

A resource guide to support
partnerships that conserve
protected areas and promote
sustainable and inclusive development

Collaborative Management Partnership

Toolkit

SUPPORTED BY



LED BY



WORLD BANK GROUP



© 2021 International Bank for Reconstruction and Development / The World Bank
1818 H Street NW
Washington DC 20433
Telephone: 202-473-1000
Internet: www.worldbank.org

This work is a product of the staff of The World Bank with external contributions. The findings, interpretations, and conclusions expressed in this work do not necessarily reflect the views of The World Bank, its Board of Executive Directors, or the governments they represent.

The World Bank does not guarantee the accuracy, completeness, or currency of the data included in this work and does not assume responsibility for any errors, omissions, or discrepancies in the information, or liability with respect to the use of or failure to use the information, methods, processes, or conclusions set forth. The boundaries, colors, denominations, and any other information shown on any map in this work do not imply any judgment on the part of The World Bank concerning the legal status of any territory or the endorsement or acceptance of such boundaries.

Nothing herein shall constitute or be construed or considered to be a limitation upon or waiver of the privileges and immunities of The World Bank, all of which are specifically reserved.

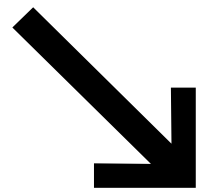
Rights and Permissions

The material in this work is subject to copyright. Because the World Bank encourages dissemination of its knowledge, this work may be reproduced, in whole or in part, for noncommercial purposes as long as full attribution to this work is given.

Any queries on rights and licenses, including subsidiary rights, should be addressed to World Bank Publications, The World Bank Group, 1818 H Street NW, Washington, DC 20433, USA; fax: 202-522-2625; e-mail: pubrights@worldbank.org.

Editors: Thomas Cohen, Alex Behr
Graphs and design by Voilà: chezVoila.com
Photographies credits: cover © Sutirta Budiman on Unsplash

**Collaborative
Management
Partnership**

 **Toolkit**

Acknowledgements

The idea for this Toolkit was sparked at the International Conference on Nature-Based Tourism in Conservation Areas in Mozambique in June 2018. The conference highlighted the demand from governments and implementing partners for tools and resources to support efforts to create effective partnerships to promote conservation of protected areas and inclusive development. The Toolkit focuses on lessons learned from Africa that can be applied globally.

The Toolkit was prepared under the guidance of Karin Kemper, and Christian Peter, World Bank. Iain Shuker, World Bank, provided invaluable advice during the concept phase. The Toolkit received financial support from the Global Environment Facility (GEF)-funded, World-Bank led Global Wildlife Program (GWP). Various development partners who participated in the conference and others contributed to the GWP knowledge exchange activities that helped shape the design of the Toolkit. The Toolkit draws on the experiences and engagement of government park and wildlife agencies, non-governmental organizations (NGOs), communities, private landowners, and donors, as well as the published work of Mujon Baghai, Peter Lindsey, David Brugiére, Paul Scholte, Anna Spenceley, Sue Snyman, Kathleen H. Fitzgerald, and numerous co-authors.

The World Bank/GWP team that developed the Toolkit was coordinated by Elisson Wright. Kathleen H. Fitzgerald was the lead author. Wendy Li provided significant input and coordinated the Toolkit's production. Enos Esikuri was a key contributor to the initial efforts to prioritize focal areas and engagement with government partners. The case studies were developed with direct input from the implementing NGOs and

government partners. The Toolkit greatly benefited from contributions from African Parks, African Wildlife Foundation (AWF), Gorongosa National Park, Frankfurt Zoological Society (FZS), Wildlife Conservation Society (WCS), World Wildlife Fund (WWF), and other NGOs who contributed case studies and storymaps. In addition, several donors and implementing partners provided guidance and insights from their experiences supporting these partnerships.

We thank the following for their valuable contributions: Jean Labuschagne (African Parks); James Byrne, Greg Carr, Olivia Pereira, Vasco Galante, Marc Stalmans, Grainee Keegan (Gorongosa Project); Sebastien Chatelus (European Commission); Rudolf Specht (German Federal Ministry for the Environment, Nature Conservation, and Nuclear Safety); Andy Tobiason, Mary Rowen (USAID); Alexandra Kennaugh (Oak Foundation); Doreen Robinson (UNEP); Daphne Carlson Bremer (USFWS); and Terence Fuh Neba and Ilka Herbinger (WWF).

The team thanks Giles Davies (Conservation Capital), Peter Lindsey (Lion Recovery Fund), and Mujon Baghai (Mujon Baghai Consulting) for their insights and review. In addition, specific sections were reviewed by Brian Samuel, George

Ledec, Erik Reed, Nicholas Zmijewski, and Ruth Tiffer-Sotomayor (World Bank). We thank the peer reviewers and other colleagues who supported the Toolkit analysis, editing, and dissemination, in particular, Lisa Farroway, Caroline Eric, Nicola Saporiti, Pablo Benitez, Jean-Michel Pavy, James Blignaut, Hasita Bhammar, Nagaraja Rao Harshadeep, Isabel Tellez, and Hrishikesh Patel (World Bank). The document was edited by Alexandra Behr and Thomas Cohen.

We thank the following for their inputs into the case studies: Jean Labuschagne (African Parks); Steve Collins (The African Safari Foundation); Brian May, Alistair Pole, Tibebe Simegn (AWF); Andrew Parker and Mathew Rice (Conserve Global); Simon Capon, Evious Mpofu, Hugo Van der Westhuizen (Gonarezhou Conservation Trust); James Byrne, Olivia Felicio Pereira, Marc Stalmans (Gorongosa Project); Chris Roche (independent expert); Eugene Mutangana (Rwanda Development Board); PJ Massyn (RETURNAfrica); Bruce Simpson (Time + Tide); Rodger Schlickeisen (The Wildcat Foundation); Andrew Dunn, Paul Elkan, Geoffrey, Nachamada, Emma Stokes (WCS); Luis Arranz, Céline Dillmann, Ilka Herbinger, Terence Fuh Neba, Nuria Ortega, and Jeff Worden (WWF), and Ashley Robson (independent expert).

Acronyms

ANAC	National Administration of Conservation Areas (Mozambique)	METT	Management Effectiveness Tracking Tool
ANI	Africa Nature Investors	MOU	Memorandum of Understanding
AWF	African Wildlife Foundation	NBT	Nature-Based Tourism
CA	Contracting Authority	NGO	Non-Governmental Organization
CAR	Central African Republic	NP	National Park
CABP	Conservation Area Business Plan	NRM	Natural Resource Management
CC	Conservation Capital	OPEX	Operating Expenses
CBD	Convention on Biological Diversity	PA	Protected Area
CAPEX	Capital Expenditure	PCU	Project Coordination Unit
CMP	Collaborative Management Partnership	PPF	Peace Parks Foundation
DDD	Downgrading, Downsizing, and Degazettement	PEC	Proposal Evaluation Committee
DNPW	Department of National Parks and Wildlife (Zambia)	PPP	Public-private Partnership
EMDE	Emerging Market and Developing Economies	RDB	Rwanda Development Board
ESS	Environmental and Social Standards	SDG	Sustainable Development Goals
ESMS	Environmental and Social Management System	SPV	Special Purpose Vehicle
EWCA	Ethiopia Wildlife Conservation Authority	TFCA	Trans-Frontier Conservation Area
FPIC	Free Prior Informed Consent	UN	United Nations
FZS	Frankfurt Zoological Society	UWA	Uganda Wildlife Authority
GCT	Gonarezhou Conservation Trust	VF	Virunga Foundation
GDP	Gross Domestic Product	WBG	World Bank Group
GMP	General Management Plan	WCS	Wildlife Conservation Society
GWP	Global Wildlife Program	WWF	World Wildlife Fund
HQ	Headquarters	ZPWMA	Zimbabwe Parks and Wildlife Management Authority
HWC	Human-Wildlife Conflict		
ICCN	Congolese Institute for the Conservation of Nature		
IUCN	International Union for Conservation of Nature		
IFC	International Finance Corporation		
IGF	International Foundation for the Conservation of Wildlife		
IMET	Integrated Management Effectiveness Tool		
IPLC	Indigenous Peoples and Local Communities		
IWT	Illegal Wildlife Trade		
JMB	Joint Management Board		
KWS	Kenya Wildlife Service		
KNP	Kruger National Park		
M&E	Monitoring and Evaluation		

All dollar amounts are in US dollars unless otherwise indicated.





Contents

↓ Contents

Contents

Contents

Acknowledgements	iv
Acronyms	v
Executive Summary	xvi

➤ **Section 1 – The Value of Collaborative Management Partnerships** **20**

Chapter 1 – Why CMPs are important for conservation	23
Chapter 2 – The benefits and challenges of CMPs	35
Chapter 3 – CMP models and principles	51

➤ **Section 2 – How to Establish Collaborative Management Partnerships** **74**

Chapter 4 – Identifying and screening CMP opportunities	79
Chapter 5 – Preparing for and establishing CMPs	95

➤ **Section 3 – Strengthening and Managing Collaborative Management Partnerships** **116**

Chapter 6 – Considering environmental and social standards in CMPs	119
Chapter 7 – Recommendations for strengthening CMPs	127

➤ Appendices

130

A. PA Management Categories as Defined by IUCN	134
B. Global PPP Market Assessment	135
C. Description of PPP Legislation in Selected Countries in Africa	136
D. Case Studies	137
E. Description of CMP Models	148
F. CMP Best Practice	150
G. CMPs in Madagascar	158
H. Contractual Parks in South Africa	159
I. Steps to Identify, Screen, Prepare, and Establish a CMP	160
J. Sample Business Plans for CMP Bids and Planning	162
K. Sample Collaborative Management Tendering Information from Rwanda	171
L. Sample Promotional Materials for CMPs from Uganda	174
M. Information for an Expression of Interest	177
N. Sample Expression of Interest Evaluation Form	178
O. Information for a Full Collaborative Management Bid	180
P. Key Components to Include in CMP Contracts	182

➤ Figures

Figure 1.1 Global Biodiversity Gap	27
Figure 2.1 Majete Wildlife Reserve Annual Expenditure	40
Figure 2.2 Tax and Salary Increases from Akagera National Park CMP, Rwanda	41

Figure 3.1	CMP Governance and Management	52
Figure 3.2	Potential Shift from Governance by Government to Shared Governance	54
Figure 3.3	Risk and Obligation Associated with CMP Models	57
Figure 3.4	Sample Timeline for a 20-year CMP for a PA that Requires Significant Ecological Recovery	65
Figure 3.5	Regional CMP Distribution in Africa	70
Figure 3.6	Number of CMPs per Country	70
Figure 3.7	Share of Types of CMP Models Used in Africa	71
Figure 3.8	Share of Pipeline of CMPs under Active Development	73
Figure 4.1	Government Decision-Making Matrix Tool for CMPs	80
Figure 4.2	Five Steps to Identify and Screen CMP Opportunities	80
Figure 4.3	Malawi PPP Process	82
Figure 4.4	Legal Framework for CMPs	83
Figure 4.5	CMP Variables for Consideration in PA Selection	85
Figure 4.6	Threat Analysis of Selected National Parks, Kenya	85
Figure 4.7	Four Key Drivers for Consideration in CMP PA Selection	86
Figure 4.8	CMP Model Selection Tool to Determine Suitable PA Model	90
Figure 5.1	Seven-Step Process for Preparing a CMP	97
Figure 5.2	General Framework to Inform the Design of a Stakeholder Engagement Strategy	101
Figure 5.3	Guide to Community Engagement in CMPs	102
Figure 5.4	Scale and Depth of Stakeholder Engagement	103
Figure 5.5	CMP Tendering Materials from Mozambique	106
Figure 5.6	CMP Tendering Process	107
Figure 5.7	Project Management Cycle	114
Figure 6.1	International Instruments with Human Rights Implications in a Conservation Context	121

Figure B.1	Investment Commitments in Infrastructure Projects with Private Participation in EMDEs, 2011–2020	135
Figure F.1	CMP Project Logo Example	153
Figure J.1	Three Primary Considerations of a CABP	163
Figure J.2	Annual Operational Expenditures Summary Over 10 Years	165
Figure J.3	Annual Capital Expenditures Summary over 10 Years	167
Figure J.4	Total Protected Area Revenue	169
Figure J.5	10-Year PA Cost and Revenue Summary	170
Figure L.1	Map of Potential CMP Sites in Uganda	175
Figure L.2	Description of CMP Opportunity in Bugungu Wildlife Reserve	176

Case Studies

Figure D.1	Akagera NP Case Study	139
Figure D.2	Dzanga-Sangha PA Case Study	140
Figure D.3	Gonarezhou NP Case Study	141
Figure D.4	Gorongosa NP Case Study	142
Figure D.5	Liuwa Plan NP Case Study	143
Figure D.6	Makuleke Contractual Park Case Study	144
Figure D.7	Nouabale-Ndoki NP Case Study	145
Figure D.8	Simien Mountains NP Case Study	146
Figure D.9	Yankari NP Case Study	147

Tables

Table ES.1	Overview of the CMP Toolkit	xviii
Table 2.1	PPP Lessons that Might be Applied to CMPs	37
Table 2.2	How CMPs Support the Achievement of the SDGs	43
Table 2.3	Challenges with the Adoption of CMPs in Africa	46
Table 2.4	Challenges in the Management of CMPs	48
Table 3.1	Management and Governance of PAs	52
Table 3.2	The Four Types of Protected Area Governance Models and Examples from Africa	53
Table 3.3	Collaborative Management Models, Governance, Management, and Examples	56
Table 3.4	CMP Models: Strengths and Weaknesses	59
Table 3.5	CMP Model Case Studies	60
Table 3.6	The Six Pillars and 24 Principles for Successful CMPs	62
Table 3.7	Bilateral, Integrated, and Delegated CMP List by Country in Africa	66
Table 3.8	Status of Co-management and Delegated CMPs in Africa	67
Table 3.9	CMP List by NGO in Africa	68
Table 3.10	Number of CMPs and Area of Land Managed by CMP Partner	71
Table 4.1	Embedding CMPs in Laws and Country Level Plans in Mozambique	84
Table 4.2	Sample Protected Area Selection Tool: Drivers, and Deterrents and Risks	88
Table 4.3	Types of CMP Models Used in Africa	89
Table 4.4	Pillars of Kenya's Vision 2030 Plan that Rely on PAs (Established Pre-COVID-19)	91
Table 5.1	Completed Checklist for Identification and Screening of CMPs	96
Table 5.2	Different Mechanisms That Might be Used by a PA Authority to Establish a CMP	99
Table 5.3	Key Components that Should be Included in an Expression of Interest	108

Table 5.4	Details to be Included in a Full CMP Bid	109
Table 5.5	Standard Headings in a CMP Contract	111
Table B5.1	CMP Risks and Mitigation Measures	112
Table A.1	PA Management Categories	134
Table C.1	PPP Legislation in Selected African Countries	136
Table D.1	Key Aspects of Nine CMP Case Studies	137
Table E.1	Bilateral, Integrated, and Delegated CMP Descriptions	148
Table F.1	Six Core Pillars of CMP Best Practices	150
Table I.1	Steps to Identify, Screen, Prepare, and Establish a CMP	160
Table J.1	Sample 10-year Operational Expenditures Investment Budget	164
Table J.2	10-year PA Capital Expenditures Investment Budget	166
Table J.3	10-Year Revenue Summary	168
Table N.1	Expression of Interest Evaluation Form	178
Table P.1	Governance Elements in CMP Contract	183
Table P.2	Elements of Management in CMP Contract	187
Table P.3	Kenya Park Fees	190

➤ Boxes

Box 4.1	PPP Framework for CMPs in Kenya	81
Box 4.2	Conflict Risk in Virunga NP, the Democratic Republic of Congo	87
Box 5.1	Risk Management	112
Box 6.1	World Bank Environmental and Social Framework	121
Box 6.2	IUCN's Environmental and Social Management System (EMSM)	122
Box 6.3	Free, Prior, and Informed Consent (FPIC)	123
Box 6.4	Grievance Redress Mechanisms	124
Box 6.5	ESS and CMP Checklist	125

➤ Resource Boxes

Resource Box 1.1	Global Wildlife Program CMP Resource Guide	31
Resource Box 5.1	Stakeholder Engagement	102
Resource Box 5.2	Tendering Concessions	107
Resource Box J.1	Conservation Area Business Plans Tools	162

➤ Maps

Map 3.1	Bilateral, Integrated, and Delegated CMPs with NGOs in Africa	72
Map 4.1	Priority Tourism Development Areas under Tourism Master Plan (2018-2038), Zambia	93

Executive Summary

Half of the world's gross domestic product (\$44 trillion) depends on biodiversity and ecosystem services. Animal, plant, and marine biodiversity comprise the "natural capital" that keeps our ecosystems functional and economies productive and provides the foundation of human well-being. This biodiversity and the ecosystem services it delivers are under severe threat and currently face losses both material and systemic.

Well-funded, socially inclusive, and competently managed protected areas (PAs) are the most effective tools to conserve biodiversity (Sanderson 2018). PAs also are an integral part of national development and green recovery strategies and play a critical role in climate change mitigation and adaptation. Well-managed PAs can provide security, governance, stability, and economic development for under-served and resource-strapped communities and help bolster ecological and social resilience.

Despite the ecological, social, and economic value of PAs, PAs are grossly under-valued and under-funded (Lindsey et al. 2021). Governments generally lack the resources and ability to effectively manage such important natural assets, putting PAs and their economic development and environmental benefits at risk. New and innovation solutions and partnerships are needed to prevent biodiversity loss and enhance resiliency.

Collaborative management partnerships (CMPs), a type of public-private partnership used

in the conservation sector, are increasingly being deployed globally to enhance PA management effectiveness and bolster green growth strategies. CMPs involve a PA authority (government, private, community) entering a contractual arrangement with a partner (private or non-governmental organizations) for the management of a PA (Baghai 2018). There are three types of CMPs: (i) financial and technical support, (ii) co-management, and (iii) delegated management. All three types of CMPs play an important role in supporting governments in PA management and development.

CMPs may not be appropriate for all countries and all PAs, but in many parts of the world, CMPs can be part of a broader array of tools for conserving biodiversity and attracting investment in inclusive rural development and green growth. A key benefit CMPs offer is potential for additional funding to support conservation of critical PAs. Researchers found that the median funding for PAs in Africa with CMPs is 2.6 times greater than the baseline of state funding for co-management CMPs, and 14.6 times greater for delegated CMPs (Lindsey et al 2021). While different CMP models are used globally, they offer a particular opportunity for Africa. As more countries across Africa cope with challenges related to limited fiscal space, high debt levels exacerbated by the COVID-19 crisis, and the impact of climate change, many governments are increasingly looking for new business models and partnership arrangements to help meet development and conservation objectives. CMPs can be considered

to support national strategic landscape management approaches where governments are interested in bringing on partners to enhance management of PAs and create an enabling environment for investment and green development.

In Africa, 15 governments have established 40 co-management and delegated CMPs with 13 NGOs, covering approximately 11.5 percent of Africa's PA estate. An analysis of these 40 CMPs shows they have successfully attracted investments that enhanced biodiversity conservation, created local jobs, generated revenues, and stimulated green development.

There is increasing demand in Africa for two types of CMPs (co-management and delegated management) as they offer greater potential for systemic change in delivering conservation and development outcomes. Therefore, this Toolkit focuses on co-management and delegated CMPs, and provides tools and resources intended to support the design and implementation of these partnerships. To date, the majority of the CMPs in Africa are between governments and NGOs; thus, the Toolkit mostly focuses on partnerships with NGOs. The tools and resources included in the Toolkit can be leveraged for partnerships with communities, the private sector, and other stakeholders.

The Toolkit is designed to help governments, implementing partners, and other key stakeholders better understand the role of CMPs and key features of different models, and to learn lessons

from countries that have implemented partnerships. The Toolkit features case studies that document experiences across Africa over the last two decades, and provides detailed information and technical resources that government leaders and implementing partners can leverage to support the establishment of CMPs. The Toolkit aims to assess CMP models, serve as a reference guide for governments and implementing partners considering CMPs, and raise awareness of CMP experiences in Africa to highlight benefits, challenges, and lessons learned. While the case studies and lessons in the Toolkit are derived from national PAs in Africa, it can be applied to private and community PAs and to PAs around the world.

CMPs are one way to drive investments to PAs and generate jobs and income for local communities in rural areas that often have limited development options and have been pushed further into poverty due to the impacts of COVID-19. During the COVID pandemic, PAs in Africa without CMPs struggled to maintain core operations and in some cases reduced staff, budgets, and salaries, which in some places led to a spike in illegal encroachment and poaching of wildlife. The 40 CMPs documented in the Toolkit successfully maintained operations throughout the COVID crisis, did not reduce staff or salaries, and in most cases, provided additional support to help communities withstand the COVID crisis. For CMPs to succeed, they require sustained political commitment, long-term financial resources, effective local engagement, and an enabling environment that supports a transparent and clear process for establishing the partnerships.

The Toolkit will be enhanced over time with additional insights and technical resources as more governments, communities, private landowners, private sector, and NGO partners increase collaboration and enter into long-term

CMP contracts. As additional efforts are made to foster a green economic recovery following COVID-19 and to meet conservation and climate commitments, new experiences and approaches will be tested to increase the value of public environmental assets that deliver local and global environmental, social, and economic benefits. These experiences can contribute to systematic learning of CMPs and other partnership models as additional countries embark on this journey. Governments and NGO partners should collect and share lessons learned, including challenges and mistakes, so that future partnerships can benefit from their experiences and knowledge.

The Toolkit consists of three sections. The first includes relevant background information on the state of PAs and biodiversity in Africa, and the role of CMPs in addressing some of these challenges. The second section provides detailed steps and tools for establishing CMPs. The third section highlights environmental and social issues and recommendations for future work (see Table ES.1).



Niokolo-Koba NP, Senegal. © evenfh / Shutterstock

Table ES.1
Overview of the CMP Toolkit

Section 1

The Value of Collaborative Management Partnerships

Chapter 1

Why CMPs are important for conservation

Provides an overview of the status of biodiversity, the significant role of PAs in biodiversity conservation, the biodiversity funding gap, and the state of PA management effectiveness in Africa, and outlines the purpose and target audience of the Toolkit.

Chapter 2

The benefits and challenges of CMPs

Explores the lessons learned from other public-private partnership sectors, opportunities, and the benefit of CMPs, and challenges with the adoption, establishment, and management of CMPs.

Chapter 3

CMP models and principles

Describes the different CMP models and the strengths and weakness of each model, the best practice principles for successful CMPs, and the status of CMPs in Africa.

Section 2

How to Establish Collaborative Management Partnerships

Chapter 4

Identifying and screening CMP opportunities

Includes the five key steps that governments and other PA managers can undertake to identify and screen CMP opportunities, and provides a diversity of tools to help identify PAs suitable for CMPs and determine the most appropriate CMP model.

Chapter 5

Preparing for and establishing CMPs

Outlines a nine-step process for establishing a CMP, from the feasibility study phase to contracting.

Section 3

Strengthening and Managing Collaborative Management Partnerships

Chapter 6

Considering environmental and social standards in CMPs

Highlights the key factors governments and partners need to consider around environmental and social standards throughout the CMP process, from identification to management.

Chapter 7

Recommendations for strengthening CMPs

Conclusions and recommendations for improving and scaling up CMPs.

Appendices

Provides tools, resources, and additional information, including case studies on existing CMPs in Africa.



Simien Mountains NP, Ethiopia. © WitR / Shutterstock

ction 1

Section 1

Section

ection 1

The

Value of Collaborative Management Partnerships



Chapter 1

Why CMPs are important for conservation

Protected areas are the cornerstones of biodiversity conservation and a valuable buffer against the impacts of climate change. However, the global PA estate has been largely under-valued by traditional economic and financial systems that do not incorporate the vast service provisions provided by PAs. This chapter outlines the value of protected areas, the financial gap in biodiversity funding, and the resultant decline in biodiversity. It outlines the target audience for the Toolkit, the methodology, and defines key terms.

1.1 Introduction

Biodiversity and ecosystem services are the foundation of human well-being. They underpin our economies, livelihoods, and health, and yet, they are grossly undervalued and not captured in traditional financial models (Lindsey et al 2021). Global biodiversity is under severe threat with critical implications for human well-being. The accelerating loss of biodiversity and the associated impacts are expected to further weaken economies, exacerbate global food insecurity, and compromise the welfare of people (World Bank Group 2020c). The World Economic Forum's 2020 Global Risks Report rated biodiversity loss as the second most impactful and third most likely risk for the next decade (World Economic Forum 2020).

Well-funded, socially inclusive, and competently managed PAs are the most effective tools to conserve biodiversity (Sanderson 2018). Their effective management and sustainability is essential to biodiversity conservation, climate mitigation, and delivery of ecosystem services depended on by populations and economies (Lindsey et al. 2018).

Despite the recognized role of PAs and the systemic risks they face, a report by the Paulson Institute found that as of 2019, a biodiversity financing gap exists of between \$598 billion and \$824 billion per year (Deutz et al. 2020). The COVID-19 pandemic has widened the funding gap by crowding out investment in biodiversity and PAs in lieu of financing for other sectors at a time when traditional revenue streams for conservation, such as

nature-based tourism (NBT), have decreased or disappeared. The fiscal and monetary stimulus policies adopted by governments to keep economies afloat will further reduce funding available for environmental conservation (Lindsey et al 2020). In addition, countries are taking on more debt to address the pressing health and economic impacts of COVID-19, which will further strain already limited resources.¹

New and innovative solutions and partnerships are needed to attract funding and investment, prevent the loss of biodiversity, and enhance ecological and social resiliency. Developing countries require substantial additional resources and solutions to effectively manage their PAs. Engaging the private sector and non-governmental organizations (NGOs) to channel additional financial and technical resources is critical for the long-term sustainability of PAs and to support the ecosystem services and climate change benefits they provide.

Collaborative management partnerships (CMPs) are being deployed globally to enhance PA management effectiveness and catalyze green development, and they are particularly relevant in Africa. A CMP refers to when a PA authority (government, private, or community) enters a contract with a partner (private or NGO) for the management of a PA (Baghai 2018). There are three kinds of CMPs: financial and technical support, co-management, and delegated management. **Approximately 11.5 percent of Africa's PA estate is covered by co-management and delegated CMPs.**

CMPs are a type of public-private partnership (PPP). The World Bank has produced numerous toolkits and reference materials that document experiences of different countries and sectors in creating and implementing PPPs. Given the severe gap in PA funding and the role of CMPs in conservation, this Collaborative Management Partnerships for Protected Area Conservation and Development Toolkit (CMP Toolkit) builds on the World Bank's PPP efforts and is tailored for the PA sector. In 2018, PA experts published a *paper* in *Biological Conservation* on CMPs in Africa as a means of enhancing PA management and attracting investment (Baghai et al. 2018). One recommendation, given the vast area over which CMPs are deployed and the potential they confer for catalyzing resources for conservation, was for the development of best practice guidelines (Lindsey et al. 2021).

This CMP Toolkit aims to assess CMP models, serve as a reference guide for governments and implementing partners considering CMPs, and raise awareness of CMP experiences in Africa to highlight benefits, challenges, and lessons learned. The Toolkit will be enhanced over time by additional insights and technical resources as more governments, communities, private landowners, private sector, and NGO partners increase collaboration and enter into long-term contracts to increase the value of public environmental assets that deliver local and global environmental, social, and economic benefits.

1. For information on the impact of COVID-19 on debt in Africa, visit <https://www.brookings.edu/blog/africa-in-focus/2021/02/09/debt-sustainability-and-financing-for-development-a-key-post-covid-challenge/>

1.2 Value of Protected Areas

Protected areas are the cornerstones of biodiversity conservation and a valuable buffer against the impacts of climate change (World Bank 2008). They sustain ecosystem services, natural processes, and key species, and drive economic growth. However, PAs are at risk.

The global PA estate has been largely under-valued by traditional economic and financial systems that do not incorporate the vast service provisions provided by PAs. The depletion of the globe's natural capital—including natural assets such as forests, water, fish stocks, minerals, biodiversity, and land—poses a significant challenge to achieving poverty reduction and the Sustainable Development Goals (SDGs).² The heightened awareness around the value of natural capital and the central role PAs play in securing ecosystem services and mitigating the impacts of climate change (Dinerstein 2019) has resulted in various natural capital accounting systems that aim to value these natural assets. The Changing Wealth of Nations report provides 20 years of wealth accounting data for 141 countries and incorporates natural capital as a key factor in determining the wealth of countries (Lange et al. 2018).

Africa supports a quarter of the globe's biological diversity, nearly 2,000 key biodiversity areas, the second-largest tropical forest in the world, and the most intact assemblages of large mammals on earth (Lindsey et al. 2020). Africa's biodiversity has been conserved through an extensive network of PAs, including 8,601 terrestrial and marine PAs, covering 14 percent of the continent's land area and 12 percent of the marine area.³ These PAs support rare, threatened, and endangered species, vast and diverse ecosystems, and ecosystem services that support human well-being and Africa's economies.

Africa's tourism economy, which is driven by its PAs and associated wildlife, contributed 10.3 percent to the continent's gross domestic product (GDP) and generated \$61 billion in 2019. That same year, tourism supported 24.7 million jobs, which accounted for 6.9 percent of the total employment on the continent.⁴ While the COVID-19 pandemic has had a catastrophic impact on the travel and tourism industry and its associated revenue and employment benefits (Lindsey et al. 2020), the tourism market is expected to return and growth in certain parts of the sector is projected to continue.

Africa's PA estate contributes to the economy in many other ways beyond tourism. In Ethiopia,

the economic value of ecosystem services in its PAs is estimated to be at least \$325 billion per year, and with improved management, this value could double (Van Zyl 2015). In southern Kenya, the Chyulu Hills National Park (NP) and the broader Tsavo conservation landscape provide vital watershed services for the surrounding area and Mombasa, Kenya's second-largest city. The protection of this forest landscape results in 600,000 tons of avoided carbon emissions per year,⁵ valued at almost \$5 million per annum (assuming \$8 per ton of carbon).

The Nature Conservancy's Water Fund in Cape Town, South Africa, found that "green" ecological infrastructure restoration (i.e., the protection of forest, reforestation, and removal of invasive species) costs five to 12 times less than "grey" infrastructure (i.e., desalinizing ocean water, drilling for groundwater, building dams). It also found that green infrastructure could reclaim more water per year for Cape Town, a city of four million people that has suffered enormous challenges from lack of water.⁶

Over the past three decades, PAs have increased across Africa. In May 2020, the Seychelles created 13 new marine PAs protecting 400,000 square kilometers (km²), an area twice the size of Britain (Vyawahare 2020). The

2. For information on natural capital, visit Wealth Accounting and the Valuation of Ecosystem Services at <https://www.wavespartnership.org/en/natural-capital-accounting>

3. For information on protected area status, visit the Protected Planet database at <https://www.protectedplanet.net>

4. For information on tourism trends and economic impact, visit the World Travel and Tourism Council at <https://wtcc.org/Research/Economic-Impact>

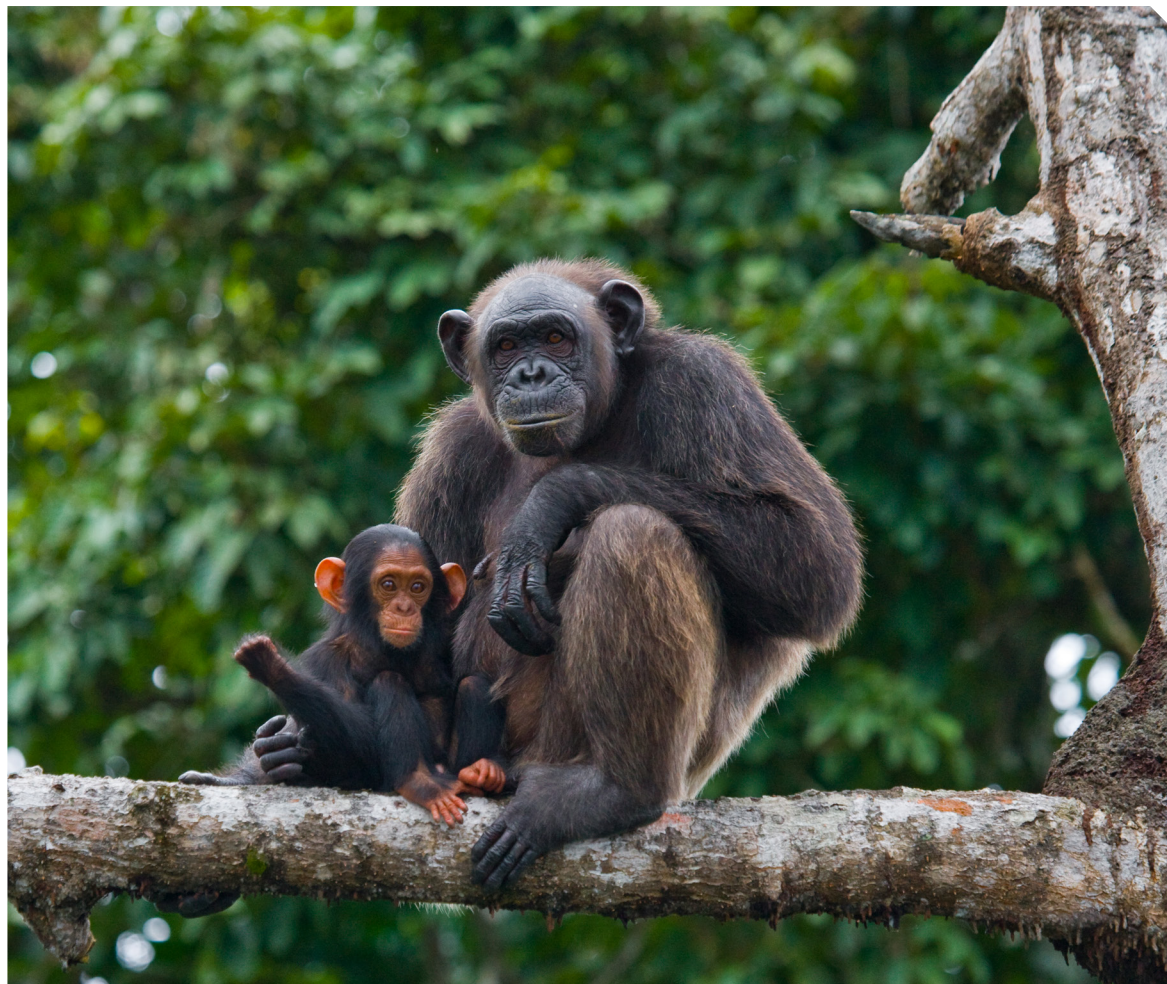
5. For information on the Chyulu Hills REDD+ project, visit <https://www.everlandmarketing.com/projects/chyulu-hills/>

6. For information on the Nature Conservancy's Water Fund, visit <https://www.nature.org/en-us/about-us/where-we-work/africa/stories-in-africa/new-tool-validates-cape-town-water-fund/>

expansion of PAs in Africa is due to the recognition by governments of the economic and ecological value of PAs, as well as obligations under global treaties such as the Convention for Biological Diversity (CBD). In 2010, the CBD's Aichi Target 11 established PA targets⁷ for the ensuing decade:

"By 2020, at least 17 percent of terrestrial and inland water, and 10 percent of coastal and marine areas, especially areas of particular importance for biodiversity and ecosystem services, are conserved through effectively and equitably managed, ecologically representative, and well-connected systems of protected areas and other effective area-based conservation measures, and integrated into the wider landscapes and seascapes."

According to the CBD, approximately 23 percent of the countries either met or exceeded Aichi Target 11 by 2020, while 56 percent did not report on targets, 16 percent fell short, four percent made no progress, and one percent is unknown. The trend in PA expansion is anticipated to continue. There are calls from scientists and NGOs to increase the post-2020 CBD targets from 17 percent to 30 percent by 2030, and more than 50 governments have already committed.⁸ Scientists argue that formal protection of 30 percent of the Earth is required to prevent the average global temperature from rising above 1.5° C, and that securing an additional 20 percent of the planet is needed for climate stabilization by 2050 (Dinerstein et al. 2019).



Conkouati-Douli NP, Congo, Rep. © GUDKOV ANDREY / Shutterstock

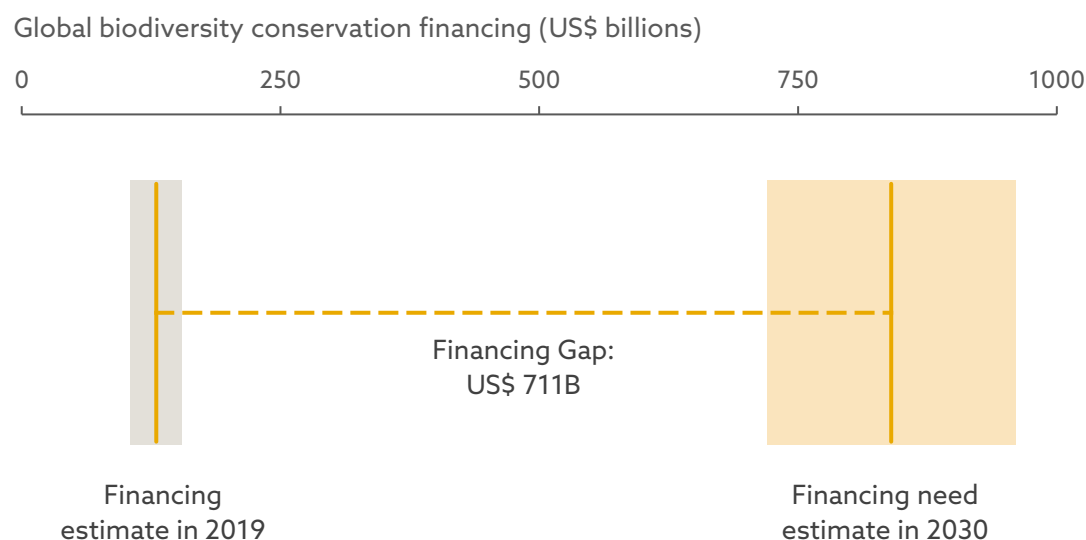
7. For information on Aichi Targets, visit the CBD's website at <https://www.cbd.int/aichi-targets/target/11>

8. For information on CBD targets and campaigns, visit the Campaign for Nature's website at <https://www.campaignfornature.org/>

1.3 Protected Area Funding Gap

Despite the recognition of the value of biodiversity and the role PAs play in securing the world's natural capital and ecosystem services, a massive funding gap exists for PA management and biodiversity conservation. Assessing the requirements for maintaining biodiversity and comparing this with existing budgets, the Paulson Institute, Nature Conservancy, and the Cornell Atkinson Center for Sustainability, found that the global biodiversity financing gap is from \$598 billion to \$824 billion per year (Deutz et al. 2020) (see Figure 1.1).

Figure 1.1
Global Biodiversity Gap



Source: Deutz et al. 2020.

Note: Using midpoints of the current estimates and future needs, current global biodiversity conservation financing (left) may need to increase by a factor of 5-7x to meet the estimated global need for biodiversity conservation (right).

As threats to biodiversity continue to escalate, the cost of protecting and restoring these vital natural assets will also increase. The Global Futures project estimates that under a business-as-usual scenario, the costs of biodiversity loss in some countries could be as high as four percent of their GDP per year by 2050 (Roxburgh et al. 2020).

The dearth of biodiversity funding in Africa is no different. In 2018, researchers assessed 282 state-owned PAs in Africa with lions and found 94 percent were funded insufficiently, with available funding satisfying only 10-20 percent of PA requirements on average. The study concluded that more than \$1 billion is needed annually to secure Africa's PAs with lions. Overall, sufficient long-term financial resources are required for Africa's PA estate to be managed effectively (Lindsey et al. 2018).

The PA funding gap varies across the continent. For example, using existing donor and state funding, the estimated budget gap for effective PA management for lions in Angola is 98 percent, while in Uganda the gap is estimated to be 67 percent (Lindsey et al. 2018). While the exact scale of the financial gap might be debated, it is widely accepted that PAs need a reliable source of funding to maintain their management operations, meet conservation targets, and provide quality visitor experiences where appropriate, and that the current funding available is wholly inadequate (IUCN ESARO 2017).

Africa's PAs are financed from three main sources: budget allocation from national governments, revenue from tourism and other user

rights, and donor funding. PA funding is not equally allocated across the PA estate, with some PAs receiving more resources than others. In some cases, a portion of revenue is allocated to the PA authorities' headquarters (IUCN ESARO 2020a). Most, if not all, PA authorities receive some level of national government support, with the funding relatively unpredictable and often inadequate as governments have competing needs from other sectors such as infrastructure, health care, education, and food security (IUCN ESARO 2020a).

In East and Southern Africa, many of the PA authorities rely on revenue generated from tourism. In 2017, tourism revenue comprised 50 percent of the Kenya Wildlife Service's (KWS) annual budget. In 2019, tourism revenue supplied 80 percent of the Zimbabwe Parks and Wildlife Management Authority's (ZPWMA) budget, while the South African National Parks (SANParks) budget also received 80 percent of its funding from tourism in 2018-19 (IUCN ESARO 2020a). External donors, including private and institutional donors, support approximately 32 percent of the current PA funding in Africa, reaching 70-90 percent in some countries. PA management requires long-term and reliable funding, which makes reliance on sometimes unpredictable donor funding a management challenge for PA authorities (IUCN ESARO 2020a).⁹

The COVID-19 pandemic has strained all three sources of PA revenue, dramatically exacerbating the PA funding gap and putting biodiversity at greater risk (Lindsey et al. 2020). National governments have cut, and will continue to cut, conservation budgets to address COVID-related issues.

Across Africa, there has been a 60-90 percent decline in tourism-related revenue for PA management due to the travel lockdowns. Approximately 90 percent of African tour operators have experienced a 75 percent or greater decline in bookings (Lindsey et al. 2020). In 2020, the contribution of tourism to Africa's GDP decreased by 49 percent (\$83 billion) and jobs decreased by 29 percent (7.2 million).¹⁰ While donor funding has increased during the COVID-19 crisis to address the emergency period, the cost of maintaining biodiversity continues to escalate because of increasing pressure, and there are concerns about the ability to maintain funding levels. Simultaneously, there is a concerted effort by scientists and conservationists (see Section 1.2) to increase national PA targets post-2020 to up to 30 percent, which will require additional resources. More funding and innovative financial solutions are needed to ensure the effective management of the existing and expanding PAs.

9. For information on the biodiversity funding gap, see the Paulson Institute report at <https://www.paulsoninstitute.org/key-initiatives/financing-nature-report/>, IUCN's Closing the Gap at <https://portals.iucn.org/library/node/49045>, and *More than \$1 billion needed annually to secure Africa's protected areas with lions* at <https://www.pnas.org/content/115/45/E10788>

10. For information on the impact of COVID-19 on Africa, visit the World Travel and Tourism Council at <https://wttc.org/Research/Economic-Impact>

1.4 Management Effectiveness

The lack of adequate PA management finance (see Section 1.3) is resulting in the underperformance of Africa's PA network, putting species, ecosystems, and the network itself at risk. Protected areas management effectiveness (PAME) relates to the extent to which management is effective at conserving values and achieving goals and objectives, such as protecting biodiversity (IUCN ESARO 2017).

For PAs to fulfill their obligations, they need adequate resources and capacity. Otherwise, they become non-performing PAs, commonly referred to as "paper parks." The CBD's Aichi Target 11 recognizes that increases in PA coverage alone will not halt the loss of biodiversity, highlighting the need for effective management.

In 2020, researchers assessed budgets, management, and threats for 516 PAs and community conservation areas with lions in savannah Africa to determine conservation performance related to biodiversity outcomes, which they compiled into a Conservation Area Performance Index (CAPI). They found that 82 percent of the sampled area was in a state of failure or deterioration, with only 10 percent in a state of success or recovery. A large proportion of the succeeding or recovering PAs have CMPs. The CAPI values varied by region and were lowest in central and West Africa, followed by East and Southern Africa. They also found that the CAPI differed by management regime, including state, private, and community conservation areas (Robson 2021).

While a number of tools are available for PA managers to measure PAME, only 26 percent of Africa's PAs have completed PAME assessments due to a lack of capacity, meaning there is little understanding of actual PA performance by PA managers. Many assessments in East and Southern Africa were completed only one time or with a different tool in the subsequent year, which does not help a PA manager track progress over time – the very purpose of monitoring management effectiveness.

The CBD Conference of Party 10 Decision X/31 calls for Parties to "... expand and institutionalize management effectiveness assessments to work towards assessing 60 percent of the total area of PAs by 2015 ... and report the results into the global database on management effectiveness" (CBD 2010).

The effective management of PAs can help governments achieve their CBD targets as well as other national and global commitments, such as SDGs. For example, a well-managed PA can enable a government to meet SDG targets 1, 2, 8, 9, 10, 13, 14, 15, 16, and 17 as referenced in Table 2.2 in Chapter 2.

Effectively managed PAs can help governments achieve national targets. In South Africa, for example, the government established goals under its Green Economy Plan. Likewise, Kenya's Vision 2030 and Rwanda's Green Growth and Climate Resilience National Strategy for Climate Change and Low Carbon Development outline targets that effectively-managed PAs can help governments achieve.



Akagera NP, Rwanda. © Thomas Bartelds / Shutterstock

1.5 Biodiversity at Risk

Ineffective PA management is exacerbating key threats driving the overall decline in biological diversity in Africa, such as illegal wildlife trade (IWT), poaching, habitat conversion, illegal logging, unregulated mining, grazing, unsustainable agriculture and settlement, climate change, and the spread of invasive species. These threats pose a significant risk to Africa's wildlife, clean water and air, productive soils, fish stocks, and other key environmental services.

The Congo Basin, the world's second-largest tropical forest, spans six countries in Central Africa and is globally significant for climate mitigation. This expansive tropical forest absorbs approximately 1.2 billion tons of carbon dioxide each year, and its trees store a third more carbon over the same area of land than those of the Amazon (Yeung 2021). According to Global Forest Watch,¹¹ an initiative of the World Resources Institute, primary rainforest loss in the Congo Basin Forest more than doubled from 2002 to 2019. In 2019 alone, 590,000 hectares were lost—an area more than half the size of Jamaica (Yeung 2021).

Over the last 25 years, Africa's lion population has declined by 50 percent (Stolton and Dudley

2019).¹² Approximately 56 percent of the lion's range falls in PAs (Lindsey et al. 2018), a proportion that is likely to grow rapidly as wildlife outside PAs disappears. All of Africa's great ape species are rare, threatened, or endangered, with trends indicating a continued decline for all except the mountain gorilla.¹³ From 2007 to 2014, Africa's elephant population declined by 30 percent,¹⁴ and from 1980 to 2020, giraffes declined by 30 percent.¹⁵ This unprecedented decline of key species is emblematic of the overall biodiversity and ecosystem service loss in Africa.

These trends in Africa mirror global biodiversity loss patterns. The Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services (IPBES) *report* of 2019, the most comprehensive of its kind, found that nature is declining globally at rates unprecedented in human history and the rate of species extinctions is accelerating, with grave impacts likely on people around the world. A WWF (2020) report revealed an average decline of 68 percent in vertebrate species numbers between 1970 and 2016. The IPBES report also found that the current global response is insufficient, and that transformative change is needed to restore and protect nature (IPBES 2019). These trends in biodiversity loss are

exacerbated by the impact of climate change¹⁶ (WBG 2020c).

Recognizing the unparalleled decline in biodiversity and intensifying threats alongside the severe limitations in PA funding, many African governments are partnering with NGOs and the private sector in PA management (see *Chapter 3*) to attract investment and technical capacity (Baghai et al. 2018). These CMPs vary in structure and approach. Due to the severe financial impact of COVID-19 that has put additional strain on PA authorities, along with the proven success of CMPs over the past two decades, governments have greater interest in exploring strategic CMPs, and there is a growing demand from governments for partners.

11. For information on deforestation, visit Global Forest Watch's website at <https://www.globalforestwatch.org/>

12. For information on lion conservation, visit the Lion Recovery Fund's website at <https://www.lionrecoveryfund.org/>

13. For information on the Red List for threatened species, visit the IUCN's website at <https://www.iucnredlist.org/>

14. For information on the status of elephant, visit the Elephant Crisis Fund's website at <https://www.elephantcrisisfund.org/>

15. For information on giraffe conservation, visit the Giraffe Conservation Foundation's website at <https://giraffeconservation.org/giraffe-conservation-status/>

16. For information on the projected impacts of climate change on biodiversity, see the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services workshop report at https://ipbes.net/sites/default/files/2021-06/20210609_workshop_report_embargo_3pm_CEST_10_june_0.pdf

1.6 Target Audience for this CMP Toolkit

Governments

The Toolkit is designed to help governments understand and consider whether CMPs are suitable for their PA estate and the process for establishing an effective partnership that will result in enhanced PA management and green growth. **The target government audience includes staff working for agencies and ministries in charge of PAs, as well as those engaged in PPPs who can help leverage existing efforts already widely used in other economic sectors.** As the stewards of national PA estates, governments have the ultimate decision-making authority for entering CMPs. While the focus of the Toolkit is African PAs, the tools and approaches outlined can be applied around the world. Given that CMPs attract investment capital and donor funding, the Toolkit will also help relevant ministries, such as the ministries of finance, planning, and procurement, understand the role CMPs play in creating an enabling environment for investment.

