource-user groups, marginalized sub-groups, etc.) This phase also sets the stage for design and negotiation of the agreement, by presenting what an agreement is and how it works, verifying understanding of the concept, and seeking a mutual decision to proceed with design of specific agreement terms. Since conservation agreements are voluntary, the implementer must emphasize that this is a choice and ensure that stewards understand the idea. The consent to a CA must reflect the desire of the community, free of external pressure from not only the implementer but also any other entity such as government authorities. The steps for engagement listed below are mostly in chronological order, although several may already be completed or easy to complete if the implementer and the stewards are already working together on other initiatives.

2.1 Select the engagement team. From the implementer identified in the Feasibility Analysis, designate the people who will interact with the stewards throughout the project. Ideally the engagement team will either already have or be able to build a strong relationship with the stewards. The team must understand the power structures and formal and informal decision-making systems of the stewards, and have the capacity to manage participatory processes. As much as possible, the composition of the team should remain constant throughout the project, especially the person who leads negotiations. Try to ensure diversity on the team (e.g. at least one woman who can lead the discussions with women in the community).

2.2 Develop an engagement plan. Once the engagement team is identified, it must draft an initial plan (1-5 pages) that ensures an organized approach to communications and presentation of ideas. The team should then be prepared to revise the plan based on input from the community following initial discussions. The initial plan should include:

- A clear description of the desired conservation outcome
- Proposed conservation responses to the biodiversity threats, which will be revised with the stewards during the engagement and design process
- Timeline indicating number and schedule of meetings required to present the agreement idea – this will likely be adjusted based on feedback from the stewards
- A list of the representative groups that the engagement team needs to meet with (such as certain leaders, women’s groups, marginalized groups, youth, the entire community, etc.) – if these groups do not exist in organized form, it may be necessary to discuss with community leaders the possibility of creating representative committees to help with agreement negotiation and implementation
- Mechanisms (presentations, meetings, group discussions, etc.) that will be used to exchange information and perspectives about the agreement concept, the conservation issues, threats to biodiversity and potential benefit packages—

input from stewards on suitable and effective mechanisms will be valuable and should be sought to fine-tune the engagement plan. Be aware that gender differences may affect these mechanisms—for example, women may have less free time to attend meetings and presentations, may not be as literate as men, or may not feel comfortable participating in mixed-group discussions. Understand what barriers may keep women from equally participating and develop mechanisms that respond (e.g., provide child care at meetings, hold meetings at a time of day when women have more free time, use more visuals to convey messages, or provide separate discussions with women and men).

- Materials required for presenting the agreement idea (maps, pictures, lists, etc.)
- Clear indication of next steps beyond the engagement phase (to be revised and agreed upon with the community)

2.3 Transparent exchange of ideas with the potential stewards, including:

- Introduction of the implementer
- General conservation outcome

- Conservation agreement idea (and possible illustration of an agreement elsewhere)
- Learning about steward's activities, needs and priorities
- Steward's initial reactions to the conservation agreement idea
- Address expectations with respect to financing

Note that effective transparency requires that exchanges take place in the stewards' own language, observing cultural norms and expectations.

2.4 Verify shared understanding of agreement concept.

The implementer must ensure that the stewards understand the conservation agreement concept. Tools such as role playing can confirm that resource users are clear about the implications of entering into an agreement and how it would operate, to ensure that the potential stewards are in a position to make an informed decision on whether to proceed (See Box 7).

2.5 Decision by both parties to continue and joint development of follow-up plan.

After the engagement team presents the conservation agreement idea and verifies that the stewards understand the intent, the representatives should have as much time as they need to communicate with their constituency and discuss the desirability of designing an agreement with the implementer. The implementer should confirm that the decision made reflects the sentiment of the wider resource user group, for example through randomly selected focus groups or informal individual interviews (with representatives from a variety of social groups). The objective of this step is to ensure that the resource users as a whole understand and consent to the proposition of proceeding to the next step, namely designing a conservation agreement. This is a critical part of the principle of free, prior and informed consent (FPIC) that should guide the entire conservation agreement process (see Annex 4).

At this point, the implementer should also consider whether they wish to continue engagement. If the implementer and resource users decide to continue, they should work together to develop the process to be followed, including timeframe, steps, negotiating teams and roles and responsibilities. A product of this discussion can be a written document stating a joint commitment to work together to define a conservation agreement according to the agreed-upon process. This is not yet a commitment to specific conservation outcomes or activities—details of the actual conservation agreement are developed later.

2.6 At any time during engagement: it may be useful to arrange trips or exchange visits with agreement counterparts to show the negative impacts of resource destruction in degraded areas, or the benefits of conservation incentive agreements at successful project sites.

Box 7. Role-Playing in Cambodia

In Cambodia, conservation agreements are negotiated through community institutions called Commune Natural Resource Management Committees (CNRMCs). Responsibilities of the CNRMCs include communicating to the rest of the community the concept of a conservation agreement, the commitments and potential benefits involved, and, later on, various implementation roles. To assess their ability to do so, we conducted role-playing exercises following our discussions, in which one CNRMC member demonstrated how he would explain the agreement to a villager, played by another CNRMC member who asked questions one might expect from community members. The group (CI engagement team and the rest of the CNRMC) then evaluated the simulated conversation to assess the effectiveness of information transmission.

OUTPUT. SUCCESSFUL COMPLETION OF THE ENGAGEMENT PHASE SHOULD PRODUCE:

- ✓ A clear idea of who can legitimately design and enter into an agreement on behalf of the resource users
 - ✓ Written expression, reflecting FPIC, of a decision to continue working toward a conservation agreement (e.g., meeting minutes, signed MOU, etc.)
 - ✓ A clearer vision of what an agreement would look like (i.e., conservation actions and benefits)
 - ✓ A refined estimate of the implementation costs in case the design stage leads to a signed agreement
-

Box 8. Presenting the Conservation Agreement Concept

In Cambodia, conservation agreements are negotiated through community institutions called Commune Natural Resource Management Committees (CNRMCs). Responsibilities of the CNRMCs include communicating to the rest of the community the concept of a conservation agreement, the commitments and potential benefits involved, and, later on, various implementation roles. To assess their ability to do so, we conducted role-playing exercises following our discussions, in which one CNRMC member demonstrated how he would explain the agreement to a villager, played by another CNRMC member who asked questions one might expect from community members. The group (CI engagement team and the rest of the CNRMC) then evaluated the simulated conversation to assess the effectiveness of information transmission.

This is an example of a generic script showing the process of presenting the conservation agreement idea to a community.

1. Introducing the concept:
 - a. This is a new idea for conservation, based on an explicit agreement between a community and conservation investors who value healthy ecosystems and human well-being and livelihoods. It is called a Conservation Agreement (CA).
 - b. A CA is a community commitment to protect ecosystems in return for benefits provided by conservation investors, like funding for development priorities.
 - c. The decision to work on an agreement is entirely up to the community; we want to work with communities who have a strong collective interest and ability to organize to protect their natural resources.
2. The idea and benefits of conservation:
 - a. There are many values from maintaining intact ecosystems, including wildlife, water, building materials, etc.
 - b. In a CA, if a community commits to and achieves conservation, they receive benefits from the conservation investors. These benefits need to be discussed, but can include things like:
 - Scholarships for school fees and other educational needs
 - Investment in livelihoods
 - A relationship with us, where we can help them link their development ideas with other funders/NGOs working on development projects.
 - c. The community always keeps their land and resource rights, and in some conservation agreements we can help strengthen those rights.
 - d. The mechanism works by communities designing conservation actions with us.
3. What is the CA mechanism exactly, and how does the process go?
 - a. Together define changes in behavior needed to achieve conservation. We can help resolve conflicts, manage processes and provide technical support (e.g. GIS), but this is at the discretion of the community. (At this point a mapping exercise might be fun and useful if appropriate, to start defining a possible conservation area or natural resource use rules; if not, that can happen later).
 - b. Together define the benefit package, based on the conservation commitments to design a fair deal that will make sense to the conservation investors.
 - c. Together design a clear agreement, including things like area to be conserved, resource use rules, benefits and how performance is verified.
 - d. A trial period, where we sign an agreement for 1 or 2 years and see if we like how it works. There is no long-term commitment from either party during design or the first year. Then if we are both happy, we work toward a long-term agreement.
4. Next steps:
 - a. This meeting was to present and discuss an idea. Now the community and the implementer should think about whether they want to move ahead, or what questions need to be explored further.
 - b. Schedule next meetings, depending on how the first meeting goes. If they would like time to think, we can come back at an agreed-upon time. It is useful to leave a calendar of next steps and anything else that needs community consideration.