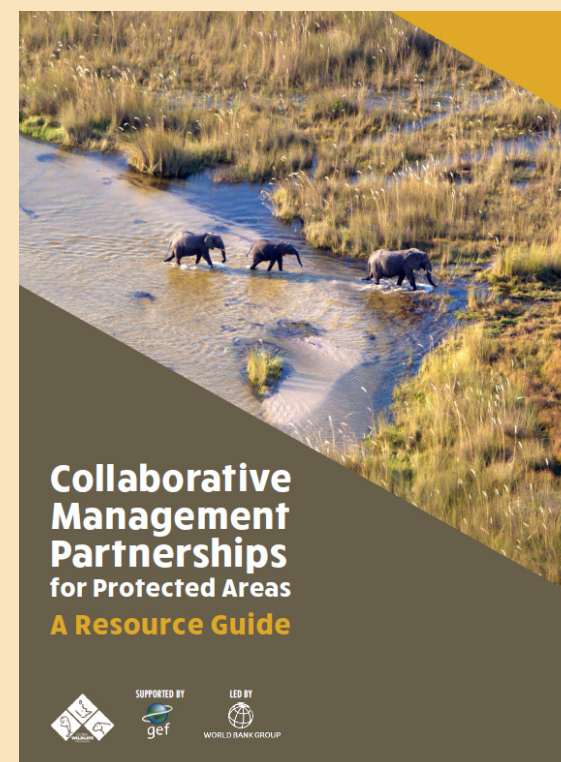
NGOs, private sector, and community partners

The Toolkit can also help NGOs and private sector partners interested in collaborating with governments understand CMP best practices. While the Toolkit references government PAs, the processes and practices can be adapted and used for private and community conservation areas and PAs I-VI, as defined by the International Union for Conservation of Nature (IUCN) (see Appendix A, Table A.1). A case study of a CMP between a community in South Africa, the Makuleke Community, and a PA authority, SANParks, is provided in Appendix D, Figure D.6. In addition, while the text refers mainly to terrestrial PAs, CMPs are already being used for marine PAs, such as Bazaruto Archipelago National Park in Mozambique.

CMPs are demonstrating positive conservation, social, and economic outcomes, and there is greater scope for their use across Africa and globally. Despite the proven success and heightened interest in CMPs, there are limited resources on CMPs in Africa and frequent misunderstandings regarding their structure (Resource Box 1.1). The Toolkit aims to provide information that will help enhance the use of CMPs to ensure that PAs are sustained and thrive in the future.

Resource Box 1.1 Global Wildlife Program CMP Resource Guide

The Global Wildlife Program's CMP Resource Guide provides descriptions of and links to relevant CMP resources from across the world <https://www.worldbank.org/en/programs/global-wildlife-program>.



1.7 Key Terms

Collaborative management partnerships (CMPs) refers to when a PA authority (government, private, community) enters into a contractual arrangement with a partner (private or NGO) for the management of a PA (Baghai et al. 2018). Through a CMP, the PA authority devolves certain management obligations to the partner and the partner takes on these management responsibilities and in most cases funding obligations. The duration of the contract varies and is dependent on the PA and the goal of the PA authority. While the Toolkit mainly refers to public PAs, the process and principles can be adapted and used for community and private conservation area CMPs. The term CMP includes two key words that are critical to the long-term success of any management agreement—*collaboration and partnership* (Lindsey et al. 2021).

There are three kinds of CMPs (Baghai et al. 2018):

- **Financial and technical support**, where the state retains full governance authority and the private partner provides technical and financial support.
- **Co-management CMPs**, where the state and the partner collaborate on the management of the PA. This is further differentiated as follows:
 - **Bilateral CMPs**, in which the state and the partner agree to collaborate on PA management and the two parallel entities and structures (the state and the partner) work side-by-side in the PA with a management agreement.
 - **Integrated CMPs**, in which the state and the partner agree to collaborate on PA management through a management agreement

and create a special purpose vehicle (SPV) to undertake management, with equal representation by the parties on the SPV board.

- **Delegated CMPs**, similar to integrated CMPs, but in the case of a delegated CMP, a majority of the SPV board is appointed by the private partner.

Community partner refers to a community that lives in and/or around a PA and is engaged in a CMP in the governance and/or management of a CMP, as a beneficiary, or as the owner of a PA, legally or customarily.

Concession is a term used in PAs to describe a contractual arrangement (lease, license, easement, or permit) between a tourism operator (consumptive and non-consumptive tourism) for the use of an area for commercial purposes (accommodation, food and beverage, recreation, education, retail, and interpretive services) (Spenceley et al. 2017). A concession can be structured as a PPP.

Contracting authority (CA) refers to the government entity that has the legal authority to enter a CMP and, in some cases, depending on PPP legislation, is the entity tasked with overseeing the PPP process. In the case of CMPs, the CA often refers to the PA authority or a relevant ministry, such as the ministry of environment or finance. This term is used interchangeably with public partner.

Park or PA manager refers to the warden or the conservator of the public PA.

Private partner or party (a non-state actor) refers to the private sector partner or an NGO partner that engages in a CMP with a government body that has jurisdiction over a PA.

Public partner or party refers to the state actor responsible for PA management such as the PA authority or the relevant ministry, such as the ministry of environment. This term is used interchangeably with contracting authority.

Public-private partnership (PPP) is broadly defined as a long-term contract between a partner (private, NGO, or community) and a government entity for providing a public asset or service, in which the partner bears significant risk and management responsibility and remuneration is linked to performance (WBG 2017). The term is commonly used in the for-profit context for large-scale public works projects, which can create confusion when applied to conservation. PPPs also describes tourism concessions in PAs in some contexts, as well as blended finance models between public and private donors (Spenceley et al. 2017).

Unlike traditional PPPs for large infrastructure projects, conservation PPPs aimed at restoring and managing PAs are not profit-seeking and the partner is commonly an NGO. When the NGO partner engages in profit-making activities, such as tourism, revenues are re-invested in the conservation of the PA or sustainable development of local communities (Baghai 2021).

1.8 Approach

The Toolkit was developed through: (i) a review of existing literature on PA management, CMPs and tourism concessions; (ii) consultation with conservation management practitioners (government and PA authorities, NGOs, community members, donors, and private sector partners) with experience establishing and managing CMPs in Africa; and (iii) a review of PPP toolkits and lessons learned from other sectors and regions.



Yankari NP, Nigeria. © JERRY CHIDI / Shutterstock

Chapter 2

The benefits and challenges of CMPs

To enhance PA management effectiveness and reverse the trends of biodiversity loss, 15 African governments have entered into strategic co-management and delegated CMPs, and there is growing interest and momentum in CMPs. This chapter outlines the benefits of CMPs, with practical examples from across Africa, and the potential challenges with their adoption and management.

2.1 Lessons Learned from PPPs

PPPs have been extensively used around the world for decades. While infrastructure (transport, telecommunications, energy, water, solid waste management) attracts the most PPPs, such partnerships are also increasing in public services such as healthcare and education, and in sectors such as tourism (concessions in PAs). See *Appendix B* for more details on the global PPP market.

PPPs are attractive to governments. Private investments enable governments to serve public interests without over-extending constrained budgets. They also can contribute to achieving SDGs by helping to overcome inadequate infrastructure that constrains growth (WBG 2015). In the government's effort to reduce project costs and maximize returns-on-investment, the partner may introduce better service delivery, innovations, and implementation and operational efficiencies, while taking on a significant amount of risk and management responsibility.

At the same time, risks associated with PPPs can be high and need to be carefully assessed, mitigated, and allocated if the project continues. These include unexpected project costs or higher costs of engaging with a private partner, poor quality of results, user demand that is different than expected, changes in the legal or regulatory framework that affect the project, and default of the private partner if it cannot financially or technically implement the project (WBG 2017). Some projects are easier to finance than others, and

some may be more politically or socially challenging to introduce and implement. Governments run the risk of not having sufficient expertise to understand PPP arrangements, carry out their obligations, and monitor partners' performance (PPP Legal Resource Center 2020).

For private partners, the benefits of PPPs are linked to the ability to recoup their initial investments and satisfy the expected return-on-investments. In the case of NGO or community partners, conservation, social, or economic outcomes may also motivate the PPP arrangement, with the success of the contract linked to those goals. Partners face many of the same risks as those faced by governments, including unexpected costs, lower or different usage that affects revenue collection, and changing political or regulatory environments.

PPPs in Conservation

PAs have long permitted private companies to operate commercial concessions—for lodging, food, recreational activities, and retail—within their boundaries. A leading example is the U.S. National Park Service, which administers more than 500 concession contracts across its parks with gross receipts totaling \$1 billion annually.¹⁷ Management concessions, in which a parks authority outsources responsibility for management or conservation activities to a partner with greater capacity, have been developed in Europe, Africa, Latin America and the Caribbean, and

Australia (Manolache et al. 2018; Wilson et al. 2008). Such partnerships, if properly structured, can help governments capture the significant economic value of parks by improving their economic sustainability, improving the quality of tourism services, leveraging investments in conservation, and contributing to biodiversity conservation (Saporiti 2006). Though PPPs are a favored mechanism, they are not always successful. Periodic reviews of PPP performance across sectors and regions offer lessons for the conservation sector.

In many African countries, the engagement of a CMP for PA management is guided by PPP legislation (see *Appendix C*). The process for establishing a CMP outlined in the Toolkit is consistent with PPP legislation.

17. For information on NP concessions in the U.S., visit the U.S. NPS website <https://www.nps.gov/subjects/concessions/authorized-concessioners.htm>

Table 2.1
PPP Lessons that Might be Applied to CMPs

Key PPP Lesson Learned	Description
1. Public sectors need enabling environments in place to apply PPPs well	A sector's market structures (in this case, PAs) must have conditions that allow the private sector to operate; regulatory bodies should be able to protect private partners from political interference; and public authorities should have the capacity to develop PPP projects that interest the private sector (WBG 2015). CMPs can help create the right enabling environment to attract investment, such as tourism and payment for ecosystem service investment. In some cases, the willingness of private sector tourism operators to invest resulted from a CMP
2. PPPs perform better in countries with a higher level of readiness	Readiness refers to established frameworks (legal, regulatory, and others) in place for preparing and approving PPPs in conservation and a longer track record of PPP transactions (WBG 2015). For those countries that do not have a long track record, having strong and transparent frameworks in place is important
3. Political champions are vital for PPPs	Given the public nature of PPPs, securing one or more political champions in government to guide and advocate for the project is essential. A review of International Finance Corporation (IFC) PPP projects found that it is rare for major projects to succeed without advocates (Florizone and Carter 2013)
4. PPPs need to be backed by a sustainable business case	Most private partners consider it vital for projects to have sound economic foundations that translate into a sustainable business model (Florizone and Carter 2013). For PPPs in the conservation sector, other motivations may be equally or more important, such as increasing wildlife numbers and improving the integrity of PAs. One factor to consider for the conservation sector is that PPPs may add or increase user charges to recoup costs
5. Partnerships should be structured to achieve public and business objectives	Defining the right partnership model to fulfill different objectives can be challenging and requires learning from past lessons as well as innovating for the future (Florizone and Carter 2013). Within conservation, community stakeholders may need to be integrated into the partnership, because the success of the arrangement could depend on their buy-in
6. Communications about the partnership throughout is key	The stories and success of conservation PPPs should be told early and often to people at every level — local, regional, national, and international — that can influence the project

2.2 Opportunities and Potential Benefits of CMPs

The status quo of wildlife and PA management is not adequately addressing the conservation crisis, and traditional projects are challenged by their short-term duration and lack of accountability, among other factors. To enhance PA management effectiveness and reverse the trends of biodiversity loss, 15 African governments (see Section 3.6) and their respective ministries and agencies have entered into strategic co-management and delegated CMPs, and there is growing interest and momentum in CMPs. While CMPs have demonstrated significant positive ecological, economic, and social outcomes, they are not suitable in all cases, as described in the Toolkit, and should be considered among a suite of conservation tools. In addition, coordination between CMP partners and other PA managers in the broader landscape (public, private, and community) is important for conservation and development outcomes. Numerous drivers lead governments to engage in CMPs, as outlined below. Nine case studies are included in *Appendix D*, which describe various drivers for each CMP.

Economic Drivers

Attract donor funding and in some cases are a donor requirement

PAs with CMPs have higher operational budgets than those without. Researchers find that the median PA funding associated with CMPs

is 2.6 times greater than the baseline of state funding for bilateral and integrated CMPs, and 14.6 times greater for delegated CMPs (Lindsey et al. 2021). Funding from CMPs comes from bi-lateral and multi-lateral donors, private foundations, lotteries, foundations associated with zoos, philanthropists and individual donors, and the private sector through corporate foundations and corporate social responsibility programs. In some cases, NGOs can facilitate charitable donations more easily than governments, can mobilize resources quickly to respond to a crisis, and are able to manage and account for funding in a way that governments may not. NGOs can bring financial accountability through professional financial management and audit procedures that give funders confidence their funds will be accounted for and used for the intended purpose. In addition, the development or improvement of a governance structure as part of the CMP creates additional oversight and a layer of accountability that provides assurance to donors about proper budget management.

Gonarezhou National Park (NP) in the south-eastern part of Zimbabwe is managed through a CMP between the Frankfurt Zoological Society (FZS) and the ZPWMA. Annual funding for the park increased in year one by 50 percent and the current annual budget is approximately \$5 million, including capital expenditure.¹⁸

Some donors increasingly require a CMP to be in place before providing funding for PA management.

“The Wildcat Foundation has been supporting national parks in Africa for nine years, and currently has substantial grants active in 10 parks in six countries. It is highly unlikely that we would have provided anywhere near this level of support had our NGO grantees not been partnering with African government agencies that gave them full delegated management authority for the parks. The delegated CMP gives us confidence that the parks will be expertly managed. We know the NGOs involved and can hold them accountable for how they use our funds and for the results. We know they will implement a park plan that we’ve pre-approved, and to begin creating good jobs and providing training and mentoring that will elevate the country’s own conservation professionals to become expert senior managers.”

— Rodger Schlickeisen, Director, Wildcat Foundation¹⁹

Enhance investment flow

A report titled “Mobilizing Private Finance for Nature” concluded that public funds are insufficient to reverse biodiversity loss and private sector finance can help mitigate the threat (WBG 2020c).

18. For information about Gonarezhou Conservation Trust, visit <https://gonarezhou.org>

19. For information about the Wildcat Foundation, visit <https://www.thewildcatfoundation.us/index.html>

However, the right enabling environment must be established to attract private sector finance.

Properly structured, private sector investment in PAs can increase revenue for PA management and community benefits. Poor PA management, often due to a lack of funding and capacity, deters private sector investment and perpetuates a negative feedback loop. CMPs enhance PA management, help to secure the natural assets upon which the private sector depends, and provide a long-term agreement that instills confidence for private sector partners.

The development of a CMP between African Parks and the Department of National Parks and Wildlife (DNPW) in Liuwa Plains NP (see *Appendix D*, Figure D.5) in Zambia enhanced the management of the PA, enabled the recovery of key species (elephants were seen in the Park in 2020 for the first time in 11 years), and as a result, attracted a new high-end tourism investment.²⁰ Time + Tide developed a five-star lodge that has generated revenue for PA management and the local communities and attracted positive media coverage from *Time Magazine*, *the New York Times*, and *Travel + Leisure*.

"The agreement between African Parks and DNPW is a true partnership with shared commitment and risk. African Parks' effective management of the area in partnership with DNPW assisted us with the challenge of operating in such a remote space. We return their efforts with the attraction of tourism through our brand, boosting conservation

support (through park fees), showing immediate economic return, and proving to communities and governments the worth of preserving their natural capital. This is evident in the direct economic benefits through employment and procurement and educational benefits through the Time + Tide Foundation. Time + Tide is aligned with African Parks and DNPW in our interests and approach to conservation and for that, the partnership has, and will, continue to strengthen and grow."

—Bruce Simpson, CEO, Time + Tide, 2021²¹

A CMP can help create an enabling environment for biodiversity offsets, which are measurable conservation outcomes resulting from actions designed to compensate for significant residual adverse biodiversity impacts due to project development after appropriate prevention and mitigation measures have been taken (Business and Biodiversity Offset Programme 2009). Infrastructure development and resource extraction is taking place across the continent at a significant pace and scale, and some private sector companies are engaging in biodiversity offsets. Supporting an existing non-operational PA or creating a new PA are often the most optimal approaches for offsetting. However, a barrier for implementing biodiversity offsets results if the PA authority does not have the capacity to manage the offset funding and to deliver on the clear and regulated offset targets. A CMP can create the right management and governance structure to channel offset funds to desired conservation actions.

In Senegal, Resolute Mining is engaged in a biodiversity offset around **Niokolo-Koba NP**, West Africa's second largest national park. A CMP was developed between the National Parks Directorate and Panthera,²² an NGO based in the United States, along with a tripartite agreement with Resolute Mining for funding conservation activities in compliance with the biodiversity offset.

Enhanced management and a long-term CMP agreement enable partners to optimize ecosystem service opportunities, such as payment for ecosystem services and REDD+. ²³ Like nature-based tourism, these developments, if properly structured, can enhance revenue to the local economy and create jobs, as well as support PA management budgets.

Support government PA budgets

One of the primary reasons governments enter into strategic partnerships for PA management is to attract new funding, generate sustainable revenue models, and reduce the financial burden of PA management on the PA authority. Some PA authorities are independent parastatals required to raise capital and generate revenue, which puts enormous pressure on the agencies. In some cases, poor management choices can be the result, such as engaging a private sector partner that provides upfront funding but lacks the capacity to deliver on long-term commercial commitments. CMPs can help reduce the financial burden, enabling PA authorities to make smart, long-term management decisions.

20. For information about Liuwa Plain NP, visit <https://www.africanparks.org/the-parks/liuwa-plain>

21. For information about Time & Tide's Liuwa Plain King Lewanika, visit <https://timeandtideafrica.com/camps/#liuwa-plain>

22. For information on Panthera, visit <https://www.panthera.org/>

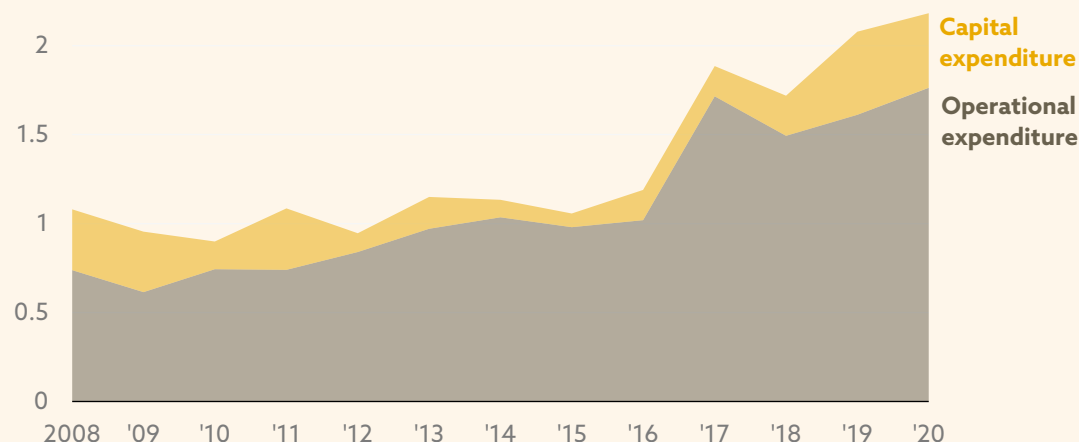
23. REDD+ stands for "reducing emissions from deforestation and forest degradation" and is used in developing countries to support conservation, sustainable management of forests, and enhancement of forest carbon stocks.

The ZPWMA manages approximately 13 percent of Zimbabwe's total land area.²⁴ Its annual management budget is approximately \$30 million, a high portion of which is salaries, leaving little in the way of operational budgets. Every year, the ZPWMA faces a funding gap (IUCN 2020a). The ZPWMA has CMPs in place for two NPs: **Gonarezhou** (see *Appendix D*, Figure D.3) and **Matusadona**. These parks comprise roughly a quarter of the national parks in the country; therefore, their engagement with partners significantly supports ZPWMA's national park budget.

In Malawi, government investment in the PA system is almost negligible. The average annual budget allocated from the government is approximately \$325,000. The Department of National Parks and Wildlife (DNPW) has four CMPs with African Parks that have attracted significant funding to the country and converted the PAs into economic engines for the rural and national economy. The annual operating budget for 2020 for **Majete NP** (see Figure 2.1) is six times the total budget allocated to the DNPW for all its PAs (\$310,000).

Figure 2.1
Majete Wildlife Reserve Annual Expenditure²⁵

Majete Wildlife Reserve Annual Expenditure (Millions \$)



Source: African Parks Majete Wildlife Reserve Data 2021.

Increase foreign exchange, tax revenue, and employment

A functional and well-managed PA also can stimulate the rural economy, increasing tax revenue to the government and creating rural employment (Spenceley et al. 2016). This in turn makes PAs politically relevant. For example, nature-based tourism:

- generates 40 percent more full-time jobs than the same investment in agriculture,
- has twice the job creation power of the automotive, telecommunications and financial industries, and
- provides significantly more job opportunities for women compared to other sectors (Space for Giants et al. 2019).

NBT, while not suitable for every PA, is also the largest, global, market-based contributor to financing PA systems. NBT is a major multiplier in terms of wider economic impacts. A recent World Bank study showed that the benefits of investing in protected areas outweighed the costs. In Zambia's Lower Zambezi National Park, the rates of return on public investment was sixteen times the original investment. Additionally, for every additional dollar spent by a tourist, local incomes increased by \$1.82 in the park. Furthermore, before the pandemic, protected areas annually provided 7,463 new jobs in Lower Zambezi National Park and 28,210 new jobs in South Luangwa National Park, both in Zambia (World Bank 2021).

COVID-19 has had a significant impact on NBT and PAs (Section 1.3). Support is needed to restore and adapt the industry to ensure it can withstand future shocks, and to diversify revenue sources for PAs.

24. For information on Zimbabwe Parks and Wildlife Management Authority, visit <https://www.zimparks.org.zw/>

25. For information on Majete Wildlife Reserve, visit <https://www.africanparks.org/the-parks/majete>

While the mandate of most CMPs cover the PA, many CMP partners invest in the “buffer area,” catalyzing significant benefits for the local communities resulting from micro-finance, agriculture investment, and other enterprises.

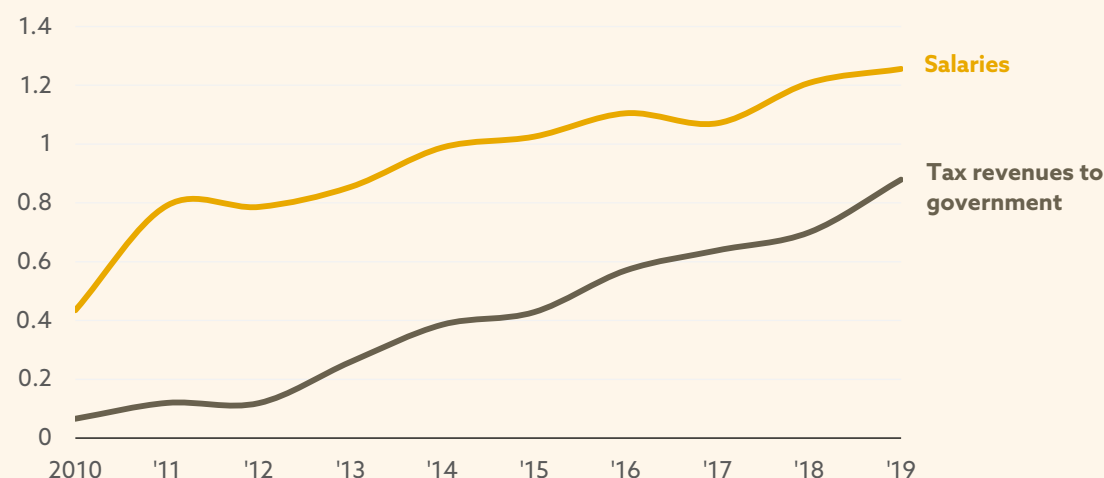
Virunga NP, managed through a CMP between the Virunga Foundation and the Congolese Institute for the Conservation of Nature (ICCN), facilitated the development of a hydroelectric power project that stimulated small- and

medium-sized enterprise growth from 90 to over 900, creating 3,400 direct jobs and 13,000 indirect jobs (Virunga Foundation Ltd 2019).²⁶

Payment for salaries in **Akagera NP**,²⁷ managed through a CMP between African Parks and the Rwanda Development Board (RDB), and taxes to the government of Rwanda increased significantly from 2010 to 2020 (see Figure 2.2 and *Appendix D*, Figure D.1).

Figure 2.2
Tax and Salary Increases from Akagera National Park CMP, Rwanda

Revenue Generation from Akagera National Park, Rwanda (Millions \$)



Source: African Parks Akagera NP Data 2020.

Taxes revenues to government (Pay As You Earn Tax, Value Added Tax, Rwanda Social Security Board)
Salaries (including Pay As You Earn Tax and Rwanda Social Security Board)

Create and catalyze community benefits

In addition to job creation through NBT and in the PA, CMPs have created substantial social benefit by attracting development partners who undertake social development projects or by the partner undertaking these kinds of projects. In addition, CMPs have provided support to communities in times of need. During the COVID-19 crisis, many CMP partners have provided hand-washing facilities and other protective gear. During Cyclone Idai in 2019 in Mozambique, CMP partners provided food and helped rebuild villages.

The Gorongosa NP CMP, Mozambique²⁸ (see *Appendix D*, Figure D.4) improved food security by engaging approximately 10,000 local farm families, generating 300 additional jobs, and developing health interventions that allow more than 100,000 people to be treated per year. In response to Cyclone Idai, Gorongosa delivered 220 tons of food and water to communities in an operation launched prior to the arrival of international aid.²⁹

Technical Support Drivers

Attract skills not currently represented in the PA agency

The most effective CMPs involve partners that bring a suite of skills not currently represented within the PA authority. For example, tourism development is a skill set that some PA authorities seek to attract through a CMP. By complementing the existing skills from the PA authority, each partner brings integral expertise, and the

26. For information on Virunga National Park, visit <https://virunga.org/>

27. For information on Akagera National Park, visit <https://www.africanparks.org/the-parks/akagera>

28. For information on Gorongosa National Park, visit <https://gorongosa.org/>

29. "Our Gorongosa - A Park for the People." 2019. *Parque Nacional da Gorongosa*. https://gorongosa.org/wp-content/uploads/2020/01/11-07-2019-Highlights-English_compressed.pdf

partnership combines and enhances the overall proficiency for PA management, development, and ultimately sustainability.

Enhance PA agency capacity

If structured properly, CMPs can and should enhance the capacity of PA authorities. CMP contracts should require, within reason, the development of capacity of the PA authority staff and the process for doing so. In addition, contracts should include the obligation to share lessons learned across the agency. CMPs can be used as a short-term bridge to help build capacity of the PA authority and management systems or as a long-term and, in some cases, a permanent solution. Regardless of the duration, capacity building of staff is a key component of long-term success.

Operational Drivers

Enhance governance and decision-making

CMPs devolve management, which separates the governance structure (whether new or existing) and oversight from on-the-ground management. That helps streamline operations and avoid decisions made for personal gain and can enable rapid decision-making without the need to refer to the central administration (Brugière 2020). Some CMPs improve or create formal governance structures that help clarify decision-making and management and command lines, enhancing management effectiveness and resulting in efficient operations and rapid implementation.

Help transform non-operational PAs

Many PAs in Africa are considered “paper parks,” meaning they exist on paper, but are non-operational. For example, KWS, one of Africa’s best-funded wildlife authorities, indicated in 2018 that 50 percent of their parks were non-operational (IUCN ESARO 2017). PA authorities can target paper parks for CMPs to attract funding and operationalize them, which will help stimulate the local economy, decrease the financial burden on the PA authority, and support the government in fulfilling its long-term regional, national, and global obligations.

Gorongosa NP, Mozambique (see *Appendix D*, Figure D.4) was non-operational prior to engagement in a CMP with the Greg Carr Foundation. Wildlife was decimated during and after the Mozambique civil war, employment was minimal, and community benefits close to non-existent. Through concerted effort between the government of Mozambique and the Greg Carr Foundation, the park is now an economic engine that supports community jobs and livelihoods and hosts extraordinary biodiversity following a remarkable ecological recovery. It has attracted positive attention to the country and is a source of pride for the government.³⁰

PADDD stands for PA downgrading, downsizing, and degazettement.

- Downgrading is the legal authorization of an increase in the number, magnitude, or extent of human activities within a PA.

- Downsizing is the decrease in size of a PA as a result of excision of land or sea area through a legal boundary change.
- Degazettement is the loss of legal protection for an entire PA.

Avoid downgrading, downsizing, and degazettement

Governments need to rationalize land use and PAs that are not functioning face the risk of downgrading, downsizing, and degazettement (DDD).³¹ In 2019, the then-president of Tanzania ordered the government to identify PAs that had no wildlife and forests and allocate them to farmers and livestock keepers (Lindsay et al. 2021). The PADDD database,³² which does not include all incidents of DDD, shows 296 enacted DDD events and eight proposed in East and Southern Africa across 13 countries as of 2019 (IUCN ESARO 2020b). CMPs can target non-functioning PAs that have the potential to become operational, which reduces the risk of DDD (Symes et al. 2015). This in turn can help the country fulfill its international and national conservation obligations.

Enable governments to fulfill national and global commitments

Most African governments have established national conservation targets and are party to pan-African and global treaties. The engagement of qualified partners through CMPs can help governments meet these targets. For example, all African governments are signatory to the Convention on Biological Diversity. CMPs can support governments in meeting their CBD

30. “Our Gorongosa - A Park for the People.” 2019. Parque Nacional da Gorongosa. https://gorongosa.org/wp-content/uploads/2020/01/11-07-2019-Highlights-English_compressed.pdf

31. For information on DDD, visit <https://www.conservation.org/projects/paddd-protected-area-downgrading-downsizing-and-degazettement>

32. For information on the Protected Area Protected Area DDD Tracker, visit <https://www.padddtracker.org>

targets, such as the Aichi Biodiversity Targets.³³ These targets are anticipated to increase under the post-2020 global framework.

In 2015, all United Nations (UN) member states adopted the SDGs. Table 2.2 outlines how CMPs will help African governments achieve these goals. SDG 13 is particularly relevant given government commitments to achieving climate

targets and the recognition of the significant role effectively managed PAs and healthy ecosystems play in climate mitigation and adaptation. Terrestrial PAs have been estimated to store about 12 percent of terrestrial carbon stocks and to sequester annually about 20 percent of the carbon sequestered by all land ecosystems. Nature-based climate solutions, including protection and restoration of forests and other

carbon-storing ecosystems, could provide up to 37 percent of the reductions in greenhouse gas (GHG) emissions needed to stabilize warming to 2° C by 2030.³⁴

Numerous African countries, such as Rwanda,³⁵ have developed green post-COVID-19 recovery plans that include the sustainable and inclusive development of PAs. CMPs support

Table 2.2
How CMPs Support the Achievement of the SDGs

SDG	How CMPs Contribute	SDG	How CMPs Contribute
 1 NO POVERTY	CMPs foster economic development and provide income through wildlife based tourism, management, and other businesses sparked by enhanced management	 9 INDUSTRY, INNOVATION AND INFRASTRUCTURE	CMPs attract investment and support infrastructure and development in the PA and surrounding region
 2 ZERO HUNGER	CMPs enhance regional stability and security and create an enabling environment that spurts agricultural development and revenue from employment, tourism, and other businesses	 13 CLIMATE ACTION	CMPs enhance the effective management of PAs, which mitigate climate change and enable natural adaptation processes. Employment and enhanced development due to enhanced PA management create more resilient communities living in and around PAs
 3 GOOD HEALTH AND WELL-BEING	CMPs support improved health care for communities living in and around the PA through provision of supplies, support to clinic staff, development of clinics, and ambulatory access	 14 LIFE BELOW WATER	CMPs enhance marine protected areas and support the sustainable development of seascapes
 4 QUALITY EDUCATION	CMPs support improved education for communities living in and around the PA through bursaries, environmental education, school development, teacher training, and provision of supplies	 15 LIFE ON LAND	CMPs help to protect, restore, and promote the effective management of terrestrial ecosystems, sustainably managed forests, combat deforestation, and halt land degradation and biodiversity loss
 8 DECENT WORK AND ECONOMIC GROWTH	CMPs enhance management of PAs, attract investment, and stimulate regional economic development, which promotes economic growth and employment	 17 PARTNERSHIPS FOR THE GOALS	CMPs are partnerships (PPPs) that strengthen the means of implementation towards fulfillment of the SDGs

Source: Adapted from <https://sdgs.un.org/goals>; Lindsey et al. 2021.

33. For information on SDGs, visit www.cbd.int/sp/targets

34. For information on PAs and climate change, visit Protected Planet at <https://www.protectedplanet.net/en/news-and-stories/protected-areas-and-climate-change>

35. For information on Rwanda's green recovery strategy, visit <http://www.fonerwa.org/blog/rwanda-commits-green-recovery-world-environment-day>

green recovery targets, including jobs, community resiliency, and revenue diversification.

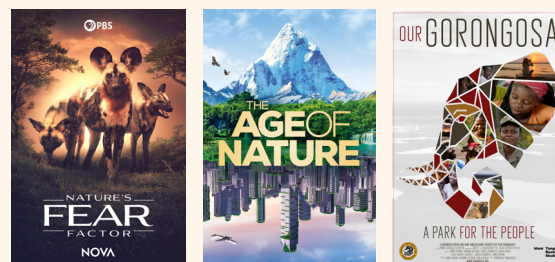
Enhance brand recognition

CMP partners brand and market their partnership, which helps create awareness of the PA, the partnership, and the country. In addition, tourism partners are attracted to invest in PAs with CMPs, and brand, sell, and promote the country, PA, and their tourism facility, which enhances overall brand recognition for the country. Likewise, the restoration of flagship species, as a result of improved management, can garner global recognition for the country.

The eastern black rhino was reintroduced into **Akagera NP** (see *Appendix D*, Figure D.1), which brought significant attention and media coverage to Rwanda as a tourism destination. Millions of people tracked the rhinos' progress on social media on their journey from South Africa to the park. These positive conservation stories contribute to the country's brand and attract visitors and investors.³⁶



The film "Our Gorongosa,"³⁷ about **Gorongosa NP** and the CMP between the Greg Carr Foundation and the National Administration of Conservation Areas (ANAC), was shown on PBS. In 2020, it ran at film festivals around the world and received multiple awards, creating broad awareness about Mozambique and Gorongosa. Another documentary, "Nature's Fear Factor", was shown on NOVA, and CNN produced its own film on the park. The Gorongosa Project has also collaborated with Nat Geo, BBC, and many other broadcast and streaming platforms and production companies.



Reduce conflict

CMPs that engage relevant stakeholder communities in the governance model have reduced conflict between government and local communities because they generate increased accountability upward and increased legitimacy downward (Fedreheim 2017). Inclusion of local communities

enhances communication and coordination, which helps to reduce misinformation that often leads to conflict around PAs. In addition, local communities often have historical knowledge about the particular landscape and invariably an understanding of dynamics in and around the PA. If relevant stakeholder communities are effectively engaged in PA governance, their knowledge can be used to support and enhance management of the PA. On the contrary, if communities are excluded, their knowledge can be used to exacerbate the threats to a PA and conflict with the management authority.

Increase security

CMPs have helped improve security in certain locations, and this has garnered local support. Unmanaged PAs create an ideal location for rebels and other insurgents, while presence and active management deter insecurity. For example, African Parks has a management agreement in the Central African Republic for the Chinko Reserve.³⁸ The Central African Republic has been riddled by war, and because of the stability created in Chinko, 380 internally displaced people, mainly women and children, fled into the reserve in 2017 for protection by the rangers. After months of being provided with safety, food, water, shelter, healthcare, and employment, the displaced people were able to move back to their village with African Park's support and assistance (Stolton and Dudley 2019).

36. For information on the rhino translocation to Akagera NP, visit <https://www.africanparks.org/campaign/rhinos-return-rwanda>

37. For information on the film "Our Gorongosa", visit <https://gorongosa.org/our-gorongosa-film/>

38. For information about Chinko Reserve, visit <https://www.africanparks.org/the-parks/chinko>

2.3 Potential Challenges with CMPs

Over the past two decades, African government and partners have established 40 co-management and delegated CMPs covering more than 490,264 km² of diverse habitats (see Section 3.6). The adoption of CMPs is the result of the financial and capacity challenges faced by PA authorities and the suite of benefits outlined in Section 2.2. In addition, some of the early CMPs, such as African Parks' engagement in 2003 with the government of Malawi in Majete Wildlife Reserve,³⁹ have provided practical examples of successful management partnerships. Despite the interest in CMPs by government, partners, and donors, challenges remain in the uptake of CMPs by governments and partners and in the management of CMPs

Challenges with Adoption of CMP as an Approach

There has been a relatively slow uptake of CMPs for a host of reasons. These challenges were outlined in an *Opinion Piece* in *Biological Conservation* (Lindsey et al. 2021) and are highlighted in Table 2.3. Brugière (2020) notes that there is low cultural and political acceptance of CMPs in French-speaking countries in Africa because of the historical and current role of the central government and the perception that CMPs, in particular the delegated model, are an attack on national sovereignty.



Bangweulu Game Management Area, Zambia. © Mike Dexter / Shutterstock

39. For information about Majete Wildlife Reserve, visit <https://www.africanparks.org/the-parks/majete>

Table 2.3
Challenges with the Adoption of CMPs in Africa

Challenges with Adoption of CMPs	Clarification and Potential Mitigation Measures
1. Government concern	
There is a perception that entering into a CMP means giving away national assets and relinquishing too much control.	National PAs are national assets and a CMP does not change its ownership. The government is the ultimate authority that determines which CMP model is appropriate for the PA and this in turn determines the level of “control” transferred to the partner and for what duration.
Some governments perceive that entering into a CMP is a sign of “failure” or a reflection on their inability to achieve their own objectives.	PA authorities across Africa face enormous challenges due to a lack of resources and escalating threats (see Chapter 1). A CMP is a strategic conservation tool that can help governments improve management of PAs, build national capacity, assist PA authorities in meeting their national objectives, and support a green recovery after COVID-19.
Concern about revenue retention at the PA level.	Retaining revenue at the PA level is an important part of making a PA financially sustainable. The business plan for the PA should be nested under a PA authority’s business plan, which considers the broader economic needs of the authority. Specifically, if governments are to engage in significant numbers of CMPs, they may wish to ensure central funding for the PA authority to remove the requirement for them to derive revenues from the PAs. Revenue retention has a variety of other benefits including attractiveness to donors and positive incentives for PA personnel. Understandably, governments have concerns about “revenue loss” if revenue is retained at the PA level. However, it is important to understand that in some cases, the resultant outcome of a CMP will generate more revenue to the government in taxes, employment, and other revenue.
Concern that CMPs do not build capacity of the PA authority.	A well-structured CMP should and can build the capacity of the PA authority. When the government is developing the CMP agreement, capacity building of the PA authority can be a key target with clear indicators for measuring success.
2. Lack of qualified private partner	
The success of a CMP depends on a qualified NGO or private partner that shares the same vision as the PA authority and has the technical capacity and the ability to attract funding.	NGOs that have not engaged in a CMP should start by providing a PA authority with technical and financial support and learn about the PA and management needs and build the expertise required. African Parks is mentoring some smaller NGOs to help build capacity for these organizations in CMPs. NGOs engaging in CMPs should share successes and failures so that other NGOs can learn from these experiences. There is a need for a greater focus among NGOs and donors on developing capacity for PA management as the core of conservation and building the capacity of national organizations.
3. Lack of donor funding	
The success of a CMP depends on adequate and long-term funding.	There is a huge funding gap in PA management and most donor support is short-term, which is problematic for long-term CMPs. Ideally, donor funding will increase following increased awareness of the ecological, economic, and social success of CMPs. In addition, CMPs create an enabling environment to attract private sector investment.

Source: Adapted from Lindsey et al. 2021.

Challenges with CMP Development and Management

While CMPs have demonstrated success (see Section 2.2), there are challenges in the development and management of such significant partnerships, which are described in Table 2.4. Learning from these challenges is key to ensuring future CMPs can avoid or navigate potential barriers. Therefore, it is important that forums and platforms exist for CMP partners to share challenges they faced and how they dealt with them.



Majete Wildlife Reserve, Malawi. © mhenrion / Shutterstock

Table 2.4
Challenges in the Management of CMPs

Category	Element	Reasons	Mitigation Measures
Agreements and CMP structure	Agreements	Informal or expired agreements that do not give partners and donors confidence to make significant investments	Agreements should be legally binding
		Short-term agreements, which limit the ability of the CMP to define and implement long-term visions and strategies and fail to inspire private investor confidence in the long-term prospects of the PA	Agreements should be at least 20 years and, in some cases, longer depending on the context
		Agreement lacks clear division of roles and responsibilities, leading to confusion, conflict, mistrust, blurred accountability, or partners placing blame	Agreements should clearly outline roles, responsibilities, and accountability of each partner
	Insufficient delegation of authority	Weak mandate given to or requested by the partner, with insufficient responsibility to address the scale of challenges facing the PA	The mandate for management of programs must be clear in the agreement and adequate to address the challenges, which requires proper planning
		Government retains (or NGO decides not to assume) authority and responsibility for critical aspects of management, but lacks sufficient resources	Parties must have suitable capacity and resources to fulfill their mandate
		Lack of sufficient authority over PA management, making decision-making vulnerable to political interference and bureaucratic delays	CMP agreements should delegate sufficient authority for decision-making and management based on the threats and PA needs
	Poorly designed models	Premature withdrawal of a partner before capacity of the PA authority is sufficiently built	Proper due diligence by the government on the partner's ability to fulfill its mandate. Capacity building of the PA authority should be a core aspect of agreements, and there should be adequate time allocated for transitioning agreements
		Bilateral CMP models often result in confusion, conflict, and other challenges in which NGOs and governments operate as separate entities with parallel authority hierarchies and separate human resources policies and pay scales	CMPs must make roles and responsibilities clear. If there are dual structures in a PA, the policies of each partner should mirror the other, to the extent possible
Government support	Multiple partners in the same PA without a plan	Multiple NGO partners operating in the same PA and focusing on similar activities, leading to confusion, duplication of effort, and inefficiencies	If the government engages multiple partners, roles and responsibilities must be clear, and there should be a tripartite agreement to ensure effective communication and coordination
		Insufficient government buy-in and support	Government support is critical for the success of the CMP
		Lack of shared vision at higher government levels regarding sensitive issues such as settlements and oil and mining inside the PA	The partner should conduct a detailed risk analysis prior to entering a CMP
		CMPs negotiated from top down without buy-in at headquarters (HQ) level or park level can undermine the functioning of the CMP	Support from all levels of the PA authority/government needs to be clear and genuine prior to engaging in a CMP

Category	Element	Reasons	Mitigation Measures
Community support	Lack of community support	Lack of support from stakeholder communities can present significant challenges to the CMP, resulting in delays, expenses, and legal challenges	Proper stakeholder consultation, following accepted global standards, should be conducted prior to engaging a partner, and social standards should be in place. Community engagement in the governance model should be considered to enhance coordination and support
Civil society support	Lack of civil society support	National PAs involve a diversity of civil society members with strong opinions about and passion for PAs. Lack of support from civil society members can present challenges to the CMP, resulting in delays, expenses, and legal issues	Proper stakeholder consultation should be conducted prior to engaging a CMP partner, and transparent communication about the rationale and CMP process is needed continuously to ensure a clear understanding by civil society
NGO capacity	Insufficient NGO expertise in PA management	Lack of NGO expertise or experience in PA management can translate into an inability to effectively attract skilled personnel and provide necessary support to field staff, as well as the inability of a partner to fulfill legal CMP obligations	CMP partner selection must be rigorous to ensure partners have adequate expertise to fulfill their mandate
Finance	Insufficient funding	Insufficient budgets relative to the size and complexity of the PA and levels of threat	Partners must demonstrate, as part of their bid, proof of finances for the initial stage of the CMP and the capacity to develop sustainable revenue streams
	Funding gaps	Short-term CMPs that are periodically renewed, and CMPs that rely exclusively on large institutional funders, can suffer from a lack of continuity in funding, which can lead to staff layoffs and management setbacks	Partners must demonstrate, as part of their bid, proof of finances for the initial stage of the CMP and the capacity to develop sustainable revenue streams
Context	Overly complex contexts	Severely complicated scenarios, such as political instability or high densities of people and livestock inside PAs, can present challenges beyond the ability of a private partner (and in some cases governments) to overcome	The PA authority and the partner should conduct a detailed risk analysis prior to entering into a CMP and determine the feasibility of achieving targets
Relationships and trust	Breakdown of relations	Breakdown of relations or trust between partners, leading to paralysis or the end of the partnership	The CMP should outline a clear conflict resolution process
	Errant behavior by one or both partners	Partners not fulfilling pledges; issuing inappropriate external communications; not acting in the spirit of cooperation; and acting outside the law. Other issues include a lack of data sharing, joint planning, budget development, fundraising, and genuine collaboration	The CMP should outline a clear conflict resolution process. Operating outside of the agreement should constitute a violation with clear means of terminating the agreement as needed
Enabling environment	Lack of clear process to establish CMPs	The lack of clear guidelines and process for establishing a CMP leads to delays and in some cases, donor fatigue, resulting in a loss of finance for the CMP	Governments interested in CMPs should create the right enabling environment for the transparent adoption of CMPs
	Lack of supportive legal framework to manage CMPs	Legal framework not in place to protect and manage the CMP long-term without political interference	Governments interested in CMPs should create the right enabling environment for effective management of CMPs

Source: Adapted from Lindsey et al. 2021.

Chapter 3

CMP models and principles

This chapter describes the three primary CMP models used in Africa, and highlights their strengths, weaknesses, and risks. Three case studies are presented to compare the models. Twenty-four best practice principles for CMPs are featured for practitioners to consider in CMP development, management, and closure. The status of CMPs in Africa is provided, highlighting 40 co-management and delegated CMPs, the partners, regional distribution, models used, trends, and projected CMP pipeline.

3.1 Differentiating between Governance and Management

A CMP requires consideration of the existing and desired governance and management structure for a PA. The governance and management of PAs are closely linked; however, for a successful CMP, it is important to understand the difference and to distinguish this in the CMP agreement. Governance is about broad, strategic decision-making, while management is about implementation (see Table 3.1) (Borrini-Feyerabend et al. 2013).

Governance goes beyond just understanding who makes certain decisions around PAs to include interactions among structures, processes, and traditions that determine how power and responsibilities are exercised, how decisions are taken, and how citizens and other stakeholders have their say (Borrini-Feyerabend et al. 2013). While CMPs affect the management and governance structures of a PA, they do not alter a nation’s sovereignty or ownership (see Figure 3.1).

Table 3.1
Management and Governance of PAs

Management	Governance
...is about...	...is about...
• what is done in pursuit of given objectives • the means and actions to achieve such objectives	• who decides what the objectives are, what to do to pursue them, and with what means • how those decisions are taken • who holds power, authority and responsibility • who is (or should be) held accountable

Source: IUCN 2013.

Figure 3.1
CMP Governance and Management

SOVEREIGNTY	The state remains the sole ultimate custodian of national PAs; there is no loss of sovereignty
OWNERSHIP	The state remains the sole owner of national PAs; there is no loss of ownership
GOVERNANCE	Enhanced by CMP the separation of governance from management can create more accountability, clear management responsibility, and transparency
MANAGEMENT	Directly affected by CMP

Source: Adapted from original source Baghai 2016; Borrini-Feyerabend et al. 2013; IUCN ESARO 2017.

There are four types of PA governance structures: governance by government; shared governance; private governance; and governance by indigenous peoples and local communities (IPLCs) (see Table 3.2).