Phase 3: Building the agreement

Once the parties have agreed to work together, activities for designing the actual conservation agreement begin. The steps outlined below describe the key components of conservation agreements as well as several additional assessments that may be useful as agreement design proceeds. Either party is free to withdraw from the agreement design process if at any point in time they feel that a satisfactory agreement cannot be negotiated.

3.1 Components of the agreement. All agreements should contain the following basic components, formulated through an FPIC process that includes participatory negotiation (please see Annex 7 for a template of basic CA structure):

3.1.1 Conservation commitments: This section of the agreement explicitly defines the conservation outcome and the actions to which the parties to the agreement commit to achieve that outcome. Biological and other evaluations may be needed to help define the specific conservation targets and strategies, as well as the baselines necessary for the monitoring framework.

The components of this section are:

- Conservation outcome (e.g., What species will be protected? If the outcome is a protected area, what is its size, location, legal status?, etc.)
- Actions by the resource user (e.g., create a community protected area, stop hunting a particular species, stop a destructive practice, don't grant logging rights, etc.)
- Actions by the implementer (e.g., capacity building, help in securing land rights, support in enforcement, etc.)

3.1.2 Benefits provided to the resource user: Determining what benefits are appropriate in a specific context can range from straightforward to complex, typically involving an iterative discussion to find the middle ground between community desires and what we can deliver. (See Box 9.)

Key issues to define with regard to benefits include:

- Value of the overall benefit package (e.g., what amount of benefits is affordable and appropriate)
- Type of benefit (e.g., infrastructure, services, direct payments, enterprise, etc.)
- Measure for equitable distribution of benefits within the community
- If required, decision-making system for selection of investments (e.g., when the benefit is direct payments to a community fund to support investments)
- Mechanism for benefit delivery: A mechanism should be defined with the counterpart that transparently channels benefits to intended beneficiaries
- Frequency of benefit provision.

3.1.3 Compliance monitoring: The success of the conservation agreement hinges on a credible monitoring framework to verify compliance with the commitments and justify penalties in the event of non-compliance.

Items to monitor include:

- Compliance with conservation commitments (e.g., no forest clearing, no hunting, no illegal mining, as well as performance with respect to conservation actions such as patrolling, boundary maintenance, etc.)
- Effectiveness/equity of benefits management (e.g., proportion of resource users receiving benefits, accountability for funds used, etc.)
- Awareness, understanding and satisfaction relating to the conservation agreement

In addition to monitoring compliance with the agreement, the implementer must arrange monitoring of biodiversity targets and socio-economic conditions. Whenever possible,

the biodiversity and socio-economic monitoring framework should incorporate community members as monitors, with provisions for training as necessary.

3.1.4 Penalties for unsatisfactory performance: Benefits must be conditional on the resource users' compliance with commitments specified in the agreement. This means that benefits must be structured such that they can be increased or decreased as a function of performance. Penalties (adjustments in benefits) for non-compliance must be designed jointly by all parties to the agreement to ensure that they are understood, viable and appropriate to the resource users' culture, and also respect human rights.

Elements to consider include:

- Procedure for identifying agreement breaches.
- Penalties for agreement breaches—penalty systems should be progressive, such that increasing number/gravity of transgressions results in stronger penalties. (See Box 10)
- Penalties on implementer: some agreements specify penalties levied on the implementer, e.g., for delayed delivery of benefits.

Conservation commitments, benefits, penalties, and monitoring provisions are the defining elements of a conservation agreement. Additional standard provisions for any agreement will include clear definition of the parties to the agreement, the duration of the agreement, grievance mechanisms, procedures for dispute resolution, liability provisions, and the like. When designing and drafting the agreement, seek legal advice to ensure that the agreement conforms to local laws as well as donor expectations.

Box 9. List of Example Benefits Included in Agreements Signed by CI & Partners

Education:

- Funding or supplementing salaries of one or more teachers at local school (Chumnoab and Thmar Daun Poev, Cambodia; Doungma, China)
- Supporting physical improvement of school and community cultural facilities (Dingguoshan, China; Chumnoab, Cambodia)
- Scholarships for youth (Solomon Islands)

Agricultural & livestock extension services:

- Contracting a local NGO (CEDAC) for 1 year of technical support and training to improve agricultural productivity (Chumnoab, Cambodia)
- 10 Water Buffalos provided to help plough rice paddies to improve productivity (Chumnoab, Cambodia)
- Rehabilitating crop land with contracted tractors to allow for lowland paddy rice production in previously deforested lands (Chumnoab, Cambodia)
- “Mechanical Mules” (small plows) bought by CI using community’s development funds (also provided by CI) at request of community (Thma Dan Pow, Cambodia)
- Cocoa as an alternative livelihood crop (Chachi, Ecuador)
- Training in improved grazing techniques (Namaqualand, South Africa)
- Provision of Anatolian sheepdogs to guard livestock from predators (Namaqualand, South Africa)
- Enabling drilling of a water borehole in the southeastern part of the farm (Namaqualand, South Africa)

Alternative enterprises

- Secure a buyer for criollo “sarrapia producers” (a seed) to sell to a perfume making company in Switzerland – Givaudan (Caura River Basin, Venezuela)

Land tenure assistance

- Technical assistance for legal designation of the reserve, including legal advice to address on-going invasion issues (Chachi, Ecuador)
- Assistance to formalize rights for community to use a farm being granted under a land reform scheme (Namaqualand, South Africa)

Financial compensation, cash for community development fund, etc.

- Community development fund developed by community to help support poor families, community meetings, the maintenance of plow machines, emergency support for sickness, etc. Fund was created with the administration fee that CI pays to the council to manage patrolling teams and oversee agreement compliance (Thmar Daun Poev, Cambodia)
- Compensation funds, set by the community assembly to \$5/year/ha (Chachi, Ecuador)
- Price premium for meat sold to maintain the livestock limits (predetermined carrying capacity for land). Project feels this benefit should be used as a second-to-last resort.(Namaqualand, South Africa)
- Funding from private business partner (Givaudan) for community fund that will support long-term benefit provision (Caura River Basin, Venezuela)

Ecotourism development

- Funding of comprehensive ecotourism development plan (Doungma, China)

Salaries for patrolling & monitoring

- Salaries for patrol activities (\$5 per diem per person + patrolling equipment); community members take turns being patrol rangers so as to spread income benefit equitably around community (Chumnoab and Thmar Daun Poev, Cambodia)
- Equipment, training and salaries for rangers with patrolling group (non-rotating personnel) (Chachi, Ecuador)
- Training for biodiversity monitoring and wages and equipment for monitors (Namaqualand, South Africa)

NRM Planning

- Assistance in creating a plan for protection and NRM plan (Chachi, Ecuador)
- Assisting formulation of local community patrolling plan and regulations (Dingguoshan, China)

Communications

- Establish mechanisms for the coordination and exchange of information between the Centro Chachi and organizations that provide financial support to the Reserve (Chachi, Ecuador)

3.2 Processes of participation, consultation and negotiation. Designing and negotiating the conservation agreement components described in the previous section will require careful consideration of how to ensure transparent and representative processes. Some questions to consider with respect to these processes include:

- How will the community as a whole engage in agreements?
- How do we facilitate community participation?
- How do we ensure community free, prior and informed consent?
- Who else should we consult before signing agreements?
- How do we finalize and sign agreements with communities?

These questions should have been explored during the feasibility and engagement phases, but it is essential that they are fully resolved before proceeding to agreement design. The following sections address these questions in turn.

3.2.1 Representative community bodies. If

communities are to make decisions and choices as a collective whole, then effective and equitable organizations for community representation are required. The formation of elected committees is a typical approach, but not the only one. Some examples of bodies for community representation include:

- Local committees: these can be formed through local elections, in which community members choose their representatives. Committees that are formed in this way will only function if the elections are viewed as legitimate and existing community leadership structures are fully involved in the process.
- Traditional leadership structures: traditional or pre-existing leadership may be formal or informal. Even if informal, traditional decision-making processes are institutions that guide how community representation takes place; the project implementer must assess the degree to which such institutions are truly representative.
- Pre-existing organizations: In many situations, local representative organizations may already exist. Examples include farmer

cooperatives, local civil society associations, local government structures, etc. Relying on pre-existing organizations may be efficient and appropriate, but can also involve tradeoffs in terms of equity and participation. When deciding whether to work through such structures, the project implementer must assess their legitimacy and functionality and address the following questions: Are these local organizations respected and accepted by local communities? Do they operate in an equitable way? Do they really represent all community members, rather than just elites or families of committee members?