Table 3.2
The Four Types of Protected Area Governance Models and Examples from Africa

Type	Description	Examples
Governance by government	- Federal or national ministry or agency in charge - Sub-national ministry or agency in charge (e.g., at regional, provincial, municipal level) - Government-delegated management (e.g., to an NGO)	- The government manages most national PAs in Africa. For example, the Kenya Wildlife Service manages Kenya's national parks and national reserves - Delegated management includes the management agreements with African Parks in Malawi, Rwanda, Republic of Congo, Chad, and other countries in Africa
Shared governance	- Transboundary governance (formal arrangements between one or more sovereign states or territories) - Collaborative governance (diverse actors and institutions work together) - Joint governance (pluralist board or other multiparty governing body)	- Collaborative governance includes bilateral and integrated co-management; for example, FZS in Gonarezhou, Zimbabwe and African Wildlife Foundation in Simien Mountains NP, Ethiopia - The Greater Virunga Transboundary landscape has a tripartite treaty between Rwanda, Uganda and the Democratic Republic of Congo
Private governance	Conservation areas run by: - Individual landowners - Non-profit organizations (e.g., NGOs, universities, etc.) - For-profit organizations (e.g., corporate landowners)	- Malilangwe Trust in Zimbabwe is privately owned and governed - OI Pejeta Conservancy, Kenya, is governed by a private company - Mpala Conservancy, Kenya is governed by a non-profit board
Governance by indigenous peoples and local communities	- Conserved territories and areas established and run by indigenous peoples - Community conservation areas and territories established and run by local communities	- Kenya: Imbirikani and Kuku Group Ranch, Il Ngwesi and Westgate community conservancies - Tanzania: Enduimet and Burunge wildlife management areas, community-governed - Namibia: <i>!Khoadi-//Hoas</i> Conservancy and Torra conservancies governed by community

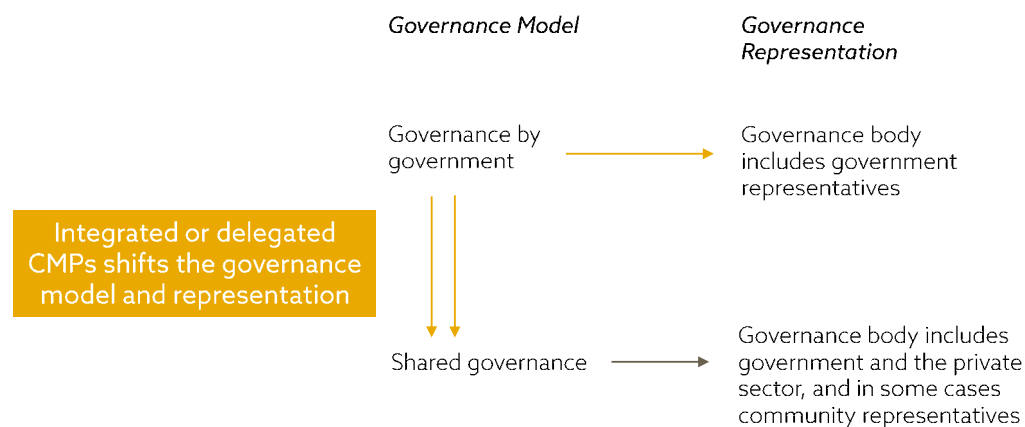
Source: Borrini-Feyerabend et al. 2013.

When a national government governs a PA through a governance by government model, the engagement in an integrated or delegated CMP with a partner shifts the governance model to shared governance, i.e., the creation of a board that oversees the governance of a PA and includes both government and private partner representation (see Figure 3.2). A bilateral CMP may also result in a shared governance model. This is not to suggest that a CMP is required for shared governance. Governments can and do engage in shared governance for national PAs without a CMP and there are numerous examples in Africa of governments doing this by engaging communities and NGO partners in governance. In some CMPs, the governance board includes representation from IPLCs. For example, Brugière (2020) profiles formal community representation in four CMP governance bodies in Central and West Africa in Odzala-Kokoua, Nouabalé-Ndoki (see case study in *Appendix D*, Figure D.7), Pendjari, and Termit and Tin Toumma. IPLCs are and should be involved in the PA governance by having a seat on the board or participating in the advisory committee.

Figure 3.2

Potential Shift from Governance by Government to Shared Governance

Note: A government may choose to shift from governance by government to shared governance without a CMP.



Source: World Bank. Original figure for this publication.

3.2 Description of CMP Models

There are three primary CMP models in Africa, one of which, co-management, is further differentiated into two sub-categories (Baghai et al. 2018; Baghai 2016; Lindsey et al. 2021).

- **Financial and technical support**, where the state retains full governance authority and the private partner provides technical and financial support (usually no management agreement).
- **Co-management CMPs**, in which the state and the partner collaborate. This is further differentiated as follows:
 - **Bilateral CMPs**, in which the state and the partner agree to collaborate on PA management, with the two entities and their structures working side-by-side in the PA under a management agreement.
 - **Integrated CMPs**, in which the state and the partner agree to collaborate on PA management through a management agreement and create an SPV to undertake management, with equal representation by the parties on the SPV board.
 - **Delegated CMPs**, which are similar to integrated CMPs but have the majority of the SPV board appointed by the private partner.

The Toolkit focuses on co-management and delegated CMP models because of the growing interest in them. The provision of technical and financial support by a partner to a PA authority

is the traditional model of conservation support, which involves the partner implementing projects or providing financial support or advice to the PA authority without, in most cases, a formal management agreement. There are some very successful financial and technical support models. For example, the FZS has had a successful long-term partnership with the DNPW in Zambia for management of North Luangwa NP and with the Tanzania National Parks Authority for the management of the Serengeti NP.⁴⁰ However, there are shortcomings in the financial and technical support model that have been extensively documented, such as start-and-stop funding and the lack of long-term project support and accountability. This is partially fueling the interest in co-management and delegated management models.

Bilateral, integrated, and delegated CMPs involve a formal management contract in which the public partner devolves certain levels of management responsibilities to the partner. In many cases, the adoption of a formal CMP is preceded by the partner providing financial and technical support to the PA authority. While not a necessary factor for entering into a CMP, such prior engagement can help the partner understand the challenges in the PA, PA authority capacity needs, conservation targets, and potential solutions. The prior engagement also helps the PA authority understand how the partner works and develop a relationship and build trust, which is fundamental

for the success of the CMP. Table 3.3 describes bilateral, integrated, and delegated CMPs, and *Appendix E* includes a further description of each model.

Prior to signing an integrated CMP in **Gonarezhou NP**, Zimbabwe, FZS provided technical and financial support for nine years to the ZPWMA (see *Appendix D*, Figure D.4). The African Wildlife Foundation (AWF) provided three years of support to the Ethiopia Wildlife and Conservation Authority (EWCA) in **Simien Mountains NP** in Ethiopia prior to signing a bilateral CMP (see *Appendix D*, Figure D.8).⁴¹

40. For information on Frankfurt Zoological Society, visit <https://fzs.org/en/>

41. For information about the Simien Mountains National Park, visit <https://www.awf.org/country/ethiopia>

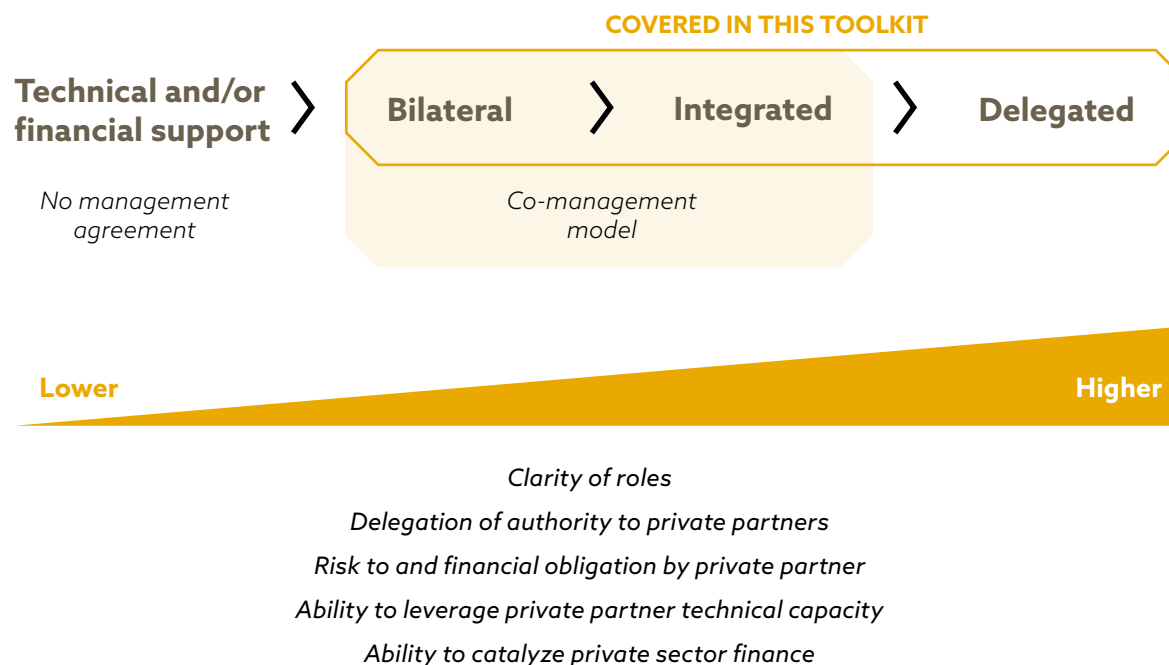
Table 3.3
Collaborative Management Models, Governance, Management, and Examples

Categories	Co-management Models		Delegated CMP
	Bilateral CMP	Integrated CMP	
Structure	Partners maintain independent structure	SPV created, forming one entity	SPV created, forming one entity
Governance	State leads strategy and oversight with involvement and in some cases, consensus of the partner on certain project-related issues; joint steering committee might appoint project leadership in the PA	Partner shares governance responsibility with the state. Generally, a joint entity and SPV (e.g., foundation, non-profit company) is created in the host country. Representation is split evenly between the partner and government. Strategy and oversight managed by the SPV board	Partner shares governance responsibility with the state. Generally, a joint entity and SPV (e.g., foundation, non-profit company) is created in the host country. Partner has most of the seats on the board. Strategy and oversight managed by SPV
Management	PA authority has management authority but allocates certain management aspects to the partner. For example, the PA authority oversees management of law enforcement and management of PA staff and shares authority with the partner for project-related decisions such as ecological monitoring and tourism development	Management is delegated to the SPV and shared to varying degrees between the state and NGO; often includes secondment of law enforcement manager by the government; all staff managed by the SPV, under leadership of the partner, with some government staff seconded Secondment is defined as when an employee is temporarily transferred to another department or organization for a temporary assignment	Management is delegated to the SPV. Partner appoints PA manager; often includes secondment of law enforcement manager by the government; all staff managed by the SPV, under leadership of the partner
Examples	• AWF and ICCN, Bili Uele, Democratic Republic of Congo • African Nature Investors and the Nigerian NP Service, Gashaka Gumti, Nigeria	• FZS and ZPWMA, Gonarezhou NP, Zimbabwe • Greg Carr Foundation and government of Mozambique, Gorongosa NP, Mozambique	• African Parks and DNPW, Liuwa Plains, Zambia • WCS and ACFAP (Congolese Agency for Wildlife and Protected Areas), Nouabale-Ndoki NP, Republic of Congo

Source: Adapted from Baghai et al. 2018; Baghai 2016.

Each CMP model involves different levels of risk, responsibility, and obligations, outlined in Figure 3.3. Both partners should consider all aspects of the CMP and their ability and willingness to take on this commitment.

Figure 3.3
Risk and Obligation Associated with CMP Models



Source: Adapted from WBG 2020b.

3.3 Strengths and Weaknesses of Different CMP Models

PAs in Africa are diverse, face a range of threats, and have distinctive needs. Governments and the respective partners should understand the different CMP models and the strengths and weaknesses of each (see Table 3.4), and determine the most appropriate model for the PA authority and the PA under consideration.

Researchers found that delegated management and integrated management CMPs have delivered more clear conservation outcomes than bilateral CMPs. Key reasons include: improved governance and oversight structures; the ability to manage the PA independently; autonomy and insulation from political interference; long-term commitments; the ability to build strong teams by attracting skilled staff via transparent, meritocratic selection procedures and more flexibility to discipline or dismiss underperforming personnel; and increased accountability (Baghai et al. 2018; Lindsey et al. 2021).



Simien Mountains NP, Ethiopia. © Michael De Plaen / Shutterstock

Table 3.4
CMP Models: Strengths and Weaknesses

CMP Model		Strengths	Weaknesses
Co-management	Bilateral	Legitimacy of the PA authority's involvement in management of a state PA; maintaining government responsibility	Parallel structures, policies, and procedures in human resources and finance can create frustration, division, financial inefficiency, and tension
		Capitalize on strengths of each partner — contextual political understanding with international capacity and best practices	Potential for conflict, especially with two leaders on the ground if their relationship breaks down
			Lack of clear accountability and roles and responsibilities if not clearly outlined in the agreement, leading to conflict
			Diffuse responsibility can lead to a lack of accountability
			Potential for political interference
			Potential for mistrust if there is not sufficient transparency
	Integrated	All staff employed by the SPV, subject to the same conditions of employment and same rules and regulations, with clear reporting lines	Political risk/public distrust from high level of independence of private partner. Tensions may result from lack of understanding of the partnership and misperceptions
		Innovation, flexibility, and decision-making culture of private sector combined with PA authority experience, knowledge of the PA	Potential for conflict and misunderstanding between two entities and work cultures, requiring a leader who can help bridge these
		High level of autonomy at PA level allows quick decision-making	Managing expectations from local communities and other relevant stakeholders
	Delegated	Partner has a very clear mandate that allows for quick decision-making and full accountability	Limited reach because governments are reluctant to delegate to partners, especially flagship PAs that produce revenue for government
		Partnership at governance level ensures government participation in strategy and oversight, lends itself to transparency	Concern of "foreign entities" taking over national PAs and compromising state sovereignty
		All staff employed by SPV, subject to same conditions of employment, same rules and regulations, and clear reporting lines	Might be perceived as incapacitating the PA authority
		Innovation, flexibility, and decision-making culture of private sector	Potential resentment by PA authority, which doesn't have the resources to fulfill mandate, could result in reluctance to cooperate
			Managing expectations from local communities and other relevant stakeholders

Source: Adapted from Baghai et al. 2018; Baghai et al. 2018b; Brugière 2020.

3.4 Case Studies of the Three CMP Models

Appendix D includes nine case studies from nine countries. Below are three examples of CMPs from three countries with three private partners, covering the three CMP models.

Table 3.5
CMP Model Case Studies

Category	Bilateral CMP	Integrated CMP	Delegated CMP
Protected area	Simien Mountains NP	Gorongosa NP	Akagera NP
Size km ²	220	3,200	1,122
Country	Ethiopia	Mozambique	Rwanda
Government partner	Ethiopia Wildlife Conservation Authority	Government of Mozambique	Rwanda Development Board
Private partner	African Wildlife Foundation	Gorongosa Project	African Parks
Year contract signed	2017 (update of 2014 agreement)	2016 (update of 2008 agreement)	2010
Duration of negotiation	5 Years	4 Years	3 Years
Contract duration	15 Years	25 Years	20 Years
Partner engaged in PA prior to contract	Yes, since 2012	Yes, since 2008	No

Category	Bilateral CMP	Integrated CMP	Delegated CMP
Revenue retention (see note)	No. All revenue to national government accounts	Yes	Yes
Number of staff	AWF and EWCA manage own staff separately	700 permanent, 400 seasonal, 85 percent local	271, up from 18 in 2010, 99 percent Rwandan
Governance	Ultimate authority with EWCA. Project coordination unit (PCU) comprised of one EWCA representative; one AWF representative; one KfW representative	Oversight committee composed of one government representative and one Gorongosa Project representative	Board of trustees includes seven trustees: three appointed by government; four appointed by African Parks
Ecological success	- Removed from the World Heritage Site in Danger list - Livestock grazing in the park reduced by 43 percent - Ethiopian wolf increased from 55 in 2013 to 75 by 2021 - Walia ibex population increased from 585 in 2018 to 695 in 2021	- Poaching reduced by 70 percent - Animal population increased from 15,000 in 2008 to 90,000 in 2020 781 elephant, 815 wildebeest, 766 hippo, and 1,221 buffalo (in 2020), up from 2000 populations of less than 200 elephant, 20 wildebeest, 100 hippo and 100 buffalo	- Wildlife increase: 5,000 in 2010 to 13,500 in 2019 23 eastern black rhinoceros reintroduced. 2020: population of 27 - Lions reintroduced. 2020: population of 40 - Wildlife numbers: From 4,476 in 2010 to 13,442 in 2019
Economic success	Annual operating budget increased from \$100,000 to \$1 million	\$85 million invested, \$13.7 million annual budget - Ecotourism revenue: \$737,132 from Jan-Sept 2019, compared to a baseline of zero	- Budget \$3.25 million in 2019 - Revenue: \$203,063 in 2010, \$2.6 million in 2019 - Average spend per person: \$16 in 2010, \$46 in 2019 - Luxury private sector tourism partners, such as Wilderness Safaris
Social success	- Modern primary school developed, supporting 363 students 1,000 schoolchildren visit the park annually - COVID-19 emergency cash for work program 2020: 6,405 individual laborers, affecting 1,601 households	- Human development budget \$1.78 million in 2019 - More than 150,000 people treated per year by medical services 500 local families engaged in coffee business, with 200 jobs 2019 agricultural extension services reached 10,000 farmers	- Total community benefit was zero dollars in 2010, \$728,435 in 2019 - More than 2,000 school children visit Akagera NP annually for free with teachers and local leaders

Source: African Parks, AWF, Gorongosa, and RDB staff and websites (see [Appendix D](#), Figures D.1, D.4, D.8).⁴²

Note: Revenue retention at the PA level, in many cases, includes a percentage of revenue that supports the PA authority. Most PA authorities support non-functional PAs with revenue from functional PAs; therefore, this needs to be considered when developing a revenue model for the CMP. The amount that goes to the PA authority may increase after the initial development and stabilization period, which varies depending on the PA. The CMP contract will stipulate in the event of a surplus, the percentage that goes to the PA authority to create a net benefit for the entire PA estate. In other cases, such as Akagera NP, the government of Rwanda provides funding to the CMP budget annually—rather than taking it out in the form of revenues. This is very attractive to donors.

42. For information on ANP, GNP, and SMNP, visit <https://www.africanparks.org/the-parks/akagera>, <https://gorongosa.org/>, <https://www.awf.org/country/ethiopia>

3.5 CMP Best Practice Principles for Success

When developing, managing, and ending a CMP, governments and partners should consider a number of best practice principles that were developed from experiences of government and NGO practitioners (see Table 3.6). These 24 principles are organized under six pillars: CMP Development; Nature of the Partnership; Governance; Administration; Operations; and Finance (adapted from Baghai et al. 2018; Conservation Capital 2017; Lindsey et al. 2020; consultation with CMP partners). *Appendix F* includes further description of these principles and *Appendix P* includes key aspects of each of these principles that should be included in a CMP contract.

Table 3.6
The Six Pillars and 24 Principles for Successful CMPs

1. CMP Development	4. Administration
• Attract a Qualified Partner • Confirm Adequate Funding and Capacity to Generate Finance • Develop the Contract Together • Clarify Roles and Responsibility	• Unify Staffing • Determine Management Leadership • Align Policies and Procedures • Pre-plan Closure/Termination
2. Nature of the Partnership	5. Operations
• Trust Between Partners • Buy-in at All Levels • Common Goals and Objectives • Respect Environmental and Social Standards	• Develop Work Plans Together • Legitimize the Management Framework • Respect the Mandate of Law Enforcement • Effectively Engage Stakeholder Communities • Respect Transboundary Responsibility
3. Governance	6. Finance
• Provide Adequate Duration and Outline Succession • Ensure Equitable Representation • Communicate the Partnership • Mitigate Risk	• Build Towards Sustainability • Drive Enterprise Development • Manage Surplus/Deficit

Source: Adapted from Conservation Capital 2017

CMP Development

- **Attract a Qualified Partner:** The selection of a qualified partner with the requisite skills and experience is fundamental to the success of a CMP. Sections 5.5 and 5.7 outline a process for vetting and selecting a qualified partner.
- **Confirm Adequate Funding and Capacity to Generate Finance:** The ability to financially execute a management agreement is fundamental to its success. As part of the partner selection process outlined in Chapter 5, there should be due diligence and verification of start-up capital sufficient to address the needs of the PA and of the ability of the partner to develop long-term viable revenue models.
- **Develop Contracts Together:** Contracts should follow best practice and be developed collectively to foster collaboration, develop joint ownership, and avoid confusion over content.
- **Clarify Roles and Responsibilities:** CMP agreements must be explicitly clear about roles, responsibility, reporting lines, and accountability to avoid confusion and conflict (*Appendix P* includes a description of roles and responsibilities to include in the CMP contract).

Nature of the Partnership

- **Trust Between Partners:** CMPs can have solid contracts, suitable funding, and a highly experienced partner. However, they will not work without trust between the partners. While a difficult parameter to measure, building trust is something both parties should consider when developing a CMP. No formula exists for such vital trust-building. If the private partner is supporting the PA authority prior to the CMP through financial and technical support, the engagement is a good opportunity to develop trust. However, not all partners work in a PA

prior to entering into a CMP, and it is not necessary for success.

- **Buy-in at All Levels:** Transparency about the CMP development process is critical to ensuring buy-in at all levels. A CMP driven from the top (ministry or even higher) without buy-in at local level risks operational challenges. Likewise, a CMP driven from the PA level or by a donor without legitimate buy-in from PA authority HQ risks political meddling.
- **Common Goals and Objectives:** Both parties need to be moving toward the same objectives and goals. The partners should discuss a shared vision, and these aspects should be documented in the management agreement as well as the general management plan.
- **Respect Environmental and Social Standards (ESS):** ESS are a set of policies, guidelines and operational procedures designed to first identify and then, following the standard mitigation hierarchy, try to avoid, minimize, mitigate, and compensate when necessary adverse environmental and social impacts that may arise in the implementation of a project. The partners should jointly agree on a comprehensive framework that enables staff and project developers and managers to comply with ESS (see Chapter 6).

Governance

- **Provide Adequate Duration and Outlining Succession:** The duration of the CMP depends on the PA and the PA authority goals. A CMP can be used as an interim (15-20 year) tool or longer term, and in some cases, a more permanent solution. The duration is decided by the government for national PAs, and intentions should be explicit in the beginning of the partnership to avoid confusion and to ensure proper planning. In general, 15 to 20

years is recommended as a minimum. This provides adequate time to attract funding and investment, create standard operating procedures (SOPs), stabilize operations, and transition management at the end of the agreement. Figure 3.4 is a hypothetical timeline for a CMP in a PA that is highly degraded. Shorter timeframes, while desirable from some governments, do not provide the duration to establish policies, procedures, steady funding, enterprises, capacity, and overall recovery. If the intention of both parties, as defined in the CMP, is for the CMP to be used as an interim tool, succession planning and how skills will be transferred should be adequately planned.

- **Ensure Equitable Representation:** No one party wishes to be dominated or feel dominated by the other. There are several ways, beyond representation on the board or committee, to avoid this (see *Appendix F*).
- **Communicate the Partnership:** Both parties are responsible for communicating, internally and externally, about the CMP before and throughout the life of the project. This includes communication across national, local, and regional governments, local communities, and traditional authorities. Communication between the private partner and the PA authority is critical to success and cannot be limited to formal structures (Brugière 2020).
- **Mitigate Risk:** Minimizing inappropriate risk and liability is critical for a CMP and the individuals involved. The partner should complete a risk analysis and mitigation plan, which should be updated and maintained throughout the life of the CMP.

Administration

- **Unify Staffing:** The ideal CMP should form and represent one unified structure of staffing

to create efficiencies, clarify management responsibility, and make standards uniform. In the case of a bilateral CMP, the partners should work to mirror standards, procedures, and policies to the extent feasible and clearly outline roles and responsibilities to avoid confusion.

- **Determine Management Leadership:** The caliber of executive leadership is often the deciding factor of the success of a CMP. The board should be responsible for appointing the senior executive positions from nominated employees from each party under secondment or through direct recruitment. Best practice recommends that the senior position responsible for law enforcement be seconded from the state PA authority.
- **Align Policies and Procedures:** Senior management will be required to develop policies and procedures related to, among others, human resources, finance, and procurement⁴³. To ensure harmonization (and as an important feature for future succession), these policies and procedures should be adapted from government policies and procedures, to the extent feasible, without adopting or incorporating aspects that contribute to operational challenges.
- **Pre-plan Closure/Termination:** The parties must pre-agree on a clear and thorough procedure for the closing out of the CMP in the event of completion, breach, or early termination, to deal with staff, assets, monies, liabilities, and ongoing third-party agreements (*Appendix P* includes details of each of these aspects).

Operations

- **Develop Work Plans Together:** Developing the work plan together is efficient, draws on the expertise of each party, and creates a sense of ownership by both parties. Partners should develop an annual schedule that includes the review of the prior year's achievements against the work plan and the development of the subsequent year's work plan.
- **Legitimize the Management Framework:** A CMP must be set within the legal framework of the host country. A general management plan (GMP) and related business plan provide a management framework. A GMP is established under PA and wildlife conservation law as the required and accepted instrument to frame the management and development of a PA and to implement relevant government policy. In some places, GMPs take years to develop and attain approval. In those cases, a rolling five-year business or management plan may be preferable.
- **Respect the Mandate of Law Enforcement:** Law enforcement and security is a function of the state, and this dynamic must be respected within a CMP. Law enforcement undertaken by the private partner without legal authorization can pose serious liability for the private partner and risks serious misinterpretation around the private partner's role.
- **Effectively Engage Stakeholder Communities:** Local communities are almost always primary stakeholders and beneficiaries of a PA. Engagement with local communities cannot be separated from the PA management. Proper stakeholder engagement and consultation should take place throughout the life of the CMP.

- **Respect Transboundary Responsibility:** When a PA is part of a trans-frontier conservation area (TFCA), engagement with international neighbors and their PA authority is a sovereign matter. Therefore, the state authority should be the lead agency in international communication, while keeping the private partner abreast of TFCA matters.

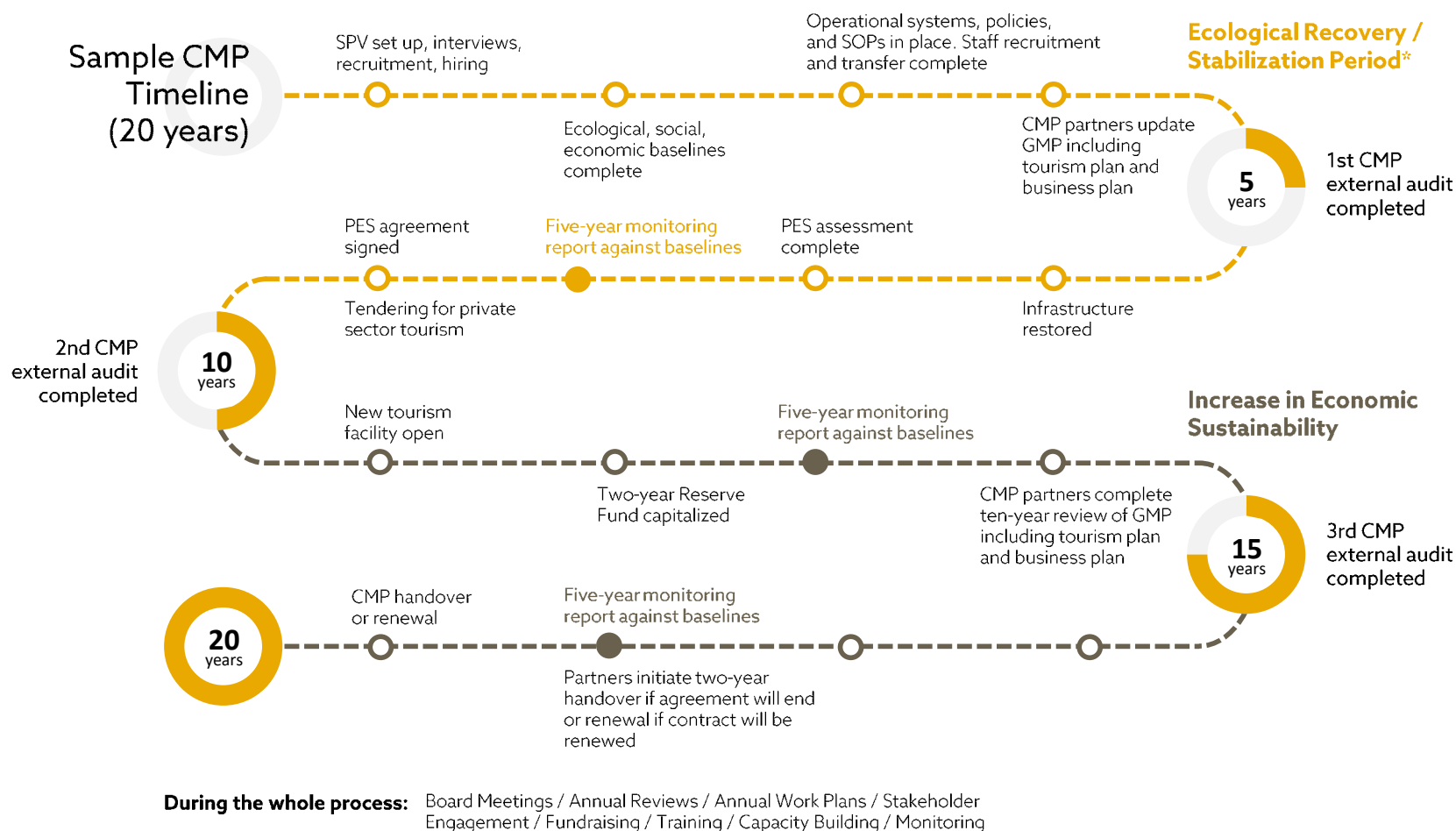
Finance

- **Build Towards Sustainability:** While very few PAs are completely self-financing, striving for financial sustainability of a PA is a key objective of a CMP. Building the commercial basis toward financial sustainability for the PA also will help stimulate the local and national economy, creating incentives that make a PA socially and politically relevant.
- **Drive Enterprise Development:** Linked to the preceding principle, the CMP must be central to driving enterprise development within the PA and be given the requisite mandate and authority to promote and develop such conservation enterprise.
- **Manage Surplus/Deficit:** The CMP partners need a clear understanding of their obligations and rights from the outset of the agreement in the event of operating surpluses and deficits.

43. The World Bank is currently developing guidelines for PPP procurement and are expected to be completed in 2021. These guidelines will serve as a useful resource for PPPs, including CMPs.

Figure 3.4
Sample Timeline for a 20-year CMP for a PA that Requires Significant Ecological Recovery

Note: Timelines will vary depending on context; this is an example, not a guide.



*Duration depends on level of degradation and whether natural recovery or reintroduction takes place.

Source: World Bank. Original figure for this publication.

3.6 Status of CMPs in Africa

Given the growing interest in co-management (bilateral and integrated) and delegated CMPs, the Toolkit focused on these models. While CMPs may include management by private sector partners, the majority of CMPs in Africa are managed by NGOs; therefore, the Toolkit focuses on CMPs with NGOs. There are 40 co-management and delegated CMPs in 15 countries in Africa, with 13 NGO partners (see Tables 3.7-3.9 and Map 3.1).⁴⁴ This data does not include Madagascar, which has more than 20 different delegated management entities for national PAs, including national and international NGOs, as well as research organizations (Brugière 2020). *Appendix G* includes a description of the Madagascar management models. South Africa does not have any CMPs managed with NGOs. They have CMPs managed between PA authorities and communities, which are referred to as contractual parks and described in *Appendix H*. *Appendix D*, Figure D.6 includes a case study about a contractual park between the Makuleke Community and SANParks.

Africa supports approximately 8,601 terrestrial and marine PAs covering 4.2 million km² and approximately 14 percent of the continent's land area (30,000,000 km²).⁴⁵ The area under CMP management represents approximately 11.5 percent of the total terrestrial PA estate.

During the COVID-19 pandemic, none of the 40 CMPs profiled in the Toolkit collapsed or had to reduce staff or cut salaries. Three delegated CMPs were signed during COVID-19, with a number in the pipeline.

Table 3.7
Bilateral, Integrated, and Delegated CMP List by Country in Africa

No	Country	Number of Co-management and Delegated CMPs	Number of NGO CMP Partners in Each Country
1	Democratic Republic of Congo	8	6
2	Mozambique	5	5
3	Malawi	4	1
4	Central African Republic	3	2
5	Chad	3	1
6	Republic of Congo	3	2
7	Benin	2	1
8	Nigeria	2	2
9	Rwanda	2	1
10	Zambia ⁴⁶	2	1
11	Zimbabwe	2	2
12	Angola	1	1
13	Ethiopia	1	1
14	Niger	1	1
15	Senegal	1	1
Total CMPs		40	

Source: Updated from Baghai et al. 2018; Baghai 2016; Brugière 2020; NGO and PA authority websites; and communication with CMP NGO and PA authority partners.

44. Data presented in Section 3.6 is updated from: Baghai et al. 2018; Baghai 2016; Brugière 2020; CMP NGO and PA authority websites; consultation with CMP NGO and PAA partners. Kasanka NP and Nsumba NP are considered bilateral CMPs and managed through an MOU. This confirmation was received as the Toolkit was going to print, therefore, they are not included.

45. For information on PA status, visit the Protected Planet database at <https://www.protectedplanet.net>

46. Kasanka NP and Nsumba NP are considered bilateral CMPs, though managed through an MOU. Confirmation was received as the Toolkit was going to print; therefore, they are not included

CMPs provide substantial support for national PA budgets. For example, 50 percent of Rwanda's NPs are under CMPs, encompassing 92 percent of the national park estate in terms of size, which significantly offsets the RDB's management budget.⁴⁷ In Zimbabwe, the ZPWMA has CMPs with partners in two NPs—in Matusadona with African Parks⁴⁸ and in Gonarezhou with FZS—which represents about a quarter of the NP estate. The ZPWMA has an annual budget deficit for NP management. These CMPs substantially offset costs.

The PAs under CMP include some of Africa's most ecologically significant, iconic, and economically valuable conservation areas. Some examples are provided below.

African Parks manages the Benin section of Parc W, West Africa's largest PA, via a management partnership with the government of Benin. Parc W safeguards key species for the region.⁴⁹

WCS manages Nouabalé-Ndoki NP (see *Appendix D*, Figure D.7) in partnership with the government of the Republic of Congo. WWF manages Salonga National Park⁵⁰ in partnership with ICCN. The parks represent some of the best examples of an intact forest ecosystem remaining in the Congo Basin.⁵¹

The Virunga Foundation manages Virunga NP in partnership with ICCN. This is the only park in the world that supports three species of great apes.

Table 3.8
Status of Co-management and Delegated CMPs in Africa

Active CM and DM CMPs	40
Countries with CMPs	15
Number of partners	13
Shortest CMP	5 years
Longest CMP	50 years
Earliest CMP signed	1985
CMP signed between 2015-2021	73 percent
Total PA area in Africa km ²	4.2 million
Km ² with CMPs	490,264
% PA area under CMPs	11.5 percent

Source: : Updated from Baghai et al. 2018; Baghai 2016; Brugière 2020; NGO and PA authority websites; and communication with CMP NGO and PA authority partners.

The first CMP in Africa was in 1985 in the Fazao-Malkafassa NP in Togo (Brugière 2020). A substantial number of CMPs (73 percent of the 40) have been signed between 2015-2021, due to the demonstrated success of some of the earlier CMPs and increased government and donor interest in CMPs. Some contracts executed during this period were updated, extended, or improved existing contracts, or represented the graduation from a memorandum of understanding (MOU) to a more formal agreement. In many cases, updated contracts were due to lessons learned from earlier CMPs. For example, NGOs

and government partners may better understand key factors for success, such as a clarity of roles and responsibilities, and the updated agreement incorporates these improvements. In addition, some of the earlier contracts were entered into urgently due to poaching and other illegal encroachment (Brugière 2020). The updated and revised versions incorporate lessons learned.

47. For information on Rwanda's PAs, visit <https://rdb.rw/>

48. For information on Matusadona NP, visit <https://www.africanparks.org/the-parks/matusadona>

49. For information on Parc W NP, visit <https://www.africanparks.org/the-parks/w>

50. For information on Salonga NP, visit https://www.wwf-congobasin.org/where_we_work/priority_places/salonga_national_park/

51. For information on Nouabale-Ndoki NP, visit <https://congo.wcs.org/Wild-Places/Nouabale-Ndoki-National-Park.aspx>

Table 3.9
CMP List by NGO in Africa

There are 40 co-management and delegated management CMPs between government partners and NGOs in 15 countries in Africa with 13 NGO partners, excluding Madagascar and South Africa.

No.	NGO	Protected Area	Country	Model	Size (km ²)	CMP Signed*
1	African Parks	Akagera NP	Rwanda	DM	1,122	2010
2		Bangweulu Game Management Area	Zambia	DM	6,000	2008
3		Bazaruto Archipelago NP	Mozambique	DM	1,430	2017
4		Chinko Reserve	Central African Republic	DM	59,000	2014
5		Ennedi Natural & Cultural Reserve	Chad	DM	50,000	2017
6		Garamba NP	Congo, Dem. Rep.	DM	5,133	2005
7		Iona NP	Angola	DM	15,000	2019
8		Liuwa Plain NP	Zambia	DM	3,369	2003
9		Liwonde NP	Malawi	DM	548	2015
10		Majete Wildlife Reserve	Malawi	DM	700	2003
11		Mangochi Forest Reserve	Malawi	DM	407	2018
12		Matusadona NP	Zimbabwe	DM	1,470	2019
13		Nkhotakota Wildlife Reserve	Malawi	DM	1,800	2015
14		Nyungwe NP	Rwanda	DM	970	2020
15		Odzala-Kokoua NP	Congo, Rep.	DM	13,500	2010
16		Pendjari NP	Benin	DM	2,755	2017
17		Siniaka Minia Wildlife Reserve	Chad	DM	4,260	2017
18		W NP	Benin	DM	8,000	2020
19		Zakouma NP	Chad	DM	3,000	2010
20	Africa Nature Investors	Gashaka Gumti NP	Nigeria	BCM	6,402	2018
21	Africa Wildlife Foundation	Bili-Uele PA	Congo, Dem. Rep.	BCM	32,748	2016
22		Simien Mountains NP	Ethiopia	BCM	220	2017

No.	NGO	Protected Area	Country	Model	Size (km²)	CMP Signed*
23	Greg Carr Foundation	Gorongosa NP	Mozambique	ICM	3,770	2008
24	Forgotten Parks Foundation	Upemba NP	Congo, Dem. Rep.	DM	11,730	2017
25	Frankfurt Zoological Society	Gonarezhou NP	Zimbabwe	ICM	5,053	2017
26	International Foundation for the Conservation of Wildlife	Gile National Reserve	Mozambique	BCM	2,860	2018
27	Noé	Termit and Tin Toumma National Nature Reserve	Niger	DM	90,507	2018
28		Conkouati Douli NP	Congo, Rep.	DM	5,000	2021
29	Panthera	Niokolo Koba NP	Senegal	BCM	9,130	2019
30	Peace Parks Foundation	Zinave NP	Mozambique	BCM	4,000	2015
31	Virunga Foundation	Virunga NP	Congo, Dem. Rep.	BCM	7,769	2015
32	WCS	Nouabale-Ndoki NP	Congo, Rep.	DM	3,922	2014
33		Okapi Wildlife Reserve	Congo, Dem. Rep.	DM	13,726	2019
34		Niassa National Reserve	Mozambique	BCM	42,000	2019
35		Yankari NP	Nigeria	BCM	2,250	2014
36		Manovo-Gounda St. Floris NP	Central African Republic	DM	17,400	2018
37		Lac Télé Community Reserve**	Congo, Rep.	DM	4,389	2018
38		Bamingui-Bangoran NP	Central African Republic	DM	11,191	2018
39	WWF	Salonga NP	Congo, Dem. Rep.	BCM	36,000	2015
40		Dzanga-Sangha PA	Congo, Dem. Rep.	BCM	6,866	2019
Total PA coverage (km²) under collaborative management partnerships					490,264	

Note: BCM=bilateral CMP; ICM=integrated CMP; and DM=delegated CMP.

* The year referred to in Table 3.9 is the most recent CMP signed. In some cases, prior agreements were updated.

**Lac Tele is a state PA, despite its name as a Community Reserve.⁵²

Source: Updated from Baghai et al. 2018; Baghai 2016; Brugière 2020; NGO and PA authority websites; and communication with CMP NGO and PA authority partners.

52. For information about Lac Télé Community Reserve, visit <https://congo.wcs.org/Wild-Places/Lac-T%C3%A9l%C3%A9-Community-Reserve.aspx>

Most CMPs (42.5 percent) are in Central Africa, followed by Southern Africa (35 percent) (see Figure 3.5). Despite challenges in PA management effectiveness in East Africa, there is a gap in the uptake of CMPs. This is partially due to a lack of an enabling environment in some countries and resistance to CMPs by governments.

Co-management and delegated CMPs are in 15 countries in Africa (excluding Madagascar and South Africa). The Democratic Republic of Congo has the highest percentage of CMPs (20 percent) followed by Mozambique (12 percent) (see Figure

3.6). The Democratic Republic of Congo had some of the earliest CMPs, which were established in direct response to the elephant poaching crisis (Brugière 2020). Recognizing funding and capacity limitations, ICCN established CMPs to mitigate the threats and has continued to expand the CMP portfolio in the country, given the success of some of the early CMPs, the scale of the PA estate in the country, and the agency limitations. In Mozambique, the government recognized CMPs as a strategic approach to improve the management of CMPs and proactively sought partnerships in target PAs.

Figure 3.5
Regional CMP Distribution in Africa

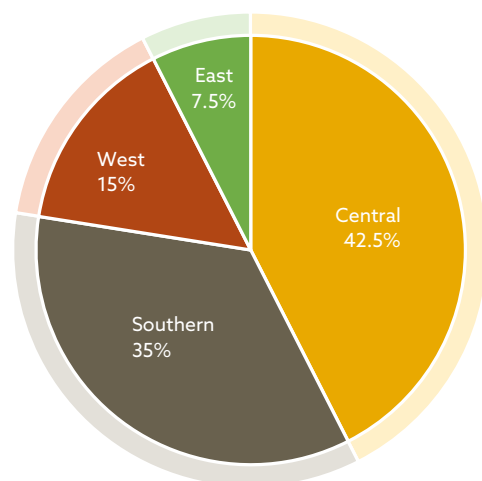
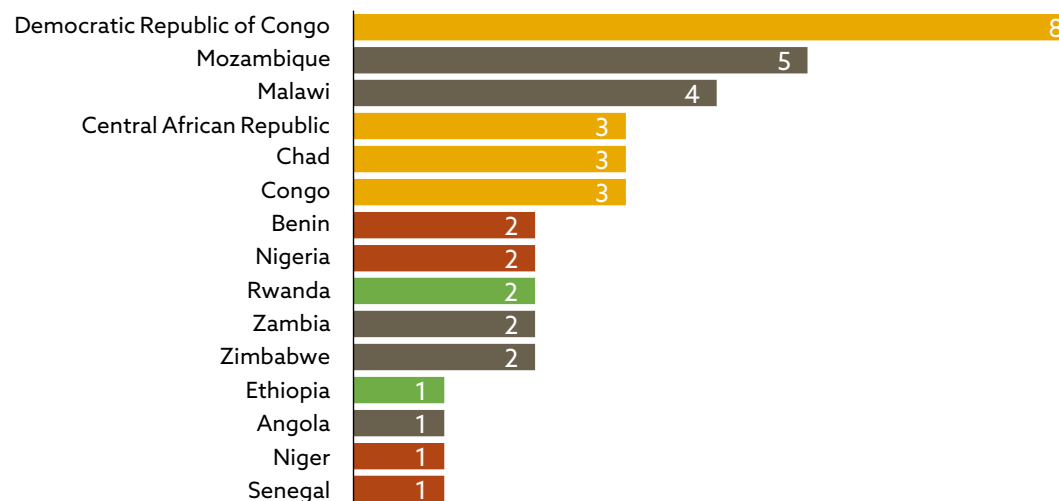


Figure 3.6
Number of CMPs per Country



Source: Updated from Baghai et al. 2018; Baghai 2016; Brugière 2020; NGO and PA authority websites; and communication with CMP NGO and PA authority partners.

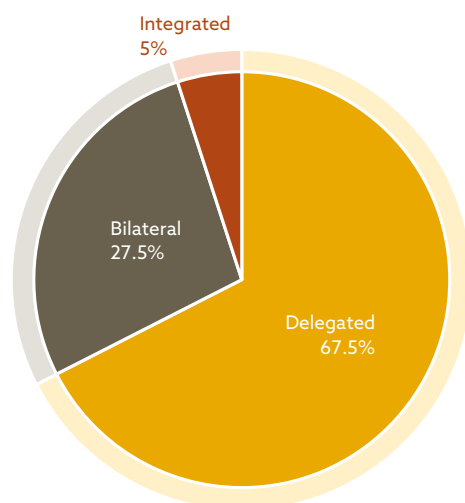
Nineteen of the 40 CMPs in Africa (48 percent) are in partnership with the NGO African Parks, which enters into partnerships using a delegated management approach. Most of the CMP models in Africa are delegated (67.5 percent) (see Figure 3.7). There is growing interest in the integrated management model because of its unifying structure and balanced partnership between the partner and the PA authority. However, in many countries, creating an SPV and seconding state staff to this independent entity takes time. Therefore, some organizations start with a bilateral agreement and eventually transition to an

African Parks and WCS hold 26 of the 40 CMPs in Africa (see Table 3.10). Currently, there are more PAs available for partnerships than there are management partners. The barrier for partner engagement includes lack of management expertise, in particular CMP managers that have the requisite experience, and lack of adequate funding. African Parks has a program that supports smaller organizations in developing policies and procedures for CMPs, and mentors organizations in conservation management to help build capacity for partners. For example, African Parks supports Noé,⁵³ a France-based organization that

has CMPs in Niger and the Republic of Congo. Interestingly, Noé's CMP in Niger, at 90,507 km², covers the same size area as WCS's seven CMPs (see Table 3.10).

Eight NGOs have only one CMP. Most partners are interested in either expanding the area under their CMP, such as the Greg Carr Foundation in Mozambique for the Gorongosa landscape, or taking on more CMPs in different areas, such as FZS. All of the CMPs profiled in the Toolkit are with international NGOs, which creates some animosity in certain countries and contributes to

Figure 3.7
Share of Types of CMP Models Used in Africa



Source: Updated from Baghai et al. 2018; Baghai 2016; Brugière 2020; NGO and PA authority websites; and communication with integrated model PA authority partners.

Table 3.10
Number of CMPs and Area of Land Managed by CMP Partner

NGO Partner	Number of CMPs	Total km ² Managed	Percentage of Total CMP km ² Managed
African Parks	19	173,331	35.4
WCS	7	94,878	19.4
African Wildlife Foundation	2	32,968	6.7
Noé	2	95,507	19.5
WWF	2	42,866	8.7
Africa Nature Investors	1	6,402	1.3
Greg Carr Foundation	1	3,770	0.8
Forgotten Parks Foundation	1	11,730	2.4
Frankfurt Zoological Society	1	5,053	1.0
International Foundation for the Conservation of Wildlife	1	2,860	0.6
Panthera	1	9,130	1.9
Peace Parks Foundation	1	4,000	0.8
Virunga Foundation	1	7,769	1.6

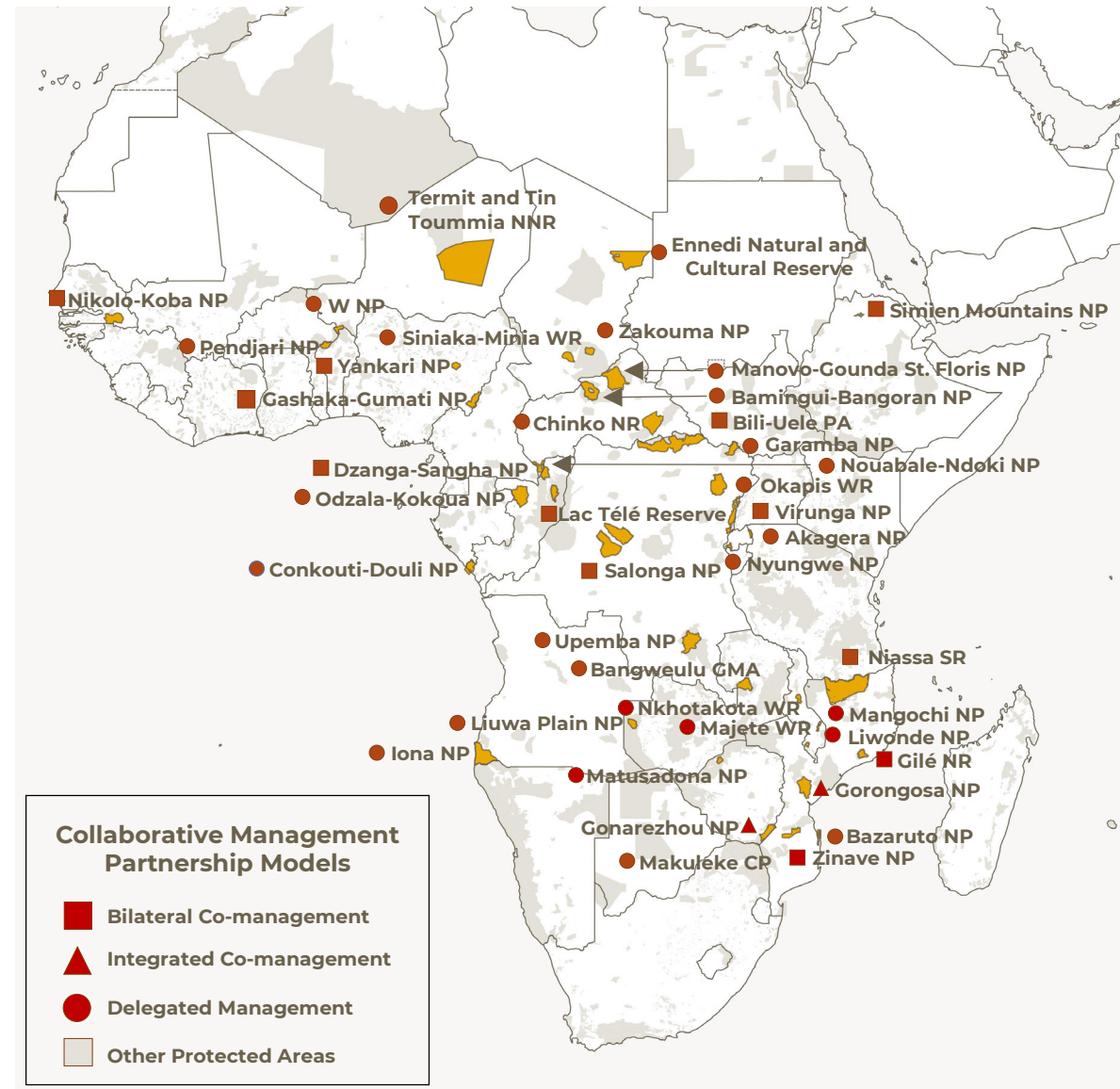
Source: Updated from Baghai et al. 2018; Baghai 2016; Brugière 2020; NGO and PA authority websites; and communication with CMP NGO and PA authority partners.

53. For information on PAs managed by Noé, visit <http://parcsdenoe.org/en/home/>

the challenges of uptake by governments around delegated management in particular. There are governments keen to enter into CMPs; however, there are not enough NGOs with adequate capacity and financial means to meet the demand. Significant financial and technical support provided by local and national organizations presents an opportunity for their expanded engagement in bilateral, integrated, and delegated CMPs in the future. For example, in Zambia, Conservation Lower Zambezi has been supporting the government in management of Lower Zambezi NP. Mentorship programs with international NGOs, such as African Parks' incubator program, should focus on national NGOs to build capacity in the country.

Map 3.1

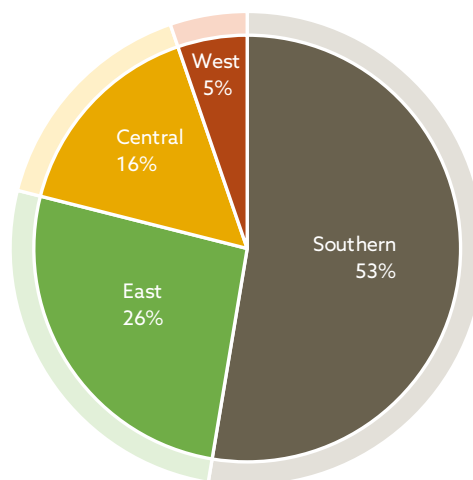
Bilateral, Integrated, and Delegated CMPs with NGOs in Africa



Source: Updated from Baghai et al. 2018; Baghai 2016; Brugière 2020; NGO and PA authority websites; and communication with CMP NGO and PA authority partners.

There are 19 CMPs known to the authors that are under development in 11 countries covering approximately 85,700 km². These include CMPs that are under negotiation with NGOs or those intended for tendering. This includes South Africa and Madagascar but is not exhaustive as there are certain to be others unknown to the authors under development; however, it does indicate the significant interest in CMPs. The majority of the CMPs in the pipeline (53 percent) are in Southern Africa followed by 26 percent in East Africa. This shows a significant increase in CMPs in East Africa, which currently comprise 7.5 percent of the existing CMPs.

Figure 3.8
Share of Pipeline of CMPs
under Active Development



Source: World Bank consultation with NGO and PA authority partners.

ction 2

Section 2

Section

ection 2

How

to Establish
Collaborative
Management
Partnerships





Chapters 4 and 5 include the key steps and tools required for establishing a CMP. The full CMP establishment checklist is in *Appendix I*.

Steps to Identify, Screen, Prepare, and Establish a CMP					
Process	Chapter	Section	Step	✓	
Identify and Screen CMPs	Chapter 4	4.1	Government decision to engage in a CMP	☐	
		4.2	Legal review	☐	
		4.3	Review agency goals and targets	☐	
		4.4	Screen and select potential PAs for CMPs	☐	
		4.5	Screen and select CMP models	☐	
		4.6	Review regional plans	☐	
Prepare for Establishing a CMP	Chapter 5	5.1	Complete a feasibility study	☐	
		5.2	Determine the management partner selection process	☐	
		5.3	Pre-tendering stakeholder engagement	☐	
		5.4	Formation of a committee to support the partner selection	☐	
		5.5	Development of criteria for partner selection	☐	
		5.6	Development of a prospectus and tendering materials to attract and inform partners	☐	
		5.7	Tendering process and selection of partner	☐	
Contract and Manage CMP	Chapter 5	5.8	Contract development	☐	
		5.9	Contract management and monitoring	☐	

➤ Chapter 4 – Identifying and screening CMP opportunities**79**

4.1 Government Decision

80

4.2 Legal Review

81

4.3 Review Agency Goals and Targets

84

4.4 Screen and Select Potential Protected Areas for CMPs

85

4.5 Screen and Select the CMP Model for the PA

89

4.6 Review National and Regional Plans

91

Chapter 5 – Preparing for and establishing CMPs**95**

Chapter 4

Identifying and screening CMP opportunities

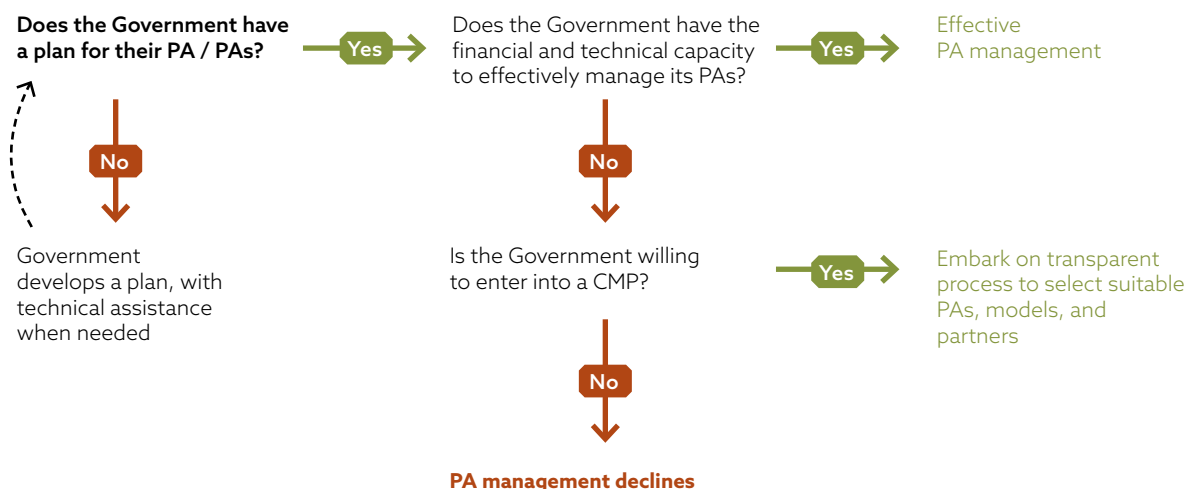
Governments are ultimately responsible for the decision to enter into a CMP for state PAs. There are five key steps that governments and other protected area managers can undertake to identify and screen CMP opportunities. This chapter describes these steps and provides a diversity of tools to help identify PAs suitable for CMPs and determine the most appropriate CMP model.

4.1 Government Decision

The decision to engage in a CMP for a national PA rests with the government. The process to determine whether to engage with a CMP starts with the PA authority strategy and an assessment of its ability to deliver on that strategy. If a PA authority determines that

it is unable to achieve its goals without external management support and is willing to engage in a CMP, it would then embark on a process of selecting suitable PAs, selecting the appropriate CMP model for that particular PA, followed by the sourcing of a qualified partner (see Figure 4.1).

Figure 4.1
Government Decision-Making Matrix Tool for CMPs



Source: Adapted from Lindsey et al. 2021.

Following a government's decision to consider CMPs for its PA estate, it would embark on a series of steps to determine the feasibility of CMPs in the country and the most suitable PA for consideration. The following section highlights these steps (see Figure 4.2), which mirror the PPP cycle outlined by the World Bank's PPP Knowledge Lab.⁵⁴

Figure 4.2
Five Steps to Identify and Screen CMP Opportunities



Source: Adapted from COMIFAC 2019; Lindsey et al. 2021; WBG 2020b.

54. For information on PPPs, visit the World Bank Knowledge Lab at <https://pppknowledge.org/guide/sections/51-ppp-cycle>

4.2 Legal Review

CMs need to be developed within the legal framework of the host country. The contracting authority (CA) – which is the government entity that has the legal authority to enter a CMP and, in some cases, the entity tasked with overseeing the process, such as the PA agency or relevant ministry – should complete a legal review to determine the best way to set up CMPs and the related operational facets prior to embarking on the selection process. All legal aspects need to be vetted from attracting a partner and establishing the contract to fulfilling international treaties, but at an initial stage, the key legal focus should be on how to establish the CMP, taking into consideration how domestic laws apply and which international legislation needs to be considered.

Box 4.1 PPP Framework for CMPs in Kenya

In Kenya, the 2013 Wildlife Conservation and Management Act (WCMA) guides the establishment and management of national parks but does not include a reference for CMPs. Kenya has not established a CMP. The key government act relevant to the awarding of collaborative management rights over national parks is the PPP Act 2013, which designates a contracting authority to engage in collaborative management.

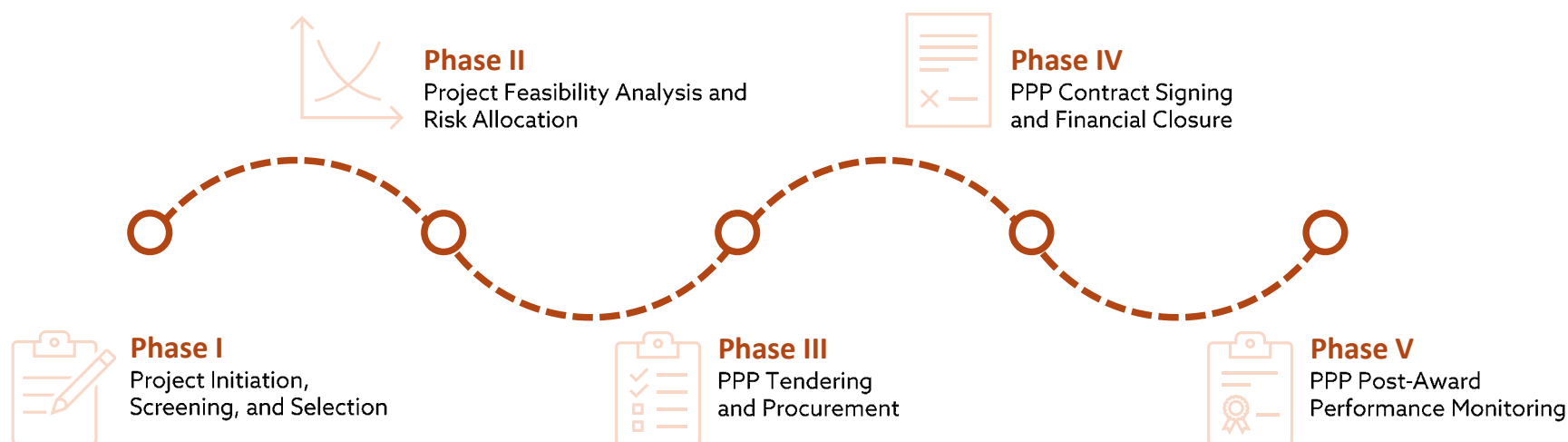
- A CA is defined as a state department, agency, state corporation, or county government, which intends to have function undertaken by it performed by a private party. With respect to national parks in Kenya, the relevant CA would be the Kenya Wildlife Service.
- Key components of the PPP Act are as follows:
 - Section 19: Provides that the CA may enter into a PPP with a private party in accordance with the Second Schedule of the Act.
 - Second Schedule: The Cabinet Secretary (National Treasury and Planning) is the key actor in providing for PPPs.
 - Parts IV, V, VI, and VII: Provide for project identification and approval processes.
- General Principles: The PPP Act provides that the CA should:
 - Conduct pre-qualification procedures, ensuring that the private company has:
 - Financial capacity to undertake the project.
 - Relevant experience in undertaking similar projects.
 - Relevant expertise to undertake the project.
 - Undertake a competitive bidding process, guided by the principles of transparency, free and fair competition, and equal opportunity.

The private partner would want to refer to the WCMA, which outlines in section VII the international treaties, conventions, and agreements ratified by the government of Kenya, and in section VI discusses aspects pertaining to the protection of endangered and threatened species and ecosystems, as well as species recovery plans. In addition, the WCMA is the legal framework for the management of wildlife in the country. For example, WCMA (2013) schedule five outlines the requirements of GMPs and the planning framework (WBG 2020b).

Some CMPs fall under PPP legislation (see *Appendix C*). In Kenya, while the Wildlife Conservation and Management Act⁵⁵ guides the management of NPs, a CMP would be established through the PPP Act of 2013 (see Box 4.1). In some countries, there is confusion over whether the PPP legislation guides CMPs, which can delay the rollout of CMPs. Most PPP legislation outlines a process for selecting, reviewing, and vetting potential PPPs. For example, Malawi's PPP legislation outlines a four-phase approach (see Figure 4.3). The steps outlined in the Toolkit align with this standard process but should be

reviewed to ensure compatibility with the PPP legislation. In some cases, the steps outlined in the Toolkit will provide additional rigor and transparency.

Figure 4.3
Malawi PPP Process



Source: Malawi PPP Legislation 2011⁵⁶.

55. For information on WCMA, visit http://kenyalaw.org/kl/fileadmin/pdfdownloads/Acts/WildlifeConservationandManagementActCap376_2_.pdf

56. For information on the Malawi PPP Act, visit <https://www.mtc.mw/images/downloads/acts/Public-Private-Partnership-Act.pdf>

In some countries, the PPP legislation does not guide CMP contracts. For example, in Tanzania, the Wildlife Division (WD) and its agent, the Tanzania Wildlife Management Authority, are legally entitled to enter into agreements with other organizations to support the execution of WD's mandate as provided in the Wildlife Conservation Act of Tanzania, 2009.

In addition to the overall governing framework for the CMP, the government in the initial stage will want to consider the legal framework for other relevant natural resources, beyond

wildlife and PA management, to determine which ministries and agencies should be involved in and made aware of the CMP process. The management or exploitation of these assets, such as minerals, carbon, and water could enhance or infringe on a CMP; therefore, it is important to understand these aspects at the onset of a CMP process. The government should also review the country's international obligations to ensure compliance and to support the fulfillment of these obligations through a CMP (see Figure 4.4).

Figure 4.4
Legal Framework for CMPs

International conventions	Policy	Laws	Regulations	Contract
Global conventions and guidelines influence and inform national policy and legislation.	Strategic vision, objectives, context, address public interest – not legally binding.	General legal principles and mandate (concessions/ PPP law, or amendments to existing land law, investment law, etc.).	Detail provisions in law, describe process, procedure. Changed more easily (flexible), so often fee-setting in here.	Legal document setting terms and conditions determined by laws and regulations. Standardized, less negotiation.

Source: Spenceley et al. 2016.

4.3 Review Agency Goals and Targets

The CA will want to review the wildlife agency's goals and strategies to determine if a CMP is a suitable tool to address particular challenges. Some countries have embedded the desire for strategic partnerships into the ministry or PA authority strategic and financial plans. In Mozambique, ANAC states in its financial plan the desire for partnerships to help attract financial resources (see Table 4.1). In addition to national policies, the government should review these strategies, plans, and targets to ensure consistency.

Once an agency determines that it is open to engaging in a CMP, it will need to consider which PAs are most suitable. Some of the key drivers for engaging in a CMP are described in Chapter 2 and include the restoration of natural capital, enhancing wildlife numbers, and diversifying revenue. The motivation for engaging in a CMP varies and depends on the agency's vision, goals, and strategy. For example, a PA authority's strategy for entering into CMPs might be to attract investment and expertise, reduce the financial burden on the

agency, or diversify the tourism product within the country or restore extirpated species. When determining which PAs are suitable for CMPs, the PA authority should frame its review and selection criteria on its agency goals. The ZPWMA, for example, identified the use of CMPs as a strategy for diversifying funding streams for its PA estate (Lindsey et al. 2021). If a PA authority has an annual management budget of \$50 million and an annual funding gap of \$20 million, and its primary reason for considering a CMP is to reduce its financial burden, the selection of a small park with an annual budget of \$500,000 will not substantially help the agency achieve its overall objective.

Table 4.1
Embedding CMPs in Laws and Country Level Plans in Mozambique

Government Law and Policy	Section Relating to CMPs
Forestry and Wildlife Law of 1999 (Law 10.99, Article 33)	Allows management of PAs to be delegated to the private partner
Conservation Policy of 2009 (Chapter III) and Conservation Law of 2014 (Article 4)	Promotes partnerships "involving local and national authorities, local communities, the private sector and non-governmental organizations" (NGOs) to "enable the economic viability of this policy"
ANAC Creation Decree (Decree 9/2013 of April 10, Article 3)	Identified as one of ANAC's principle objectives "to establish partnerships for the management and development of Conservation Areas"
ANAC Financial Plan of 2015	Recognizes the limited financial resources of ANAC and declares: "The search for more partnerships is an important strategy for ANAC"
ANAC Strategic Plan of 2015-2024	"Recognizes the need to involve other actors and partners to ensure resources needed for the effective and sustainable management of CAs" and specifically identifies management models including "public-private-partnerships," "management by the private sector," and "management by NGOs," as well as community management and government management

Source: Baghai et al 2018.

Most PA authorities have five-to-10-year strategies for the agency and PA network. The selection of PAs for CMPs should support the agency's strategy. The Uganda Wildlife Authority's (UWA) 2013-2018 Strategic Plan⁵⁷ had very clear targets on financial sustainability (UWA 2013):

- Internally generated revenues funding 80 percent of the annual optimal budget.
- Internally generated revenues increasing annually by 20 percent.

These clear targets would guide which PAs are most likely to help UWA achieve these goals and where a CMP is the appropriate conservation approach for doing so.

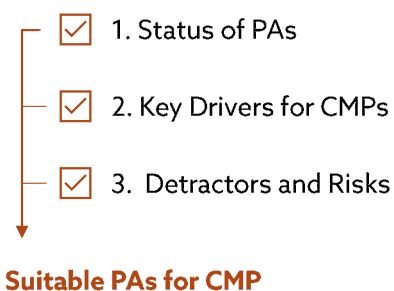
57. For information on UWA's 2013-2018 Strategic Plan, visit <http://extwprlegs1.fao.org/docs/pdf/uga175147.pdf>

4.4 Screen and Select Potential Protected Areas for CMPs

The CA should clearly outline the process to be undertaken to identify suitable PAs for CMPs. The selection criteria should be documented and shared with stakeholders to ensure a transparent process and that stakeholders understand how decisions are taken. This will help avoid challenges and delays in the future.

Once the PA authority's strategy is reviewed (see Section 4.2) and the goals for considering a CMP are agreed, the PA authority should establish the criteria it will use to select suitable PAs for CMPs. The CA should review and consider three key factors: the status of PAs; key drivers for engaging in a CMP; and deterrents and risks for engaging in a CMP (see Figure 4.5).

Figure 4.5
CMP Variables for Consideration in PA Selection



Source: World Bank. Original figure for this publication.

Figure 4.6
Threat Analysis of Selected National Parks, Kenya

	Acute	Serious	Moderate	Onset	Insignificant		
National parks (from highest to lowest risk)	Encroach- ment	Poaching	Livestock incursion	Uncontrolled fires	Pollution	Invasive species	Habitat degradation
Hells Gate							
Mount Longonot							
Nairobi							
Tsavo East							
Malka Mari							
Meru							
Chyulu Hills							
Laikipia							
Lake Nakuru							
Kora							
Marsabit							
Amboseli							
Mt. Kenya							
Aberdares							
Mt. Elgon							

Source: Adapted by the African Leadership University from the Kenya Ministry of Wildlife and Tourism, 2021 (Snyman et al. 2021).

Status of Protected Areas

COMIFAC (2019) recommends the establishment of a diagnostic assessment of all PAs to identify sites for CMPs, with the first step being the status of the PAs. To determine the ecological status of PAs, the CA should complete:

- **Resource Inventory** of the PA to determine the presence and status of key natural resources (species and ecosystems).
- **Threat Analysis** to identify and assess the scope and severity of threats (see Figure 4.6).
- **Performance Audit** to assess trends in management effectiveness. There are various tools available to assess management effectiveness, such as the Global Environment Facility Management Effectiveness Tracking Tool (METT) and the Integrated Management Effectiveness Tool (IMET).⁵⁸

These three analyses (resource inventory, threat analysis, and performance audit) will give the CA a good understanding of which PAs need support.

Key Drivers for CMPs

To determine which PAs have potential to perform under CMPs, the CA will want to consider four key dynamics: revenue, wildlife, community, and natural capital (see Figure 4.7). All four drivers may not exist in all cases and can be used as a guide for the CMP selection process.

Risks and Potential Deterrents

There are a number of risks that the CA should consider as part of the park inventory, assessment, and ranking. While some risks might be

Figure 4.7
Four Key Drivers for Consideration in CMP PA Selection

DRIVERS	DESCRIPTION		ALIGNMENT WITH PRIVATE SECTOR MOTIVATIONS
Revenue Dynamics	Low current revenue ¹ (tourism) performance	vs	High revenue potential ²
	☒ Private sector more likely to realize commercial tourism potential and monetize alternative revenue streams		
Ecological	Low wildlife numbers	vs	High wildlife holding potential
	Habitat degradation	vs	Recovery potential
☒ Private sector more likely to raise funds and execute wildlife translocations			
Local Community	Significant local community driven pressures on the PA and potential for positive engagement		☒ Local community engagement and development in wildlife conservation in Africa has tended to be driven and led by the private sector
Natural Capital	Significant current and potential natural capital value, such as biodiversity and ecosystem services		☒ Private sector may be better placed to fund securitization of these values

¹ Tourism might be the predominant dynamic but there should be a focus on revenue diversification from other revenue drivers such as biodiversity and carbon offsets, and payment for ecosystem services.

² Inherent tourism potential is driven by the following factors: charismatic physical landscape and species, endemic species, abundance of wildlife, accessibility, long operating seasons and low disease risk (e.g., malaria).

Source: WBG 2020b.

58. For information on the GEF METT tool, see <https://www.thegef.org/sites/default/files/documents/GEF7-BD-TrackingTool-Protected%20Area%20Projects.xlsx>; and the IMET Tool, see <https://biopama-rris.rcmr.org/pame/tools>

effectively managed and mitigated, others may not; therefore, a CMP should not be pursued.

- **Security and Safety:** Insecurity and instability can hamper the success of a CMP. There are examples of CMPs that have achieved success despite insecurity, such as in Virunga NP in the Democratic Republic of Congo, which is managed between the Virunga Foundation and ICCN through a 25-year CMP. Despite the conservation and economic success (see Box 4.2), VNP has been severely challenged by insecurity. More than 200 rangers have been killed in the line of duty.⁵⁹ Similarly, in Garamba NP⁶⁰ in the Democratic Republic of Congo, managed between ICCN and African Parks, 23 rangers were killed between 2006 to 2017 (Brugière 2020).
- **External Drivers of Threats:** The ecological degradation of a PA is one of the reasons PA authorities enter into a CMP. However, if the driver of the threat is outside the PA, a CMP may not be the right tool to mitigate that threat. For example, if the polluting of a central water body in the PA is leading to the decline of key wildlife, and the source of the pollution is outside the PA, over which the partner has no influence, a CMP may not be the right mechanism to address this particular threat. This is why identifying key threats in a threat analysis and ensuring a CMP will help mitigate these threats is key in due diligence and pre-planning.
- **Management Trends:** It is important to review the management trends within a PA, ideally through a management effectiveness tracking tool. If the scores show an increase in management effectiveness, and effective management is realistically attainable without outside support, a CMP may not be the right tool for shoring up management. Even if the

management of a PA is improving, a government may opt for a CMP.

- **Flagship Parks:** Every country has flagship parks that are recognized by national and global citizens as national treasures, such as Serengeti National Park in Tanzania. These PAs conjure up strong emotions from stakeholders, and careful consideration should be given to the perception of entering into a CMP with a partner. This is not to suggest that flagship parks should not be considered for CMPs; however, if this is one of the first CMPs to be established in a country, a less recognized PA might be the best approach to first demonstrate success (WBG 2020b).
- **Land Claims:** A CA should carefully consider the risks associated with a CMP for a PA that is subjected to a formal land claim, which may include grievances from IPLCs that have not been collectively resolved through a grievance mechanism. A legal challenge against ownership might deter partner engagement and donor funding and puts the long-term sustainability at risk. There are cases where the negotiation of a CMP might be part of a claimant's petition for land rights and can help leverage a positive outcome for the community and conservation (see the Makuleke case study in *Appendix D*, Figure D.6).

Other risks include political interference and changing philosophy around the use of CMPs. Once the PA authority considers the potential risks and deterrents, the findings can be combined in a table with the drivers for entering into a CMP (see Table 4.2). The CA can weigh certain drivers or detractors to align with its overall strategy.

Box 4.2 Conflict Risk in Virunga NP, the Democratic Republic of Congo

Virunga NP is managed through a 25-year CMP between the Virunga Foundation (VF) and ICCN. Despite armed conflict and Ebola, all three great ape taxa remain present in Virunga. The population of mountain gorillas has been increasing at a natural rate of growth for five years, which led IUCN to decrease the threat level from critically endangered to endangered. Virunga's mountain gorilla population is estimated at over 300 compared to only 58 in 1981. Elephant poaching has been steadily declining for 10 years, with herds now venturing into areas of the park where elephants have not been present for several decades. Nine elephant carcasses were found in 2017, six in 2018, and three in 2019.

The total area of the park illegally occupied has reduced for three consecutive years while the integrity of all major ecological zones within the park has been maintained. The number of armed groups present in Virunga declined in 2019, allowing rangers to deploy over larger areas and as a result to protect more effectively against poaching, charcoal extraction, and illegal land occupation.

In relation to the improvement to people's quality of life, VF's wide-ranging projects have reintegrated thousands of people into legitimate work activities, and improved the lives of many more. These projects include major hydropower and related electrification activities, support for farmers and their supply chains, and micro-credit programs. Thousands of young people are working directly and indirectly for VF's initiatives, reducing the pool of recruits for armed groups (VF Trustees Report 2019).

59. For information on Virunga NP, visit <https://virunga.org>

60. For information on Garamba NP, visit <https://www.africanparks.org/the-parks/garamba>

Table 4.2

Sample Protected Area Selection Tool: Drivers, and Deterrents and Risks

Table 4.2 is a sample tool that the CA may use to consider different dynamics and to vet potential PAs. Certain criteria can be weighted more than others to align with the PA authority's goals.

Protected Area Selection Matrix		Evaluation		
Evaluation (Weak (+1), Average (+2), Strong (+3))				
Category	Drivers	Park A	Park B	Park C
Revenue dynamics	Current revenue dynamics	+	+	+
	Presence of commercially successful tourism facilities	+	+	+
	Potential for wildlife-based tourism revenue	+	+	+
	Potential for other revenue generating opportunities	+	+	+
Community	Current community relations	+	+	+
	Current community cost	+	+	+
	Current community benefits	+	+	+
	Potential for community benefits	+	+	+
Ecological and natural capital	Ecological priority for government	+	+	+
	Natural capital value	+	+	+
Evaluation (Low (-1), Medium (-2), High (-3))				
Category	Risks and Detractors	Park A	Park B	Park C
Detractors and risks	Security and safety	-	-	-
	External drivers of threats	-	-	-
	Management trends	-	-	-
	Flagship parks	-	-	-
	Land claims	-	-	-
TOTAL Score		#	#	#

Source: Adapted from WBG 2020b.

4.5 Screen and Select the CMP Model for the PA

Once the CA has selected which PAs might be suitable for CMP consideration, it will then want to consider the most suitable model for the respective PA. PAs are diverse and face a range of unique threats; therefore, the model selected should take all of these aspects into consideration. Some countries utilize one CMP model, such as the Republic of Congo, while other countries utilize different models, such as Mozambique (see Table 4.3). Having one kind of CMP model might make contract oversight and management by the PA authority easier, and decrease time to develop and execute an agreement, but certain PAs require different models. Also, being open to a range of models increases the breadth of potential partners.

The CA should review the CMP best practice principles in Section 3.5 and review and rank the relevant principles to determine the most appropriate CMP model. A sample selection tool is provided in Figure 4.8 where the color aligns with the ability of the model to meet each criterion. Some of the best practices pillars and principles were consolidated in this example.

Source: Compiled with information from: Baghai et al. 2018; Baghai et al. 2018b; Baghai 2016; Brugière 2020; NGO and PA authority websites; and communication with CMP NGO and PA authority partners.

Table 4.3
Types of CMP Models Used in Africa

Country	Partner	Protected Area	Type of CMP
Republic of Congo	All Delegated CMPs		
	African Parks	Odzala-Kokoua NP	Delegated
	Noé	Conkouati Douli NP	Delegated
	WCS	Nouabale-Ndoki NP	Delegated
Democratic Republic of Congo	Bilateral and Delegated CMPs		
	African Parks	Garamba NP	Delegated
	African Wildlife Foundation	Bili-Uele PA	Bilateral
	Forgotten Parks Foundation	Upemba NP	Delegated
	Virunga Foundation	Virunga NP	Bilateral
	WCS	Okapi WR	Delegated
	WWF	Salonga NP	Bilateral
	WWF	Dzanga-Sangha NP	Bilateral
Malawi	All Delegated CMPs		
	African Parks	Liwonde NP	Delegated
	African Parks	Majete Wildlife Reserve	Delegated
	African Parks	Mangochi Forest Reserve	Delegated
	African Parks	Nkhotakota Wildlife Reserve	Delegated
Mozambique	Bilateral, Integrated, and Delegated CMPs		
	African Parks	Bazaruto Archipelago NP	Delegated
	Greg Carr Foundation	Gorongosa NP	Integrated
	International Foundation for the Conservation of Wildlife	Gile National Reserve	Bilateral
	Peace Parks Foundation	Zinave NP	Bilateral
	WCS	Niassa National Reserve	Bilateral
Zimbabwe	Integrated and Delegated CMPs		
	African Parks	Matusadona NP	Delegated
	Frankfurt Zoological Society	Gonarezhou NP	Integrated

It is important that the CA review suitable CMP models prior to the tendering process so that it understands the pros and cons of each model. However, the CA will not want to limit bids to that particular model and instead should keep options open during the concession process.

Figure 4.8

CMP Model Selection Tool to Determine Suitable PA Model

The color coding is hypothetical and should be completed for each PA.

		Poor	Moderate	Excellent			
PILLARS	CRITERIA				BILATERAL	INTEGRATED	DELEGATED
Development and Partnerships	Clarity of roles and responsibilities						
	Trust between the partners						
PA Authority Status	PA authority capacity						
	PA authority financial situation						
Legal	Country legal framework						
	Ability to execute in a timely fashion						
Stakeholders	Engagement of stakeholders						
	Engagement of partners						
Governance	Embedding succession						
	Equitable representation						
	Communication the partnership						
	Protecting the partnership and mission						
Administration	Unifying staffing						
	Determining leadership						
	Aligning policies and procedures						
	Pre-planning termination/closure						
Operations	Legitimizing the management framework						
	Respecting the law enforcement mandate						
	Defining community engagement parameters						
Finances	Building sustainability						
	Driving enterprise development						
	Managing surplus/deficit						

Source: WBG 2020b.

The shading aligns with the ability to meet each criterion: darker means yes, lighter means no. In this illustrative example, the integrated CMP model is most suitable.

4.6 Review National and Regional Plans

As should also consider how PAs might fit into national development plans or strategies. Many countries have identified tourism (namely NBT) as a key pillar for economic development; in these cases, the effectiveness of PAs is directly linked to development

objectives. For example, Kenya's Vision 2030 names tourism as one of six priority sectors that will be tapped to boost economic growth, and the tourism pillar leans on developing and improving tourism in national parks, reserves, lakes, forests, and other PAs. Kenya also recognizes

the importance of wildlife conservation and management in supporting its social development pillar (see Table 4.4).⁶² NBT, research and ecological monitoring, and the development of wildlife linkages are all contingent on effective PA management.

Table 4.4
Pillars of Kenya's Vision 2030 Plan that Rely on PAs (Established Pre-COVID-19)

Selected Pillars	Examples of Initiatives that Use PAs
Economic Pillar: Tourism Sector	Under-utilized Parks Initiative Infrastructural improvements and development initiated during the First Medium Term Plan will be continued. Products in Meru, Mt. Kenya, Tsavo East, Tsavo West, Mt. Elgon, and Ruma NPs shall be repackaged to increase the diversity. Specific actions will include: • Marketing the under-utilized parks • Providing incentives such as concessionary land leases and tax incentives • Revamping the KWS ranger force to curb poaching and insecurity (including HWC through installing electric fencing around the parks) Premium Parks Initiative Infrastructural improvements in Amboseli and Lake Nakuru NPs will be undertaken. Segmentation based on product and price in the parks will be sustained. Facilities to be rehabilitated include Lake Nakuru NP observation, picnic/campsites; campsites and visitor facilities across the parks; and upgrading road network of about 300 kilometers. Niche Products Initiative 2 Eco-tourism. Sites for these products will be developed in the western region of Kenya and include Kakamega Forest, Ruma NPs, and Mt Elgon and Mt Kenya Regions.
Social Pillar: Environment, Water, and Sanitation	Wildlife Conservation and Management— This will involve identification, mapping, and documenting hotspots and boosting their connectivity to enhance ecological integrity of habitats for wildlife. In addition, wildlife research stations will be refurbished and equipped; ecological monitoring programs will be enhanced in all PAs and a national wildlife research, information, and database will be developed at KWS headquarters. Wildlife security and management will be enhanced. To promote eco-tourism among communities living with wildlife, a program of mapping and securing community areas with eco-tourism potential shall be initiated. Secure wildlife corridors and management routes— Most wildlife corridors and migratory routes have been interfered with by human activities. Strategies will be developed to reclaim them so that wildlife continues providing the base for the tourism sector. Actions include preparing physical development plans to map and secure the wildlife corridors and migratory routes to minimize human-wildlife conflict.

Source: Kenya's Vision 2030⁶¹.

61. For information on Kenya's Vision 2030, visit <http://vision2030.go.ke/economic-pillar/#59>

62. idid.

Tourism-specific plans tend to rely heavily on PAs. For example, Zambia's Tourism Master Plan (2018-2038)⁶³ is the country's first national strategic framework to guide the development of the tourism sector, which is prioritized for economic diversification under Zambia's Vision 2030 and Seventh National Development Plan (2017-2021). Much of the plan is anchored in increased investments and enhancements in tourism in PAs, as well as strengthening tourism management (see Map 4.1). The Seventh National Development Plan also cites restocking NPs as one of five key strategies for tourism development. These priorities can help guide PA authorities on deciding whether CMPs are right for which PAs.



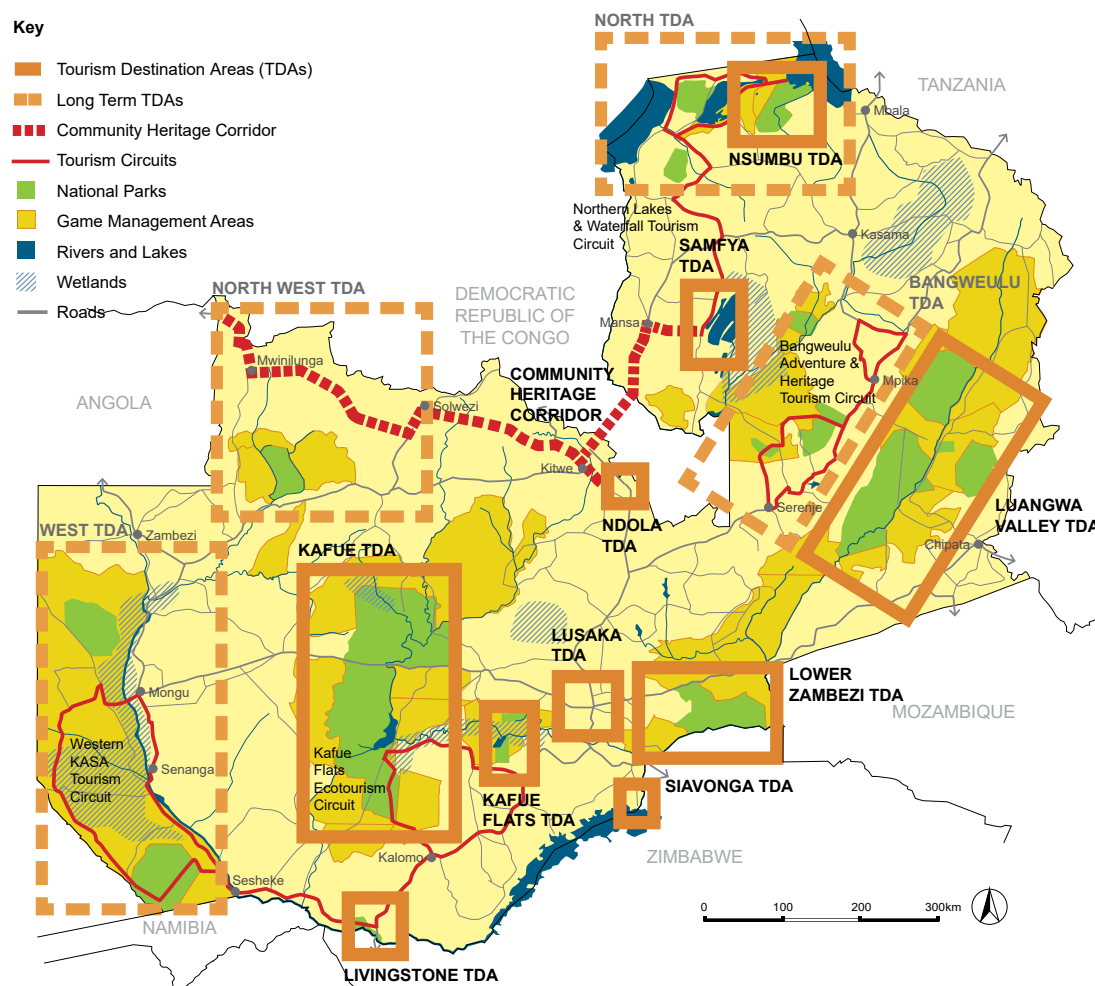
Nkhotakota Wildlife Reserve, Malawi. © Maximum Exposure PR / Shutterstock

63. For information on Zambia's Tourism Master Plan, visit <https://www.mota.gov.zm/?p=5881>

In addition to national, sub-national, and regional integrated development plans, CMPs should be considered in the context of large landscape planning. Biodiversity protection requires large, intact landscapes and seascapes that comprise a mosaic of land use and ownership schemes. These large areas support natural processes and enable the movement of species. PAs alone are not enough to sustain healthy wildlife populations in the face of a changing climate and increasing human development⁶⁴; therefore, CAs and conservation partners commonly plan at a landscape scale. In Kenya, Amboseli NP is a small, yet important PA that relies on the surrounding community and privately owned lands for wildlife movement and habitat. KWS, rather than planning at park level, developed the Amboseli Ecosystem Plan, which takes into consideration the larger ecosystem dynamics (Amboseli Ecosystem Trust 2020). When planning for a CMP, the partners should consider how the PA fits into the larger mosaic and if the CMP is compatible with and can advance relevant government strategies and land use/development plans.

Map 4.1

Priority Tourism Development Areas under Tourism Master Plan (2018-2038), Zambia



Source: Zambia Tourism Master Plan 2020.

Note: Zambia's tourism Master Plan is centered on PAs.

64. For information on conserving large landscapes, visit the Center for Large Landscape Conservation <https://largelandscapes.org/>

Chapter 4 – Identifying and screening CMP opportunities

79

➤ Chapter 5 – Preparing for and establishing CMPs

95

5.1 Complete a Feasibility Study	98
5.2 Determine the Management Partner Selection Process	99
5.3 Pre-Tendering Stakeholder Engagement	101
5.4 Formation of a Proposal Evaluation Committee	104
5.5 Determine Partner Criteria	105
5.6 Prepare Tendering Materials	106
5.7 Tendering Process and Selection of Partner	107
5.8 Establishing a CMP	111
5.9 Contract Management and Monitoring	112

Chapter 5

Preparing for and establishing CMPs

Preparing a CMP involves seven steps that are outlined in this chapter, from completing a feasibility study, to determining the selection process, to selecting a CMP partner. There are also two steps in entering into a contract and managing the partnership. All of these steps are outlined in detail. Tools are provided to help facilitate a transparent and effective process for preparing and establishing CMPs.

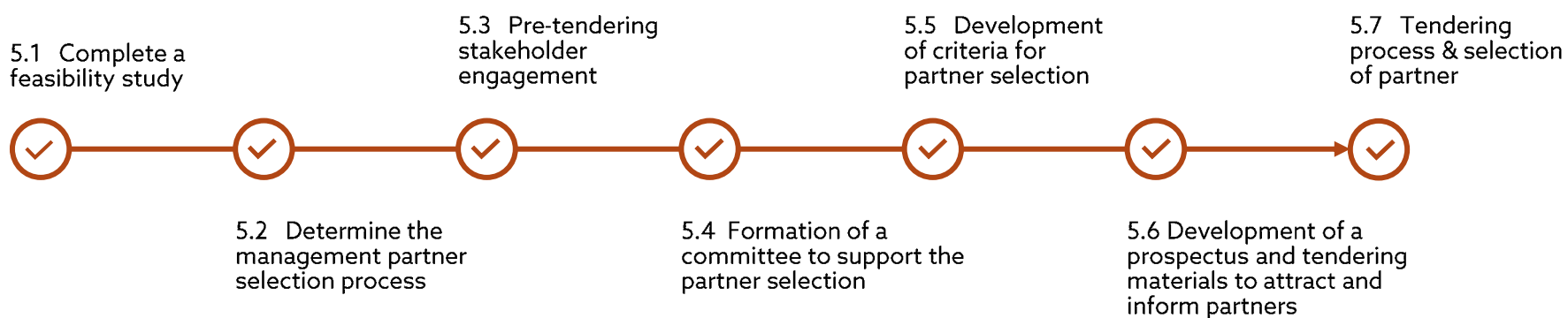
Following the identification and screening process (see Table 5.1), the CA will start to prepare for and establish the CMP, which is guided by the relevant country's legal framework.

As noted in Section 4.2, in many countries CMPs are guided by PPP legislation, which may outline a process for engaging a partner. This needs to be considered along with the process outlined in the Toolkit, Figure 5.1.

Table 5.1
Completed Checklist for Identification and Screening of CMPs

Process	Chapter	Section	Step	Complete
Identify and Screen CMPs	Chapter 4	4.1	Government decision to engage in a CMP	☒
		4.2	Legal review	☒
		4.3	Review agency goals and targets	☒
		4.4	Screen and select potential PAs for CMPs	☒
		4.5	Screen and select CMP models	☒
		4.6	Review regional plans	☒

Figure 5.1
Seven-Step Process for Preparing a CMP



Source: Conservation Capital 2016; Spenceley et al 2017; Spenceley et al 2016.

5.1 Complete a Feasibility Study

Depending on the legislation guiding the establishment of a CMP, a feasibility study might be required by the government to demonstrate why a CMP is needed. This is common if the CMP is guided by PPP legislation. Even if not legally required, it is recommended. All of the work undertaken in the identification and screening process (see Sections 4.1-4.6) can be used to complete a feasibility assessment. The feasibility study needs to strike a balance by being specific (which tends to make the remainder of the process much easier), but at the same time avoiding a pre-determination of the outcome, which the market should determine. Additional information might be required under the legislation, which includes the submission and approval process. The subsequent steps follow approval of the CMP by the relevant government authority.



Virunga NP, Democratic Republic of Congo © Marian Galovic / Shutterstock

5.2 Determine the Management Partner Selection Process

Approaches a government can use to engage a management partner include public tendering, direct negotiation, or auction. The Toolkit recommends a public tendering process, when a partnership opportunity is publicly advertised and a partner is selected via a competitive and transparent process. Some countries require a public tendering process for the engagement of a CMP partner for a national PA. Table 5.2 outlines the different mechanisms that might be used to attract CMP partners and the pros and cons of each approach. If done properly, a public tendering for national and international bidders, even when not legally required, creates transparency, enables the CA to drive the process, and determine the best possible CMP candidates, providing the highest value for money.

The perception exists that a tendering process takes longer than direct negotiation with a potential partner, which is generally incorrect. A well-prepared and implemented tendering process has a clear timeframe, steps, and procedures, while one-on-one negotiations often take years for CMPs because the process is unclear, lacks transparency, and in some cases, government representatives stall on making a decision because of the lack of clarity and fear of negative repercussions. An unclear process also can create opportunity for corruption.

Even when a partner has been active in a PA for a long period, has invested significant capital, and knows the PA well, a tendering process will help this partner, if selected, avoid misperceptions about its engagement with government and potential challenges in the future that could

either delay or derail a CMP. In addition, a tendering process helps the government take ownership of the process, assess the best bids, and drive the outcome.

Some PPP legislation contains a combined approach for when a partner proposes a CMP to the CA and the CA vets the opportunity and decides to proceed with establishing a CMP. In this case, referred to as the spontaneous option in Francophone Africa, the CA uses a tendering approach and the entity that first proposed the CMP is eligible to bid.

If there is not a clear tendering framework in a country, or if the CA does not have capacity to shepherd the process, and tendering is not required legally, a hybrid approach could be used using the principles outlined in the Toolkit.