Box 10. Penalties Example, Based on 2006 Conservation Agreement with 73 Families Comprising the Chumnoab Community in Cambodia

Transgressions	Penalties
1-2 families who received water buffalo as a project benefit violate the agreement	Families lose water buffalo, and commune receives warning of 50% reduction of benefit package in the following year; water buffalo goes to next eligible family
3 or more families who received water buffalo as a project benefit violate the agreement	Families lose water buffalo, and commune benefit package for the subsequent year reduced by 50%; water buffalo goes to next eligible family
1-2 families without water buffalo violate the agreement	These families go to bottom of list for receiving water buffalo, and commune receives warning of 50% reduction of benefit package in the subsequent year
3 or more families without water buffalo violate the agreement	These families go to bottom of list for receiving water buffalo, and the commune benefit package for the subsequent year is reduced by 50%

COMMUNITY REPRESENTATION CHECKLIST— HOW TO ENSURE A FUNCTIONAL REPRESENTATIVE BODY:

- ✓ Does the body represent all members of the community?
- ✓ Which groups in the community do not know about the body or do not engage with its activities? How do we include these groups, or are they unlikely to participate? Might they pose a risk to the legitimacy of the agreement?
- ✓ Will the body be able to distribute benefits equitably? How can we ensure transparency in this process?
- ✓ What are the roles and responsibilities of the body? This must be defined at the outset of the agreement design and negotiation process.
- ✓ What political pressures might the body face? Can we alleviate these?

To strengthen community representation, implementers may want to formalize and make transparent the way in which the representative body interacts with other community members (for instance by specifying roles in a Terms of Reference, as in the Cambodia example discussed previously in Box 7). These interactions are critical for effective representation, and therefore underpin the legitimacy of a conservation agreement, reflecting FPIC principles.

3.2.2 Community consultation and participation. Working with the community toward a conservation agreement will first require elaboration and refinement, together with the community, of the engagement plan prepared earlier. This includes making a schedule of meetings, developing meeting objectives and agendas, defining roles and responsibilities in the process, and specifying how proceedings and decisions will be recorded and reported to the community.

Consultation and participation are different. Consultation implies minimal decision-making power (if any) for the community, and little input on how participation happens. In full community participation, communities help determine the processes of engagement and have control over decisions that affect them and their livelihoods. This is the essence of rights-based approaches.

To strengthen participatory processes, project implementers can:

- Ensure that community bodies have the opportunity to shape the process of participation. For example, they may want to determine how many meetings will take place; how much time to allow between meetings to consult more widely with the community; who is in charge of running community meetings; and what representative processes are used.
- Formalize the process of public consultation (beyond just engaging the representative body). This does not just mean having a big meeting with all community members. Rather, public consultation could happen through focus groups that are facilitated by implementers and committee members. Focus groups could either be randomly selected, or selected by family groups, geographical groups, socioeconomic or livelihood groups, or by gender / age etc. (Community representatives and implementers can define these groups together). This way, perspectives of different groups can be heard, which is especially important for hearing the voices of less powerful groups in the community.
- Ensure that implementers and community representatives take into consideration the perspectives of different group members in the community. This could be achieved by making sure that results of focus group discussions are reported back to the representative body and implementers.
- Community representatives will need to discuss and decide how they want community decisions to be made. For example, will they require full community consensus, or approval of the majority, or agreement from at least 80% of community members? Will they require that all focus groups have been consulted twice and express agreement? What timeline and consultation process will they require? The project implementer must seek a balance between requirements for meaningful participation and representation on the one hand, and local norms for equitable processes on the other.
- Participatory processes will be especially important to design benefit packages. One possibility is that community leaders nominate possible benefits, and then community members vote to prioritize the options (this was done in China). Another possibility is that the project implementer develops a list of possible benefits based on focus group discussions. **Agreement on a clear process for deciding on the benefits and how they will be distributed is critical.** Typically, the design of the benefit package will respond to an analysis of the community's livelihood and development situation. For example, Participatory Rural Appraisal (PRA) tools can help communities identify constraints and opportunities and build development plans. In some cases, village development plans or local development plans may already exist, providing a foundation for benefit package design.

3.2.3 Negotiation: Achieving consent or consensus. Agreement design and negotiation will need to respond to each of the community sub-groups that have been identified and engaged separately (see above). Although it may not be possible to satisfy everyone in the community, commitment to transparency and FPIC means that everyone must have the opportunity to participate and provide meaningful input into the process. For instance, in a project

where the community has formed a representative committee to negotiate the agreement, the process might be as follows:

- (i) Committee members and implementers develop an initial agreement concept, which covers the four main agreement components discussed in 3.1: commitments, benefits, compliance monitoring, and penalties. This may take several meetings between implementers and committee members. In between each meeting, committee members will be expected to consult with the rest of the community to seek local opinions and input, and the project implementer can do so as well.
- (ii) Once the committee and implementers have produced an initial agreement design, a more formal public participation process is required. This can be achieved through focus group discussions with community sub-groups (see above). Formal feedback and inputs on the proposed agreement will be recorded in these focus group sessions.
- (iii) Committee members and implementers reconvene in order to evaluate and discuss the inputs that have been received from the focus group discussions. This may lead to revisions in the agreement design before producing a final draft agreement.
- (iv) The final agreement draft will need to be checked again through another public process to verify broad-based consent throughout the community. The focus groups could be reformed here, for a final approval step. In addition, a public meeting could be held as a final feedback opportunity for the community as a whole to make public the community consent/consensus process.

In some contexts, an additional means for soliciting full community consent could be to display the agreement on a public notice board for a comment period and invite community input.

3.2.4 Consulting others beyond the community. Another essential component of agreement design and negotiations is to consider the appropriate form of involvement for other parties identified as key stakeholders. This will ensure that the agreement is viewed as legitimate, and that stewards and implementers have necessary approvals to proceed. Parties to consider might include:

- Local government, such as commune councils, or municipal or district government bureaus
- Natural resource management authorities (e.g. forestry administration, protected area management, fisheries management bodies)
- Private sector companies that are active in the area or are sponsors of agreements
- Other NGOs working with the resource users, potentially in other fields such as health, education or livelihoods

These parties should be consulted at the outset of the negotiation and design phase, and often they will already have been contacted or involved in the feasibility analysis and engagement phases. Some of these parties may become signatories to the agreement, along with the communities or resource users themselves; these other parties should be identified and agreed upon as early as possible in the process.

Once the implementers and community representatives have developed the initial agreement design concept, input should be sought from all signatories and stakeholders. Revisions to the agreement design may be required to secure their support, though the role of other stakeholders in agreement design will depend on local circumstances. For example, in some projects, protected area authorities may need to confirm whether agreement actions are aligned with protected area management plans and the legal context.

3.3 Additional assessments to be done by the implementer. Additional assessments may be needed prior to formalizing an agreement. These might include:

3.3.1 Capacity building: Once commitments are agreed upon, implementer and local counterpart capacity should be assessed to identify further capacity-strengthening needs. Capacity may be necessary in:

- Implementing conservation actions (e.g., defining a management plan, patrolling and enforcing, managing equipment, etc.)

- Implementing economic alternatives (e.g., coordinating agricultural extension, infrastructure building, education provision, etc.)
- Managing finances (e.g., budgeting, accounting, grant reporting, etc.)

3.3.2 Monitoring baselines: If socio-economic and biological baselines have not yet been established, the project implementer should carefully consider when to do so. Ideally, baselines would be defined before signing the agreement, or at the latest, immediately thereafter. However, in developing the Theory of Change, the project implementer should have already considered baselines and indicators for inclusion in the monitoring protocol.

3.3.3 Revised estimate of total project costs: At this phase, the implementer must revisit estimates of the costs of the agreement and assess affordability. Cost components will likely include:

- Benefits (including incentives and management costs)
- Capacity building
- Building awareness of benefits from conservation
- Technical support by conservation and development staff including time, logistics, equipment, etc.
- Monitoring of conservation outcomes
- Maintenance and periodic replacement of capital equipment (e.g., radios, GPS units, binoculars, etc.)