Table 5.2
Different Mechanisms That Might be Used by a PA Authority to Establish a CMP

Process	Pros	Cons
Public Tender	Legally required in most cases for public land	Competitive process may deter partners because of time required
	Most transparent process	Process can be timely, costly, and complicated
	Market-based system for selecting the best proposal with the highest value proposition	Risk of attracting bidders that do not meet the criteria, with little or no experience (can be avoided through pre-qualification)
	Stimulates investor interest by inspiring confidence in the process	Difficulty in developing objective bid evaluation criteria
	Best candidates can be selected based on multiple criteria (monetary and non-monetary)	Limited pool of qualified CMP partners
	Proper due diligence can be done	Transaction cost

Process	Pros	Cons
Unsolicited Bid	Greater flexibility	Lacks transparency
	Investor already interested	Prone to external challenges regarding transparency, favoritism, and corruption
	No marketing and promotion required	Does not comply with law for public lands in most cases
	CA can proactively identify a partner	Ad hoc and reactive to bids that are provided
		PA authority responding as opposed to driving process
		Inability to determine best partner, given only one is considered
		Risk is potentially greater for choosing an unsuitable investor, and not getting the best deal
Direct Negotiation (normally with an existing partner that has discussed the submission with the relevant government agency)		Not competitive
	Greater flexibility	Lacks transparency
	No marketing and promotion required	Prone to external challenges regarding transparency, favoritism, and corruption
	Relatively simple, quick, and direct	Does not comply with law for public lands in most cases
		Ad hoc and reactive to bids that are provided
		PA authority responding as opposed to driving process
		Inability to determine best partner, given only one is considered
Auction		Risk is potentially greater for choosing an unsuitable investor, and not getting the best deal
		Not competitive
	Transparent	Proper due diligence cannot be done
	Competitive	Award goes to highest bidder, not necessarily the best partner
	Quick and easy	Difficult to determine shared interest and vision
	Stimulates investor interest	Not possible to negotiate other benefits (community support, job creation)
		May limit participation from certain parties
		Potential delays and need to restart the process if winners of the bidding process are unable to make payments

Source: Adapted from Spenceley et al. 2017.

5.3 Pre-Tendering Stakeholder Engagement

National parks and reserves are national assets and have a diversity of stakeholders, ranging from citizens who view parks as public resources, IPLCs who rely on and have expertise in managing biodiversity and natural resources, private sector partners operating in and/or around the PA, local government authorities, and conservation and development organizations. Effective CMPs are built on shared trust and understanding among the stakeholders (Spenceley et al. 2016).

Because PAs are valuable to different groups and individuals for a variety of reasons, outlining a transparent and clear consultative process is important so that stakeholders understand and feel part of the process (see Figure 5.2). Proactive discussion and dialogue with these stakeholders can help avoid problems and delays and ensure the effective engagement of local stakeholders, including communities, in the process.

The first step for the CA is to identify the stakeholders (both project-affected parties and other interested stakeholders), determine the best mechanisms for engagement and participation, and outline a plan for consultation. It is important for the CA to understand stakeholder concerns and to, within reason, address these points to the extent feasible, while also ensuring adherence to relevant ESS frameworks, as required. The stakeholder identification process should identify any individuals or groups who may have different concerns or priorities and require different, or separate, forms of engagement.

Figure 5.2
General Framework to Inform the Design of a Stakeholder Engagement Strategy



Source: Dovers et al. 2015.

Special consideration and consultation should be given to citizens and IPLCs that are directly and indirectly impacted by the management and governance of the PA. *Chapter 6* discusses environmental social standards that must be considered throughout the life of the CMP process. If IPLCs have legal claims, CMPs should not be considered until the claims have been resolved or if the establishment of a CMP is part of the solution put forward by the IPLCs. The role of IPLCs can range from providing input into a management plan to serving on a governance body. Their role in a CMP should be thoroughly reviewed and considered in the stakeholder analysis and strategy with a process of meaningful consultation and engagement throughout. In addition, the stakeholder engagement process should ensure gender inclusivity to provide for equitable representation and participation.

The *World Bank 2019 Guide to Community Engagement in Public-Private Partnerships* outlines a six-step process for engagement of stakeholder communities (see Figure 5.3), which can be followed for CMPs.

Resource Box 5.1 Stakeholder Engagement

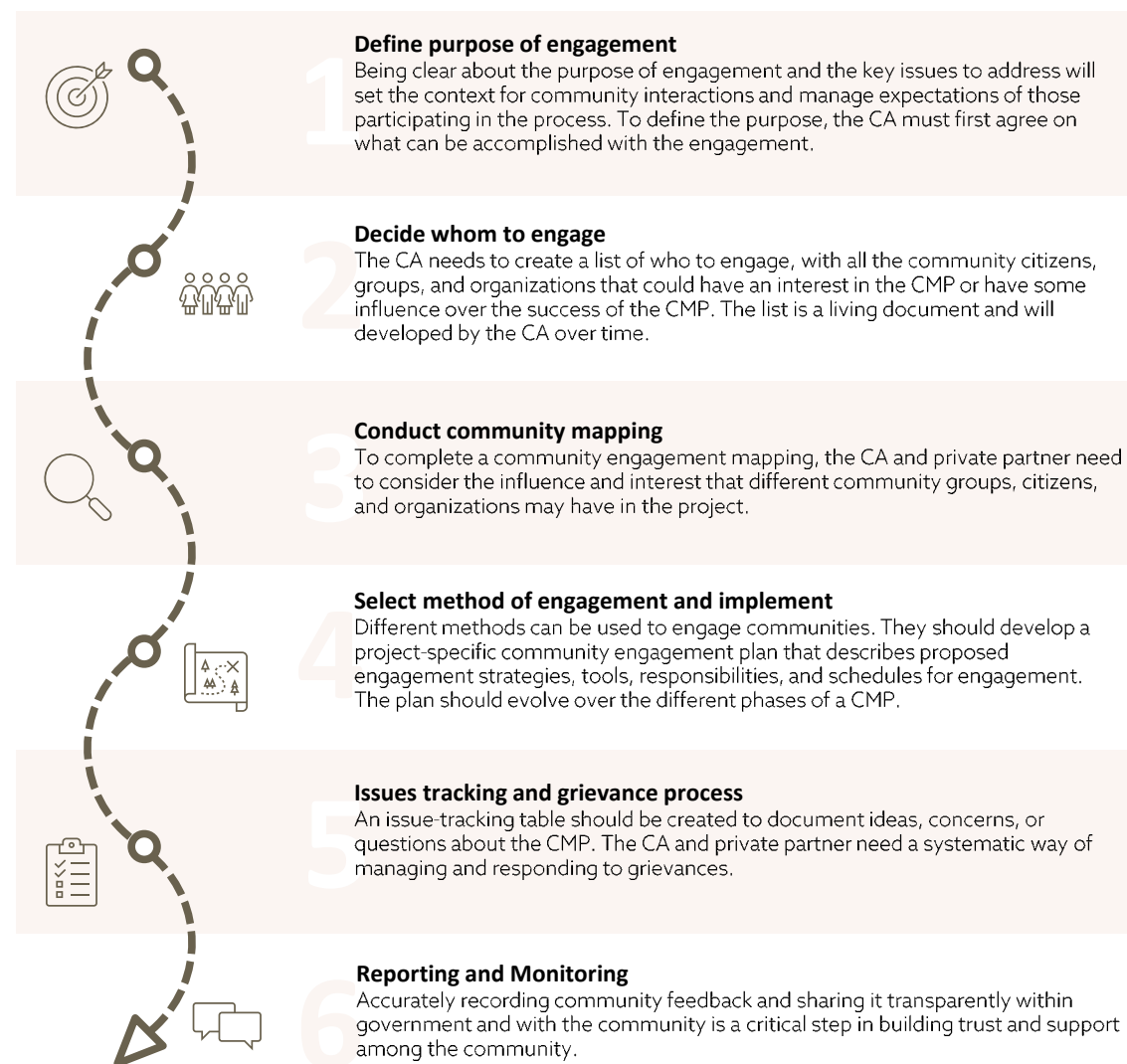
The World Bank 2019 Guide to Community Engagement in Public-Private Partnerships, a Draft for Discussion

<https://ppp.worldbank.org/public-private-partnership/library/guide-community-engagement-public-private-partnerships-june-2019>

USAID Resource Guide on Best Practices for Stakeholder Engagement in Biodiversity Programming

https://pdf.usaid.gov/pdf_docs/PA00T9XH.pdf

Figure 5.3
Guide to Community Engagement in CMPs



Source: WBG 2019.

Partners should follow a rights-based approach that includes meaningful participation in the formulation and implementation of a CMP by the individuals and IPLCs whose lives might be affected, positively or negatively. A stakeholder engagement process should ensure that:

- Stakeholders' concerns are captured and potential risks are adequately identified.
- Groups and peoples whose lives might be affected by the project are properly consulted to verify and assess the significance of any impacts.
- Affected groups and communities participate in the development of mitigation measures, decision-making regarding how such measures become operational, and monitoring their implementation.

Levels of Stakeholder Engagement

The scale (extent of audience reached) and depth (intensity) of stakeholder engagement should be commensurate to the concerns expressed or expected from stakeholders and the magnitude of potential risks. For example, IUCN identifies a process of stakeholder engagement based on the logic of an inverse relationship between the scale and the depth of engagement as the level of risk increases (see Figure 5.4) (IUCN 2016).

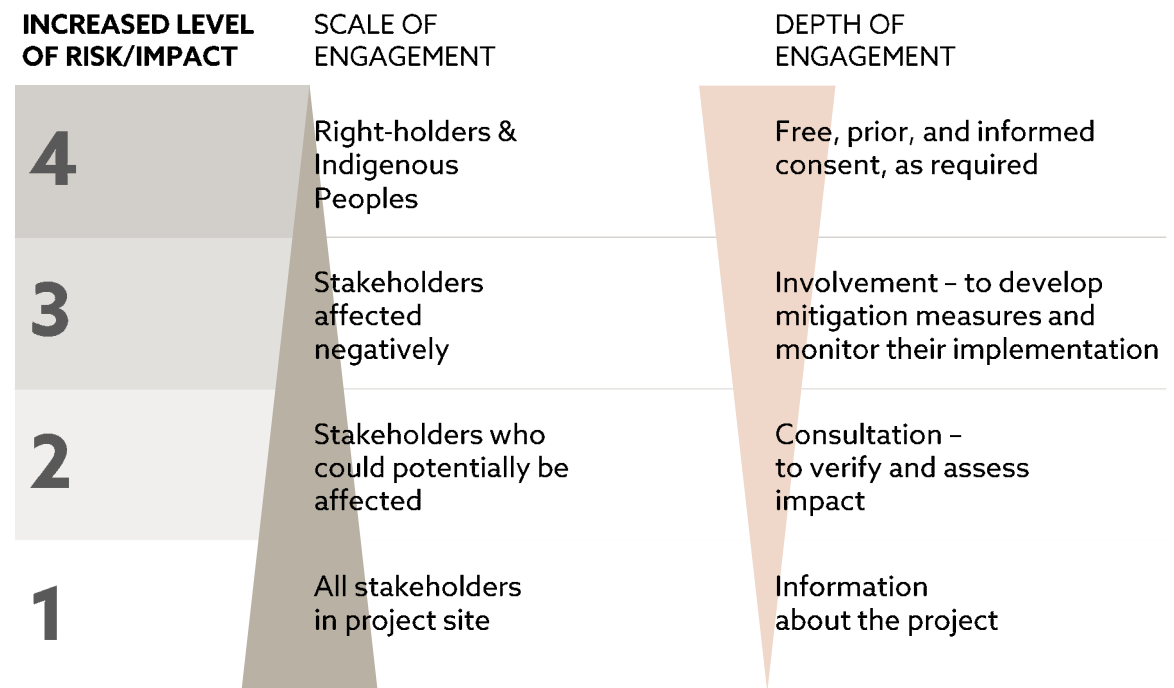
All stakeholders at a project site should be provided relevant information about the project (see Figure 5.4, level 1). Stakeholders who could potentially be affected by project activities must be consulted to verify and assess the significance of adverse impacts (level 2). At this level, fewer people may be involved but they are more deeply involved. If risks and negative impacts are confirmed and judged as significant, affected stakeholders are not only consulted but are thoroughly

involved in project design, including in the development of mitigation measures, and later in monitoring their implementation (level 3).

In certain circumstances a process of achieving free, prior, and informed consent (FPIC) may be needed. For example, if activities take place on land, waters, or territories to which stakeholders have recognized rights (legal or customary), or where there may be adverse impacts or restrictions on land and natural resources subject to traditional ownership or use, or on cultural heritage.

The identification of circumstances in which FPIC applies would be determined by the specific requirements of any ESS in place (see Chapter 6). Meaningful consultation tailored to indigenous peoples to build local project support or ownership should be conducted throughout the process. The project manager should also ensure gender inclusivity in the consultation process.

Figure 5.4
Scale and Depth of Stakeholder Engagement



Source: IUCN 2016.

5.4 Formation of a Proposal Evaluation Committee

The CA should form a proposal evaluation committee (PEC) for CMP partner selection to:

- Determine criteria for partner selection.
- Review tendering documents prior to publication.
- Review expressions of interest and full invited bids from potential partners.

In some countries, the gazettelement of the PEC is required. It is recommended that the PEC is made public for transparency purposes and to avoid challenges in the future, regardless of the legal requirement. The PEC must contain adequate representation from individuals with the requisite technical skills and experience to properly appraise a CMP bid. Ideally, there should also be independent experts with PA management experience. The committee should be relatively small to ensure effective operations and management. Membership of the committee should include a representative from the department within the CA that encompasses commercial development and PA planning. All members of the PEC should sign a conflict of interest declaration.



Nyungwe NP, Rwanda. © Di Tetyana Dotsenko / Shutterstock

5.5 Determine Partner Criteria

The PEC will establish criteria for the evaluation of potential partners. The following criteria are suggested:

Organizational Structure

- Potential ability to operate in the focal country (if a new private operator to a country, they may not yet be registered).
- Structure enables the partner to accept donations.
- Record of accomplishment of complying with country registration requirements.

Technical Experience

- Successful PA development and management experience is preferred, or else direct exposure to PA management projects. Given the opportunity to scale up CMPs across Africa, limiting the engagement of partners to those that have already engaged in a CMP will hinder progress. Therefore, selection should consider broader management skills.
- Proven professional project management skills, including budget development, staff management and oversight, environmental management, and human resource development.
- Progressive nature-based revenue development in PAs, with a particular (but not exclusive) focus on tourism development.
- Proven knowledge and application of contemporary innovative conservation financing mechanisms.

- Successful donor fundraising, management, and networks.
- Successful, effective public relations and communications systems.
- The design and application of contemporary corporate governance structures and protocols.
- Proven success applying good governance procedures to operations and management.
- Demonstrable professional and rigorous fiscal management and control.

Financial Capacity

- Proof of funding required to support the initial period of the CMP obligation and the skills required to attract additional resources and develop sustainable revenue models.
- Provision of a detailed, realistic, and professional park management business plan. *Appendix J* includes a description of PA business plans and tools for development.
- Proof of the partners' ability to commit long-term (20 years).

Social Impact

- Proven local community engagement, integration, and related economic development.
- Proven history of optimizing local employment opportunities and positively engaging, where appropriate, with wider local community development initiatives.
- Plan for capacity development of staff.

Shared Vision and Philosophy

- Demonstrated commitment to the agency's vision and philosophy. This can be gauged by reviewing the potential partner's work in other locations and consulting with references. In addition, the PEC will interview the partner during the tendering process, which is a good opportunity to assess whether the partner's core values and philosophy align with the PA authority.

The PEC can develop an evaluation framework based on the partner selection criteria for each member to rank the potential partners.

5.6 Prepare Tendering Materials

The tendering materials will include the scope of the partnership and a detailed description of the project and desired responsibilities of the partner. The CA will outline in the tendering materials that it is seeking a partner to support the management of the PA and will include other targeted desired outcomes. *Appendix K* is a sample tendering document from the government of Rwanda. In addition to the actual tendering notice, the CA should develop information on the partnership opportunity that can be included in the advertisement and made available on the CA's website in order to inform potential partners of a CMP opportunity and attract top candidates. At a minimum, the following information should be included:

- Park location and map
- Park size
- Access
- Ecosystem types
- Wildlife
- Threats
- Commercial operations
- Infrastructure
- Number of visitors
- CMP opportunity description

The government of Mozambique, in collaboration with the World Bank and the GWP, held an international conference (*International Conference on NBT in Conservation Areas*) in Maputo in June 2018 to maximize finance for nature-based tourism development and to promote long-term CMPs. As part of the conference, the organizers developed a prospectus that outlined tourism opportunities in eight PAs and CMP opportunities in six PAs. Figure 5.5 is the profile provided for a CMP opportunity in Banhine NP, which includes a description of and background on the park, notable wildlife, habitat type, infrastructure, size, ecosystem type, threats, and tourism potential. *Appendix L* includes CMP tendering materials from Uganda.

When the RDB advertised for a CMP in Nyungwe NP in 2019, it provided—in addition to the information referenced previously—a list of park staff, salaries, and visitor numbers to help potential partners develop an informed business plan (see *Appendix J*).

Figure 5.5
CMP Tendering Materials from Mozambique



Source: WBG 2018.

Note: Developed for the *International Conference on Nature-Based Tourism in Conservation Areas*.

5.7 Tendering Process and Selection of Partner

After the PEC is formed and ideally made public (see Section 5.4) and the partner selection criteria and tendering materials are prepared, the CA will advertise the CMP opportunity. The advertisement process will be guided in most cases by country PPP legislation and is outlined in Figure 5.6. In addition to public notice and advertisement, the CA can proactively notify partners about the opportunity. For example, when the RDB publicized the CMP opportunity for Nyungwe NP, it sent letters and information to a list of potential partners. Such direct contact does not replace the public notification process, but it ensures that key partners are aware of the opportunity.

Resource Box 5.2 Tendering Concessions

The tendering process for a CMP is similar to the process for engaging tourism investment partners. Spenceley et al. 2017 provides a comprehensive framework for developing effective tourism partnerships and concessions in PAs.

Guidelines for Tourism Partnerships and Concessions for Protected Areas: Generating Sustainable Revenues for Conservation and Development

<https://www.cbd.int/tourism/doc/tourism-partnerships-protected-areas-web.pdf>

Spenceley et al. 2016. An Introduction to Tourism Concessions: 14 Characteristics of Successful Programs

https://www.researchgate.net/publication/304300673_An_introduction_to_tourism_concessions_14_characteristics_of_successful_programs

Figure 5.6
CMP Tendering Process

A. Tender and promote CMP opportunities for Expression of Interest (EOI)



Bidders generally have **2 months** to submit an Expression of Interest

B. PEC reviews EOI against criteria and invites full proposals



Bidders generally have **3 months** to submit full proposal

C. PEC reviews full proposals, conducts due diligence, and selects partner



Source: Conservation Capital 2016; Spenceley et al 2017; Spenceley et al 2016.

Successful CMP tendering process

(Spenceley et al. 2016):

- Is transparent, fair, and well-governed.
- Is based on the legal framework of the country.
- Follows a thorough stakeholder engagement process.
- Is supported by experienced technical consultants and advisors.
- Engages an experienced committee with clear roles and responsibilities.
- Outlines clear selection criteria for awarding the concession to a partner.
- Is competitive.

Expression of Interest

Once the CMP opportunity is advertised, partners will submit an EOI. The time allowed for the submission of the EOI is guided by the legal framework in the country, and generally is eight weeks. In PPP legislation, this is commonly referred to as the pre-selection of bidders phase and an additional step might be required to first preselect bidders (to ensure they qualify to submit an EOI), followed by the EOI. Where feasible, combining these steps is efficient and saves time and cost. During this phase, the PEC will be mainly reviewing the credentials of the bidders, whereas during the review of full bids the PEC will be assessing the plans and proposals. Table 5.3 includes a list of the key components to be included in the EOI and *Appendix M* includes a detailed description. *Appendix N* includes a sample EOI evaluation form.

Table 5.3

Key Components that Should be Included in an Expression of Interest

Key Component	✓
Partner Description	
Partner identity	☐
Key people's biographies and CVs	☐
Experience	☐
International best practices	☐
Experience in target PA	☐
Conflict of interest declaration	☐
References	☐
Technical Capacity	
Protected area management	☐
Local community	☐
Revenue	☐
Fundraising	☐
Conservation finance	☐
Start-ups	☐
Technology	☐
Business and PA planning	☐
Environmental and social standards	☐
Project management	☐
Project Description	
Key priorities	☐
Alignment with PA authority	☐

Source: Adapted from: Conservation Capital 2016; Spenceley et al 2017; WBG 2020b.

Full CMP Bids

After EOIs are submitted, the PEC will review the bids against the criteria. The PEC will use the evaluation framework it developed based on the partner selection criteria (see Section 5.5) that enables committee members to rank the bids. The PEC will then solicit full bids from qualified partners. Table 5.4 includes the key components that should be included in a full CMP bid and *Appendix O* includes a detailed description.

Table 5.4
Details to be Included in a Full CMP Bid

Key Components	✓
Corporate and Governance	
Proposed corporate structure	☐
Proposed governance structure	☐
Statutory compliance	☐
SWOT analysis of the PA and the proposed CMP	☐
Key Policies	
Ethics that will govern the proposed CMP	☐
Key people's biographies and CVs	☐
Conflict of interest declaration or lack thereof	☐
PA and Stakeholder Management	
Proposed goals, impact objectives, and key performance indicators	☐
Management and human resources structure description and model	☐
Conservation development and management plan	☐
Stakeholder management plan	☐
PA authority capacity development plan	☐
Exit transition plan	☐
Finance	
Operating revenue development model	☐
Financing and business plan	☐
ESS and Risk	
ESS policy and strategy	☐
Risk management plan (see Box 5.1)	☐
Environmental impact plan	☐
Communications and reporting plan	☐
Lesson-sharing plan	☐
Marketing plan	☐

Source: Adapted from: Conservation Capital 2016; Spenceley et al 2017; WBG 2020b.

Partner Selection Process

Evaluation Process

Like the EOI review process, full bids will be reviewed against clear criteria established prior to the invitation for bids. During both steps of the tendering process, the EOI and the full bid, the CA will want to facilitate field visits so that partners can visit the site and understand the context. In addition, this is an opportunity for the CA to become more familiar with the partner. During the review of the full bids, the CA and the PEC will want to have a physical presentation session with the partner, giving the PA authority the opportunity to ask further questions and to meet the potential partner.

Due Diligence

After the evaluation process and once a decision has been made on a preferred bidder, the CA will undertake proper due diligence to verify the claims made in the bid, including but not limited to the provision of proof of financing. This should be done prior to any kind of commitment or contracting. A minimum of three references should be contacted. Too often this due diligence is not properly undertaken, significantly increasing the risk that the concession will not be optimally developed (Conservation Capital 2016).



Niassa National Reserve, Mozambique © Gerhardus Kotze / Shutterstock

5.8 Establishing a CMP

CMP Contract Development

Once the PEC selects the partner and the CA has completed thorough due diligence on the potential partner, the CA will lead in negotiating and developing the actual legal contract that binds the CMP. The content of the contract will be guided by the legal framework of the country, and contracts will vary depending on the kind of CMP model selected by the PA authority. If the CA does not have internal capacity, it should contract a CMP expert to support the contracting process. Table 5.5 includes the standard headings in a CMP contract, and *Appendix P* includes a detailed description of the key aspects to include in a CMP contract. Contracts should be concise and explicit to avoid any confusion and conflicts of interpretation.

Table 5.5
Standard Headings in a CMP Contract

• Parties	• Law Enforcement
• Background	• Community Relations
• Definitions / Interpretations	• Establishing Park Fees
• Objectives	• Existing Commercial Relationships and New Concessions and Enterprise Development
• Governance Structure	• Assets
• Geographical Area	• Liability and Indemnity
• Delegation of Management	• Conflict Resolution
• Duration, Start Date, and Renewal	• Performance Review
• Integration of Staff	• Termination
• Staff Recruitment	• Data Ownership
• Reserved Matters	• Communication
• Donor Funding and Revenue Management	• Other Sections
• PA Management Roles and Responsibilities	
• Non-Management Responsibilities	

Source: COMIFAC 2018; Spenceley et al 2017; WBG 2020b.

5.9 Contract Management and Monitoring

Managing a contract helps ensure that a mutually beneficial relationship exists between the PA authority and the partner (Spenceley et al. 2016). Contract management also enables the partners to swiftly mitigate challenges, adapt as needed, and in the worst-case scenario, terminate a CMP agreement if needed. Contract management and performance monitoring includes two key components: monitoring and evaluation (M&E) and audits. The PA team generally completes the M&E and an external expert completes the audit. Using both approaches with a CMP is recommended, as it external assessment of progress against the CMP contract.

Box 5.1 Risk Management

Risks in the CMP process (see Table B5.1) can lead to costly delays, work stoppages, threats to the operation, negative publicity, and reputational harm to both partners. A successful process to develop CMP agreements must include effective risk management by identifying, mitigating, and monitoring risk through stakeholder engagement, site assessments, regular reporting, adequate due diligence, and employing experienced/reputable technical personnel. This is a continual process throughout the life of a CMP.

The CA should pay particular attention to the risk management plan outlined by the potential partner in the bidding process to determine if the risk analysis is extensive and covers all the potential risks, and if the potential partner's strategies for mitigating the risks are adequate.

Table B5.1
CMP Risks and Mitigation Measures

Category	Risk	Mitigation Measure
Financial	An inability for the partner to secure capital, or to make payments. Currency fluctuations also pose a risk	Proof of funding from the partner in the bid
		Proper due diligence during the bidding process on the partner, and verification of capital and fundraising experience
Political	Political interference, unrest, or sudden policy changes	Transparent and competitive CMP selection process signed off by relevant ministries
		Effective engagement of relevant government entities, i.e., ministries
		Solid legal contracts that minimize the ability for political interference
		Contract termination with compensation

Source: Adapted from Lindsey et al. 2021; WBG 2020b.

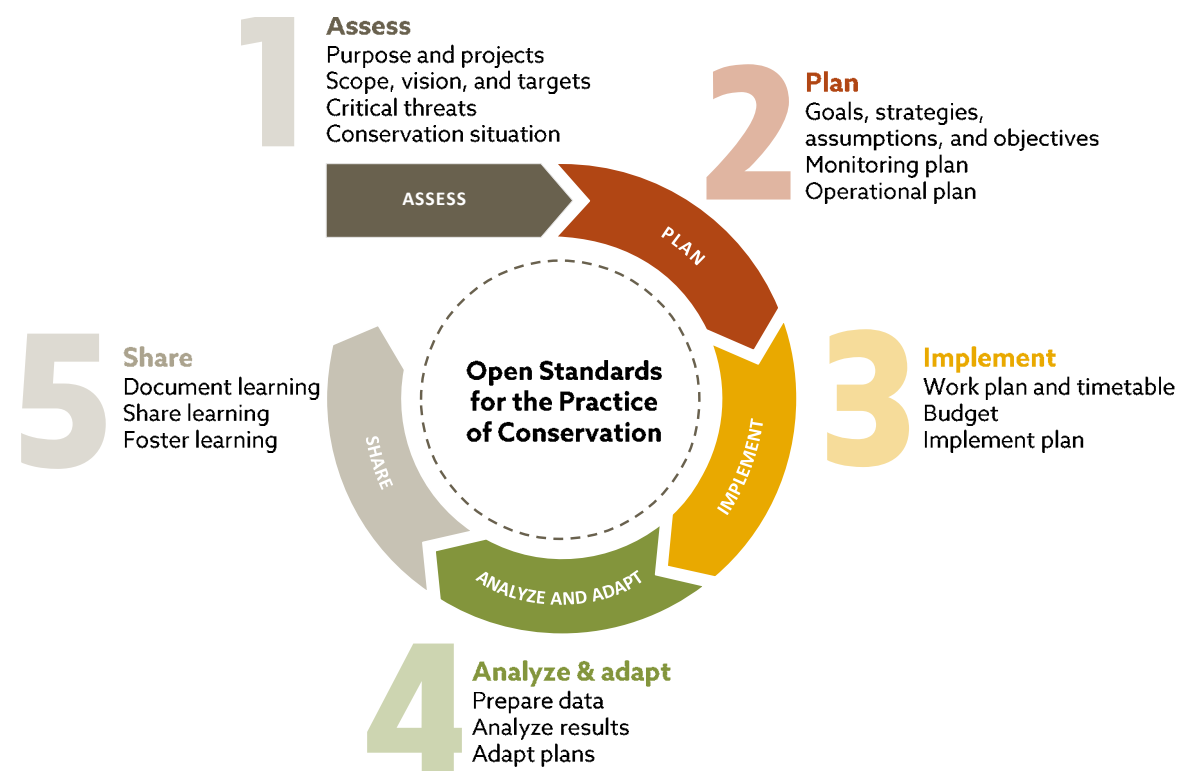
Category	Risk	Mitigation Measure
Social	Lack of or insufficient stakeholder engagement; local communities members are not supportive of the project and delay implementation; or lack of compliance with social standards	Proper stakeholder engagement process
		Effective engagement of communities
		A partner that is committed to community engagement and has a verifiable record of positive community development
		Compliance with social standards (see Chapter 6)
External	National or international financial or security crisis, disease, and other events can impact the ability of a partner and / or the contracting agency to fulfill their obligations	Inclusion of community representatives in the governance structure
		Reserve fund to support operations during crisis
		Security plan to ensure standard of procedures for security risk
		Clear standard of procedures to manage crisis
Contract	Poor quality CMP contracts that are vague, does not provide clarity on roles and responsibilities, does not anticipate challenges, and does not include clear CMP objectives	Structure that allows for quick and strategic adaptive management
		If the PA authority lacks capacity to develop a high-quality contract, they should engage an expert to support the contract development
		Use best practice for contract development and refer to Annex P
Trust	Lack of trust between the parties. The best contracts might be in place, but if there is not trust between the parties, issues will emerge	Proper due diligence on the partner and consultation with references, and shared vision with the PA authority
		Regular monitoring and evaluation (see Section 5.9)
		Conflict mitigation procedures in place and followed
Performance	Disagreement over performance.	Establishment of joint work plans with clarity on roles, responsibility, and accountability
		Establishment of clear targets (key performance indicators)
		Routine monitoring and evaluation
		Contract termination without compensation for poor performance
Non-Performance	Closing out a project early	Contract termination without compensation for poor performance
		Plan in advance for the project close out
		Clearly outline in the contract what happens with assets, staff, revenue, and responsibilities in case of an early termination

Monitoring and Evaluation

Regular Internal

M&E should be done regularly by the CMP management team and an M&E officer (if this position exists) covering: the performance of the CMP on i) conservation, social, and ecological targets; and ii) compliance with the obligations of the contract. This is part of standard project management (see Figure 5.5). Each component will require different monitoring reports. Reports are provided routinely to the board or committee, depending on whether they involve an integrated, delegated, or bilateral CMP. The reporting timeline and frequency should be specified in the CMP and at a minimum, the board or committee should receive monitoring reports twice a year. Monitoring is done against clear targets outlined in the annual work plan and against the annual budget. The management team may also consider an internal audit every other year to assess overall performance against targets and obligations within the CMP contract.

Figure 5.7
Project Management Cycle



Source: Conservation Measures Partnership 2020.⁶⁵

65. For information about Conservation Measures Partnership, visit <https://conservationstandards.org/wp-content/uploads/sites/3/2020/10/CMP-Open-Standards-for-the-Practice-of-Conservation-v4.0.pdf>

Audit

Every Three Years External

At a minimum, an external auditor should review the CMP every three years. The auditor should be an internationally recognized PA management expert and should be jointly selected and agreed on by the partners. The audit should assess and appraise the implementation and compliance by each partner of their respective obligations contained in the CMP contract and evaluate the general performance and achievement of the CMP's intended goals and objectives. The auditor should make specific recommendations for areas of improvement. The report should be submitted to the board or committee for approval, with a presentation made by the auditor. The cost of the evaluation should be built into the operational budget. If there is a challenge and/or an issue in implementation, the board or committee may choose to schedule an evaluation outside of the routine schedule. COMIFAC recommends in their CMP guidelines an audit every five years, which is somewhat standard (COMIFAC 2018). However, much can happen in five years; therefore, audits every three years are recommended.⁶⁶

Non-Compliance and/or Non-Performance

If M&E or the audit process determines that targets are not being met or a party is not fulfilling its obligations, the board or committee should work collectively to rectify the situation in good faith. This may require a change in management at park level, a shift in approach, adaptive management, or realignment of budget. Should the partners not agree on how to rectify the situation

and proceed in good faith, they should follow the conflict resolution section of the CMP contract.

SMART Targets

During the planning phase (see Figure 5.7), the CMP partners will develop joint annual work plans, general management plans, and five-to-10-year business plans. To enable assessment of progress and performance, these plans should include targets that are specific, measurable, assignable, realistic, and time-related (SMART). Management targets should include targets within the following categories: i) ecological; ii) financial; iii) social; and iv) operational. SMART targets will enable the partners to adequately assess performance against the contract and help to mitigate any claims of non-performance. The establishment of baselines in the beginning of the CMP, if they do not already exist, is essential to enable project monitoring.

66. Conversation with Andrew Parker, Conserve Global, March 2021, <https://conserveglobal.earth/>

ction 1

Section 3

Section

ection 1

Strengthening and Managing Collaborative Management Partnerships



➤ Chapter 6 – Considering environmental and social standards in CMPs

119

Chapter 7 – Recommendations for strengthening CMPs

127

Chapter 6

Considering environmental and social standards in CMPs

The identification of potential environmental and social risks, and adherence to applicable Environmental and Social Standards (ESS), is critical to the identification, preparation, development, and management of CMPs, and helps public and private partners avoid, mitigate, and manage adverse environmental, cultural, and social impacts. The identification and management of environmental and social risks is complex and site-specific to CMPs, and should be carefully assessed and incorporated into the life of a CMP project. This chapter provides an overview of ESS in CMPs and shares relevant resources so that partners can take responsibility for the potential impacts of projects.

Environmental and Social Standards Overview

ESS are a set of policies, guidelines, and operational procedures designed to first identify and then, following the standard mitigation hierarchy, try to avoid, minimize, restore, and compensate when necessary adverse environmental and social impacts that may arise in the implementation of a project. ESS should include a comprehensive framework that enables staff, project developers, managers, and partners to clearly identify and avoid social and environmental adverse impacts.

An ESS is typically developed and applied at an organizational level, e.g., multi-lateral development banks, UN agencies, and international NGOs. For example, the World Bank Environmental and Social Framework is designed to ensure that the World Bank and borrowers better manage environmental and social risks of projects to improve development outcomes and is applied to the institution's development work (WBG 2016). The framework identifies ten environmental and social standards (see Box 6.1).

African governments have committed to national and international treaties that relate to environmental standards and social and human rights. At a continental level, for example, 51 countries (all except one) have ratified the African Charter on Peoples and Human Rights, which sets standards for the protection of human rights in Africa and formed the basis for individuals to

claim rights in an international forum (African Commission on Human and Peoples' Rights 1981). At a global level, 23 countries are signatories to the UN Declaration on the Rights of Indigenous Peoples (Crawhall 2011). For example, the United Nations declaration includes the right to determine institutions for self-government (Articles 4, 5, 33(1), 34 and 350); the right to free, prior, and informed consent (Articles 18, 19, 29(2–3) and 30(2)); and the right to lands, territories, and resources (Articles 8(2), 10, 25, 26(1)–(3), 27, 31(1) and 32) (UN 2007). When engaging CMP partners, governments will want to ensure that partners can help it meet national and international standards, which means first understanding these requirements.

There are dozens of international laws, treaties, and protocols that have implications on conservation projects and human rights. For example, the International Institute for Environment Development and Natural Justice in 2016 produced a discussion paper on conservation standards. It reviewed international instruments with human rights implications in a conservation context and highlighted 25 of them (see Figure 6.1) (Jonas et al. 2016).

Governments and management partners need to be aware of the legal ESS frameworks in the respective country to ensure that the life cycle of a CMP, from identification to management, complies with national policy, legislation/regulation, and international best practice. CMP partners should be able to demonstrate in the

bidding process that they have a relevant ESS and an environmental and social management system (ESMS) that complies with the (applicable) requirements and regulations of the country and of any CMP donors or partners involved, as required.

Potential management partners seeking funding from international donors should also be aware of and able to comply with the various standards set by potential CMP donors or supporting implementing partners. For example, the European Union's European Parliament resolution of January 15, 2020, on human rights and democracy outlines a comprehensive ESS framework (European Parliament 2020).

Box 6.1 World Bank Environmental and Social Framework

1. Assessment and Management of Environmental and Social Risks and Impacts
2. Labor and Working Conditions
3. Resource Efficiency and Pollution Prevention and Management
4. Community Health and Safety
5. Land Acquisition, Restrictions on Land Use and Involuntary Resettlement
6. Biodiversity Conservation and Sustainable Management of Living Natural Resources
7. Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities
8. Cultural Heritage
9. Financial Intermediaries
10. Stakeholder Engagement and Information Disclosure.

Source: World Bank 2016

Figure 6.1

International Instruments with Human Rights Implications in a Conservation Context

1. Universal Declaration of Human Rights
2. ILO Convention No. 169 Concerning Indigenous and Tribal Peoples in Independent Countries
3. UN Declaration on the Rights of Indigenous Peoples
4. International Covenant on Civil and Political Rights
5. International Covenant on Economic, Social and Cultural Rights
6. International Convention on the Elimination of all Forms of Racial Discrimination
7. Convention of the Elimination of All Forms of Discrimination Against Women
8. Convention on the Rights of The Child
9. Declaration on the Rights of Persons Belonging to National or Ethnic, Religious and Linguistic Minorities
10. Convention on Biological Diversity, including
 - a. Nagoya Protocol on Access to Genetic Resources and The Fair and Equitable Sharing of Benefits Arising from Their Utilization
 - b. Cartagena Protocol on Biosafety
 - c. Nagoya-Kuala Lumpur Supplementary Protocol on Liability and Redress to the Cartagena Protocol
 - d. Tkarhwaie:ri Code of Ethical Conduct to Ensure Respect for the Cultural and Intellectual Heritage of Indigenous and Local Communities
 - e. Addis Ababa Principles and Guidelines for The Sustainable Use of Biodiversity
 - f. Akwe: Kon Guidelines
 - g. Strategic Plan for Biodiversity 2010-2020 (including the Aichi Biodiversity Targets)
11. UN Conference on Environment and Development Non-Legally Binding Authoritative Statement of Principles for A Global Consensus on The Management, Conservation and Sustainable Development of All Types of Forests
12. UN Forum on Forests Non-Legally Binding Instrument on All Types of Forests
13. Convention on Wetlands of International Importance
14. UN Framework Convention on Climate Change Cancun Agreement
15. UN Convention to Combat Desertification
16. International Treaty on Planet Genetic Resources for Food and Agriculture
17. Global Plan of Action for Animal Genetic Resources and Interlaken Declaration on Animal Genetic Resources
18. FAO Voluntary Guidelines to Support the Progressive Realization of The Right to Adequate Food in The Context of National Food Security
19. FAO Voluntary Guidelines in The Tenure of Land Fisheries and Forests in The Context of National Food Security (FAO Tenure Guidelines)
20. Convention on the Law the Non-Navigational Uses of International Watercourses
21. Agreement on Trade-Related Aspects of Intellectual Property Rights
22. Convention Concerning Protection of World Cultural and Natural Heritage
23. Convention on the Protection and Promotion of the Diversity of Cultural Expressions
24. Convention for the Safeguarding of the Intangible Cultural Heritage
25. Convention on Access to Information, Public Participation in Decision-Making and Access to Justice and Environmental Matters

Source: Jonas et al. 2016.

Potential Social and Environmental Risks of CMPs

Identification, management, and mitigation of risks need to cover both environmental and social impacts. While CMPs intend to be positive for the environment, there are potential environmental risks that must be considered, such as water and natural resource use, impacts from civil works such as roads and tourism facilities, waste management, sanitation, invasive species, visitor and vehicle impact, human-wildlife conflict, and pest management. Most CMPs strive to increase visitors to generate revenue for the PA. If not properly planned, increased visitation can result in a diversity of environmental impacts such as increased water use, vegetation impact from vehicles, waste management issues, introduction of invasive species, and wildlife harassment. These potential risks need to be identified and managed to avoid and minimize adverse environmental impacts.

In addition to potential environmental risks, the development of CMPs might directly and/or indirectly impact stakeholders in and around PAs including IPLCs. For example, a CMP may alter access to natural resources depended on by local communities. An ESS policy and management framework will help organizations involved in a CMP identify issues during the project design phase and minimize or avoid identified adverse impacts throughout the life of the project and apply a process of free, prior, and informed consent as required.

For example, the World Bank's Guidance Note on ESS7 (Indigenous Peoples/Sub-Saharan African Historically Traditional Local Communities) (WBG 2018) provides an example of an ESS framework's requirements that is designed to:

- Ensure that the development process fosters full respect for the human rights, dignity, aspirations, identity, culture, and natural resource-based livelihoods.
- Avoid adverse impacts of projects on IPLCs, or when avoidance is not possible, to minimize, mitigate, and/or compensate for such impacts.
- Promote sustainable development benefits and opportunities for IPLCs in a manner that is accessible, culturally appropriate, and inclusive.
- Improve project design and promote local support by establishing and maintaining an ongoing relationship based on meaningful consultation with IPLCs affected by a project throughout the project's life cycle.
- Obtain the free, prior, and informed consent (see Box 6.3) of affected IPLCs.
- Recognize, respect, and preserve the culture, knowledge, and practices of IPLCs, and provide them with an opportunity to adapt to changing conditions in a manner and in a timeframe acceptable to them.

In most cases, CMPs will result in an increase in formal and informal employment (see *Chapter 2*). A majority of the employees in most CMPs come from the local area of the PA. ESS should protect the rights of employees and provide safeguards to ensure ethical treatment.

Key Features of an ESS Framework for CMPs

Many NGOs involved in CMPs have developed ESS frameworks to guide project selection, management, and closure that would apply to CMPs they were involved in. For example, IUCN's Environmental and Social Management System (2016) is guided by eight core principles (see Box 6.2).

Box 6.2 IUCN's Environmental and Social Management System (ESMS)

1. **Principle on Taking a Rights-based Approach** to guide an organization to respect, protect, and promote the fulfillment of human rights.
2. **Principles on Protecting the Needs of Vulnerable Groups** to identify, avoid, and mitigate adverse impacts, and identify opportunities to enhance livelihood conditions.
3. **Principle on Gender Equality and Women Empowerment** is integral to realizing human rights and social justice.
4. **Principle on Stakeholder Engagement** calls for meaningful, effective, and informed participation of stakeholders in the development and implementation of projects.
5. **Principle on Free, Prior, and Informed Consent** (see Box 6.3).
6. **Principle on Accountability** to guarantee that the principles, standards, and review procedures are consistently followed.
7. **Principle on the Precautionary Principle** to ensure that if knowledge gaps or uncertainties exist, a project will be assigned a higher-risk level to allow for a rigorous and participatory assessment.
8. **Principle on Precedence of the Most Stringent Standards** to require adherence to the more stringent standards and procedures.

An NGO's ESMS should result in a unified set of standards, policies, planning, and implementation mechanisms, as well as compliance systems that govern how activities are carried out in the design, implementation, and evaluation phase of a CMP. The ESMS should be adopted by the NGO governance board and all staff to ensure consistent, comprehensive application of safeguards across the CMP. While the exact requirements will be based on the specific ESS framework in place,

some of the key features of an ESS framework include:

Core principles that guide all behavior and activities.

ESS screening by equipped qualified staff with the ability to identify risks, including those related to community safety, access to natural resources, adverse conservation impact, and indigenous people. The screening will determine the level of risk (low, medium, or high) and recommendations for further assessment, such as an environmental and social impact assessment.⁶⁷

No-go activities are outlined to ensure that the organization does not engage in activities that cause harm or exacerbate risks to the conservation area and dependent communities.

Sound actions to address risk through the development of mitigation plans, implementation measures, and oversight systems.

Risk registry to catalogue and track risks, strategies, and actions to mitigate risks.

Community participation throughout project design, implementation, and monitoring where applicable.

Grievance redress mechanism for communities and stakeholders to voice any project-related concerns they have so action can be taken (see Box 6.4).

Box 6.3 Free, Prior, and Informed Consent (FPIC)

There is no universally accepted definition of FPIC. The circumstances in which FPIC applies and requirements for FPIC are outlined in the ESS of an organization. For example, IUCN defines FPIC as:

Free. Consent must not be imposed or manufactured but obtained through free consultation and voluntary expressions of the communities. Consensus should be reached in accordance with the norms of indigenous peoples or communities including customary law and practices, free from any intimidation, manipulation, or coercion.

Prior. Consultation requires time and an effective system for communicating among interest holders. The emphasis on “prior” underlines the importance of initiating consultations as early as possible and providing adequate time for the decision-making processes of indigenous peoples and communities to inform steps of the project cycle.

Informed. The principle requires that indigenous peoples or other affected communities are informed about the nature, duration, and scope of the proposed project, the location of areas that will be affected, potential impacts (positive and negative) on their lands and resources, and implications for their economic, social, and cultural rights and well-being. Communities should also be informed about their rights under national law and under the standards and procedures of all agencies involved in the proposed intervention.

Consent. Communities are asked to consent to a project or an activity, and have the right to give their consent, withhold it, or offer it conditionally. Consultation must be undertaken in good faith. The parties should establish a dialogue to find appropriate solutions in an atmosphere of mutual respect and full and equitable participation. Indigenous peoples and communities should be able to participate through their own freely chosen representatives and customary or other institutions, and access technical or legal services if needed. Consent should not be limited to individuals but should include the collective voice of indigenous communities through customary institutions, local authorities, formal organizations, or collective decision-making processes. If representation is questioned by communities, complementary processes may be needed; for example, grassroots consultations with affected groups taking into account both gender and age dimensions (IUCN 2013).

67. For a sample ESS screening checklist, visit the Green Climate Fund at <https://www.greenclimate.fund/sites/default/files/document/sustainability-guidance-note-screening-and-categorizing-gcf-financed-activities.pdf>

Access to appropriate environmental and social safeguards expertise such as an ESS unit/ advisor within the organization that is implementing the CMP to oversee the screening, assessments, management of safeguard measures, implementation of mitigation measures, collection of the necessary monitoring information, quality assurance, and training, as well as other activities needed for effective implementation. The size and structure of the CMP and other organizational operations will dictate how best to meet requirements.

An independent ombudsperson/external advisor that oversees compliance with the safeguards framework across the organization and serves as a means for mediation when disputes cannot be settled locally. The structure depends on the size of the CMP and scale of organizational work.

Procedure for incident management to respond to reports of abuse. Where reports of abuse directly and indirectly relate to the organization's work, including work implemented via partners that have received support from the organization, a process is needed to investigate, take appropriate actions, and take corrective measures and/or press the partner or the government where appropriate to take corrective action. This is linked to the grievance mechanism (see Box 6.4). The WBG's Environment and Social Incident Response Toolkit outlines a process to address and report on incidents and provides tools for documenting and managing incidents.

Each partner in a CMP is responsible for ensuring its staff members understand ESS and are familiar with the standards, safeguards, and

obligations around compliance. All staff members should sign a code of conduct, confirming their understanding. Staff training, on-boarding, and capacity building should include familiarization with ESS.

Particular attention needs to be afforded to high-risk situations such as the interaction between rangers and communities. For example, rangers on patrol could encounter poaching by organized criminals or the potential facilitation of poaching activities by community members. There is also the risk of potential human rights violations. Careful identification and mitigation of risks, including potential security risks, along with capacity building and awareness raising of CMP staff, rangers, and partners, is essential. There are a number of training modules available for rangers on human rights. Examples include the International Ranger Federation's "Anti-poaching in and around Protected Areas Training Guidelines for Field Rangers"⁶⁸ and LEADRanger's⁶⁹ training module on human rights specifically for rangers. This is just one aspect of the training and capacity building needs for staff. There are many aspects and required issues that should be covered in an on-going training program, which means having a clear understanding of the requirements, proper planning, expertise, adequate funding to conduct thorough training, and regular training modules.

If the CMP partner does not have in-house capacity, they should engage an ESS expert to help ensure that they are following proper procedures (Box 6.5 includes some key components for CMP partners to consider) (Conservation International-GEF 2017; WWF 2019).

Box 6.4 Grievance Redress Mechanisms

Early in the project development, the partner should set up a grievance redress mechanism that enables stakeholders to confidentially and confidently express concerns about the project. The specific requirements of a grievance mechanism will be determined by the relevant ESS framework that applies.

The grievance mechanism is designed to enable the receipt of complaints of affected people and public concerns regarding the environmental and social performance of the project. The aim of the mechanism is to provide people fearing or suffering adverse impacts with the opportunity to be heard and assisted without fear of retaliation. It is designed to address the concerns of communities with a particular project, identify the root causes of the conflicts, and find options for the resolution of grievances.

The grievance mechanism is an essential tool to foster good cooperation with project stakeholders and ensure adequate delivery of previously agreed results. The grievance mechanism needs to be easily accessible to stakeholders, and the partner needs to ensure that stakeholders are fully aware of the process (IUCN 2013).

68. <https://www.traffic.org/site/assets/files/2310/anti-poaching-training-guidelines.pdf>

69. <http://courses.leadranger.org/human-rights-eng/#/>

Box 6.5 ESS and CMP Checklist

- Recruit ESS technical expertise if not in place
- Be clear on which national laws apply
- Understand ESS global best practice and rights-based conservation models
- Ensure CMP bidders and potential partners have an ESS policy and an appropriate system and attention on risk identification/mitigation
- Staff and partners sign a code of conduct annually
- Design and implement a stakeholder engagement strategy
- Identify stakeholders, including presence of IPLCs and any vulnerable or disadvantaged groups
- Complete environmental and social screening of the potential project
- Develop a risk management strategy that is routinely updated and includes emergency preparedness and response
- Design a grievance redress mechanism
- Build capacity and awareness around ESS requirements
- Ongoing reporting to IPLC and other relevant stakeholders
- Establish clear targets for monitoring
- Monitor, update, adapt, and educate



Gorongosa NP, Mozambique © Anto Dharsono / Shutterstock

Chapter 6 – Considering environmental and social standards in CMPs**119**

➤ Chapter 7 – Recommendations for strengthening CMPs**127**

Chapter 7

Recommendations for strengthening CMPs

PAs are central to securing biodiversity and ecosystem services, mitigating climate change, and driving green and inclusive development. Africa's PAs are at risk from intensifying threats and a dearth in funding, which is leading to ineffective management and non-operational PAs. Co-management and delegated CMPs are being used in 15 countries in Africa, covering 11.5 percent of the PA estate, and can be scaled up to enhance social, economic, and ecological outcomes, and help governments recover from the severe impacts of COVID-19. This chapter makes recommendations for supporting and expanding CMPs in Africa and beyond.

PAs are central to securing biodiversity and ecosystem services, mitigating climate change, and driving green and inclusive development. Africa's PAs are at risk from intensifying threats and a dearth in funding, which is leading to ineffective management and non-operational PAs. This in turn is escalating the decline of Africa's exceptional wildlife, landscapes, biodiversity, and ecosystem services, putting economies and people at risk. The COVID-19 pandemic is further exacerbating these threats. Given the challenges facing Africa's PAs, governments are considering different tools and approaches for securing natural assets and delivering benefits to people, including CMPs. These issues are not exclusive to Africa, and the resources and lessons learned presented in the Toolkit can be considered by countries in other regions.

While CMPs are still relatively new, the evidence over the past two decades indicates that when structured properly, CMPs enhance PA management effectiveness; stimulate the local and national economies; create an enabling environment for investment; build capacity; protect biodiversity; and increase brand recognition for the country. While there are challenges in the creation and management of CMPs, the model is continually improving and there is a growing demand for partners and partnership support from governments in Africa and around the world.

While CMPs mainly cover the geographic area of a PA, they drive substantial revenue into buffer and community areas and stimulate rural

development, employment, and growth. Overall, co-management and delegated CMPs are practical tools being used in 15 countries in Africa, covering 11.5 percent of the PA estate, and can be scaled up across the continent and beyond to enhance social, economic, and ecological outcomes, and help governments recover from the severe impacts of COVID-19.

To help streamline the process and scale up use of CMPs, the following recommendations can be considered to support government leaders and implementing partners:

1. Governments

- a. Create an enabling environment and policy framework, and clear guidelines to facilitate the execution of CMPs. In some countries, the process for establishing CMPs is not clear, which leads to delays and in some cases results in loss of funding.
- b. Adopt the steps and processes outlined in the Toolkit to enable transparent and competitive CMP partner selection processes.
- c. Consider CMPs as part of broader national PPP priority efforts to streamline processes and generate new investments and opportunities, and align the establishment of CMPs to the PPP framework if this helps to create a transparent and efficient process.
- d. Develop a long-term vision and strategic plans that promote sustainable and inclusive development that integrate CMPs as

one of the core tools used to support the effective management of PAs and to stimulate green and inclusive development.

2. Donors

- a. Provide technical and financial assistance to governments to support the design and deployment of a portfolio of solutions, including CMPs. This could include supporting policy and investment initiatives that promote private sector participation through CMPs.
- b. Support governments in the development of the PA authority business plans and agency level strategies and help mobilize long-term financing for CMPs (both direct grants and concessional loans, and catalyze private sector investments).
- c. Strengthen efforts to promote regional capacity through continued education and higher-level learning on CMPs (including in PA management colleges).
- d. Support a CMP platform in Africa that enables governments and partners to discuss CMP challenges, opportunities, and lessons learned, and support cross-continental information exchanges on CMPs. Africa is a leader in CMPs and sharing this experience with other continents will contribute to efforts to address the global biodiversity crisis.

3. NGOs

- a. Capture and share lessons learned from positive and negative experiences partnering with governments, donors, and other implementing partners on issues related to enabling environments, negotiations, and operational/financing considerations of implementation of CMPs so processes can be streamlined and mistakes avoided.
- b. Develop and share operating procedures, frameworks, and other tools to help standardize agreements and processes to reduce complexity and costs, and to help local and national organizations engage in CMPs.
- c. Build local capacity and knowledge (including to promote transparency, best practices in social and environmental frameworks, and business management) to develop and grow local talent and leadership in CMP design and management, conservation, and environmental finance/operations.

These recommendations can be considered as part of integrated and long-term planning efforts designed to secure technical, financial, and political support to biodiversity conservation and always have to be applied in a country and PA specific context. CMPs offer the potential to strengthen conservation and development efforts in many countries and PAs, and have a role to play in the portfolio of governments, donors, and NGOs. Further analysis and discussions at a regional/country level and across stakeholders is needed to operationalize the resources presented in this Toolkit in a systematic manner.



Simien Mountains NP, Ethiopia. © Kjeld Friis / Shutterstock

Indices

Appendices

Appe

Indices

Appendices



Appendices



Bazaruto Archipelago NP, Mozambique. © Tonis Valing / Shutterstock

The appendices include a suite of tools and practical information that will help practitioners to identify, screen, prepare for, and establish CMPs.

A. PA Management Categories as Defined by IUCN

Table A.1
PA Management Categories

Protected Area Management Categories	
PA definition: "A clearly defined geographical space, recognized, dedicated and managed, through legal or other effective means, to achieve the long-term conservation of nature with associated ecosystem services and cultural values."	
i) (a) Strict nature reserve	Strictly protected for biodiversity and also possibly geological/ geomorphological features, where human visitation, use, and impacts are controlled and limited to ensure protection of the conservation values
i) (b) Wilderness area	Usually large unmodified or slightly modified areas, retaining their natural character and influence, without permanent or significant human habitation, protected and managed to preserve their natural condition
ii) National park	Large natural or near-natural areas protecting large-scale ecological processes with characteristic species and ecosystems, which also have environmentally and culturally compatible spiritual, scientific, educational, recreational, and visitor opportunities
iii) Natural monument or feature	Areas set aside to protect a specific natural monument, which can be a landform, sea mount, marine cavern, geological feature such as a cave, or a living feature such as an ancient grove
iv) Habitat/species management area	Areas to protect particular species or habitats, where management reflects this priority. Many will need regular, active interventions to meet the needs of particular species or habitats, but this is not a requirement of the category
v) Protected landscape or seascape	Where the interaction of people and nature over time has produced a distinct character with significant ecological, biological, cultural, and scenic value: and where safeguarding the integrity of this interaction is vital to protecting and sustaining the area and its associated nature conservation and other values
vi) PAs with sustainable use of natural resources	Areas that conserve ecosystems, together with associated cultural values and traditional natural resource management systems. Generally large, mainly in a natural condition, with a proportion under sustainable natural resource management (NRM) and where low-level non-industrial natural resource use compatible with nature conservation is seen as one of the main aims

Source: Dudley 2008.

B. Global PPP Market Assessment

While there is no global database that tracks PPPs across all sectors and regions, the World Bank tracks private investments in infrastructure. In 2019, a total of \$96.7 billion in private investments were committed towards 409 infrastructure projects in 62 low- and middle-income countries (WBG 2020a).⁷⁰ This represents a three percent decline compared to 2018, which can be explained by market volatility and reduced investments in energy. In 2020, due to the impacts of COVID-19, investments dipped to \$45.7 billion across 252 projects, a 52 percent decrease from investment levels in 2019 (see Figure B.1).

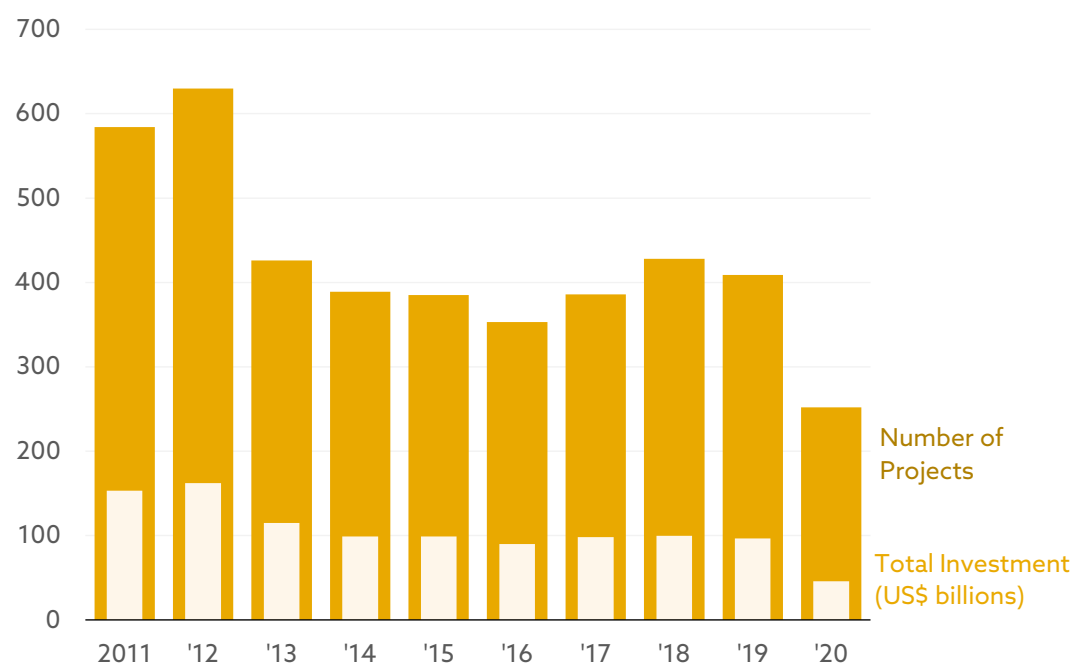
In 2019, transport (roads, railways, ports, and airports) was the largest sector, accounting for half of global private investments. Energy (natural gas and electricity) was the second largest sector, representing 41 percent of investment commitments. In 2020, transport sector investment commitments were the lowest in the past decade, reflecting the massive changes in movement caused by lockdowns.

The number of countries receiving private investments in infrastructure in 2019, 62 countries, was the highest number in the last decade. Nearly 40 percent of investments occurred in Asia, though investments in Latin America and the Caribbean increased. China, Brazil, India, Vietnam, and Russia received the highest levels of investment. In Sub-Saharan Africa, Ghana and Nigeria were the two biggest investment

destinations, with \$1.5 billion and \$1.1 billion, respectively. Sudan, Chad, the Comoros, Mauritania, Cabo Verde, and Malawi recorded

their first private investment infrastructure projects in five years in 2019.

Figure B.1
Investment Commitments in Infrastructure Projects with Private Participation in EMDEs, 2011–2020



Source: World Bank 2021.

70. The methodology for the World Bank's Private Participation in Infrastructure Database can be accessed at <https://ppi.worldbank.org/en/methodology/ppi-methodology>

C. Description of PPP Legislation in Selected Countries in Africa

Table C.1
PPP Legislation in Selected African Countries

Country	PPP Legislation	PPP Legislation	Date	PPP Unit	Unit Overseeing PPP Entity
Ethiopia	Yes	PPP Policy Document and the Public Private Partnership Proclamation No. 1076/2018	2018	Yes	Ministry of Finance and Economic Cooperation
Guinea	Yes	032 / Public Private Partnerships Act	2017	Yes	Ministry of Finance
		Decree 041, the application of the 2017 PPP Act	2021		
		Decree 042, the organizational framework applicable to 2017 PPP Act	2021		
Kenya	Yes	The Public Private Partnerships Act	2013	Yes	National Treasury and Planning
		Public Private Partnership Amendment Bill	2017		
Malawi	Yes	Public-Private Partnership Act	2011	Yes	PPP Commission under the Office of the President
Mozambique	Yes	Law No. 15/2011, PPP Law	2011	Yes	Unit under the Ministry of Finance
		Decree No. 16/2012, June 4, PPP Regulations	2012		
		Decree No. 69/2013, 20 December, came into force on the year of publication.	2013		
		Decree Law No. 15/2010, May 24, governs PPP procurement procedures, on a subsidiary basis	2010		Government entities or ministries or municipalities, responsible for the sector of the project. Financial framework, supervision exercised by the Ministry of Economy and Finance
Rwanda	Yes	Law No.14/2016 of 02/05/2016 Governing Public Private Partnerships	2016	Yes	Rwanda Development Board
Uganda	Yes	The Public-Private Partnerships Act	2015	Yes	Ministry of Finance
Zambia	Yes	The Public-Private Partnership Act	2009	Yes	PPP Unit under Zambia Development Agency (ZDA)-PPP Council
		Public-Private Partnership (Amendment) [No. 9 of 2018 223]	2018		
Zimbabwe	No	2010 PPP Policy. 2004 PPP Guidelines		No	PPPs administered by the Ministry of Finance with the other relevant Ministry (Ministry of Environment, Water and Climate for Protected Areas)

D. Case Studies

Table D.1
Key Aspects of Nine CMP Case Studies

	1	2	3	4	5	6	7	8	9
	Akagera NP	Dzanga-Sangha PA	Gonarezhou NP	Gorongosa NP	Liuwa Plain NP	Makuleke Contractual Park	Nouabale-Ndoki NP	Simen Mountains NP	Yankari NP
Figure	D.1	D.2	D.3	D.4	D.5	D.6	D.7	D.8	D.9
Government Partner	RDB	Ministry of Water and Forest, Hunting and Fishing	ZPWMA	Government of Mozambique	DNPW	SANParks	Ministry for Forest Economy	EWCA	Bauchi State Ministry of Culture and Tourism
NGO Partner	African Parks	WWF	FZS	Greg Carr Foundation	African Parks	Community: Makuleke Community	WCS	AWF	WCS
Country	Rwanda	Central African Republic	Zimbabwe	Mozambique	Zambia	South Africa	Congo	Ethiopia	Nigeria
Model	DM	BCM	ICM	ICM	DM	ICM	DM	BCM	BCM
Size Km ²	1,122	4,580	5,053	6,777	3,369	265	3,922	220	2,250
CMP Signed	2010	2019	2017	2018	2004	1999	2014	2017	2014
Agreement Duration	20	5*	20	25	20	50	25	15	15
# Year to develop CMP	3	1	3	2	1	1	1	2	1
Years NGO worked in PA prior to CMP	0	30	9	4	0	N/A	20	5	5

	1	2	3	4	5	6	7	8	9
	Akagera NP	Dzanga-Sangha PA	Gonarezhou NP	Gorongosa NP	Liuwa Plain NP	Makuleke Contractual Park	Nouabale-Ndoki NP	Simen Mountains NP	Yankari NP
Figure	D.1	D.2	D.3	D.4	D.5	D.6	D.7	D.8	D.9
NGO Investment \$ million	35	.5-1 million / year	27	85	20	1	25.5	5	3
Staff Size	273	150	270	700	127	~100	196	N/A	100
Annual Budget \$ million (including CAPEX)	3.25	5.5	5	13.7	3	N/A	5.3	1	0.5
Notes		*Option to extend as foundation.							

Source: Case studies were developed with the CMP partners listed in the acknowledgements, and information from the CMP partner websites, listed in the references, and Baghai et al. 2001, Brugière 2020, and Lindsey et al. 2021.

BCM=Bilateral co-management

ICM=Integrated co-management

DM=Delegated CMP



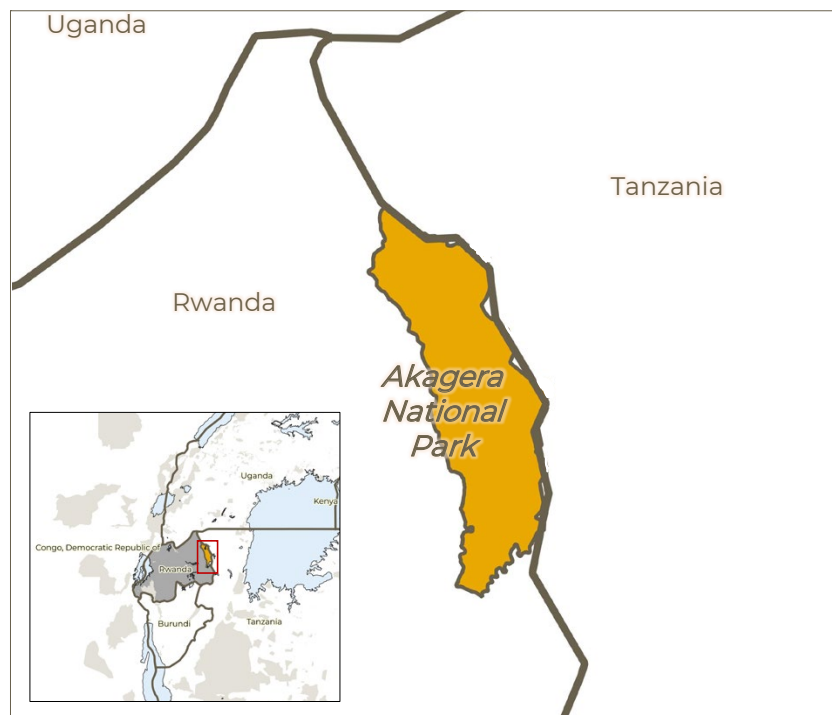
Akagera National Park

Rwanda

Figure D.1
Akagera NP Case Study

Why CMP?
Akagera National Park, the only savannah ecosystem in Rwanda, was challenged by poaching and encroachment. The park was a net loss for the government of Rwanda and had limited expertise to fulfill its tourism potential.

Goals of the Partnership:
To restore ANP and wildlife; diversify Rwanda's tourism product and keep people in the country longer; and attract private sector investors.



Key details

Type of CMP

Delegated

Size of the park

1,122 km²

CMP timeframe

2010 to 2030

Years to establish a CMP

3 years

Public partner: Rwanda Development Board

Private/NGO partner: African Parks

Legal structure: Company, Akagera Management Company Ltd.

Governance: Board of Trustees (7 Trustees: 3 appointed by the government and 4 appointed by African Parks)

Revenues:

Revenue Retention: All revenue retained at park

Revenue Growth: \$203,000 (2010) to \$2.6 million (2019) (COVID-19 impacted 2020 tourism revenue)

Lessons learned

It takes time to develop a CMP. Having examples from other parks and high-profile advocates is important.

Prioritizing time for community and stakeholder consultations is key.

Conduct proper due diligence to understand park challenges and properly budget.

Management

- Ranger team increased: 42 (2012) to 82 (2019).
- Ranger field days increased from 9,719 (2012) to 19,177 (2019).
- Built 120-kilometer solar-powered predator-proof fence to reduce human-wildlife conflict.

Tourism

- New private sector partnerships with Mantis Group (60 rooms) and Wilderness Safaris (6 rooms).

Tourism growth

- 15,000 tourists (2010) to 50,000 (2019).

Community impact

- 2,000 school children visit ANP annually.
- \$604,000 in community benefits in 2020.
- Community guides 2014: \$22,500; 2019: \$160,000.
- 22 teachers trained and mentors from 11 different schools in 2020.
- Community benefits increased from \$0 (2009) to \$604,000 (2019).

Operational budget

- < \$400,000 (2009 budget), \$2.84 million (2020 budget).

Employment trends

- 18 people (2010) to 273 (2020) (99 percent Rwandan).

Wildlife growth

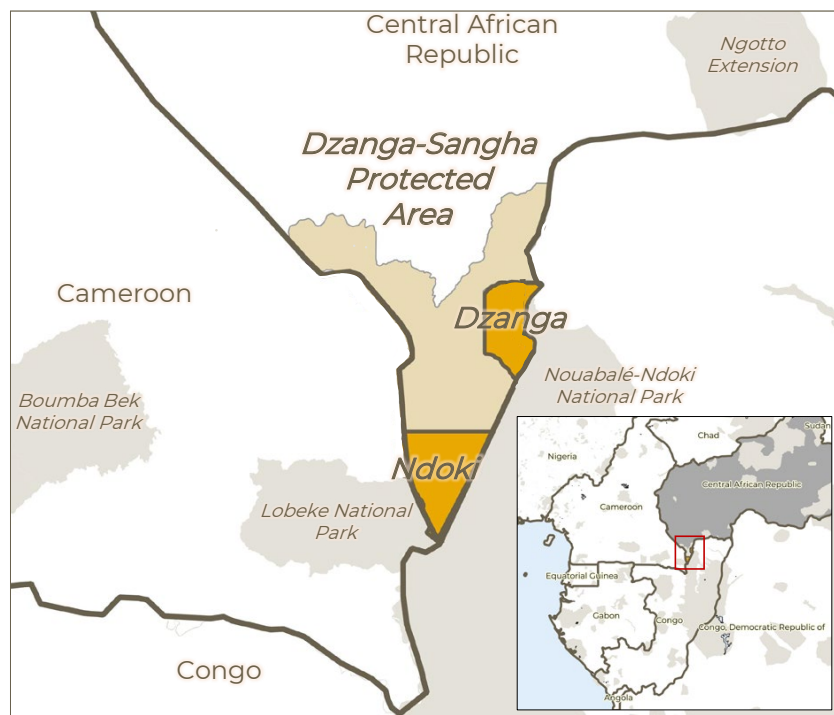
- Reintroduced eastern black rhinos: Zero (2010), 25 (2020).
- Reintroduced lions: Zero (2010), 35 (2020).



Dzanga-Sangha PA

Central African Republic

Figure D.2
Dzanga-Sangha PA Case Study



Why CMP?
To address threats to the DSPA from illegal poaching, habitat destruction, and exploitation of natural resources.

Goals of the Partnership:
To protect the natural ecosystems of DSPA while promoting sustainable development and improving the livelihoods of local communities.

Key details

Type of CMP

Integrated

Size of the park

3,859 km² – 1,220 km²

Dzanga-Sangha
Dense Forest Special Reserve

Dzanga-Ndoki NP

CMP timeframe

2019 to 2024

prior agreements were in place

Years to establish a CMP

1 year

Public partner: Ministry of Water and Forest, Hunting, and Fishing (MEFCP)

Private/NGO partner:
World Wildlife Fund

Legal structure: CMP

Governance: Monitoring Committee composed of WWF and MEFCP, chair position held by the government

Revenues:

Revenue Retention: 40 percent of the park entrance fee goes to community

Revenue Growth: Approximately \$6,900 was generated in 2019 from park entrance fees

Lessons learned

Inclusivity and long-term partnerships, with a commitment in terms of finance and presence, is essential to a successful outcome.

Multiple use zones in PAs provide unique opportunities, but can also create challenges for protection and management.

Management

- Established technical and financial resources necessary to support fragile ecosystems.
- Elephant and great ape populations are stable, including 3 habituated gorilla groups.

Tourism growth

- 12,000 tourists since 1992. 9,350 from 2000-2020 and 3,000 from 2010 to 2020.

Community impact

- Healthcare has been provided to local communities (especially BaAka) with 30,000 patients seen between 2018-2019. Early warning systems were implemented to mitigate zoonotic diseases.
- Park tourism has contributed to infrastructure improvements that benefit local communities such as schools. Community tourism generates \$55,000 annually to directly improve the livelihoods of the BaAka and Bilo people.
- Health care, communication, education, human rights center, livelihood programs, and transportation have been provided.

Operational budget

- \$5,563,688 funded annually from donors.

Employment trends

- DSPA employs 250 staff, most from local communities.

Wildlife growth

- Elephants stable (averaged 2016-2020): 776 to 830. Great apes stable (averaged 2016-2020): 2,412 to 2,702.



Figure D.3
Gonarezhou NP Case Study



Why CMP?

ZPWMA lacked the resources to effectively manage Gonarezhou National Park (GNP), part of the Greater Limpopo Transfrontier Conservation Area.



Goals of the Partnership:

Protect GNP's wilderness, biodiversity, ecological processes, and scenic landscapes while supporting its role in the GLTFCA, regional economic development, and the culture and history of the Shangaan people.

Gonarezhou National Park

Zimbabwe



Key details

Type of CMP

Integrated

Size of the park

5,000 km²

CMP timeframe

2016 to 2036

Years to establish a CMP

3 years

Public partner: Zimbabwe Parks and Wildlife Management Authority

Private/NGO partner: Frankfurt Zoological Society

Legal structure: Gonarezhou Conservation Trust (GCT)

Governance: Board of Trustees (6 trustees: 3 appointed by the government and 3 by FZS)

Revenues:

Revenue Retention: All revenue retained at park

Revenue Growth: 50 percent increase in investment in year 1 (2017: \$2.8 million)

Lessons learned

A communication strategy that keeps stakeholders and communities updated is important for support and to avoid any misperceptions.

Development of CMPs takes time and effort; plan appropriately.

Requires a competent team to deal with the challenges of growth within an organization; capacity development and ability to be agile are critically important.

Management

- Assumed management of Malipati Safari Area, a key connectivity zone in the GLTFCA.
- 82 percent increase in ranger patrol days between 2017 (6,547) and 2019 (11,929).

Tourism

- Renovations of existing lodges, construction of new camps, and tourism marketing of GNP, leading to increased tourism revenues and employment.

Tourism growth

- Tourism revenue increased from \$329,634 (2016) to \$513,006 (2019).

Community impact

- Establishment of Makonde Training Facility – training chefs and guides.
- Five groups supporting local enterprises through group loans and savings schemes.
- 83 percent of staff from within 15 kilometers of the park boundary.
- Provided resources to schools: carnivore posters and fact books; wild dog board games; and books.
- 42 school libraries surrounding the park stocked with books and solar reading lamps.
- Education program targets children in 44 primary and 17 secondary schools.

Operational budget

- \$5 million.

Employment trends

- 218 staff (83 percent from local community).
- Trained and employed 129 new rangers, increase from 40 in March 2017.

Wildlife growth

- Lions increased from 54 (2016) to 112 (2019).
- Reduction in elephant poaching from 39 (2016) to 2 (2019).



Gorongosa National Park

Mozambique

Figure D.4
Gorongosa NP Case Study



Why CMP?

Gorongosa NP was decimated during Mozambique's war and the Government lacked the resources to restore and rehabilitate the park.



Goals of the Partnership:

To protect GNP's biodiversity and ecosystem services and unlock its social and economic potential for the community inhabitants of the Gorongosa Sustainable Development Zone (SDZ).



Key details

Type of CMP

Integrated

Size of the park

3,670 km² – 370 km² – 122,730 km²

GNP

Gorongosa Mountain

Coutada

CMP timeframe

Renewed in 2018 to 2043

Years to establish a CMP

4 years

Public partner:

Government of Mozambique

Private/NGO partner:

Greg Carr Foundation

Legal structure: Gorongosa Project

Governance: Oversight committee (1 rep from government, 1 rep from Greg Carr Foundation). Management delegated to GP

Revenues:

Revenue Retention: All revenues retained at GNP (20 percent to communities, 80 percent reinvested in the park)

Revenue Growth: Tourism: \$737,132 January to September 2019 (baseline \$0)

Lessons learned

Having an integrated conservation and human development approach is critical.

Local capacity building is necessary for long-term sustainability.

A long-term agreement is needed to achieve social, conservation, and economic impact.

Storytelling, media, and communication galvanize attention, interest, and support of decision makers and help shape public opinion.

Management

- 1 million hectares under biodiversity protection.
- Strengthened capacity and enforcement. Increased ranger presence by 72 percent (2018).
- Established CBNRM committees in all 16 communities in GNP's SDZ.

Tourism growth

- International and national growth, challenged with cyclone and conflict in the country. >1,000 in 2006, up to 7,000 in 2011.

Community impact

- Improved food security by engaging 10,000 families in improved agroforestry

activities (coffee, cashew, honey, etc.), generating 300 additional jobs.

- Deployed health interventions through clinics and community-trained programs. Eighty-eight community health workers, 129 traditional birth attendants, and 159 model moms.
- Invested > \$1.78 million in human development for 200,000 people.

Education

- Established science research and education/capacity building programs including masters in conservation biology, the only Masters to be conducted completely in an NP.
- Supports 50 primary schools (45 percent of the primary schools in the SDZ) and six (100 percent of existing)

secondary schools. 2019, 64 scholarships to girls for high school.

Operational budget

- < \$100,000 in 2004, \$13.7 million in 2020, \$85 million since 2004.

Employment trends

- 700 permanent / 400 seasonal staff including 300+ rangers (98 percent Mozambican and 85 percent local).

Wildlife growth

- Wildlife population grew from 15,000 (2008) to 90,000 animals (2020).
- 781 elephants (2020) up from >200 elephants in 2000.

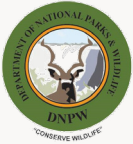


Figure D.5
Liuwa Plain NP Case Study



Why CMP?

- The Barotse Royal Establishment, representing the community, requested the support of African Parks to manage the park, which was non-operational, afflicted by poaching, and providing few benefits to community.



Goals of the Partnership:

- To restore the biodiversity of LPNP as part of the greater ecosystem and to build a constituency for conservation with the local community and government.

Liuwa Plain National Park

Zambia



Key details

Type of CMP

Delegated

Size of the park

3,369 km²

CMP timeframe

2004 to 2024

Years to establish a CMP

1 year

Public partner: Department of National Parks and Wildlife

Private/NGO partner: African Parks

Community partner: Barotse Royal Establishment

Legal structure: Company with representation from government and African Parks

Governance: Zambia Company with representation from African Parks and DNPW. Two members of BRE on African Parks Zambia board

Revenues:

Revenue Retention: All revenue retained at park

Revenue Growth: \$4,518 (2003), \$261,743 (2019), \$163,536 (2020 impacted by COVID-19)

Lessons learned

Having established community institutions in place helps facilitate community initiatives and ensures equitable and transparent engagement.

It is important to have clear communication between park level management and higher level (ministry) government to share successes and failures.

Trust between partners is key and can be enhanced through good communication.

Management

- Reintroduced lions and buffaloes. LPNP has the second largest wildebeest migration in the world.
- Rangers conducted 12,243 patrol days (2020) and African Parks developed a community scout program, creating local employment and community support.

Tourism

- Luxury lodge from Time+Tide (6 villas), 2018 Travel & Leisure's "Its List."
- Five community managed campsites.

Tourism growth

- 291 tourists (2003) to 1,116 (2019).

Community impact

- African Parks makes payments to community development fund linked to poaching.
- 114 school scholarships/year. 1,890 students visited LPNP in 2019.
- 28 schools supported, 11,000 students, 71 new scholarships in 2020.
- 600 families supported with maize due to drought in 2020.

Operational Budget

- \$20 million invested by African Parks since 2004.

Employment trends

- Largest employer in the region, 127 full-time employees and 67 rangers (95 percent local), 100 seasonal workers.

Wildlife growth

- Wildebeest: 15,000 (2004) to 31,956 (2020).
- Zebra: 2,000 (2004) to 4,160 (2020).



Makuleke Contractual Park

South Africa

Figure D.6
Makuleke Contractual
Park Case Study



Why CMP?

In 1998, the Makuleke community, who were removed from their land in 1969 to expand Kruger National Park, regained title to 24,000 hectares and delegated management to SANParks, creating a contractual park.



Goals of the Partnership:

To optimize socio-economic benefits for the Makuleke community and to protect the ecological character of KNP.



Key details

Type of CMP

Delegated

Size of the park

240 km² – 19,485 km²

Makuleke

KNP

CMP timeframe

1999 to 2049

Years to establish a CMP

4 years

Public partner: South African National Parks (SANParks)

Community partner: Makuleke Community

Legal structure: Title held by Makuleke Communal Property Association

Governance: Joint Management Board, (3 from Makuleke, 3 from SANParks)

Revenues:

Revenue Retention: Tourism revenue goes to the Makuleke, gate fees to SANParks

Revenue Growth: Zero revenue in 1999, ~\$867,000 generated from ReturnAfrica and the Outpost tourism facilities in the 2020 fiscal year (pre-COVID-19).

Lessons learned

The interplay of tourism and conservation management is complex. Makuleke have tourism rights and SANParks manages the land, which are interlinked and causes confusion on management costs.

Capacity development of the community partner is crucial so that they can be equal decision makers and monitor the performance of the other party.

A master development and conservation plan adopted by both parties is needed to ensure clarity of and agreement on goals and objectives.

Management

- SANParks oversees management. Overall increase in wildlife numbers and decrease in snares and poaching.
- Reintroduction of giraffe, zebra, and impala.

Community impact

- From 2018-2021 through ReturnAfrica and the Outpost, the community earned ~\$2.8 million in donations, employment, local supply contracts, and concession fees.
- Community benefits declined by up to 41 percent due to the impact of COVID-19.

Tourism

- Makuleke have the right to commercialize their land by entering into tourism partnerships. They have agreements with 4 private operators, who employ local people and who return 8 percent of profits to the CPA.
- Community, through Ford Foundation and the African Safari Foundation, acquired equity in the tourism facilities.
- 95 percent employment from Makuleke.

Tourism growth

- 3 tourism facilities (high-end) and 1 guiding facility.

Operational budget

- Part of SANParks overall KNP budget.

Employment trends

- ReturnAfrica tourism facilities supports 67 full-time direct local jobs and the Outpost lodge employs 37 staff.

Wildlife growth

- 6 white rhinos introduced in 2006 – first in the area in 120 years.



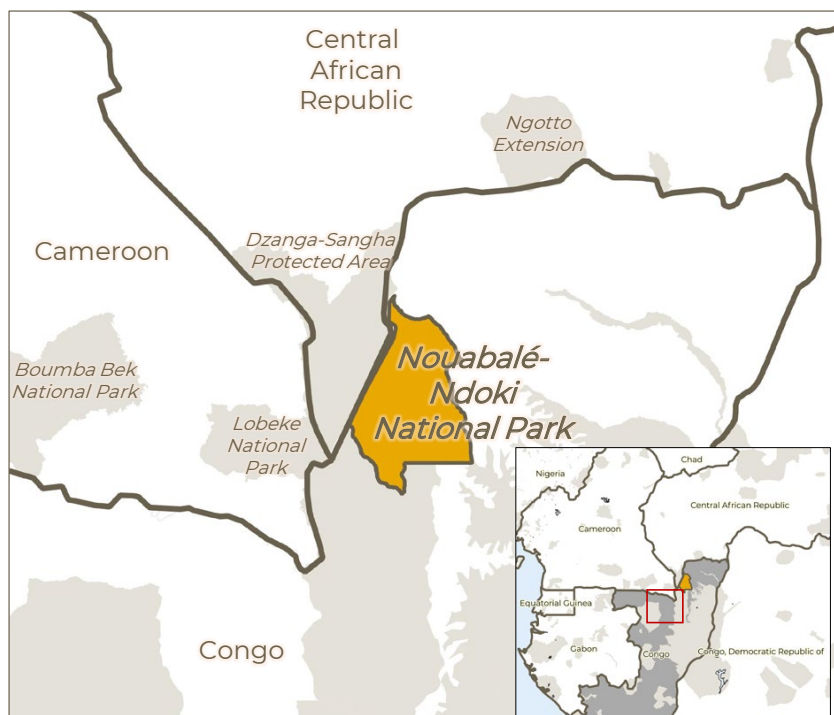
Nouabalé-Ndoki National Park

Republic of Congo

Figure D.7
Nouabalé-Ndoki
NP Case Study

Why CMP?
To strengthen the capacity and technical and financial resources of the NNNP to address escalating threats to the Park's biodiversity.

Goals of the Partnership:
To ensure the management and financing of the NNNP; protect its unique biological values; promote ecotourism and other sources of sustainable revenue; and contribute to the sustainable development of the local communities in the NNNP's buffer zone.



Key details

Type of CMP

Delegated

Size of the park

4,200 km²

CMP timeframe

2014 to 2039

Years to establish a CMP

1 year

Public partner:
Ministry of Forest Economy

Private/NGO partner:
Wildlife Conservation Society

Legal structure: Nouabalé-Ndoki Foundation (SPV)

Governance: Board of Trustees (2 from government; 3 from WCS; 2 from local NGO; 1 from Central Africa Protected Area Network; and 1 from Leadership Conservation Africa)

Revenues:
Revenue Retention: All revenue retained at park

Revenue Growth: \$2.9 million in 2014 to \$5.3 million in 2019

Lessons learned

Strong integration of CMP into national legal framework is key.

Equitable community representation on the Board is important.

Buffer zone should be included in the scope and extent of the CMP agreement.

Management

- Reduction in elephant poaching by 69 percent since 2017.
- 62 convictions of elephant poachers/traffickers (average 71 percent conviction rate), including landmark 30-year conviction in the criminal courts.
- Five-fold increase in revenue for the park with 20 percent from sustainable financing.

Community impact

- Village Development Fund established: health clinic, primary school, boreholes, and maternal center constructed

- Business training and enterprise development (i.e., community tourism).
- \$1,430,582 invested since 2016.

Tourism growth

- Agreement with Congo Conservation Company and the Ministry of Tourism signed in 2020 for ecotourism development. Concession agreement with the NNNP in preparation.

Operational budget

- \$2.7 million in 2014 to \$5.3 million in 2019.

Employment trends

- 76 permanent employees in 2014 to 196 in 2019 (95 percent local).
- 80 percent of local households employed by the park.

Wildlife growth

- Stable elephant population in the park since 2014 and stable great ape populations.

Simien Mountains National Park

Ethiopia

Figure D.8
Simien Mountains
NP Case Study

Why CMP?
SMNP was struggling with over-grazing by cattle keepers, fires, farming, and encroachment in the park; and EWCA lacked the budget to properly manage the park and sought support through partners.

Goals of the Partnership:
Establish SMNP as an effectively managed, self-sustaining park supported by local communities.



Key details

Type of CMP

Bilateral

Size of the park

412 km²

CMP timeframe

2018 to 2033

Years to establish a CMP

5 years

Public partner: Ethiopian Wildlife Conservation Authority

Private/NGO partner: African Wildlife Foundation

Legal structure: Each party retains own structure

Governance: Project Management Committee and National Steering Committee

Revenues:

Revenue Retention: No, all revenue goes to federal government

Revenue Growth: 2000: 11,290, 2019: 985, 890

Lessons learned

Government commitment at all levels and support is vital in all activities.

Local instability affects successful past and potential achievements.

Unplanned and external factors have a big impact on all programs.

Disaster and risk management is key for CMP projects.

Grassroots engagement in the development of park plans is key.

Management

- Removed from the World Heritage Site in Danger List.
- 73 percent of the habitat in the park free from grazing 2021, up from 30 percent in 2013.

Community impact

- 2018 partnership with KFW attracting \$13 million to SMNP.
- 100 percent of people employed in the park are Ethiopian; 99 percent from local community; all except one staff member for AWF are Ethiopian.
- Number of direct beneficiaries: 2000: 724, 2020: 18,867.

Tourism

- Limalimo lodge, 14 room high-end lodge, financed in part by AWF, with first conservation bed night fee in Ethiopia, funding the park and community.
- Village Ways, community-based trekking tourism product, financed in part by AWF, 55 percent revenue to local communities.

Tourism growth

- 5,000 visitors: 2005, >20,000 visitors: 2019.

Operational budget

- 100,000: 2017 to \$1 million: 2018 (per annum).

Employment trends

- Increase in rangers and employment in hospitality.
- Majority local employment.

Wildlife growth

- Ethiopian wolf increase: 55 in 2013 to 75 by 2021.
- Walia ibex increase: 585 in 2018 to 695 in 2021.



Yankari Game Reserve

Nigeria

Figure D.9
Yankari NP Case Study



Why CMP?

The government of Nigeria lacked adequate funding to protect and properly manage Yankari Game Reserve (YCG). Challenged with ivory and bushmeat poaching, and lack of community support, the government sought assistance through a partnership.



Goals of the Partnership:

To improve management, facilitate the protection of critically endangered wildlife, while contributing to the sustainable development of surrounding communities.



Key details

Type of CMP

Bilateral

Size of the park

2,244 km²

CMP timeframe

2014 to 2028

Years to establish a CMP

Less than 1 year

Public partner:

Bauchi State Ministry of Culture and Tourism (MCT)

Private/NGO partner:

Wildlife Conservation Society

Legal structure: Each party retains own structure

Governance: MCT is responsible for governance; WCS manages rangers

Revenues:

Revenue Retention: All tourism revenue is retained by MCT

Revenue Growth: WCS support: \$300,000 in 2016 to \$400,000 in 2021

Lessons learned

Community engagement is necessary for successful wildlife conservation.

Developing trust and relationships with government partners is key to ensuring effective management and successful conservation outcomes.

A zero-tolerance approach is required in cases of corruption.

Management

- Increased support for ranger patrols.
- Improved security and reduced corruption among rangers reducing illegal grazing and poaching.
- Increased anti-poaching patrol days.

Community impact

- A stabilization of the elephant population and an increased opportunity for growth of endangered lion populations can expand ecotourism opportunities.
- Multiple school outreach programs, including visits to the

park, are connecting communities with Yankari's importance in conservation.

- Establishment of Elephant Guardian program helps to prevent crop damage.
- Sustainable cook stoves provided to 692 women in 37 communities.

Tourism growth

- Road openings and bridge restorations have facilitated domestic tourism, which is still relatively low.

Operational budget

- Approximately \$3,000,000 has been invested since 2014.

Employment trends

- 100 staff, a majority from local communities.

Wildlife growth

- Stable elephant population; increased populations of buffalo, roan antelope, and hartebeest, 10-20 West African lions.

E. Description of CMP Models

The Toolkit focuses on three CMP models—bilateral, integrated, and delegated (the first two collectively referred to as co-management). For a description of financial and technical support see *Baghai et al. 2018*.

Table E.1
Bilateral, Integrated, and Delegated CMP Descriptions

Co-management		Delegated
Bilateral	Integrated	
Description		
The government authority and partner agree to co-manage the PA, frequently with two leaders, generally a government warden or conservator (park manager) and the partner’s technical advisor (TA) or manager (partner manager)	A joint entity and SPV (foundation, non-profit company) is created in the host country, and management is “delegated” from the government authority to that entity	A joint entity or SPV (foundation or non-profit company) is created in the host country
No independent entity is created to manage the park, except a management and/or oversight committee	Unlike the delegated model, this entity is characterized by 50-50 power-sharing, rather than being led by the partner	Management of the park is fully “delegated” from the government to the SPV
		The governance is shared, but authority for the PA management is allocated to the partner
Governance		
A governance body is created with representation from government and the partner	Board with 1:1 representation; often with co-chairs representing each party and/or each party chairs on a rotating basis	The partner appoints the majority of board members, including the chairperson There are examples, such as Odzala NP in the Republic of Congo, where the NGO nominates other representatives from civil society and the private sector, so the partner may not have the majority but their nominees represent the majority

Co-management		Delegated
Bilateral	Integrated	
Decision-making is by consensus	If there is an even number on the board, it may have an independent board member with particular technical expertise, a representative of a stakeholder community, or in the event of a tie, the casting vote may depend on the topic (for example, if it pertains to law enforcement, the PA authority has the casting vote, and if it pertains to funding, the partner may have the casting vote)	The government appoints a minority of board members
	The board appoints the senior executive management team	
Management		
The government typically appoints a PA manager, as is customary, with authority for the PA (Salonga CMP in the Democratic Republic of Congo is an exception where the NGO appoints the manager)	The PA management team is led by the PA manager, who is jointly selected by the parties	The partner appoints the park manager, after liaising with government
The PA manager works alongside the partner's manager on the ground	The PA manager's "second in command" is often someone from the wildlife authority, and specifically charged with overseeing law enforcement	The PA manager has authority over the PA, including hiring and firing of staff
Together the warden and TA form a management team (which may include other senior departmental staff as well)	The PA manager has authority over the PA, and in consultation with the senior management team, has the ability to hire, transfer, and discipline staff	The PA manager's "second in command" is often someone from the local wildlife authority
The two leaders collaborate, but may lead different departments on a daily basis	All PA authority staff are managed under the SPV. New contracts are issued to qualified staff under the SPV where appropriate and some government and NGO staff area seconded to the SPV Secondment is defined as when an employee is temporarily transferred to another department or organization for a temporary assignment	All PA authority staff are managed under the SPV. New contracts are issued to qualified staff under the SPV where appropriate and some government and NGO staff area seconded to the SPV
Generally, the PA manager is responsible for political representation, government and community relations, and law enforcement		
Generally, the partner's manager will take the lead on operational, planning, and technical activities		

Source: Baghai et al., 2018; Baghai 2016; Lindsey et al., 2021.

F. CMP Best Practice

When developing, managing, and ending a CMP, governments and partners should consider a number of best practice principles. These 24 core principles are based on best practice and organized under six core pillars: CMP Development; Nature of the Partnership; Governance; Administration; Operations; and Finance.

Table F.1
Six Core Pillars of CMP Best Practices

1. CMP Development • Attract a Qualified Partner • Confirm Adequate Funding and Capacity to Generate Finance • Develop the Contract Together • Clarify Roles and Responsibility	4. Administration • Unify Staffing • Determine Management Leadership • Align Policies and Procedures • Pre-plan Closure/Termination
2. Nature of the Partnership • Trust Between Partners • Buy-in at All Levels • Common Goals and Objectives • Respect Environmental and Social Standards	5. Operations • Develop Work Plans Together • Legitimize the Management Framework • Respect the Mandate of Law Enforcement • Effectively Engage Stakeholder Communities • Respect Transboundary Responsibility
3. Governance • Provide Adequate Duration and Outline Succession • Ensure Equitable Representation • Communicate the Partnership • Mitigate Risk	6. Finance • Build Towards Sustainability • Drive Enterprise Development • Manage Surplus/Deficit

Source: Adapted from Conservation Capital 2017.

1. CMP Development

a. Attract a Qualified Partner

The selection of a qualified partner with the requisite skills and experience is fundamental to the success of a CMP. Sections 5.5 and 5.7 outline a process for vetting and selecting a qualified partner. This is fundamental in any CMP. The PA authority is engaging in a CMP to fill certain gaps in their management structure. The very nature of a CMP is to provide a value addition to the PA authority; therefore, the PA authority should be clear on the objectives and the skills needed to achieve these objectives in order to select the appropriate partner.

b. Confirm Adequate Funding and Capacity to Generate Finance

The ability to financially execute a management agreement is fundamental to its success. Developing a proper CMP can take years. Going through this process only to later find that there is not adequate funding or the ability to generate revenue wastes already strained resources. As part of the partner selection process outlined in Sections 5.5 and 5.7, there should be due diligence and verification of start-up funding. Partners should provide documentation of verifiable donor pledges for start-up funding. The "intention" to approach certain donors is not adequate. Longer term funding will also be generated by the business plan and revenue development model; therefore, the quality of the business plan (see *Appendix J*) as well as the partners' capacity to execute revenue models is a key aspect of partner due diligence.

c. Develop Contracts Together

Contracts should be developed collectively to foster collaboration, develop joint ownership, and avoid confusion over content. Governments and partners should try to develop CMP templates that based on contract best practice that can be adapted for the focal PA. It is important that principles are clearly agreed on between the partners, and that there are appropriate contractual terms around those principles. From there, a contract can be adapted to particular circumstances. Each partner needs to be comfortable and fully aware of the content of the contract. Joint-development and discussion provides clarity on why certain aspects are included in the agreement and can help avoid unnecessary delays due to misinterpretation.

d. Clarify Roles and Responsibilities

CMP agreements must be explicitly clear about roles, responsibility, reporting lines, and accountability to avoid confusion and conflict. (*Appendix P* includes a description of roles and responsibilities to include in the contract.) One of the greatest sources of conflicts in CMP is confusion over roles and responsibilities.

Responsibility and ownership of assets is a key issue to clarity at the onset of the partnership, including the basis upon which existing and new movable and immoveable operating assets will be treated at the commencement, during, and the end of the term. Recommendations for how this is managed are included in *Appendix P*.

2. Nature of the Partnership

a. Trust Between Partners

CMPs can have solid contracts, suitable funding, and a highly experienced partner. However, if there is not trust between the partners, it simply will not work. Developing trust takes time. This can be developed while a partner provides technical and financial support or during the development of the CMP agreement. Mechanisms should be put in place to quickly mitigate conflict that might lead to mistrust between the partners.

b. Buy-in at All Levels

Transparency and open discussion about the CMP development process is critical to ensuring buy-in at all levels. A CMP driven from the top (ministry or even higher) without buy-in at local level risks operational challenges and the undermining of the partnership in the field. Given hierarchies within wildlife authorities, the field teams may not communicate their concerns, but can very easily undercut the partnership in the field. Likewise, a CMP driven from the PA level or by a donor without legitimate buy-in from HQ risks political meddling. Transparency and open discussion about the goals, process, and means of measuring success is vital and will help avoid conflict. In addition, written endorsements from various levels within government will help document consultation and communication.