3.4 Signing of the agreement

Once community consent for the final draft of the conservation agreement has been verified, arrangements can be made for agreement signing and implementation. All principal signatories will need to be present, and agreements should be signed in a public ceremony. Copies of the agreement should be provided to local committees, authorities and other key stakeholders. By organizing a ceremony to sign the agreement, the implementer and the community can build pride and recognition of the agreement among the community members. Bringing special guests and authorities increases the relevance of the signing ceremony, can enhance legitimacy and strengthens commitment to the agreement.

Key products of this phase include:

- A signed agreement and a plan to implement it.
- A plan to build additional capacity required so the resource user can comply with the agreement conditions.
- A final budget for agreement costs.

CHECKLIST BEFORE SIGNING A CONSERVATION AGREEMENT

- ✓ Implementation team identified
 - ✓ FPIC documented
 - ✓ Socio-economic and biological baselines defined
 - ✓ Monitoring plan in place
 - ✓ Long-term sustainability plan developed
-

Phase 4: Implementation

Once an agreement has been signed, the implementation phase begins. The implementer's activities in this phase focus on meeting their own commitments and on helping the resource owners fulfill theirs. This section describes two types of considerations that are important in most contexts: the first are responsibilities for which the implementer role typically shifts from day-to-day activities to periodic engagement. The second is a list of more general considerations for ensuring effective implementation of conservation activities and benefit delivery.

Initial implementation activities. This section describes the principal implementation steps, in rough chronological order. Many of these activities will also be necessary on an ongoing basis.

Planning and organization

Before initiating implementation, develop a document defining procedures (how activities are going to be implemented), schedules (when activities are going to be implemented), and roles—who will be responsible for:

- Implementing conservation activities
- Implementing other activities needed to facilitate agreement compliance
- Benefit delivery and distribution
- Monitoring biological and socio-economic impacts
- Monitoring agreement compliance

To ensure an effective project, implementers should:

- Contract qualified, dedicated people to carry out capacity-strengthening necessary to enable counterparts to meet their commitments (as identified in step 3.3 above).
- Ensure that all parties to the agreement have clear deliverables and obligations (e.g., rangers have an obligation to conduct specified number of patrols, community leaders must be present when agricultural technical assistance is provided, etc.).
- Ensure that there is a person responsible for overseeing the agreement from the implementer's side; this person will likely be the head of the engagement team.
- If possible and not already done, identify a community "champion." This person's role may range from formal liaison for the project to consensus building among community groups to promoting the agreement among local stakeholders.
- Develop a process for regular reporting on implementation, including conservation actions, delivery of benefits and monitoring.

Months 1-6:

- Demarcation and signage: If the project is area-based, begin the process of demarcating the borders using a locally appropriate option (e.g., clearing vegetation, planting a specific species, signposts, fences, etc.). For species agreements, install suitable signage advising would-be resource users of restrictions.
- Dissemination: The engagement team and representatives of the resource users must ensure that everyone in the resource user group is aware of the agreement and the commitments, roles and responsibilities it entails.

Months 6-12:

- Participatory evaluation of progress: Early during implementation, the implementer and

Box 11. Community Ownership of Planning

For many conservation agreements, it will be important to define land use plans and natural resource use regulations that will help resource users comply with the agreement (e.g., pasture areas, non-timber forest product extraction zones, etc.). Conservation plans must be drafted together with resource users to guide implementation of activities defined in the conservation agreement (e.g., patrolling). Through such regulations and plans, resource users can define their own approaches to fulfilling their commitments.

the counterpart should meet to discuss what aspects of the agreement are going well and what needs to be improved. This will help identify and address problems before they become entrenched, while building trust and local support.

- If the agreement appears to be going well, the implementer should prepare for renegotiation and begin developing a strategy to secure long-term funding.

Phase 5: Monitoring

This section describes monitoring activities that must be performed while a conservation agreement is being implemented. They relate to measuring progress towards biodiversity conservation, improvement of quality of life and compliance with the agreement. The results of these activities will allow for adapting the agreement over time to ensure it effectively conserves biodiversity while people are satisfied with the arrangement. These activities are not optional and should be performed on a regular basis (e.g. annually or bi-annually).

5.1 Measuring progress in achieving conservation outcomes (biodiversity monitoring): Biodiversity monitoring indicators and protocols were defined during the initial implementation stage. Protocols should be designed to track conservation targets regularly over time, taking into account seasonality when appropriate. Third party involvement in monitoring is necessary to guarantee objectivity of data collection as well as analysis of progress in achieving biodiversity outcomes. In addition, agreements will often benefit in at least three ways from involvement of resource users in biodiversity monitoring:

- Employment opportunities as an additional benefit under the agreement;
- Cost effective data collection throughout the year or season; and
- Enhanced knowledge, capacity and pride of community members that can strengthen the agreement and solidify commitment to conservation.

For priority species, biodiversity monitoring will typically focus on abundance, measured directly through transects and plots. For protected areas, monitoring will concentrate on habitat quantity and quality. Data collection options will vary from case to case but may include satellite imagery, overflights, water quality tests, third party monitoring of major access points to the resource, etc.

5.2 Measuring changes in socio-economic conditions of the resource users: As with conservation outcomes, socio-economic monitoring indicators and protocols were defined during the initial implementation stage. Improvements in human well-being are a key objective, but it is important to remember that the overall purpose of monitoring is to ensure the effectiveness of the conservation agreement; conservation objectives and human well-being objectives are different and will require explicit differentiation among project goals and activities. Tracking socio-economic changes will show the contribution of the agreement to development as well as changes in resource users' perspectives on conservation and the agreement itself. Again, third party involvement is necessary to guarantee objectivity of data collection and transparency in reporting. For rigor, control sites should also be monitored if possible and cost effective, or the protocol can use regional statistical data (depending on quality and availability) to isolate the impact of the agreement on human well-being. The cost of data collection, which usually takes the form of household surveys and focus group discussions, can be reduced by involving local university students as enumerators. Special attention should be paid to ensuring that gender-sensitive data is collected wherever possible. For example, instead of counting number of community members, collect data on number of men and number of women. This will help to inform who is participating and benefitting. The following types of indicators should be considered when monitoring socio-economic changes:

Implementation of activities

- Effectiveness of activities/benefit investments supported by the agreement (e.g., Was rice production improved by agricultural extension investment?)
- Effectiveness of decision-making mechanisms and processes (e.g., transparency, participation, etc.)
- Community capacity to implement project activities

Local community perceptions and knowledge

- Awareness/understanding of the agreement (rules, benefits, duration, etc.)
- Perceptions and attitudes towards conservation

- Overall satisfaction with the agreement

Socio-economic changes

- Broad socio-economic changes (e.g., income, educational attainment, health, etc.); these should be explicitly categorized as those that are directly impacted by agreement benefits and those that are not
- Community perceptions of changes attributable to the agreement
- Changes in tenure and management rights, and perceptions of rights

Some key questions to consider when designing the socio-economic monitoring framework:

- Are the objectives for socio-economic monitoring clear?
- Are concerns of particular subgroups or individuals included?
- What socio-economic changes among resource owners are expected?
- Who will use the information generated by socio-economic monitoring? How can it be used to adapt and improve the CA?
- Can existing data sets be used to derive indicators relevant for project monitoring?
- How will personal information about people be protected?

5.3 Assessing compliance with agreement commitments: As discussed previously, monitoring compliance is essential to the effectiveness of a conservation agreement. Possible indicators include:

- Conservation commitments relating to both pressure (e.g., no gillnets, no traps, no snares, no logging, etc.) and response/management activities (e.g., patrolling, reforestation, etc.)
- Management of the agreement (e.g., appropriate use of funds, audited financials, reporting on conservation activities, etc.)
- Communications and information dissemination (e.g., awareness, understanding, and satisfaction relating to the conservation agreement)

Finally, the implementation year concludes with feedback of monitoring information into the renegotiation process (whether for renewal of a short-term agreement or, if necessary, revision of a long-term agreement) and improved strategies for conservation management, delivery of benefits, communications, etc.