Sometimes there is a sense that because a CMP is in place, the government does not need to do much. Government's role and ability to support CMPs — even delegated ones — is critical. This can be political support, fundraising support, providing permissions and legal approvals for

import of equipment, and work permits. All of this requires support and buy-in.

c. Common Goals and Objectives

Both parties need to be moving toward the same objectives and goals and share a common vision. This underpins the operations and the direction of the partnership. The government wants to select a partner who shares its mission and ethos. If for example, the government wants to use a CMP to build internal capacity, they want a partner who believes this is the best approach for the PA and is not going to undermine this to maintain presence. The partners should discuss a shared vision and these aspects should be documented in the CMP agreement. Targets and indicators of success should reflect these common goals and objectives. In addition, the specific goals and objectives should be included in the GMP.

d. Respect ESS

ESS are a set of policies, standards and operational procedures designed to first identify and then, following the standard mitigation hierarchy, try to avoid, minimize, mitigate, and compensate when necessary adverse environmental and social impacts that may arise in the implementation of a project. The partners should jointly agree on a comprehensive framework that enables staff and project developers and managers to clearly identify, avoid, minimize, and mitigate social and environmental adverse impacts (see Chapter 6).

3. Governance

a. Provide Adequate Duration and Outline Succession

The duration of the CMP depends on the PA and the PA authority goals. A CMP can be used as an interim (15-20 year) management tool to help a PA authority develop capacity along with the systems and structures needed for the PA authority to run the PA in the long-term. Alternatively, a government may view a CMP as a long-term and in some cases a more permanent solution, without the intention of evolving the PA management back to the PA authority. This decision is vested with the government for national PAs and either way, intentions should be explicit in the beginning of the partnership to avoid confusion and to ensure proper planning. This dynamic may shift during the life of a CMP and the decision around this should be guided by clear goals and objectives and effective monitoring and evaluation of the partnership and its attainment of clear targets.

Where CMPs are envisioned as an interim tool to build the management framework of the PA and the capacity of the PA authority, a clear timeline and measurable indicators should be outlined to ensure the public sector partner is fully equipped to resume full management control. The duration of this is dependent upon the local context and a number of factors such as conflict, political unrest, corruption, ease of doing business, and lack of funding mechanisms apart from donor funding. Establishing a realistic timeline for each particular PA is important when developing a CMP.

A clear timeline with indicators will also help ensure accountability by all parties. While the PA authority may opt for a long-term or even

permanent CMP, they should consider that the long-term devolution of management responsibility to a partner may reduce the incentive for the public sector partner to engage in, or support, the development of conservation related financing initiatives that will foster economic sustainability.

In general, 15 to 20 years is recommended as a minimum. This provides adequate time to attract funding and investment, create SOPs, stabilize operations and transition management if this is the plan. Figure 3.4 is a hypothetical timeline for a CMP in a PA that is highly degraded.

b. Ensure Equitable Representation

Equitable representation on the governing board or committee of the CMP is paramount. No one party wishes to be or feel dominated by the other. A national PA is a public asset and therefore a sovereign matter with the state PA authority often reluctant to relinquish too much control. Nonetheless, the partner is bringing significant finances to the CMP, which requires a justifiable equitable stake, and in the case where the government opts for a delegated management model, often times the private partner has the casting vote. Nonetheless, every effort should be made to reach decisions by consensus, without relying on the casting vote.

The issue of representation, beyond the number of seats held by each party on the governance board, often manifests itself in the position of the board chair. One option is for the public partner to hold the position of chair within a minority of the board. The private partner holds the majority and therefore if consensus is not reached, holds the balance of power should a decision go to a vote. Another option is inclusion of an independent board chair, with expertise, influence, and a commitment to conservation,

who hails from neither the public nor the private partner.

Where there is equal representation between the private and public partners:

- The board or committee should strive for consensus (with or without equal representation), whereby voting is avoided and matters are deliberated until a decision is mutually agreed and consensus is reached. This can certainly take time.
- The two parties jointly identify and nominate an independent person with relevant skills and expertise as chair, effectively acting as a neutral broker between the parties.
- Each party appoints a co-chair, which alternates at meetings. In the event the board fails to reach consensus on an issue, the two co-chairs should have the power to deliberate and decide the matter. If the matter still remains unresolved at this point, power of veto can be assigned to each party on particular matters, i.e., the public sector partner over matters pertaining to conservation policy or law enforcement (respecting the government's ultimate authority over these matters) and the partner over matters pertaining to finance (recognizing that this party will be charged with primary financing responsibility). While not the norm in the corporate world, this option does meet the representation needs of the two parties. However, ideally in time, this arrangement can evolve as the working relationship, trust, and confidence between the parties embeds itself to the point where the parties agree to appoint one chairperson.

c. *Communicate the Partnership*

There is a responsibility of both parties (public and private) to effectively communicate, internally and externally, about the establishment

and operations of the CMP. This includes communication across the apparatus of the national government, so other ministries and civil service are fully informed and aware; regional/provincial authorities; and local/district authorities. It also encompasses local communities and traditional authorities.

Too often communication is lacking and misunderstandings and misperceptions arise as a result. This can manifest itself whereby other arms of government and the public at large do not realize that this is a partnership with government through its PA authority and erroneously conclude that the partner is the sole manager of the PA. This can create rumors, falsehoods, and negative political dynamics that undermine the actual partnership.

Effective and joint communication is an ongoing process through the life of the CMP and is not a one-off activity at inception. The process of communication is initiated first by the government authority when they start to consider CMPs and engage in a consultative process with key stakeholders. Once the CMP is in place, it should be a specific responsibility of the board to oversee and facilitate this communication ensuring that there is reasonable, regular communication to government ministries and authorities, local communities, and traditional leadership. The board

can task management of this communication to a member of the senior management team and this should be guided by a communication strategy that is approved by both partners.

While seemingly superficial, appropriate branding of the partnership is essential and is one means to effectively highlight in particular the public sector involvement in the partnership. All communications materials, including correspondence, should include specific reference to the public and private sector entities involved, and a logo for the CMP should adequately depict the partnership between the two partners (see Figure F.1)

d. *Mitigate Risk*

Minimizing inappropriate risk and liability is critical for a CMP and the individuals involved. If this is not achieved, one or either of the parties, its directors/trustees, and employees can be exposed to unacceptable levels of institutional and/or personal risk, which can result in legal and/or criminal proceedings. Such risk can also deter investment and donor funding. Moreover, it is also the fiduciary responsibility of a board to protect its partners, directors/trustees, and employees from unacceptable levels of public and personal liability.

This is especially important for the partner that is potentially exposed to a range of risks, which may not affect the public sector partner because of indemnification. Law enforcement is a case in point, where the private partner could be held liable for the injury or death of a staff member or a member of the public as a result of anti-poaching operations. This brings serious reputational risk.

Determining the appropriate corporate arrangement or structure for a CMP in light of this risk and liability is essential. Maximizing the

Figure F.1
CMP Project Logo Example



protection of the partnership, and therefore its mission, will require consideration of corporate options that have not been commonly applied in the conservation sector; for example, a company limited by guarantee, a company limited by shares, or even a hybrid structure involving a trust and a company. In addition, a risk analysis should be completed by the partner as part of the partnership development process and reviewed and updated annually.

4. Administration

a. Unify Staffing

The ideal CMP should form and represent one single, unified structure of staffing instead of two parallel and separate staffing arrangements under each partner. This creates efficiencies, clear hierarchy and line management responsibility, streamlined communication, and builds a team spirit under uniform standards, procedures, and policies. Conversely, maintaining parallel, but separate staffing structures of the two parties in a bilateral CMP can result in division and at worst, resentment, and tension. If bilateral structures are in place in a CMP, the partners should work to mirror standards, procedures, and policies to the extent possible and clearly outline roles and responsibilities to avoid any confusion.

Establishing a unified staffing structure can be achieved through planned and coordinated secondment of staff by the parties to one of the partners or direct employment in the event of a dedicated SPV. It is essential that within this unified staff structure that no staff receives instructions from, or reports separately to either of the parties individually, but adheres to the agreed line management and reporting structure of the CMP.

b. Determine Management Leadership

Like most field-based programs, the caliber of executive leadership will very often be the deciding factor of success or failure of a CMP. The board should be responsible for appointing the senior executive management positions, including a chief executive officer (CEO) (in the event of a joint entity), either from nominated employees from each party under secondment or through direct recruitment. The manager is a pivotal appointment requiring an individual with skills in:

- administration
- financial management
- fundraising
- communications
- enterprise development
- PA management knowledge/experience

Best practice also recommends that the senior position responsible for law enforcement be seconded from the state PA authority. The senior leader must fully believe in the mission of the CMP and support the ultimate goal of building the capacity of the PA authority. They must have practical management experience in a PA and a sincere interest in and respect for differing opinions and cultures.

The resultant senior management team should be tasked with the appointment of all remaining staff (under a board-approved staff organizational chart for the PA) through the vetting and selection of proposed staff for secondment and where necessary direct recruitment. The senior management team, based upon approved human resource management procedures, shall have this responsibility to hire and appoint staff, and to dismiss. In the event of a dismissal of a seconded staff, the individual concerned would return to direct administration by his/her employer (one of

the parties) and for further disciplinary action and/or redeployment elsewhere.

Without the ability to influence leadership in the PA, financial and technical support and bilateral partnerships can be hamstrung by a leader that lacks capacity and underperforms.

c. Align Policies and Procedures

Senior management will be required to develop policies and procedures related to, amongst others, human resources, finance, and procurement. To ensure harmonization (and as an important feature for future succession), it is recommended that these policies and procedures, and subsequent manuals, be based on and adapted from government policies and procedures.

In an integrated CMP, both partners are responsible for following these policies and procedures. In a bilateral CMP, each partner may have their own policies and procedures; however, the partners should outline unified and guiding policies and procedures to ensure streamlining and consistency of operations.

d. Pre-plan Closure / Termination

In the event a CMP either fulfills its tenure or is dissolved by mutual consent prematurely or terminated due to a breach or non-performance of one partner, it is essential the parties pre-agree and understand at the outset a clear and thorough procedure for wind-up of the partnership. It is especially important to outline steps to deal, inter alia, with staff, assets, monies, liabilities, and ongoing third-party contracts and agreements. A lack of clarity over these matters can lead to discourse and disagreement between the parties at the time of closure or termination.

This procedure should address, for example, the following:

- What happens to staff directly employed (i.e., not seconded) by the partnership.
- How finances are reconciled and the process of dealing with balances held.
- How existing donor grants are managed.
- What happens to any financial liabilities at the time of closure; what and how assets are transferred and accordingly how asset insurance is addressed.
- What effect closure has on existing third-party contracts and agreements, such as contracts for tourism facilities and concessions.

Appendix P includes details of each of these aspects and how to incorporate them into a CMP contract.

5. Operations

a. Develop Work Plans Together

Developing the annual work plan together is efficient, draws on the expertise of both parties, creates a sense of ownership by both parties, and is a useful way of cross-pollinating technical skills into the public partner agency. Partners should develop an annual schedule that includes the review of the prior year's achievements against the work plan and the development of the subsequent year's work plan. This will also create awareness and transparency around budgets and create joint accountability. In situations where the private partner drives the annual work plan development and "hands" this to the public partner, this creates resentment and often leads to conflict. Likewise, when the PA authority develops the work plan and "hands" this to the private partner, there may be some management decisions required by the state that the private

partner is not aware of and can lead to misinterpretation. A CMP is a partnership. Therefore, planning should be done together.

b. Legitimize the Management Framework

The management and development of a PA by a CMP must be set within the legal framework of the host country. This will ensure that subsequent management and development subscribes to the prevailing policies, legislation, and regulations of the state.

A general management plan and related business plan for a PA provides a management framework. A GMP is established under PA and wildlife conservation law as the required and accepted instrument to frame the management and development of a PA and to implement relevant government policy. A GMP needs to be approved and ratified by the government, in some cases through ministerial endorsement. Once this is achieved, a GMP becomes in almost all jurisdictions a legal instrument.

Consequently, a CMP operating within the framework of a ratified GMP is implementing a legal instrument of government and is in turn implementing and subscribing to prevailing policy, legislative, and regulatory frameworks. This establishes legitimacy for the CMP beyond the endorsement and ratification of the CMP agreement.

c. Respect the Mandate of Law Enforcement

Law enforcement and security is a function of the state, and this is a dynamic that must be proactively respected within any CMP arrangement. Law enforcement undertaken by the private partner without the requisite legal authorization

can pose serious liability for the private partner. This could result in criminal prosecution of staff of the private partner. It also risks serious misinterpretation and misperception around the private partner's involvement with this function. It can be perceived as being solely conducted by the private partner, and accusations that the private partner is effectively operating a private militia can and have arisen. This is politically dangerous and can disrupt the partnership.

The law enforcement mandate of the government should be respected and remain vested with the state within a CMP. This can be achieved through the secondment of law enforcement staff from the PA authority to the SPV, thereby retaining the state as employer and their employees as law enforcement officers with the powers of: search, arrest, confiscation, etc.; the ability to carry more sophisticated (semi-automatic and automatic) firearms; and provide the necessary indemnity. However, they still report through the SPV, supporting a unified structure. Equally, the state can legally grant selected private partner employers involved with law enforcement with the necessary status, such as honorary rangers or police reservists, to conduct law enforcement with similar powers and protection. There are examples of CMPs that are in remote and insecure regions where the private partner has been delegated full oversight of law enforcement by the government, given the situation on the ground.

d. Effectively Engage Stakeholder Communities

Local communities are almost always primary stakeholders and beneficiaries of a PA. Engagement and liaison with these communities cannot be separated from the PA. To do so would isolate and potentially alienate neighboring communities. Furthermore, primary engagement

should not be conducted by a third party or be undertaken in parallel with the CMP. This can conflict with the strategy, objectives, and activities of the PA; cause confusion and tension; create inconsistency; and potentially duplicate effort.

It is, therefore, critical that the CMP be mandated to have primary responsibility to engage with identified neighboring communities over related conservation and livelihood activities; and to establish the necessary partnerships with local government and civil society organizations (if required) to promote and drive these programs. To this end, the CMP will need a dedicated community liaison or outreach department within its staffing structure.

In this regard, it is important that these “neighboring communities” be clearly identified and defined within a CMP arrangements and the geographical parameters of its engagement with these communities are agreed and communicated.

Partners should consider representation of the neighboring communities within their governance structure, either the Board of the CMP Governance body or the advisory committee, in instances where communities are key stakeholders. This was done, for example, in Niger for the CMP in Termit and Tin-Toumma National Nature Reserve and in the Republic of Congo for the CMP in Odzala-Kokoua NP. This will enhance communication between key stakeholders, garner support from the local community, and enable the CMP to take advantage of local knowledge. Local communities know the landscape, understand the threats, and know the dynamics taking place within the local areas. This would be an asset to the CMP.

e. Respect Transboundary Responsibility

When a PA is part of a TFCA, engagement with international neighbors and their PA authority is a sovereign matter; therefore, the designated state authority should continue to be the lead agency in international communication and coordination relating to the TFCA.

It is important that the private partner be kept abreast of TFCA matters so that it can contribute fully to the development and success of the TFCA. Accordingly, the state designated authority should copy relevant senior executive staff of the private partner into correspondence pertaining to the TFCA, and should invite these staff to attend meetings, workshops, and other events relating to the TFCA.

6. Finance

a. Build Towards Sustainability

Striving for financial sustainability of a PA is a key objective and motivation of a CMP. Reversing the norm of PAs as loss centers and creating the revenues to support improved conservation management are important drivers. Building the commercial basis towards financial sustainability will also help fuel the local rural economy and provide tax revenues to the government, creating incentives that can make a PA both socially and politically relevant. Co-investment by governments helps to leverage funding as it demonstrates a seriousness on the part of the government and helps to build sustainability.

In this regard, it is recommended that the CMP retain revenue generated from the PA to support its operating costs, and over time to reduce and ideally eliminate the need for donor financing over the long term. Such an arrangement will create a

cost center and be highly attractive to investors and donors in the short to medium term when such finance will be necessary. Furthermore, recognizing that the private partner will bear the bulk of the responsibility for financial investment and support to the PA, this will create an important incentive for the private partner to build the commercial revenue side of the PA, as it will reduce the scale of operational shortfalls that it will be required to fund. While striving for sustainability and reducing the funding gap is critical, it is important to acknowledge that all PAs in Africa are subsidized and many, despite best efforts, will not attain financial sustainability because of remoteness, lack of enabling conditions, and inability to tap into commercial opportunities. Establishing clear and realistic financial targets is important to not raise unrealistic expectations.

b. Drive Enterprise Development

Linked to the preceding principle, the CMP must be central to driving enterprise development within the PA and be given the requisite mandate to promote and develop such conservation enterprise. This includes being centrally involved in and/or managing the tendering, awarding, and contracting of enterprise and related concessions. Enterprise development is a specific skillset the PA authority should look for when selecting potential partners.

c. Manage Surplus/Deficit

The partners in a CMP need a clear understanding at the outset of their obligations/rights in the event of operating surpluses and deficits. Determination of a projected surplus and shortfall needs to be framed within approved (by the board) and fixed annual budgets, so that expenditure is controlled and remains within reasonable, acceptable limits.

To create additional incentives for the state PA authority to support and facilitate the generation of commercial revenue streams for the PA, consideration should be given for the conditional release of annual operating income surpluses (essentially a form of “dividend”) to the PA authority. The following is recommended for the dividend:

- *Operating Risk Reserve*—Distribution only after a reserve fund is established. A reserve fund should have enough funding to maintain the PA management operations for at least two years. When the reserve fund can be used should be defined in the CMP agreement and will include events such as disease (i.e., the COVID-19 pandemic) or conflict.
- *Stabilization Period*—Distribution only after a fixed period (i.e., five years) following the inception of the CMP concerned. This acknowledges that the first five years (more or less depending on the local context) of a CMP will fundamentally be a development phase with significant capital development investment/expenditure and promotion/establishment of the enterprise base that will drive future revenue. Distribution only when the annual surplus of operating income, which should be defined as arising purely from commercial revenues and should expressly exclude any donor income and after provisions are made for capital expenditures (CAPEX), for any given year exceeds (50 percent) of the previous year’s operating expenditure budget. That the undistributed surplus (below the 50 percent threshold) is carried forward as operating reserves.

Equally, in preparation and in the event of operating deficits the public sector partner needs to agree from the outset its financial annual obligation. Ideally, this contribution for simplicity’s sake

should be a fixed annual amount and targeted and ring-fenced for specific operating costs, such as payment of salaries of the state PA authority employees or seconded staff. Consequently, the private partner will be clear on its obligations to meet the resultant shortfall against an approved annual operating budget as well as its undertaking to fulfill capital development requirements.

Source: Adapted from Lindsey et al. 2020; Baghai et al. 2018; Conservation Capital 2017; consultation with CMP partners.

G. CMPs in Madagascar

Madagascar's terrestrial and marine ecosystems are a global conservation priority with unparalleled endemism rates at species and higher taxonomic levels (Waeber et al. 2019). In 2003, Madagascar committed to tripling the extent of the country's PA network, from under 2 million to 6 million hectares (covering approximately 10 percent of the national territory), under its Durban Vision, Vth World Parks Congress. By 2016, PA coverage in the country had quadrupled, from 1.7 million to 7.1 million hectares (Gardner et al. 2018; Rajaspora et al. 2011). To ensure the management of the PA estate, the government actively pursued management partnerships.

Madagascar's PA network includes 147 nationally designated PAs⁷¹, of which the ministry responsible for environment directly manages 15; Madagascar National Parks (MNP) (a parastatal organization) manages 43; and the rest are managed in partnership with national and international NGOs, and local communities (Gardner et al. 2018).

All non-MNP and ministry managed PAs have a legally recognized partner (referred to as a promoter), an international or Malagasy NGO (also universities, mining companies, and private individuals), and are generally governed through a shared governance arrangement incorporating regional authorities and local communities through community-based associations referred to as VOIs (Vondron'Olona Ifotany). The partners are considered as delegated managers of the PA

on behalf of the government. These governance structures have evolved iteratively with the initial management plans at many sites outlining community management with partner NGOs or agencies playing a supporting role. In practice, due to lack of capacity and resources, partners are de facto co-managers, providing funds, technical capacity, and guidance (Waeber et al. 2019).

There are also formal management agreements in place with NGO partners. For example:

- Peregrine Fund Madagascar manages four PAs, including the Tsimembo Manambolomaty complex.
- WWF manages four protected areas.
- WCS has delegated management of Makira Natural Park, in the MaMaBay landscape/seascape northeast of Madagascar.
- Conservation International has delegated management of the Ankeniheny-Zahamena corridor and the Ambositra-Vondrozo and the Ambodivahibe Marine PA.

Approximately 12 percent of Madagascar's GDP is supported by tourism and 80 percent of the visitors come to visit PAs. Despite the innovation around PA governance and collaborative management, Madagascar's biological diversity is severely threatened by high rates of deforestation (driven by shifting cultivation, charcoal production, artisanal and industrial mining, bushmeat poaching, and over-harvesting of varied resources), resulting in significant species decline and threats of extinction (Gardner et al. 2018).

Currently, there are over 1 million hectares of PAs (26 sites) of "paper parks" that are not managed (Razafison and Vyawahare 2020).

71. For information on PAs in Madagascar, visit Protected Planet at <https://www.protectedplanet.net/country/MDG>

H. Contractual Parks in South Africa

South Africa's apartheid policy introduced in 1958 affected every aspect of the lives of black South Africans—including where they could live and what they could own. In 1994, when Nelson Mandela was elected president, white people owned most of the land, while making up a minority of the population. That same year, the Land Reform Program was launched with an aim of developing equitable and sustainable mechanisms of land redistribution, and to rectify the centuries of discrimination against black South Africans. Along with the Land Reform Program, policies were passed to provide more opportunities for black South Africans to gain access and legal rights to land (Bosch, 2002/2003; Fitzgerald 2010). The Land Reform Program, still in effect today, has three primary aspects: land restitution/land claims; land tenure reform; and redistribution (Fitzgerald 2010).

At the same time, South Africa recognized the value of its PA system and sought creative mechanisms to secure and expand its PA network, while honoring the Land Reform Program. This resulted in a number of contractual parks, which are CMPs between communities, private landowners, and the national PA authority, SANParks. For example, the Kalahari Gemsbok NP (now Kgalagadi Transfrontier Park) is a CMP between the ǀKhomani San and Mier communities and SANParks. The ownership of land is shared between the communities and management is delegated to SANParks. A joint management board (JMB) comprising three SANParks officials and three to five representatives of both the San

and the Mier communities oversees the management (Grossman and Holden n.d.).

The Makuleke Contractual Park (see *Appendix D*, Figure D.6) was created in 1999 and is viewed as a successful innovative solution that is a win-win for conservation and communities. In 1969, the Makuleke community was removed from its land, which was added to Kruger National Park. As part of South Africa's land restitution process, the Makuleke regained title to their 24,000 hectares in 1998, and in 1999, the community created a contractual park by signing a 50-year delegated CMP agreement with SANParks (Fitzgerald 2010).

The land title is held by the Makuleke Community Property Association, which delegated management to SANParks. The Makuleke, in return, guarantee to use the land in a way that is compatible with the protection of wildlife and if the community wishes to sell, they have to offer it to the state first. A JMB has three representatives from each party and oversees the management decisions. The chair rotates annually and decision-making is by consensus (Bosch D. n.d.; Collins 2021).

The Makuleke have full rights to commercialize their land by entering partnerships with the private sector to build and operate game lodges that are consistent with the conservation management policies of the JMB. The Makuleke oversee tourism, while SANParks oversees conservation management (Collins 2021).

With the call by scientists and conservationists to increase global land and water conservation targets, CMPs present a practical and innovative model to ensure that communities are able to optimize the economic opportunities on their land if they lack the capacity and resources to do so on their own.

I. Steps to Identify, Screen, Prepare, and Establish a CMP

Throughout the Toolkit there are links to useful references, checklists, and tools. This checklist includes the steps and some of the tools.

Table I.1
Steps to Identify, Screen, Prepare, and Establish a CMP

Process	Chapter	Section	Step	Tool	Complete
Identify and Screen CMPs	4	4.1	Government decision to engage in a CMP	Figure 4.1 Decision matrix tool	☒
		4.2	Legal review		☒
		4.3	Review agency goals and targets		☒
			Develop PA authority strategy		☒
		4.4	Screen and select potential PAs for CMPs	Table 4.2 Sample tool for PA selection	☒
			Natural resource inventory		☒
			PA threat analysis	Figure 4.6 Sample threat analysis	☒
			Performance audit		☒
			Risk analysis	Box 5.1 Risk management	☒
		4.5	Screen and select CMP models	Figure 4.8 CMP model selection tool	☒
		4.6	Review regional plans		☒

Process	Chapter	Section	Step	Tool	Complete
Prepare for Establishing a CMP	5	5.1	Complete a feasibility study		☒
		5.2	Determine the management partner selection process	Table 5.2. Different mechanisms that might be used by a PA authority to establish a CMP	☒
		5.3	Pre-tendering stakeholder engagement	Figure 5.3. Six-step guide to community engagement in CMPs	☒
		5.4	Formation of a proposal evaluation committee		☒
		5.5	Determine partner criteria	Sample partner criteria	☒
		5.6	Prepare tendering materials	Figure 5.5, and Appendices J and L. Sample tendering materials	☒
		5.7	Tender process and selection of partner	Figure 5.6. Tendering process steps and Resource Box 5.2	☒
		5.7	Expression of Interest	Table 5.3 and Appendix M. Key components that should be included in an EOI	☒
				Appendix N. EOI evaluation form	☒
		5.7	PEC reviews EOI against criteria, invites full proposals, support site visits	Table 5.4 and Appendix O. Details to include in a full bid	☒
		5.7	Partner selection process		☒
Contract and Manage CMP	5	5.8	Contract development	Table 5.5. Standard headings in a CMP contract and Appendix P. Key aspects to include in a CMP contract	☒
		5.9	Contract management and monitoring		☒
Environmental and Social Standards	6	6.0	ESS	Box 6.4. ESS and CMP Checklist	☒

J. Sample Business Plans for CMP Bids and Planning

The CMP partner will submit a detailed business plan for PA management and community development as part of their bid. This will include operational costs, capital expenditures, and projected revenue. The business plan will guide the CMP and should be linked to an existing GMP

if that is in place. If a GMP is not in place, the CMP partner will need to identify conservation targets and strategies to secure these targets. The inclusion of a business plan in the bid will enable the PA authority to assess familiarity with the PA, level of expertise in PA budget planning,

and innovation around potential revenue sources. Below are resources on PA business plans and a sample business plan.

Sample Business Plan

Conservation Capital⁷² developed a conservation area (term used interchangeably with PA) business planning (CABP) framework to assess the context and identify conservation needs and priorities of focal landscapes, consider commercial revenue development opportunities, and propose the institutional structuring required to optimize management performance and related revenue generation. Conservation Capital developed this methodology to help PA authorities and community and private landowners develop more financially efficient and sustainable approaches to managing PAs. This methodology provides a framework to address the operational cost side of management as well as potential revenue development, and assesses optimal management, commercial, and governance structures.

The CABP is driven by three primary considerations (see Figure J.1):

- Needs of the underlying conservation context
- Need for supporting conservancy management actions
- Opportunity for commercial enterprise-based revenue opportunities

Resource Box J.1 Conservation Area Business Plans Tools

1. MedPAN Protected Area Business Planning Tool

An online Excel planning tool for PAs was developed by the Network of Marine Protected Areas managers in the Mediterranean (MedPAN), WWF, UN Environment Programme, the Regional Activity Centre for Specially Protected Areas, and the Mediterranean Action Plan Barcelona Convention with Vertigo Lab and updated in 2020 by Blue Seeds.

<https://drive.google.com/file/d/18ytAEWMCjbELggoAAFq5TOMsRSqSGBjC/view>

2. Protected Area Business Plan Database

The government of Seychelles, UN Development Programme, Global Environment Facility Protected Area Finance and Outer Islands projects developed a database containing over 40 examples of terrestrial and marine protected area business plans from around the world and guidelines for their development.

<https://www.dropbox.com/sh/h5xb8vgl6tytvif/AABjU4MSEWqorDygFINO0RZMa?dl=0>

3. Financial Planning Spreadsheet for Activity-based Costing in Protected Areas

The Nature Conservancy; Conservation Gateway

An Excel planning tool for PAs.

<https://www.conservationgateway.org/Files/Pages/financial-planning-spread.aspx>

4. Guide for Preparing Simplified Business Plans for Protected Areas

Benjamin Landreau and Charlotte Karibuhoye, 2012

<http://www.nbsapforum.net/sites/default/files/Guidebook%20for%20the%20Development%20of%20Simplified%20Business%20Plans%20for%20Protected%20Areas.pdf>

72. For information about Conservation Capital, visit <https://www.conservation-capital.com/>

Figure J.1
Three Primary Considerations of a CABP

What is the conservation context and what are the key conservation goals?

- What are the key conservation values in the area?
- What are the most significant conservation threats?
- What are the current conservation priorities?
- What is the wider conservation context in which the conservancy exists?
- What strategies are already in place to address the needs of the conservation context?

What management and actions are required to achieve these goals?

- What are the likely management requirements and priorities?
- How can management be optimally delivered from a cost perspective?
- What are the likely financial, administration, and human resources requirements?
- What are the critical partnerships to deliver this and how can these be achieved?
- What are the key community dynamics and how can these be managed?

What revenue generation opportunities are available to support the required management actions?

- How can conservation businesses (tourism and other third-party enterprises) be optimized?
- What commercial/revenue options are available to achieve this?
- How should revenue be managed internally between management and landowners?
- What (if any) other sources of finance are available?
- Includes review and consultation with existing and potential enterprise partners

Source: Conservation Capital 2018.

A CABP provides a plan that includes the overall conservation outcomes that the relevant entity seeks to achieve, the strategies, activities, and resources needed to achieve them, and how to measure and share progress. Development of a CABP is an involving exercise that typically includes:

- Status and situational assessment of the PA.
- Review of existing plans, strategies, and other documents.
- Defining desired outcomes and key indicators.
- Defining the goals and strategies to achieve this, and specific actions.
- Capacity assessment of the CA team's experience and qualifications, and any additional capacity needed and how this could be addressed. This may include the role of partners critical to strategy execution.
- Specific funding and other investment requirements.
- Development of specific performance measures.

Part of the CABP is a detailed budget that includes four key sections:

- Operational costs
- Capital expenditure costs
- Revenue
- Combined cost and revenue

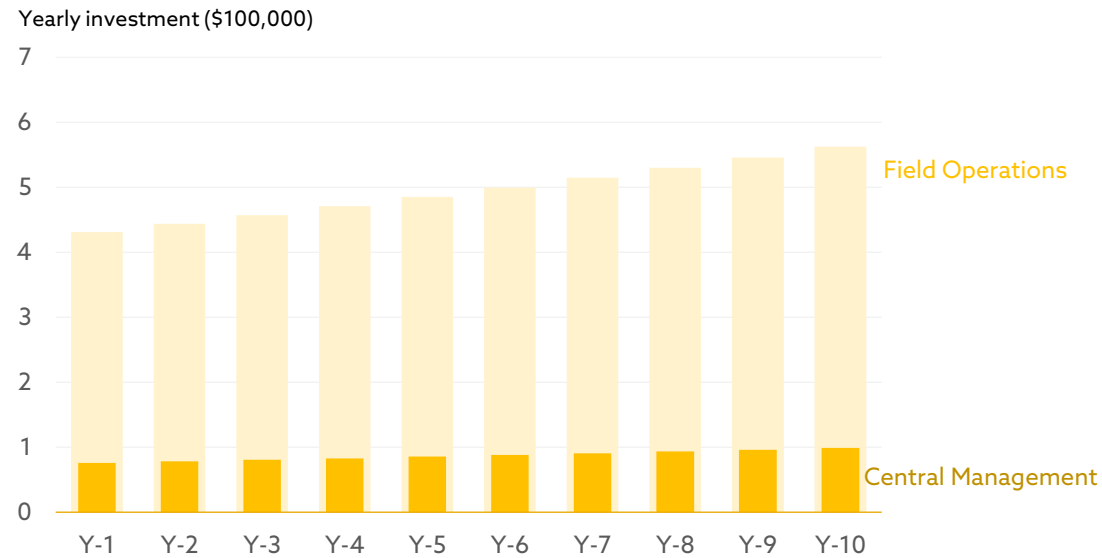
PA Operational costs (OPEX) are broken down in two ways—management categories (seven in the top section of Table J.1) and activity categories (field and central management, bottom section of Table J.1). There are detailed budgets for each management and activity category. Table J.1 is the summary.

Table J.1
Sample 10-year Operational Expenditures Investment Budget

Management Categories	Y-1	Y-2	Y-3	Y-4	Y-5	Y-6	Y-7	Y-8	Y-9	Y-10	Total %		
Staff Costs	\$ 320,202	\$ 329,808	\$ 339,703	\$ 349,894	\$ 360,390	\$ 371,202	\$ 382,338	\$ 393,808	\$ 405,623	\$ 417,791		\$ 3,670,760	
Fleet Management	\$ 71,767	\$ 73,920	\$ 76,138	\$ 78,422	\$ 80,775	\$ 83,198	\$ 85,694	\$ 88,265	\$ 90,913	\$ 93,640		\$ 822,731	
Conservation & Anti-Poaching	\$ 36,316	\$ 37,405	\$ 38,527	\$ 39,683	\$ 40,874	\$ 42,100	\$ 43,363	\$ 44,664	\$ 46,004	\$ 47,384		\$ 416,320	
Field Support	\$ 32,201	\$ 33,167	\$ 34,162	\$ 35,186	\$ 36,242	\$ 37,329	\$ 38,449	\$ 39,603	\$ 40,791	\$ 42,014		\$ 369,144	
Administration	\$ 26,135	\$ 26,919	\$ 27,727	\$ 28,558	\$ 29,415	\$ 30,298	\$ 31,206	\$ 32,143	\$ 33,107	\$ 34,100		\$ 299,608	
Business Management	\$ 12,750	\$ 13,133	\$ 13,526	\$ 13,932	\$ 14,350	\$ 14,781	\$ 15,224	\$ 15,681	\$ 16,151	\$ 16,636		\$ 146,164	
Community Engagement	\$ 7,599	\$ 7,827	\$ 8,062	\$ 8,304	\$ 8,553	\$ 8,809	\$ 9,074	\$ 9,346	\$ 9,626	\$ 9,915		\$ 87,114	
Total	\$ 506,970	\$ 522,179	\$ 537,844	\$ 553,980	\$ 570,599	\$ 587,717	\$ 605,348	\$ 623,509	\$ 642,214	\$ 661,481		\$ 5,811,840	100%
Activity Categories													
Field Operations	Y-1	Y-2	Y-3	Y-4	Y-5	Y-6	Y-7	Y-8	Y-9	Y-10	Total %		
Law Enforcement	\$ 203,573	\$ 209,680	\$ 215,970	\$ 222,449	\$ 229,123	\$ 235,996	\$ 243,076	\$ 250,369	\$ 257,880	\$ 265,616		\$ 2,333,731	
Transport & Logistics	\$ 114,485	\$ 117,920	\$ 121,457	\$ 125,101	\$ 128,854	\$ 132,719	\$ 136,701	\$ 140,802	\$ 145,026	\$ 149,377		\$ 1,312,442	
Commercial Management	\$ 61,330	\$ 63,170	\$ 65,065	\$ 67,017	\$ 69,028	\$ 71,098	\$ 73,231	\$ 75,428	\$ 77,691	\$ 80,022		\$ 703,080	
Community Engagement	\$ 24,387	\$ 25,119	\$ 25,872	\$ 26,648	\$ 27,448	\$ 28,271	\$ 29,119	\$ 29,993	\$ 30,893	\$ 31,819		\$ 279,569	
Monitoring & Evaluation	\$ 17,897	\$ 18,433	\$ 18,986	\$ 19,556	\$ 20,143	\$ 20,747	\$ 21,369	\$ 22,010	\$ 22,671	\$ 23,351		\$ 205,164	
Habitat & Wildlife Management	\$ 5,483	\$ 5,647	\$ 5,816	\$ 5,991	\$ 6,171	\$ 6,356	\$ 6,546	\$ 6,743	\$ 6,945	\$ 7,153		\$ 62,851	
Research	\$ 3,902	\$ 4,019	\$ 4,139	\$ 4,263	\$ 4,391	\$ 4,523	\$ 4,659	\$ 4,798	\$ 4,942	\$ 5,091		\$ 44,726	
Subtotal field operations	\$ 431,055	\$ 443,987	\$ 457,306	\$ 471,025	\$ 485,156	\$ 499,711	\$ 514,702	\$ 530,143	\$ 546,048	\$ 562,429		\$ 4,941,563	100%
Central Management	Y-1	Y-2	Y-3	Y-4	Y-5	Y-6	Y-7	Y-8	Y-9	Y-10	Total %		
General Admin, Compliance & HR	\$ 38,100	\$ 39,243	\$ 40,420	\$ 41,632	\$ 42,881	\$ 44,168	\$ 45,493	\$ 46,858	\$ 48,263	\$ 49,711		\$ 436,769	
Stakeholder Management	\$ 11,462	\$ 11,806	\$ 12,160	\$ 12,525	\$ 12,901	\$ 13,288	\$ 13,687	\$ 14,097	\$ 14,520	\$ 14,956		\$ 131,402	
Risk Management	\$ 10,862	\$ 11,188	\$ 11,523	\$ 11,869	\$ 12,225	\$ 12,592	\$ 12,969	\$ 13,359	\$ 13,759	\$ 14,172		\$ 124,518	
Finance Management	\$ 6,120	\$ 6,304	\$ 6,493	\$ 6,687	\$ 6,888	\$ 7,095	\$ 7,308	\$ 7,527	\$ 7,753	\$ 7,985		\$ 70,159	
Revenue Collection	\$ 4,463	\$ 4,596	\$ 4,734	\$ 4,876	\$ 5,023	\$ 5,173	\$ 5,328	\$ 5,488	\$ 5,653	\$ 5,823		\$ 51,158	
Donor Management	\$ 3,761	\$ 3,874	\$ 3,990	\$ 4,110	\$ 4,233	\$ 4,360	\$ 4,491	\$ 4,626	\$ 4,765	\$ 4,908		\$ 43,119	
Policy Development	\$ 1,148	\$ 1,182	\$ 1,217	\$ 1,254	\$ 1,292	\$ 1,330	\$ 1,370	\$ 1,411	\$ 1,454	\$ 1,497		\$ 13,155	
Subtotal central management	\$ 75,915	\$ 78,192	\$ 80,538	\$ 82,954	\$ 85,443	\$ 88,006	\$ 90,646	\$ 93,366	\$ 96,167	\$ 99,052		\$ 870,278	100%
Total	\$ 506,970	\$ 522,179	\$ 537,844	\$ 553,980	\$ 570,599	\$ 587,717	\$ 605,348	\$ 623,509	\$ 642,214	\$ 661,481		\$ 5,811,840	

Source: Conservation Capital 2018.

Figure J.2
Annual Operational Expenditures Summary Over 10 Years



Source: Conservation Capital 2018.

Capital Expenditures. Capital expenditures for a PA are budgeted along program areas, activity categories, and central management. Each program area and activity category has a detailed budget. Table J.2 is a summary of the 10-year CAPEX investment budget.

Table J.2
10-year PA Capital Expenditures Investment Budget

Capital Development Categories	Y-1	Y-2	Y-3	Y-4	Y-5	Y-6	Y-7	Y-8	Y-9	Y-10	Total	%
Conservation Infrastructure	\$ 1,000,000	\$ 1,030,000	\$ 1,060,900	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 3,090,900	
Transport & Road/Construction Machine	\$ 173,000	\$ 219,390	\$ -	\$ -	\$ 194,713	\$ 130,998	\$ -	\$ -	\$ -	\$ -	\$ 718,101	
Management Infrastructure	\$ 250,000	\$ 162,740	\$ 29,705	\$ 8,742	\$ -	\$ 23,185	\$ -	\$ -	\$ 25,335	\$ -	\$ 499,708	
Roads, Bridges and Airstrips	\$ -	\$ 103,000	\$ 159,135	\$ 54,636	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 316,771	
Plant Equipment/Infrastructure	\$ 66,500	\$ 68,495	\$ 42,436	\$ 43,709	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 221,140	
Tourism and Enterprise	\$ 15,000	\$ -	\$ 21,218	\$ 109,273	\$ 48,397	\$ 17,389	\$ 25,075	\$ -	\$ 30,402	\$ -	\$ 157,482	
Field Equipment	\$ 10,000	\$ 10,300	\$ 10,609	\$ 10,927	\$ 11,255	\$ 11,593	\$ 11,941	\$ 12,299	\$ 12,668	\$ 13,048	\$ 114,639	
Communications	\$ 7,500	\$ 7,725	\$ 7,957	\$ 8,195	\$ 8,441	\$ 8,695	\$ 8,955	\$ 9,224	\$ 9,501	\$ 9,786	\$ 85,979	
Office and IT Equipment	\$ 5,200	\$ -	\$ -	\$ 5,682	\$ -	\$ -	\$ 6,209	\$ -	\$ -	\$ 6,785	\$ 23,876	
Communities	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
Total	\$ 1,527,200	\$ 1,601,650	\$ 1,331,960	\$ 241,165	\$ 262,806	\$ 191,860	\$ 52,180	\$ 21,523	\$ 77,906	\$ 29,618	\$ 5,228,596	100%

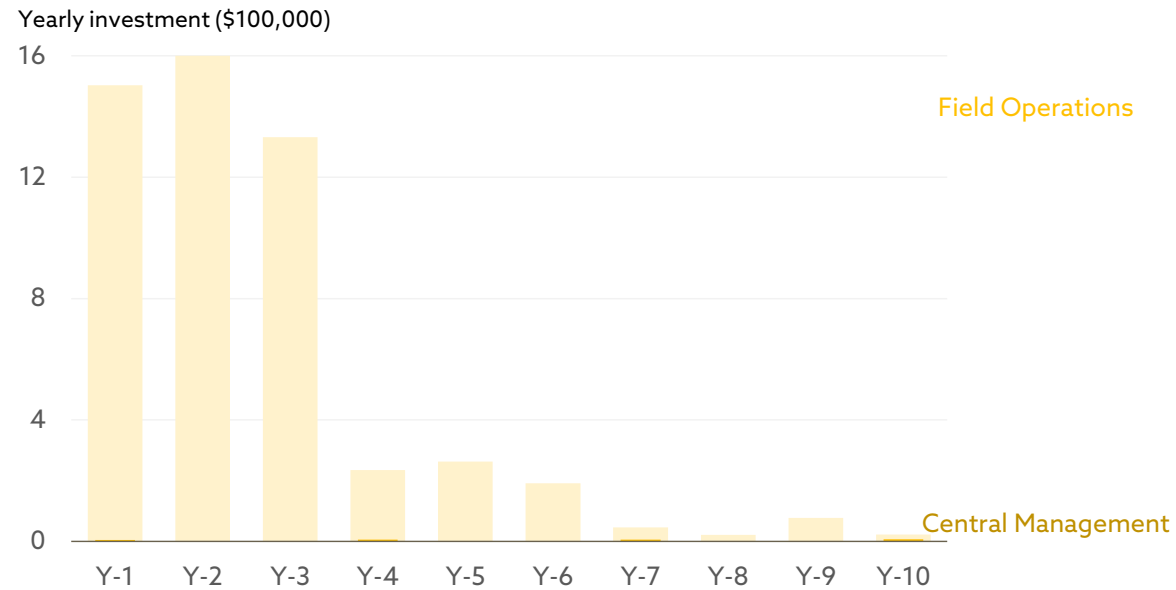
Activity Categories	Y-1	Y-2	Y-3	Y-4	Y-5	Y-6	Y-7	Y-8	Y-9	Y-10	Total	%
Field Operations												
Law Enforcement	\$ 659,500	\$ 668,213	\$ 613,200	\$ 27,865	\$ 43,051	\$ 24,055	\$ 20,896	\$ 21,523	\$ 25,335	\$ 22,834	\$ 2,126,471	
Habitat & Wildlife Management	\$ 539,500	\$ 587,873	\$ 591,452	\$ -	\$ 23,354	\$ 9,564	\$ -	\$ -	\$ 9,501	\$ -	\$ 1,761,243	
Transport & Logistics	\$ 147,250	\$ 177,418	\$ 53,045	\$ 43,709	\$ 90,885	\$ 111,000	\$ -	\$ -	\$ 12,668	\$ -	\$ 635,975	
Commercial Management	\$ 25,000	\$ 64,375	\$ 74,263	\$ 163,909	\$ 59,652	\$ 46,371	\$ 25,075	\$ -	\$ 30,402	\$ -	\$ 379,775	
Monitoring & Evaluation	\$ 88,750	\$ 20,600	\$ -	\$ -	\$ 22,510	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 131,860	
Community Engagement	\$ 20,750	\$ 59,998	\$ -	\$ -	\$ 23,354	\$ 869	\$ -	\$ -	\$ -	\$ -	\$ 104,971	
Research	\$ 22,500	\$ 23,175	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 45,675	
Subtotal field operations	\$ 1,503,250	\$ 1,601,650	\$ 1,331,960	\$ 235,483	\$ 262,806	\$ 191,860	\$ 45,971	\$ 21,523	\$ 77,906	\$ 22,834	\$ 5,185,970	100%

Central Management	Y-1	Y-2	Y-3	Y-4	Y-5	Y-6	Y-7	Y-8	Y-9	Y-10	Total	%
General Admin, Compliance & HR	\$ 5,200	\$ -	\$ -	\$ 5,682	\$ -	\$ -	\$ 6,209	\$ -	\$ -	\$ 6,785	\$ 23,876	
Finance Management	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
Revenue Collection	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
Risk Management	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
Stakeholder Management	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
Donor Management	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
Policy Development	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
Subtotal central management	\$ 5,200	\$ -	\$ -	\$ 5,682	\$ -	\$ -	\$ 6,209	\$ -	\$ -	\$ 6,785	\$ 23,876	100%

TOTAL	\$ 1,508,450	\$ 1,601,650	\$ 1,331,960	\$ 241,165	\$ 262,806	\$ 191,860	\$ 52,180	\$ 21,523	\$ 77,906	\$ 29,618	\$ 5,209,846	
--------------	---------------------	---------------------	---------------------	-------------------	-------------------	-------------------	------------------	------------------	------------------	------------------	---------------------	--

Source: Conservation Capital 2018.

Figure J.3
Annual Capital Expenditures Summary over 10 Years



Source: Conservation Capital 2018.

Revenue. Each revenue source has a detailed analysis that includes costs, projections, and trends. For example, the wildlife-based tourism fees include conservation fees, occupancy rates, and revenue retention. Table J.3 is a summary and includes three revenue sources: tourism, payment for ecosystem service (ES), and carbon credits through reducing emissions from deforestation and forest degradation (REDD+). IF refers to innovative finance.