Phase 6: Moving towards sustainability

As the project matures, various processes should reach a stage where the implementer becomes less involved in day-to-day management. Standard procedures for benefit delivery, performance monitoring, etc. will evolve, such that implementer activities take the form of periodic application of established protocols rather than ongoing engagement. Ideally, community members themselves assume greater degrees of responsibility over time, for example for monitoring activities and management of community benefits. However, the implementer must continue to ensure that mechanisms are in place to allow prompt responses to implementation problems, community grievances or the emergence of new threats to the stability of the agreement.

The most basic requirement for moving toward a sustainable agreement is effective initial implementation and feedback of experiences into improving implementation in subsequent years. Depending on the project, steps explicitly aimed at sustainability can begin sooner or later. This section describes several of these steps.

6.1 Negotiation and design of a long-term agreement. If the initial agreement was for a trial period and both parties are satisfied, they can proceed with negotiating a long-term agreement. Typically, this involves a commitment regarding the legal status of the area to be protected, and, from the implementer, a commitment to long-term benefits. In addition to what was included in the trial period, the long-term agreement needs to include:

- Development vision: For more complex, long-term agreements, it may be valuable to support resource users in creating a long-term development vision that guides benefit package design and investment.
- Management plan: In the case of a long-term agreement, develop a clear management plan to guide resource and habitat use over time as well as responses to threats to biodiversity. This plan should consider the counterpart's rights, culture and skills and should be developed with the participation of the resource owner as well as other relevant actors (e.g., government, law enforcement, surrounding communities, technical experts, etc.).
- Long-term monitoring framework: Based on the monitoring protocols defined for the trial period, develop a cost-effective framework that can be deployed over the long term.
- Long-term financing: When committing to a long-term agreement, the implementer must design a long-term financing strategy to cover ongoing activities as well as protect the agreement from potential increases in opportunity cost. Long-term agreements should not be entered into without secure funding.

6.2 Sustainable funding. Almost every agreement needs a source of long-term financing to cover ongoing conservation management, benefits and monitoring. Therefore, the project team must have a plan for obtaining and managing long-term finance. Each project will have its own needs and opportunities, so financing plans will vary widely, but they must all address certain important questions. Box 12 presents a general outline for financing plans.³ The initial draft of the financing plan should be developed early in the project, and then revised regularly as financing needs change, new funding opportunities emerge, new constraints arise, etc. Sustainable funding strategies explored for current projects include:

- Create an endowed trust fund such that agreement costs are covered by the interest yield on the endowment capital. This option is the most straightforward and stable.
- Harness an ecosystem service payment market (e.g., carbon sequestration, watershed protection, etc.).
- Convince a business to cover recurrent costs as an offset, i.e., protection in compensation to the global community for damage they do elsewhere.
- Find a product that can be produced by the resource user for which a company is willing to pay a “green” or sustainable production price premium based on compliance with the conservation agreement.
- Help communities develop and market a product which provides ongoing benefits, but for which some part of the marketing chain is linked to satisfying the conditions of the agreement.

Many financing plans include trust funds as a long-term financing mechanism. There are three main types of trust funds, which differ in the way that capital (the funding placed into the fund, including both the initial contributions—the principal—and the interest generated by investing those contributions) is managed over time:

- Sinking Funds: the capital is spent over a defined period of time, usually at least 10 years, until all the funds have been used and the fund stops operating.
- Revolving Funds: the capital is continuously spent and replaced from an ongoing source like earmarked taxes or fines, PES revenues, or periodic contributions from a corporate partner.
- Endowment Funds: Capital is invested so that the principal amount stays in the fund and only the annual interest is spent.

³ For further guidance on developing financing plans, see <http://www.conservationfinance.org/guide/guide/index.htm>.

Endowment funds are an appealing option for sustainable financing, as they are one of the few ways to guarantee long-term flows of funds once the initial capital has been raised (and assuming the fund is well managed). However, the amount of capital required—typically 20 times the annual budget—means that they involve a significant fundraising challenge: A conservation agreement that costs \$50,000 per year requires an endowment of \$1 million. Setting up a trust fund requires several kinds of specific expertise, especially on legal aspects, but the project team must develop the strategy for finding sources of funding.

6.3 Management sustainability. Like secure financing, management sustainability is critical to ensure long-term endurance of conservation results. The core requirement in this regard is that there is an entity with clear ongoing management responsibility, with tasks that include facilitating benefit delivery, ensuring that monitoring takes place, responding to new threats and other problems, etc. Often this will be a community-based institution, such as a separately established organization, a producers' cooperative, a resource management committee, or a designated position within community governance structures. Alternatively, in some projects a government agency, NGO or company may retain long-term management responsibility. The implementer must define a clear path toward the long-term management solution, including definition of roles and responsibilities as well as investment in needed institutional capacity.

6.4 Additional ways to reinforce agreements for long-term sustainability. When designing a strategy for sustainability, the implementer should consider additional elements that help promote long-term adherence by the resource users to the agreement. Possibilities include:

- Maximize employment and income generated by the agreement (jobs that flow from the conservation agreement and/or depend on the conserved resource (e.g., rangers, biologists, guides), income opportunities linked to the conservation agreement, particularly those arising from the conserved resource (e.g., non-timber forest products, ecotourism))
- Encourage acknowledgement of direct advantages provided by the agreement (financial and in-kind value of the benefits themselves, access to a reliable stream of benefits not tied to outside markets, access to technical assistance, public services, etc. through the relationship with the implementer and other partners)
- Encourage recognition of direct and indirect benefits generated by resource conservation (ecosystem services from conserved resources, avoided negative social impacts often linked to destructive resource use, such as loss of traditional values, alcoholism, spread of disease, etc.; also encourage protection of cultural and religious values linked to healthy resource base)
- Promote embracing of biodiversity as a value (e.g., building pride)

Box 12. Conservation Agreement Financing Plan Outline

1. Brief Summary of Agreement (maximum ~3 pages)
 - a. Discuss how long the agreement will last
 - b. Indicate some prioritization in agreement components/activities to justify bare bones, intermediate and ideal budget scenarios in 1.b below
 - c. Indicate what the current vision is for long-term management/ implementation of the agreements (current implementer forever, handing over to another NGO, integrating into protected area management, etc.; relates to 3.d below)
2. Annual financial needs (2-5 pages)
 - a. Describe expense categories (operating costs, benefits, monitoring, etc.)

- b. Describe absolute minimum budget, ideal budget, and some intermediate between these two extremes. Identify differences between budget scenarios in terms of activities, effectiveness, responsive versus proactive management, etc.
 - c. Differentiate recurrent/ongoing expenses versus one-time expenses
 - d. Identify any legal commitments with budget implications
3. Funding history to date (1-3 pages)
- a. Sources
 - b. Activities covered
 - c. Current status of relationship with each source
4. Summary of vision for financial sustainability (2-5 pages)
- a. Characterize possible mechanisms (corporate offsets; trust funds, endowments, etc.; user fees; PES, including carbon; government budget allocations; etc.)
 - b. List potential funding sources (government, foundations, corporate or individual philanthropy, etc.; domestic vs. local for each; etc.)
 - c. Discuss implications for replication/scaling up (how to enhance cost-efficiencies over time/scale). Consider if scaling up can lead to new funding opportunities (e.g. scaling up in Ecuador led to government funding through Socio Bosque).
 - d. Explicitly address issue of possible changes in costs over time—inflation, changes in opportunity cost, etc.—that influence long-term financing needs.
 - e. Discuss financial implications of gradual reduction in technical support while local governance capacity improves over time
5. Description of principal prospects (sources with some relationship to project – initial commitments secured, proposals submitted, discussions taking place, etc.)
- a. Type of source—their motivation for contributing
 - b. Current relationship and funding commitments, if any
 - c. Potential amount of support
 - d. Structure of potential support (one-time donation, periodic contributions, etc.)
 - e. Requirements for obtaining support
6. Listing of other potential prospects (sources on which no action has happened yet)
7. Work plan for following up on current prospects and other potential strategies
- a. Indicate the priority of agreement work and agreement fundraising within implementer's overall institutional program of work
 - b. For each prospect, define next steps/timeline
 - c. For specific financing mechanisms, define next steps/timeline (e.g., trust fund design)

ANNEX 1: RAPID INITIAL ASSESSMENT OF THE CA INITIATIVE IN MONTAÑA LA HUMEADORA, DOMINICAN REPUBLIC

GENERAL INFORMATION	
Country	Dominican Republic
Protected area	Montaña La Humeadora National Park
Potential conservation outcomes	
<ul style="list-style-type: none"> • Protection of 31,500 hectares • Important site for conservation of birds (50 species, 56% of bird species in Hispaniola Island, 18 endemic species); amphibians (6 endemic species); reptiles (8 endemic species); and flora (453 species, 20% endemic to Hispaniola Island) • Montaña La Humeadora National Park watershed provides 69% of the water to Santo Domingo, and helps generate 42% of the nation's electricity. 	
Funder	
<p>The project site is crucial for the provision of water to Santo Domingo and for provision of electricity, thus it provides water services that could be paid for by the Hydroelectric Generation Company and the Water and Sewerage Corporation. CEPF is currently financing a project to assess the viability of payment for water services from La Humeadora.</p>	
Potential implementer	
<p>Fondo Pro-Naturaleza is a Dominican NGO established in 1990 to contribute to the sustainable development of the country through the rational use and protection of natural resources, preserving the environment, and working with the State, the civil society, local communities and international organizations. Pro-Naturaleza has been working in La Humeadora National Park since 2010, leading development and implementation of the management plan of the protected area, and has a close relationship with the Ministry of Environment and the local communities.</p>	
Resource users	
<p>Pro-Naturaleza has been working since 2010 with families from the Haina-Duey watershed in the national park. At least 500 families from this area would be interested in working with Pro-Naturaleza on design and implementation of conservation agreements. The families are organized in Neighborhood associations, smallholder associations and farmer associations</p>	
Conservation actions pre-identified	
<p>Activities pre-identified include patrolling specific areas of the Haina-Duey watershed to control illegal deforestation and participating in reforestation campaigns. It also involves establishing nurseries and providing extension services, seedlings and tools to establish cocoa agroforestry systems in the farmers' land plots.</p>	
Other characteristics	
<ul style="list-style-type: none"> • There is plenty of information available on the site, as Pro-Naturaleza was in charge of developing the management plan for the protected area. This initial assessment shows that there are high probabilities of implementing conservation agreements in the area. • Families living in the Haina-Duey watershed were severely affected by tropical storms Olga and Noel in 2007. Potential conservation agreements can help reduce vulnerability of local communities to natural disasters in the future, particularly to tropical storms causing landslides. They can also help farmers improve commercialization of specific products such as cocoa through the implementation of agroforestry systems. • Pro-Naturaleza is also working with the Ministry of Environment, who could potentially co-finance reforestation activities. There is also the possibility of working with the Hydroelectric Generation Company and the Water and Sewerage Corporation. • This project could be a valuable learning experience of implementing conservation agreements in highly degraded areas in islands and could be replicated to other watersheds within the National Park and to other protected areas in the country. 	

ANNEX 2: STAKEHOLDER AND CONFLICT ANALYSIS

There are several methodologies that can be used for stakeholder and conflict analysis. Below are some links that can help implementers define methodology for their site.

Stakeholder analysis:

- Babiuch, W. M and B.C. Farhar. 1994. Stakeholder Analysis Methodologies Resource Book. Colorado, US: National Renewable Energy Laboratory. Available at www.nrel.gov/docs/legosti/old/5857.pdf
- Chevalier, J. 2001. Stakeholder Analysis and Natural Resource Management. Ottawa, Canada: Carleton University. Available at www1.worldbank.org/publicsector/politiceconomy/November3Seminar/Stakeholder%20Readings/SA-Chevalier.pdf
- DFID. 1995. Guidance Note on how to do Stakeholder Analysis of Aid Projects and Programmes. London, UK: DFID. Available at <https://beamexchange.org/resources/548/>
- Grimble, R. 1998. Stakeholder methodologies in natural resource management. Socioeconomic Methodologies. Best Practice Guidelines. Chatham, UK: Natural Resources Institute. Available at <http://www.nri.org/projects/publications/bpg/bpg02.pdf>
- Reed, M., Graves, A., Dandy, N., Posthumus, H., Hubacek, K., Morris, J., Prell, C., Quinn, C.H. and L. Stringer. 2009. "Who's in and why? A typology of stakeholder analysis methods for natural resource management". Journal of Environmental Management 90 (2009) 1933–1949. Available at www.sustainable-learning.org/wp-content/uploads/2012/01/Who's-in-and-why-A-typology-of-stakeholder-analysis-methods-for-natural-resource-management.pdf
- Schmeer, K. Section 2. Stakeholder Analysis Guidelines. In Policy Toolkit for strengthening health Sector Reform. Available at https://www.researchgate.net/publication/265021546_Stakeholder_Analysis_Guidelines
- Yves, R. 2004. Guidelines for Stakeholder Identification and Analysis: A Manual for Caribbean Natural Resource Managers and Planners. CANARI guidelines series. Laventille, Trinidad: Caribbean Natural Resources Institute. Available at <http://www.alnap.org/pool/files/guidelines5.pdf>

Conflict analysis:

- AFPO, CECORE, CHA, FEWER, International Alert, Saferworld. 2004. Conflict analysis. In Conflict Sensitive Approaches to Development, Humanitarian Assistance and Peacebuilding: A Resource Pack. London, UK. Available at <http://www.saferworld.org.uk/resources/view-resource/148-conflict-sensitive-approaches-to-development-humanitarian-assistance-and-peacebuilding>
- Means, K., Josayma, C, Nielsen, E. & Viriyasakultorn, V. 2002. Section 3: Analysing Conflict. In Community-based forest resource conflict management: A training package. Rome, Italy: FAO. Available at <ftp://ftp.fao.org/docrep/fao/005/y4300e/y4300e06.pdf>
- SIDA. 2006. Manual for Conflict Analysis. Stockholm, Sweden: SIDA. Available at www.sida.se/contentassets/34a89d3e7cbf497ea58bc24fea7223c5/manual-for-conflict-analysis_1695.pdf

ANNEX 3: COST OF BENEFIT PACKAGE

To inform thinking about the size of the benefit package, two elements should be considered: 1) what resource users forgo by choosing conservation over alternative resource use, and 2) the costs of implementing conservation actions. Together, these two elements comprise opportunity cost.⁴ Determining this cost requires identifying the threats and corresponding conservation commitments.

Threats	Conservation commitments - Foregone resource uses - Conservation actions
•	•
•	•

You can characterize the size of the benefit package as the sum of two opportunity cost components (foregone resource use, OCF, and conservation actions, OCA) by analyzing the following questions:

1. How much do resource users give up when choosing conservation?

Resource users incur costs when choosing conservation rather than alternative options for using resources, such as income forgone by not extracting timber or not converting habitat to agriculture.

For example, if the threat is timber extraction by community members, you need to consider income lost by not logging. This component of opportunity cost reflects how much the community loses by not selling timber. The calculation involves determining how much timber would be extracted each year, and how much could be earned when selling this timber. Expenses incurred (time, materials, transportation) must be subtracted from total revenue to obtain the net return.

$$OC_F = (\# \text{ m}^3 \times \text{price per m}^3) - [\text{materials cost} + (\text{time cost} \times \# \text{ persons involved})]$$

$$OC_F = \$20,000 \text{ (revenue)} - \$11,940 \text{ (expenses)} = \$8,060 \text{ (return)}$$

INCOME		
m ³ logged/year	price per m ³	Total revenue
200	\$100	\$20,000

EXPENSES				
Materials / Time	amount/year/person	Amount	# persons involved	Total expenses
Machetes	1	\$12	20	\$240
Transportation (mules)	0,25 (1 mule/4 years)	\$100	20	\$500
Daily wages	70 days	\$8	20	\$11,200
TOTAL EXPENSES				\$11,940

⁴ Strictly speaking, opportunity cost is reduced by the value of ecosystem services lost when not choosing conservation. As this typically is difficult to calculate, and can be challenging to communicate to resource users, most projects set aside this consideration in the interest of reaching a mutually satisfactory agreement.

ANNEX 4: FREE, PRIOR, INFORMED CONSENT

The principle of Free, Prior and Informed Consent (FPIC) refers to the right of indigenous peoples to give or withhold their consent for any action that would affect their lands, territories or rights.

- “Free” means that indigenous peoples’ consent cannot be given under force or threat.
- “Prior” indicates that indigenous groups must receive information on the activity and have enough time to review it before the activity begins.
- “Informed” means that the information provided is detailed, emphasizes both the potential positive and negative impacts of the activity, and is presented in a language and format understood by the community.
- “Consent” refers to the right of the community to agree or not agree to the project before it begins and throughout the life of the project.

The conservation agreement model promotes the use of the FPIC principle also when working with non-indigenous communities.

CI’s FPIC Guidelines are available at www.conservation.org/SiteCollectionDocuments/CI_FPIC-Guidelines-English.pdf

Examples regarding the use of FPIC in conservation agreements in Colombia, South Africa and Guatemala are available at www.conservation.org/csp

ANNEX 5: TIPS FOR INTEGRATING GENDER INTO CONSERVATION AGREEMENTS

Recognizing that men and women interact with their environment differently, the 2015 edition of the Conservation Agreement Model includes guidance for users to ensure they understand and include gender issues while developing and implementing conservation agreements. This document provides a condensed set of specific guidance for gender integration, particularly for community agreements.

General Information on Gender and Conservation Projects

Men and women have different needs, priorities, and uses for natural resources, and therefore often have different knowledge about natural resources. Conservation projects that rely on community ownership and management, such as conservation agreements, must understand and respond to those differences. Analyzing gender issues and taking measures to integrate gender can significantly increase a project’s efficiency, sustainability, and equity, leading to economic and social gains, an improvement in project performance, equal opportunity and increased participation.

What is Gender?

Gender is a social construct that refers to relations between and among the sexes, based on their relative roles. It encompasses the economic, political and socio-cultural attributes, constraints and opportunities associated with being male or female. Gender varies across cultures, is dynamic and open to change over time. **Note that “gender” is not the same as “women” or “sex.”**

Keep the following points in mind throughout the feasibility analysis, design and implementation of conservation agreements:

Gender Situation Analysis and Background

- What are the different ways that men and women access, use and control the resources that the conservation agreement will impact? What ecological knowledge might they have that could influence the development and implementation of the agreement?
- What is the existing socio-cultural state of men and women in the project area? What social, legal and cultural obstacles or barriers could prevent men or women from participating in the project?
- How might the existing gender roles and responsibilities affect the achievement of conservation outcomes in the agreement? How might the project influence men and women differently?
- How are community decisions made? By whom? How are the voices of all community groups (women, youth, elders, and ethnic or religious minorities) incorporated? How will the benefit package respond to different needs?

Activity Design

- Given the barriers to equal participation identified through questions above, what culturally appropriate measures can be taken to help ensure that everyone is able to participate and benefit?

Examples include: adapting communication methods to reach both men and women, providing child care at meetings, helping with transport to meetings if they are held outside the community.

- What will be the agreement's impacts (positive and negative) on men and women? What are some possible unintended consequences of the agreement? How might they affect women and men differently?

Monitoring and Evaluation

- Quantitative indicators should be sex-disaggregated and gender sensitive, such as number and percentage of men and women (and not just “number of community members”).
- Other indicators could include community knowledge, attitudes and practices about female participation and leadership (e.g., change in beliefs regarding how women participate in natural resource management decision-making).

Staffing and Budgeting

- Consider the diversity of the engagement team—are men and women represented and able to give input?
- Be sure to budget for any specific activities that help men or women to participate in, and benefit from, the project.

ANNEX 6: THEORY OF CHANGE - PRACTICAL GUIDANCE TO DEFINE THE LOGIC OF INTERVENTION FOR CONSERVATION AGREEMENT INITIATIVES

INTRODUCTION

CSP's process for developing conservation agreements relies on a Theory of Change (ToC) to understand the resource users' behavioral changes elicited through implementation of the agreements, taking into consideration the different types of resource uses by groups within the community (e.g., men and women, age groups, ethnicities, poverty levels, etc.). The ToC helps implementers and donors understand the logic of intervention behind each conservation agreement initiative. The purpose of this document is to provide guidance for the development and standardization of a ToC for conservation agreements. By following the steps set out in this document, project implementers will be able to define the ToC elements, targets and indicators. Defining these within the ToC will also help implementers define the core biodiversity, socio-economic and compliance monitoring components.

1. DEFINITION OF TOC ELEMENTS

Developing the ToC begins with identification of the conservation goal to be pursued using conservation agreements. Based on this goal, the conservation outcomes (results) to be achieved through the agreements have to be stated. Next, the main threats to the conservation goal, as well as the causes of these threats (drivers) also have to be listed. Finally, the actions to be undertaken to address the specific threats and drivers, and thereby achieve the conservation outcomes, are stated. The relations between these elements form the conceptual ToC for the conservation agreement (see Figure 1).

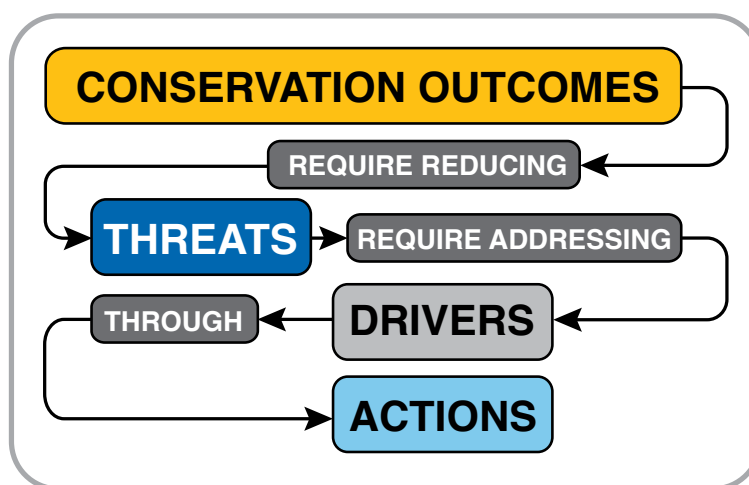


Fig. 1

As illustrated above, to develop the ToC we work back from conservation outcomes to define specific actions. Once this step is completed, presentation of the ToC starts from actions and explains how the actions will lead to the desired outcomes. Thus, in Table 1 below you will be able to show how implementing the activities stated in the conservation agreement will address the drivers and threats to conservation, resulting in the conservation outcome.

It is important to differentiate the roles of women and men and other social groups (e.g. youth, elders, particular

resource user groups, etc.) when designing and implementing actions to manage the drivers and reduce the threats. Indeed, this points to the need to employ participatory processes that ensure that the perspectives of these various groups are reflected in the design and execution of the

actions. Typically, this will entail meetings and engagement activities not only with community leadership and/or the community as a whole, but also with these specific sub-groups to ensure that their voices enter the process. As you formulate the ToC, you must also verify that the actions defined do not negatively impact particular subgroups within a community. Steps to do so can be embedded in the participatory processes (e.g. through focus group discussions).

TABLE 1: ELEMENTS WITHIN THE CA THEORY OF CHANGE				
	Actions	Drivers	Threats	Conservation outcomes
ToC elements	What can be done to manage the drivers and reduce the threats?	What is causing the threats?	What are the main threats to conservation?	What conservation result do we want to obtain by implementing conservation agreements?

2. DEFINITION OF TARGETS, INDICATORS, DATA GATHERING TECHNIQUES AND FREQUENCY

Once the ToC is constructed, it is necessary to define specific targets to be pursued in a specific period of time⁵. Indicators must be identified for each element in the table. This will allow one to measure whether activities are being implemented adequately and are not causing harm, if these activities are helping to reduce/manage the drivers and threats, and if the targets are being reached and the conservation outcome is being accomplished. These indicators should reflect observable or measurable factors that reflect the expected change (Bauerchse-Barbosa, 2007:14). It is also crucial to identify the techniques to be used to gather the data, as well as the data gathering frequency. In Table 2 you will find an explanation of what is expected for each element within the theory of change.

TABLE 2: MEASURING THE TOC ELEMENTS				
	Actions	Drivers	Threats	Conservation outcomes
ToC elements	What can be done to manage the drivers and reduce the threats? How do these actions affect women and men?	What is causing the threats?	What are the main threats to conservation?	What conservation results do we want to obtain by implementing conservation agreements?
Targets	What goals do you want to achieve for each element?			
	What is your goal regarding the implementation of conservation actions?	What is your goal regarding the management of drivers?	What is your goal in terms of threats reduction?	What goal you want to achieve by implementing conservation agreements?
Indicators	How can you measure that you are achieving the targets?			
	How can we measure whether actions are being implemented correctly and not causing harm to men and women?	How can we measure whether the drivers are being managed?	How can we measure whether the threats are being managed or have diminished?	How can we measure whether the target is being reached?
Data gathering technique	How are you going to gather the data?			
Frequency	How often do you need to gather the data to have reliable results?			

⁵ Targets are understood as observable and quantifiable events or characteristics that can be aimed for as part of an objective. They are a subset of the broad set of indicators (Slocombe 1998: 484).

ONCE TABLE 2 IS COMPLETED, THE FOLLOWING QUESTIONS MUST BE ANSWERED:

- Do we need all the indicators we selected?
- From the indicators selected, for which ones do we have baseline data?
- Is it necessary to differentiate indicators based on the roles of men and women (or other social groups) in causing the threats and implementing activities?
- Can we apply the data-gathering techniques at a reasonable cost?
- Is it more cost-effective to use other types of measurement to obtain good results? What type of measurements can be used?
- In relevant indicators, is it possible to disaggregate data by gender? (collecting information on men and women, not just “community members”)

3. SELECTION OF MONITORING ELEMENTS

Once the ToC table has been completed, you will have a clear story that demonstrates the logic of the behavior change sought by the intervention. At this point you need to select the ToC elements that will be used to measure biodiversity, socio-economic and compliance monitoring results. This information will provide a start on developing your monitoring protocols.

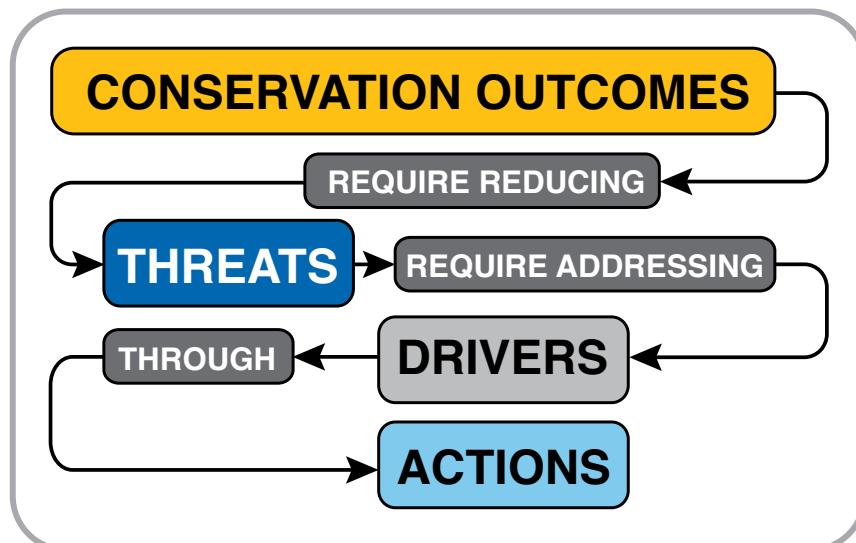
Doing so requires answering the following questions:

- * What elements can be used to monitor the CA biodiversity outcomes? Why?
- What elements can be used to monitor the CA socioeconomic outcomes? Why? (Once you develop your socio-economic monitoring framework, you will probably need to include additional targets and indicators. Although the ToC should be streamlined, noting the minimum indicators needed to verify progress toward the goal, socio-economic monitoring typically will include a richer set of indicators that help measure human well-being, including participation, governance, strengthening of rights, conservation awareness, skill development, social capital, etc.)
- What elements can be used to monitor the CA compliance? Why?

4. EXAMPLE: LA VENTOSA AND NUEVO BELÉN

Step 1:

Conservation objective:
To restore degraded areas in the communities of La Ventosa and Nuevo Belén (Guatemala) through reforestation with native species



Step 2:

CONSERVATION OBJECTIVE: TO RESTORE DEGRADED FOREST AREAS THROUGH REFORESTATION WITH NATIVE SPECIES				
	ACTIONS	DRIVERS	THREATS	CONSERVATION OUTCOMES
ELEMENTS	Reduce herd size Restrict grazing areas Improve pasture Plant native species	Overuse of grazing commons Not enough feed	Overgrazing	In 5 years 100% of the degraded area restored
TARGETS (IN 5 YEARS)	20 sheep/farm 15% increase in average sheep weight 50 ha reforested	100% of farms restrict sheep to permitted grazing areas	No degraded areas on properties	50 ha restored with native species
INDICATORS	Average herd size Average sheep weight # seedlings planted/ha % seedlings surviving Average hours/day that women/children/ men take care of the herd Amount of income (m/w)	% of farms that restrict sheep to permitted grazing areas	# of degraded ha	# of ha restored # of flora species/ha
DATA COLLECTION (FREQUENCY)	Household surveys Sampling plots (annual)	Random visits to grazing & restored areas (10 visits/year)	Vegetation cover analysis (years 1, 3 and 5)	Sampling plots (annual)

- **Do we need all the indicators we selected?**

Yes. There should be 1 indicator per target, so that each target can be measured.

- **From the indicators selected, for which ones do we have baseline data?**

There is information available regarding the surface of degraded areas (threats). For all other indicators it is necessary to gather baseline data.

- **Can we apply the data gathering techniques at a reasonable cost?**

The most costly technique is the vegetation cover analysis as the image processing and analysis takes time. The second most costly technique is establishing sampling plots in previously reforested areas and in the new areas. All the other sampling techniques can be applied at low cost by FUNDAECO's team.

- **Is it more cost-effective to use other types of measurement to obtain good results? What type of measurements can be used?**

The measurement techniques defined are the most cost-effective for the area. We still need to determine what we will prioritize based on budget restrictions.

Step 3:

- **What elements can be used to monitor the CA biodiversity outcomes?**

Conservation outcomes and threats can be used to measure biodiversity outcomes. This includes measuring the targets and indicators of each element. However in case of budget restrictions we will choose only conservation outcomes to measure biodiversity.

- **What elements can be used to monitor the CA socio-economic outcomes?
Why?**

The actions that can be used to monitor socio-economic outcomes are additional feed, improved sheepfold, and reduction of herd size, as this will have a direct impact on the weight of the sheep, on the amount of income received and on the time spent by women and children taking care of the herd. (As noted previously, the full socio-economic monitoring framework will examine various other factors beyond those needed to verify the ToC).

- **What elements can be used to monitor the CA compliance?**

The issues related to the drivers can be used to monitor CA compliance, as well as some actions (reduce herd size, restricting grazing to allowed areas, and reforestation with native species). In case of budget restrictions the compliance monitoring will include the drivers and the reforestation with native species.

References

Bauerchse-Barbosa, R. ed. 2007. Guía de Monitoreo de Impacto. San Salvador-El Salvador: GTZ.

Slocombe, D. S. 1998. Defining goals and criteria for ecosystem-based management. Environmental Management Vol. 22, No. 4, pp. 483–493

CONSERVATION STEWARDS PROGRAM

CONSERVATION AGREEMENT

NAME OF THE AGREEMENT SITE

NAMES OF THE ORGANIZATIONS INVOLVED IN THE AGREEMENT

Background

Include brief information about the importance of the area and about the process carried out to design the conservation agreement.

A

Penalties

Describe the graduated penalties to be applied in the event of non-compliance by the parties involved.

E

Stakeholders

Include brief information about the stakeholders signing the agreement.

B

Responsibilities for coordination of activities

Identify the persons from the organizations involved who are responsible for coordinating activities to implement the conservation agreement.

F

Objectives

Identify clearly the objectives of the conservation agreement, including the conservation outcomes.

C

Duration of the agreement

Specify the time period over which the agreement will be in effect.

G

Commitments of the parties involved

State the commitments of the parties involved, including conservation actions, benefit delivery (details can be provided as an Annex), commitments with respect to monitoring and governance, etc.

D

Dispute resolution

Define the dispute resolution mechanism - what will be done in case a problem arises and the parties don't know how to solve it among themselves.

H

Signatures

Signatures of the representatives of the organizations involved. Often communities and the other organizations also invite honorary witnesses to sign the agreement (e.g., a public figure, a representative of the government, etc.). In some communities people participating in the assembly held for the signing ceremony also sign the agreement.

I

Annex 1: Benefit package schedule

Provide a table with details on the benefits to be provided, including timeline.



CONSERVATION STEWARDS PROGRAM

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