Table J.3
10-Year Revenue Summary

Budget currency		USD \$	
Annual inflation rate		1.03	

Innovative Finance	Y-1	Y-2	Y-3	Y-4	Y-5	Y-6	Y-7	Y-8	Y-9	Y-10	Total	%	
Interest from Park Bond	-	-	\$ 18,082	\$ 35,473	\$ 113,854	\$ 150,720	\$ 264,241	\$ 298,302	\$ 369,892	\$ 502,801		\$ 1,753,364	51%
Interest from Conservation Trust Fund	-	-	\$ 17,437	\$ 26,941	\$ 64,441	\$ 104,192	\$ 151,136	\$ 181,004	\$ 236,582	\$ 288,600		\$ 1,070,334	31%
Corporate Sponsors	-	-	\$ 10,282	\$ 15,886	\$ 43,635	\$ 49,438	\$ 83,325	\$ 92,977	\$ 137,511	\$ 151,753		\$ 584,808	17%
Total	-	-	\$ 45,802	\$ 78,300	\$ 221,930	\$ 304,350	\$ 498,702	\$ 572,283	\$ 743,984	\$ 943,154		\$ 3,408,505	

Tourism	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8	Year 9	Year 10	Total	%	
Gate Fees	\$ 7,870	\$ 8,657	\$ 9,837	\$ 13,294	\$ 14,771	\$ 16,249	\$ 20,695	\$ 22,469	\$ 23,651	\$ 27,607		\$ 165,099	5%
Accommodation Revenue	\$ 110,768	\$ 125,500	\$ 146,892	\$ 163,403	\$ 187,006	\$ 211,877	\$ 231,460	\$ 258,838	\$ 280,635	\$ 289,054		\$ 2,005,434	57%
Concession Fees	\$ 74,201	\$ 84,070	\$ 98,400	\$ 109,460	\$ 125,271	\$ 141,932	\$ 155,050	\$ 173,390	\$ 187,991	\$ 193,631		\$ 1,343,399	38%
Total	\$ 192,839	\$ 218,227	\$ 255,129	\$ 286,158	\$ 327,048	\$ 370,058	\$ 407,205	\$ 454,697	\$ 492,278	\$ 510,293		\$ 3,513,932	

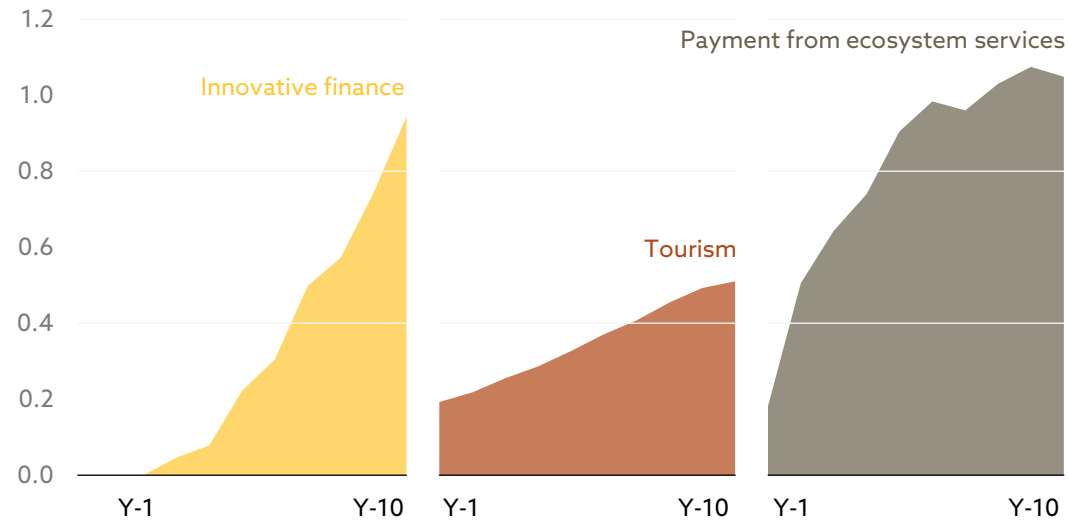
Payment for Ecosystem Services (PES)													
Services (PES)	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8	Year 9	Year 10	Total	%	
Payment for Water Use	\$ 92,000	\$ 206,000	\$ 236,369	\$ 284,109	\$ 472,714	\$ 538,367	\$ 501,502	\$ 516,547	\$ 588,288	\$ 548,005		\$ 3,983,900	49%
REDD+	\$ 89,920	\$ 298,914	\$ 407,470	\$ 456,227	\$ 432,285	\$ 445,254	\$ 458,612	\$ 513,487	\$ 486,541	\$ 501,137		\$ 4,089,848	51%
Total	\$ 181,920	\$ 504,914	\$ 643,839	\$ 740,336	\$ 904,999	\$ 983,621	\$ 960,114	\$ 1,030,034	\$ 1,074,829	\$ 1,049,142		\$ 8,073,748	

Total	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8	Year 9	Year 10	Total	%	
Total Innovative Finance Revenue	-	-	\$ 45,802	\$ 78,300	\$ 221,930	\$ 304,350	\$ 498,702	\$ 572,283	\$ 743,984	\$ 943,154		\$ 3,408,505	23%
Total Tourism Revenue	\$ 192,839	\$ 218,227	\$ 255,129	\$ 286,158	\$ 327,048	\$ 370,058	\$ 407,205	\$ 454,697	\$ 492,278	\$ 510,293		\$ 3,513,932	23%
Total PES Revenue	\$ 181,920	\$ 504,914	\$ 643,839	\$ 740,336	\$ 904,999	\$ 983,621	\$ 960,114	\$ 1,030,034	\$ 1,074,829	\$ 1,049,142		\$ 8,073,748	54%
Total	\$ 374,759	\$ 723,141	\$ 944,770	\$ 1,104,793	\$ 1,453,977	\$ 1,658,029	\$ 1,866,021	\$ 2,057,015	\$ 2,311,091	\$ 2,502,589		\$ 14,996,185	

Source: Conservation Capital 2018.

Figure J.4
Total Protected Area Revenue

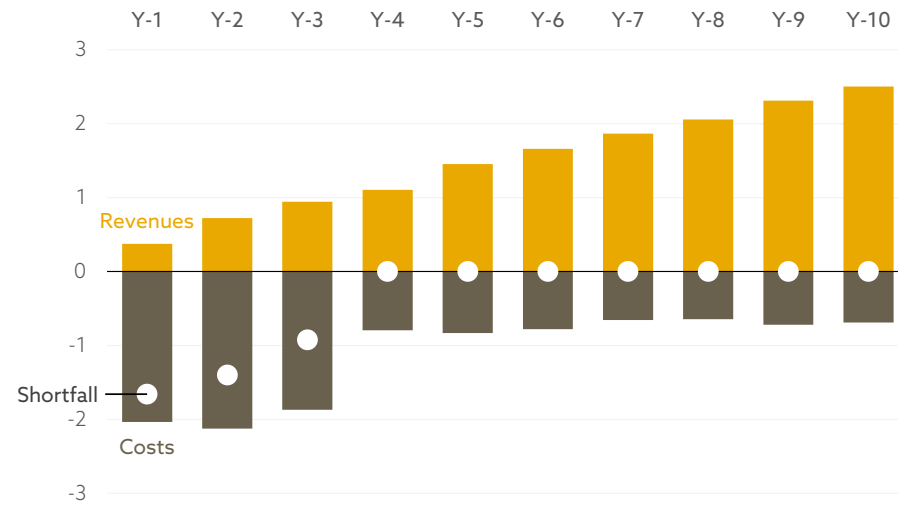
Total protected area revenue (millions \$)



Source: Conservation Capital 2018.

Combined cost and revenue over 10 years. The last component of the budget brings the costs and revenue together to determine the gap (see Figure J.6). The budget in Figure J.6 does not include donor funding. A donor funding and investment plan could be designed using the information from the CABP to fill the funding gap.

Figure J.5
10-Year PA Cost and Revenue Summary



Source: Conservation Capital 2018.

K. Sample Collaborative Management Tendering Information from Rwanda

Rwanda Development Board, July 12, 2018

In July 2018, RDB put out a tender notice to attract a partner for the management of Nyungwe NP. This was a public tendering process, which they advertised as per Rwanda law. In addition, they proactively sent letters to partners notifying them about the opportunity. This approach is recommended for any government considering tendering so that suitable partners are aware of the opportunity.

RDB also provided data on park visitors; park revenue; the park organizational structure and salary costs; the financial summary; and a description of the park infrastructure.

RDB requested the following information from bidders in its request for proposals.

1. Key elements of a concept proposal / expression of interest

For the management and financing of the national parks identified above should include, but not be limited to some of the following elements:

- A detailed description of the potential financial, administrative, human resources, and management benefits that would be realized for the government and people of Rwanda if the RDB was to pursue an extended private-public partnership with the interested management company.
- A description of the anticipated benefits for conservation, enhanced tourism opportunities,

and community engagement/development for each of the national parks of interest.

- A description of the two-to-three priority management actions for conservation, tourism, and community engagement/development that the management company would focus on first if a successful agreement was negotiated for the management of any or all of the other NPs.
- The proposed management structure and governance for the national park, with a description of how the management company would liaison and work with RDB for both policy development and management operations.
- The anticipated investments required, including a preliminary costing / financial plan, a description of financial and/or economic viability, and value for money analysis.
- The projected revenues (revenue forecast), if any, that would accrue to the RDB as a result of management by the management company, including sources and any sensitivities (if exist).
- A preliminary list and assessment of risks (if any), risk mitigations required, and management of risks.
- The expectations of the RDB by the management company, if any, for ongoing support of operating funds and infrastructure investments within or adjacent to the national park.
- Human resources management—the proposed approach the management company would take for current RDB employees at the national park, as well as for the provision of new employment opportunities for Rwandans in the future. Consideration for park ranger

requirements (law enforcement personnel), employment opportunities for existing RDB park staff, and transition strategy for the RDB employees not deemed to be required by the management company should be included in the proposal.

- The project preparedness of your management company (or organization) to take on this project in terms of capacity and skill assessment for project development, implementation, monitoring, and reporting.

Note: Given the success of the Akagera National Park governance and management structure, it is mandatory for the proponent to the proposal to use an Akagera National Park-like governance and management model, with the following minimum requirements:

- Successful management company must incorporate as a company under the Rwanda Company Law (2009).
- Financing of the company will be through a combination of park revenues, contributions from the government of Rwanda, contributions from the successful management company, and donor support.
- The establishment of a board of directors for strategic and policy oversight of national park management for which members will be appointed by both the successful management company and the RDB.
- Day-to-day management of the park shall be done by a park management unit under the leadership of a park manager, who is also the CEO of the management company.

- Policy and management activities will be guided by a rolling five-year strategic business plan, annual activity plans, and annual budgets that will be approved by the board of directors
- Law enforcement personnel (rangers) with the powers of peace officer shall be seconded/ transferred from RDB.

2. Requirements of the Potential Partner / Management Company

In addition to the elements of the proposal outlined above, the potential partner/management company will meet and clearly demonstrate (describe) in the expression of interest proposal, that they meet the following interests, knowledge, and abilities/experience factors.

Interest:

- Have a genuine interest in the development and advancement of Rwanda as a nation, for which conservation-based tourism and community economic development through the protection of its natural biodiversity and ecosystems is a priority.

Knowledge:

- Of ecosystem conservation, restoration, management planning, techniques, and practices.
- Of sustainable tourism principles, practices, and techniques, including marketing and promotions of park and park experiences.
- Of community engagement and economic development principles and practices, within an African conservation context.
- Of financial and human resources principals, practices, and techniques.

Experience:

- Must have a minimum of 10 years of experience in contributing to and/or supporting the management of parks and protected areas, either all for countries within Africa or a combination of countries outside Africa and countries within Africa — mandatory criteria.
- In successfully managing multiple national parks or protected areas within the African continent (Successful management of multiple national parks / protected areas — this criteria is not mandatory, but will be used to rate the proposal, with preference / score given to those management companies who can clearly demonstrate management of up to five national parks or protected areas.) with a full range of conservation, protection, sustainable tourism, and community engagement/economic development responsibilities, including:
 - In the implementation of ecosystem conservation, restoration, and management of protected areas/natural areas.
 - In the development and implementation of tourism program development and delivery including: meaningful visitor experiences; promotions and marketing; and working with tourism industry partners.
 - Developing and managing a healthy, productive workforce.
 - The development and delivery of park visitor and community education outreach programs to build national park/protected areas supporters and constituents.
 - Working with government and NGOs in the management of conservation-based lands and/or programs.
 - Financial management, including private and public sector fundraising to support management programs.

Letter(s) of recommendation:

- One or more letters of recommendation from the governments and/or organizations for which the proponent has successfully managed protected areas outlined above

3. Proposed Duration of Services

The RDB is willing to consider a park management agreement for up to twenty (20) years, renewable and to commence after the signing of an agreement between the successful protected areas management company and the RDB. The management company must include in its proposal, the duration of time for an agreement, should they be successful.

4. Submission and Review Process

The submission and review process for this expression of interest will be in two steps:

Step 1. Preliminary management proposal, including:

- Development and submission of a preliminary proposal by the potential management companies on the basis of preliminary criteria provided by RDB.
- A presentation of the preliminary proposal to RDB by the potential management company.
- A more detailed review and evaluation by RDB of the management company preliminary proposal and a decision as to whether to request a more detailed proposal, or not.
- Communicate results of the RDB decision(s) for Step 1 to the potential management company(ies) who have submitted preliminary proposals.

Step 2. A detailed park management proposal, including:

- Invitations to develop and submit a detailed proposal on the basis of preliminary criteria provided by RDB (criteria yet to be developed).
- Development of a detailed proposal by the potential management companies.
- Presentation of proposal to RDB by potential management company.
- A more detailed review and evaluation by RDB of the management company's proposal and decision by RDB.
- Communicate results of decisions by RDB to potential management companies.
- More detailed contract / PPP Agreement negotiations with the preferred management company selected by RDB.

- An indication of the length of time the management company would consider managing the national park should they be successful, as outlined above.

5. Submission Requirements for Expressions of Interest/Proposal

Interested management companies and organizations who meet the above noted requirements are invited to submit their Proposal, which will include the following information:

- Confirmation of interest to be considered for the management and financing of Nyungwe National Park.
- General information about the management company / organization that is submitting the proposal, including: main business; country (ies) of establishment, operations and duration of conservation-based business activities. Information related to the key information elements outlined above.
- Information related to how they meet the interest, knowledge, abilities, and experience elements of request for proposals, as outlined above.

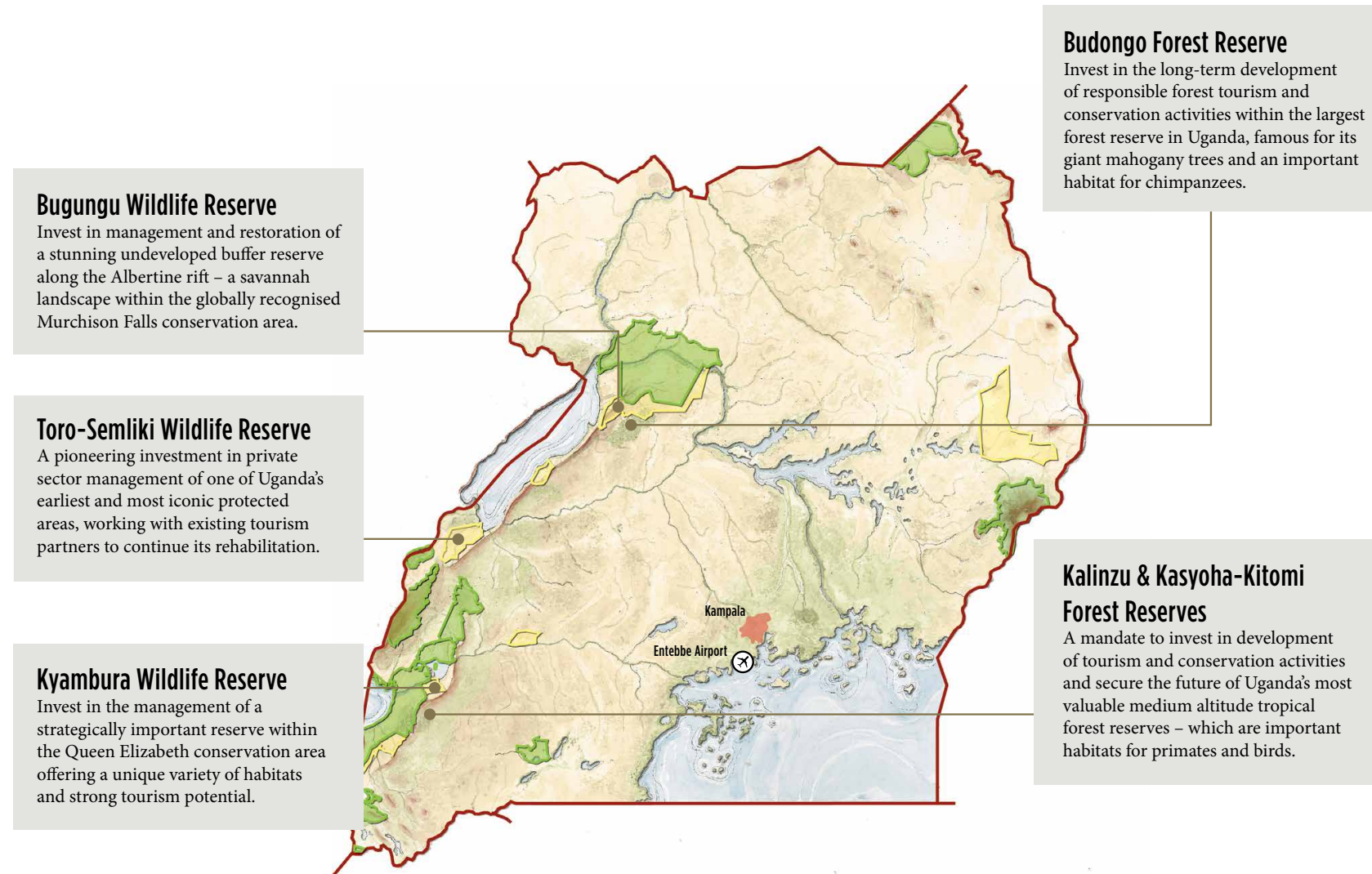
L. Sample Promotional Materials for CMPs from Uganda

When a CA is embarking on a CMP tendering process, it will need prospectus documents that describe the CMP opportunity and the focal PA. In addition to the sample provided in Section 5.6 from Mozambique, here is a sample from a 2017 Conservation and Tourism Investment Forum in Uganda where CMP and tourism opportunities were promoted to potential investors, donors, and partners.



Source: The Giants Club and the Government of Uganda 2017.

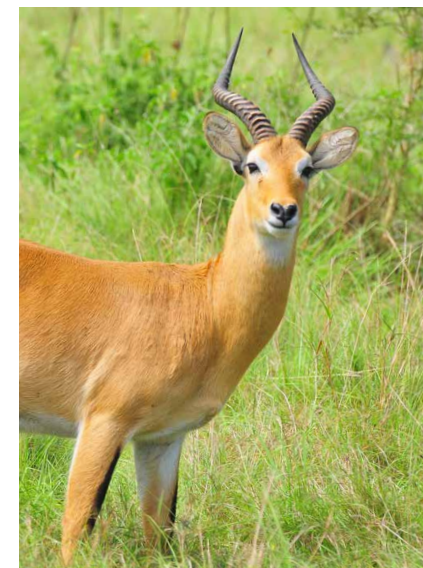
Figure L.1
Map of Potential CMP Sites in Uganda



Source: The Giants Club and the Government of Uganda 2017.

Figure L.2
Description of CMP Opportunity in Bugungu Wildlife Reserve

Bugungu Wildlife Reserve



A western buffer to Murchison Falls National Park, where the forests of Budongo give way to savannah and bush stretching to the shores of Lake Albert, a habitat unique to the Murchison Area. An open landscape with spectacular views; wildlife populations are increasing and further investment will secure its future.

Key Facts:

Size: 474 Km²

Landscape and Habitat: Forest and bush covered escarpment in the east descending to flat grassland and bush plains with riverine forest sections to the west.

Wildlife: Important habitat for elephant, buffalo, Ugandan kob, hartebeest, and other mammals including endemic red-flanked duiker. 270 species of bird.

Infrastructure: Very limited road access inside the reserve, small patrol base and three outposts on Western boundary.

Management: Managed by UWA as part of the Murchison Falls conservation area.

Tourism: No current tourism activity in the area.

Access: Road to Kampala ~4-5 hours, Murchison Falls NP ~30-45 mins. Nearby Bugungu airstrip receives scheduled flights.

Investment Opportunity:

Invest through a PPP structure with UWA to secure co-management of the area, invest in the necessary infrastructure to support conservation and tourism activities and develop enterprise partnerships for long term revenue.

Source: The Giants Club and the Government of Uganda 2017.

M. Information for an Expression of Interest

The following information should be included in an EOI for engagement in a CMP.

1. **Potential Partner Identify:** The bidding organization's legal identity, structure, and registration information.
2. **Key People:** Summary biographies of the key people behind the bidding organization.
3. **Experience:** Summary evidence of 10+ years of relevant engagement in biodiversity conservation, protected area management, and experience in the relevant country.
4. **International Best Practice:** Evidence of connections with and exposure to international best practice (in Africa and where possible beyond) in the field of conservation area management.
5. **Experience in Target PA:** A summary of prior operating experience in the targeted PA or its environs.
6. **Technical Capacity:** Specific evidence of prior successes and positive impact with:
 - **Protected Area Management:** conservation development and management of PAs.
 - **Local Community:** proactive community engagement and integration and related economic development.
 - **Revenue:** progressive nature-based revenue development in protected area contexts—with a particular focus on tourism development and marketing.
7. **Key Priorities:** A summary of the anticipated priority management actions for the PA with specific reference to conservation, local community and economic development impacts.
8. **Alignment with PA authority:** The partner's understanding of the PA authority's vision and goals and how the CMP will support this vision and help the government achieve key national and international targets and objectives.
9. **Conflict of Interest:** Certification that the partner does not have any conflict of interest and/or is declaring a conflict of interest, which they believe is manageable.
10. **References:** Letters of recommendation from at least two credible independent sources relevant to the interested private sector party's CMP proposal.

N. Sample Expression of Interest Evaluation Form

Once an EOI is submitted, the PEC can use the sample evaluation form to rank the submissions and determine which potential partners should submit a full bid.

Table N.1
Expression of Interest Evaluation Form

Expression of Interest Evaluation Form		
Name of Bidder: CMP Partner Bidder		
Name of Evaluator: Member of the PEC		
Date of Evaluation: Day / Month / Year		
Category	Key Component	Yes =1 / No = 0
Overall Submission		
	Submission on time	1
	Well-written	1
	Professional	1
	Includes all requirements	1
	Partner identity	1
	Lack of conflict of interest	1
	References	1
Subtotal	(Highest Score Possible = 7)	7

Expression of Interest Evaluation Form		
Experience		Qualification High=2 / Med=1 / Low=0
	Key people's biographies and CVs	1
	Experience	1
	International best practice	1
	Experience in target PA	0
Technical Capacity		
	PA management	1
	Local community	1
	Revenue	1
	Fundraising	1
	Conservation finance	1
	Start-ups	1
	Technology	1
	Business and PA planning	2
	Environmental and social standards	2
	Project management	0
Project Description		
	Key priorities	2
	Alignment with PA Authority	0
Subtotal	(Highest Score Possible = 32)	12
Total	(Highest Score Possible = 39)	19
Evaluator Signature:		

O. Information for a Full Collaborative Management Bid

After EOIs are submitted, the PEC will review and thereafter, solicit full bids, which should include:

Corporate and Governance

- **Proposed Corporate Structure**
Description of the proposed corporate structure.
- **Planned Governance Structure**
 - **Principal Structure:** Description of the governance structure, including representation on the board; appointment of chairperson; voting powers (and vetoes); and liaison with PA authority leadership and relevant government stakeholders.
 - **Meeting Schedule.** Proposed schedule for governance body meetings.
 - **Local Community Integration:** Specific reference to the methodology (and associated timelines) to enable meaningful and active local community participation within the planned governance structure.

Key Policies and People

- **Statutory Compliance**
Summarize the key statutory compliance requirements (licenses, authorizations, approvals, legal contracts, etc.) that will be secured / entered into by the partner to ensure the proper and legal operation of the proposed structure.
- **Key Policy Framework**
Key policy frameworks including but not limited to those relating to: anti-bribery;

anti-trust; whistleblowing; diversity; anti-modern slavery; code of conduct; environmental and climate sustainability; health and safety; related party transactions; data protection and confidentiality, etc.

- **Key People Biographies**
Provision of detailed biographies for each member of the founding SPV board representing the private sector partner and for the proposed founding CEO.
- **Conflict of Interest**
The partner should declare that they do not have a conflict of interest, or if they are declaring a conflict of interest that they deem to be manageable.

PA and Stakeholder Management

- **Proposed Key Goals**
Principal impact objectives and related key performance indicators (KPIs) (including basis of measurement) for each of the following dynamics: (conservation, social, economic, operations and capacity development); and time frames: (priority: years 1-3; medium term: up to year 5; longer term: up to year 10).
- **Management and Wider HR Structure**
 - **Leadership:** Proposals for the structure and appointment of the senior leadership team with a particular emphasis on the CEO (warden or manager) and head of security.
 - **Illegal Wildlife Enforcement.** Proposal for how illegal wildlife trafficking, anti-poaching and other violations will be managed.
- **Wider Structure:** Proposals for the wider human resource structure and key reporting lines (including a presentation of a comprehensive organizational chart).
- **Integration:** Specific proposals for how existing PA staff will be integrated into the new staffing structure and on what basis.
- **Organization Chart:** Staffing and reporting lines.
- **Human Resources:** A description of how the partner proposed to manage staff, description of contracts, gender inclusivity, and respect for employment standards.
- **Conservation Development & Management Plan**
 - **Zonation:** Proposed high-level zonation and basis thereof for the target PA.
 - **CAPEX:** Buildings, vehicles, aircraft and other operating equipment, roads, airfields, fencing, power, water, energy access, and communications needs and requirements.
 - **OPEX:** Revenue development and management; habitat and wildlife management, wildlife reintroductions, research and monitoring; community engagement and development; law enforcement; finance, administration and compliance; fund raising; PR and communication needs and requirements.
 - **Integration:** Proposed basis upon which any existing GMPs or their equivalents will be integrated into the new plan.
- **Stakeholder Management**
 - **Methodology:** Basis upon which key stakeholders have been and will continue to be identified and prioritized by the partner with a special emphasis on national and local government agencies; local communities;

donors and other potential financial and commercial partners.

- **Management:** Summary plans for managing each of the priority stakeholders.
- **Integration:** Proposed basis for the integration of existing NGOs / conservation organizations already active in (or around) the target PA.
- **Exit Transition Plan**
Proposals for managing the transition back to sole PA authority management at the end of the CMP term including but not limited to the: transfer of all operational HR roles; transfer of assets; transfer of all third-party contracts; and the transfer of revenue streams and working capital balances.
- **PA Authority Capacity Development**
Description of how the CMP will build the capacity of PA authority staff and enhance organizational management.

Finance

- **Operating Revenue Development**
 - **Tourism:** Proposed tourism development and related marketing support plan, including plans to develop in-house versus out-sourced tourism operations.
 - **Alternatives:** Proposed plans for investigating the development of alternative revenue streams such as carbon and biodiversity offsets, and payments for ecosystem services.
 - **Integration:** Integration of existing tourism or other third-party operator concessions within the target PA including plans (if any) for migrating commercial terms towards planned new fee structures.
- **Financing**
 - **Donor Based:** Description of donor commitments, amount and duration, and proposed donor fundraising plan, including associated sums, use of funds and priority target donors.

- **Impact Based:** Description of additional conservation financing mechanisms e.g. conservation / park / green bonds; outcome-based financing mechanisms; impact investment funds etc. and prior success in implementing successful fundraising and conservation financing mechanisms.
- **Business Plan.** A five-year business plan for the PA with cash flow projections.
- **Proposed Pricing.** A description of the proposed pricing model for PA entry, user fees and other concessions in the PA and the rationale.
- **Revenue Retention Model.** Proposed structure for revenue retention, management and distribution.

ESS and Risk

- **ESS**
 - **ESS Policy and Guidelines:** Copy of the partner's ESS policy and guidelines.
 - **ESS Plan:** An ESS strategy that ensures compliance with global best practice.
- **Risk Management (Box 5.1)**
 - **Key risks:** Analysis of the range of potential risks that may impact the CMP and prioritization of risks.
 - **Mitigating Actions:** Proposed mitigating actions (both preventative and curative) for each of the identified risks.
- **Communications and Reporting**
 - **Communications:** Proposed communications plan for the CMP operation including public relations (PR) strategy, internal and external communication.
- **Reporting**
Proposed reporting framework within management and to the governance body—including schedule, content structure, key audiences and proposals for managing sensitive data.
- **Lesson Sharing**
Proposals for ensuring that all important

lessons and ideas emerging from the management of the target PA under the CMP arrangement are collated and shared with the wider PA authority as well as other conservation area managers.

- **Social Safeguards**
Description of how the partner will fulfill social safeguard requirements and ensure all staff are familiar with ESS.
- **Ethics**
Summary of the ethical framework that will govern the operation of the proposed CMP together with any management tools that will be used to apply and monitor this framework.
- **Environmental Impact Management**
Summarize what measures that will be taken to ensure that all operations will assess and minimize or eliminate their potential for negative environmental impact. Specific reference should be made, but not restricted, to:
 - Construction materials and methods
 - Water management
 - Waste management
 - Road development
 - Methods of power and energy generation
- **Marketing**
 - A description and/or marketing plan that outlines marketing and sales tools / infrastructure will be developed / used.
 - An analysis of the marketing and sales activities through which the tools will be deployed to leverage brand awareness for the PA and partnership.
 - Description of any proposed third party marketing and partnerships that will be entered into to optimize the business and financial performance of the operation.

Source: Adapted from: Conservation Capital 2016; WBG 2020b.

P. Key Components to Include in CMP Contracts

Appendix P includes a description of key sections that should be included in a CMP contract. Each management contract is different; however, this information can be used as a guide for a CMP contract. Given the difference between bilateral, integrated, and delegated management partnerships, specific recommendations are made for each model. If the CA does not have the internal technical capacity to develop a CMP contract, they should seek external support from a technical expert.⁷³

CMP Contract Table of Content

- Parties
- Background
- Definitions / Interpretations
- Objectives
- Governance Structure
- Geographical Area
- Delegation of Management
- Duration, Start Date, and Renewal
- Integration of Staff
- Staff Recruitment
- Reserved Matters
- Donor Funding and Revenue Management
- PA Management Roles and Responsibilities
- Non-management Responsibilities
- Law Enforcement
- Community Relations
- Establishing Park Fees
- Existing Commercial Relationships and New Concessions / Enterprise Development
- Assets
- Liability and Indemnity
- Conflict Resolution
- Performance Review
- Termination
- Data Ownership
- Communication
- Other Sections

73. Appendix P was compiled by the authors having reviewed existing and draft CMP contracts, experience developing CMP contracts, and from WBG 2020b.

1. Parties

A description of the parties, their legal structure, address, and identification. A CMP involves:

- The contracting authority (government agency, ministry, private landowner, company, and/or community).
- A partner with experience and expertise in PA management (NGO or private sector).

2. Background Section (Whereas Clauses)

This section sets the overall context for the agreement.

- Confirmation that the CA has the legal responsibility over management of the PA.
- Brief description of the PA, challenges, and opportunities.
- Confirmation that the private partner has the skills and capacity to support the CA in managing the PA.
- Reference to the legal framework within the country, which permits CMPs.
- A statement confirming that both parties agree to work together to enhance the management and ecological, social, and economic sustainability of the target PA.

3. Definitions / Interpretations

Definitions for key words in the agreement.

4. Objectives

A very clear articulation of the principal objectives of the partnership and for the target PA. This section is critical because in the event that there is a conflict or an accusation of nonperformance, the partners will refer to the original objective of the CMP.

5. Governance Structure

A description of the governance model, key decisions to be made by the governance body (special purpose vehicle [SPV] board or committee), and oversight responsibilities of the PA management senior staff. While the governance structure should include adequate representation of the key partners, it should be small and avoid structures that will limit timely decision-making. The governance body has oversight over strategy and senior staff. They should approve the GMP, annual budget and work plan, and longer-term strategies. They should receive biannual reports. This should be explicit in the agreement, with deadlines and responsibility.

Table P.1 outlines the governance elements that should be specified in a CMP contract.

Table P.1
Governance Elements in CMP Contract

Governance	
Elements	Examples
Strategy and Priority Setting	Who approves long-term management and business plans?
	Who approves annual work plans?
Oversight	Who is represented on the governance body?
	How are decisions at governance level made? (i.e. consensus, majority vote?)
	Who receives reports and monitors progress of the partnership?
Finance	Who is responsible for fundraising?
	Who approves annual budgets?
	Who pays for that?
Appointment of Senior Management	Who selects the senior management? (i.e. park warden, conservator, manager)
	How is this decision made? (i.e. consensus, majority vote?)

Source: Baghai et al. 2018b.

In addition to the main governing body, some CMPs have advisory committees. This enables the inclusion of other key stakeholders, such as community members and NGO partners, and their mandate is to advise and provide nonbinding support to the management entity. While the establishment of an advisory committee may be referenced in the CMP, its creation can be established through a different agreement. Their role and mandate should be very clear to avoid any confusion.

If an SPV is created, there should be a separate section describing the SPV, outlining the name and its branding.

Recommendations for specific CMP models

Bilateral: The governance body may be a program management committee (PMC) created at PA authority HQ level involving senior management in the CA and partner.

This section in the CMP contract will also include:

- Members of the PMC.
- How often the PMC meets.
- Process for key decisions and voting procedures (who decides, how, and when).
- Who serves as the chair and the term duration.
- Communication and information sharing mechanisms.

For the bilateral CMP in the **Simien Mountains NP** between AWF and EWCA, the PMC comprises the Director General of EWCA; AWF's Senior Conservation Director; and a representative of KfW, the donor partner.

Integrated: The governance body in an integrated CMP, where an SPV is formed, is the board of the SPV, which includes equitable representation from the CA and the partner. Some SPV governance boards have independent experts to create an odd number, provide expertise, and split the vote as needed, and some may have community representatives as recommended in this Toolkit. Where there is an even number, the casting vote can be determined by the topic (see Gonarezhou NP example).

The SPV board is normally accountable to the parent ministry of the PA authority and is responsible for providing updates, which is often done through the public partner in the case of an integrated CMP.

This section, for integrated and delegated CMP contracts, should also include:

- How often the SPV meets.
- Process for key decisions and voting procedures.
- Who nominates the chair and duration of role.
- Communication and information sharing mechanisms.
- Nomination process for trustees.
- Duration of terms.
- How many terms trustees can serve.
- If the trustee role voluntary / paid (in most cases this is voluntary, with some funds for travel provided as needed).

The **Gonarezhou Conservation Trust** (Zimbabwe) (an integrated CMP) is governed by a board of six trustees, nominated in equal numbers by the ZPWMA and FZS, who meet a minimum of two times per year. Trustees serve three-year terms, with the ability to serve two terms. Trustees are not paid for their services. Casting vote in the case of a tie depends on the topic. For example, for an issue pertaining to conservation, the ZPWMA will cast the vote, for an issue on funding, FZS will cast the vote.

The governance structure in **Gorongosa NP**, an integrated CMP between the ANAC and the Greg Carr Foundation in Mozambique is referred to as an oversight committee and composed of one representative from each partner.

Delegated: The majority of the board of the SPV is held by the private partner and the minority held by the public partner. The SPV board is normally accountable to the parent ministry of the PA and is responsible for providing updates.

Refer to the integrated model section for what should be included in the contract.

Akagera Company, Rwanda, a delegated CMP between African Parks and RDB, is governed by a board of seven trustees. Four are appointed by AP and three by RDB. The board chair is the CEO of RDB or an appointee of the CEO. African Parks nominates the CEO of the company. Decisions are made by consensus; otherwise, a vote is taken, one vote per director, with a simple majority to carry the vote.

6. Geographical Area

A clear description of the PA and the geographical boundaries over which the CMP extends. Some CMPs cover the PA and buffer lands, which might include forest reserves or hunting concessions. The partner needs explicit clarity on the coverage of their mandate.

7. Delegation of Management

This section is relevant when an SPV is created and the CA delegates certain management responsibility to the SPV (integrated and delegated CMPs). Management is guided by the governance body (see Section 5) and the delegation of management does not impact ownership of the PA. An earlier section of the contract will recognize the SPV or outline how and when the SPV will be created, along with the objective and purpose of the SPV.

8. Duration, Start Date, and Renewal

There are approximately 40 active co-management and delegated CMPs in Africa (excluding Madagascar and South Africa). The longest is 50 years and the shortest is five years. The duration of the agreement depends on the context. The ideal duration of a CMP is 20 years, with the option for renewal based on performance standards. This duration allows for proper park planning, assures and attracts potential investors, and enables long-term donor funding.

The renewal of the agreement is linked to the achievement of key results as verified by an independent auditor (Brugière 2020). The contract should specify when the renewal process should start and who needs to initiate the process and approve the renewal.

9. Integration of Staff

When an SPV is created and staff is integrated under the new legal entity (integrated and delegated CMPs), the basis for integrating the staff needs to be outlined. How and when this is done varies depends on the context but the following is generally recommended (WBG 2020b).

For all senior management positions within the SPV for which designation rights have not been predetermined (i.e., the CEO and the head of law enforcement) the private partner will (within two months of the start of the term) provide job descriptions for which the public partner will have an opportunity to submit nominee resumes. These will be assessed by the private partner together with a state partner designated human resource (HR) professional for final determination by the private partner. Any position for which a public partner's nominee is not selected will be subsequently filled on the open market at the CEO's election.

With respect to the wider HR establishment, the private partner will decide (within six months of the start of the term), which of any existing state partner employees will be suitable for retention within the SPV. Those that are retained will be seconded by the state to the SPV with the remainder being redeployed by the public partner elsewhere and the remaining outstanding positions being filled on the open market by the private partner.

For any new position created by within the SPV, the public partner will be given a right to nominate candidates.

If feasible, the PA authority pays the salaries and benefits on seconded staff as their contribution to the project. Where this is not feasible,

the SPV will be required to remunerate the public partner for all seconded staff and the public partner will be required to notify the private partner in advance of any salary increments of seconded staff for incorporation into annual budgets.

The state partner will not have the right to unilaterally promote or terminate any staff seconded to SPV.

The private partner will have a right to transfer back to the state partner any nonperforming staff seconded to the SPV.

10. Staff Recruitment

CMP contracts should give preference to hiring from the local community and should prescribe the number of expatriates to be recruited.

11. Reserved Matters

Listing of the reserved matters over which the public partner will have a sole right of discretion or veto. This is contextually specific but is likely to include: naming rights over the target PA; security management issues; and changes to preexisting concession arrangements or contracts.

12. Donor Funding and Revenue Management

This section outlines key funding aspects, such as who is responsible for supporting the operating budget, what happens if fundraising or development of revenue sources is not successful, how revenue is collected at PA level, and how revenue is managed. This section should refer to a business plan or budget that is included in the appendix of the CMP contract and outlines specific funding obligations of each party. In general,

the private partner takes the lead in fundraising, financial management, and revenue development, but the contract should stipulate how the parties coordinate on fundraising.

Recommendations for specific CMP models

Bilateral: The CA will generally pay public staff salaries and the partner commits to paying certain operational costs. It is important to indicate how much the partner is responsible for per annum and what happens if they do not succeed in raising the funds. In most cases, if funding is not raised, the governance body should be notified, and annual budgets adjusted. However, if this happens in subsequent years and there is no likely prospect for funding, the CA may consider canceling the CMP contract.

Integrated / Delegated: Costs are covered by the SPV. Within the SPV, the partner in most cases commits to raising a certain amount of money for operations and developing revenue models. As with bilateral agreements, it is important to indicate how much the partner is committing to raise and/or generate through enterprise development and what happens if they do not succeed in raising/generating the funds. In some cases, the public partner pays for salaries of seconded staff, which can be used for leverage in raising funds, as donors like to see a government contribution and view this as a strong sign of commitment.

Revenue retention

Retaining revenue at the PA level is important for ensuring capital is reinvested in the PA, incentivizing performance, and attracting investors. Revenue retention at the PA level may include a percentage that goes to the CA. Most CAs support non-functional PAs with revenue

from functional PAs; therefore, this needs to be considered when developing a revenue model for the CMP. The amount that goes to the CA may increase after the initial development and stabilization period, which normally requires significant capital and varies depending on the PA. The CMP contract will stipulate in the event of a surplus, the percentage that goes to the CA to create a net benefit for the entire PA estate. Some general recommendations follow.

- a. Revenue (which should be clearly defined in the definitions section of the contract and generally includes PA entry fees, tourism concession fees, and other user fees) will be collected at PA level and sent to the CA HQ in a bilateral CMP or retained at PA level in an integrated and delegated CMP.
- b. If revenue is retained at PA level the following needs to be clearly outlined:
 - How revenue is collected and managed.
 - What percentage, if any, goes to the CA HQ. In the Democratic Republic of Congo, for example, the CMP contract stipulates that an annual payment “fixed by mutual agreement” is made to ICCN (Brugière 2020).
 - Other revenue allocation obligations (for example, if there is a formal community revenue share program, such as in Rwanda where 10 percent of all park revenue goes to communities).
 - How revenue is spent at PA level. This is normally guided by an annual budget that is approved by the board, which includes PA management and clearly defined community programs.
 - If there is a surplus after management and other approved budget costs are covered, how “profit” is allocated. A percentage should go into a reserve fund that will be used for future management costs in the event of a crisis, such as COVID-19 or

political conflict, and whose management is defined in the definition section (the reserve fund should cover a minimum of two years of operations). Thereafter, it could be split between the partner and the PA authority for conservation management of other PAs (see *Appendix H*).

- c. Which party is responsible for tax obligations and insurance. In a bilateral CMP, each party is generally responsible for their own tax and insurance costs. In an integrated and delegated CMP, the SPV covers these costs.
- d. Audit procedures and any financial reporting obligations. Financial reports are generally provided to the SPV board in the case of an integrated or delegated CMP and to the PMC in the case of bilateral CMP every six months at a minimum in addition to the annual audit.
- e. A 10-year management budget should be included in the appendix of the CMP contract (see *Appendix J*).

13. Management Responsibilities

Table P.2 includes management elements that should be specified in the CMP contract. The contract needs to be very clear in terms of who has ultimate responsibility for each aspect.

With all models, management should be guided by a GMP, which is ideally developed by both partners. When the GMP already exists, it should be reviewed by both partners and when needed updated as part of the CMP. If a GMP (normally covering 10 years) does not exist and it will take a while for development and adoption, a five-year management plan and budget should be jointly developed and followed.

Recommendations for specific CMP models

Bilateral: As opposed to the integrated / delegated CMP, in a bilateral CMP, there are two independent entities working side by side in the PA. It is essential that roles and responsibilities are clear, as well as who makes key decisions.

- The PA manager continues to oversee management of the PA, working closely with the technical advisor (TA) appointed by the private partner.
- A PMC is created to coordinate and oversee PA management, which includes at a minimum the PA manager and the TA, and other key staff.
- The PMC jointly develops an annual work plan and budget (which is ideally nested under a five-year work plan and budget and a GMP) that goes to the governance entity for approval.
- The following should be included in the CMP agreement:
 - Roles and responsibility of the PA manager.
 - Roles and responsibility of the TA.
 - Composition of the PMC.
 - Terms of Reference for the PMC.

Table P.2
Elements of Management in CMP Contract

Management	
Elements	Examples
PA Authority	Who has overall authority for the PA on a daily basis?
	Who does the PA manager report to?
	When is consultation with the Board required?
Human Resources	Who pays, hires and fires general staff?
	How and when are policies integrated in the case of an SPV?
Operations	Who is responsible and accountable for operations, such as ecological monitoring, park planning, tourism development and community engagement

Source: Baghai et al. 2018b.

- How often the PMC meet.
- Key decisions made by the PMC, the PA manager, and the TA. If joint decisions are made, the process must be clearly outlined.
- When the annual work plan / budget is developed and shared with the PMC.

One of the challenges with a bilateral CMP is the retention of qualified PA public staff. Funding by the private partner might be used to train staff and then the CA transfers these qualified and newly trained staff to another PA. Staff change-over in the CA will delay progress and is problematic for continuity. While a partner does not want to limit growth of key CA staff, it is reasonable for the private partner to request senior staff retention of qualified individuals for three years. The alternative is that the CA consults with the partner if senior staff are to be transferred. This however does not legally enable the partner to stop a staff transfer.

Integrated / Delegated:

- The partner appoints the CEO and ideally, the PA manager should be second in command, assuming adequate capacity. This will enable the transfer of knowledge to the CA long-term. If the existing PA manager does not have capacity for this post, the CA should find a replacement who is vetted by the private partner.
- Law enforcement staff (see Section 15).
- The CEO will make all other management appointments in delegated CMPs.
- In an integrated CMP, management positions, such as HR, community engagement, finance and operations, and tourism management should be split between the private partner and the CA, depending on capacity.
- A PMC may be created, composed of the top three staff, to coordinate management and day-to-day operations.
- The CEO is responsible for the development of an annual work plan and budget, (which is ideally nested under a five-year work plan and budget, and a GMP), which goes to the SPV

board for approval. The CEO may develop the annual work plan with the PMC and other relevant staff.

- The SPV will develop SOPs, policies, and operational procedures. To the extent possible, these should mirror the policies of the CA to ensure consistency and ease in the case of transfer back to the PA authority (see CMP Best Practice *Appendix F*).
- The following must be included in the CMP agreement:
 - Roles and responsibility of senior staff.
 - Composition of the PMC.
 - Terms of reference for the PMC.
 - How often the PMC meets.
 - Deadlines for annual budgets and reports.

All staff report to the SPV; therefore, the roles and responsibility section of an integrated / delegated CMP contract outline the roles of key staff, such as the CEO of the SPV.

The senior management of the integrated **Gonarezhou Conservation Trust** (see *Appendix D*, Figure D.3) consists of three key staff: trust director, area manager, and finance and administration manager.

In **Salonga National Park** in the Democratic Republic of Congo, a CMP between WWF and ICCN, the CMP contract specifies the distribution of the six heads of department between the two partners (three for each partner) (Brugière 2020).

14. Non-Management Responsibilities

In addition to outlining management roles and responsibilities (see Section 13), other obligations should be specified, some examples below.

Both parties shall:

- Share information promptly and openly.
- Ensure staff of each respective organization understand the nature of this agreement.
- Ensure lessons learned are shared with the public partner for cross-site learning within the agency.
- Operate in good faith.

The CA shall:

- Help the partner as needed with immigration documents for staff as needed.
- Support the partner in securing any kinds of required approvals from the government, which may relate to the CMP and the partner's ability to fulfill its obligations under the CMP.
- Support any restocking of wildlife, including facilitating the required permits.
- Where feasible provide tax exemption on procurement and grant funding, as well as incentives for investors in the project, such as tourism investors.

The Partner shall:

- Provide technical expertise to the PA authority network on PA planning, management, and operations; tourism development, etc.
- Maintain operations in full compliance with the laws of the country.
- Build capacity of the CA staff in ecological monitoring, PA planning, etc.

Recommendations for specific CMP models

Bilateral: The CA shall:

- Provide the partner with office space at no cost at the park office and / or at the PA authority HQ.
- Grant full and free unfettered access to the partner to the PA.

15. Law Enforcement

Given the legal aspects around law enforcement such as the right to arrest poachers, for example, this section outlines who has the responsibility for law enforcement within the PA, who bears the liability, and any procedures. Law enforcement and security is a function of the state, and this is a dynamic that must be proactively respected within any CMP arrangement. The very nature of a CMP is the allocation of certain responsibilities and rights to a partner. However, law enforcement undertaken by the private partner without the requisite legal authorization can pose serious liability for the private partner. The government needs to consider the most suitable mechanism for ensuring law enforcement is effectively implemented in a CMP while respecting the legal framework of the country and preventing liability risks.

Recommendations for specific CMP models

Bilateral: In most bilateral CMPs, the CA continues to maintain full responsibility and liability for law enforcement. The partner may support this, but the PA manager or law enforcement officer, if this exists, has the primary responsibility.

Integrated / Delegated: While the SPV employs all staff, in most cases, the CA appoints the law enforcement lead and/or the CA seconds law enforcement staff to the SPV. Likewise, the law

enforcement staff will continue to be employed by the CA and formally seconded to the SPV; giving them the ability to retain the required rights of a public servant, but requiring them to be part of the unified SPV and in some cases report to the private partner in the form of the CEO. In some cases, the CA may choose to allocate full responsibility and oversight to the private partner because of the situation in the field.

16. Community Relations

The engagement of stakeholder communities is vital to the success of a CMP. The CMP contract should outline who is responsible for community relations, depending on the capacity of each party. If the private partner in a bilateral CMP is responsible for engaging with the community and overseeing community development, there must be a clear coordinating mechanism with the CA so that communities draw the direct linkage between community benefits to the PA. A representative of stakeholder communities should be considered for representation on the governance structure or advisory board, and they can help determine how community engagement and communication is undertaken. Compliance with social safeguards should also be referenced in this section.

17. Park Fees

In some countries, the CA sets the PA entrance fees, while in other countries, such as Ethiopia, the national government sets the PA entrance fees. PAs in East and Southern Africa in particular generate the majority of their revenue from entrance fees; therefore, setting appropriate entrance fees that reflect the product is critical to attracting visitors and supporting PA management.

Recommendations for specific CMP models

Bilateral: The CA sets the entry fees. However, the partner should support and advise the CA on determining the appropriate park fees and submitting the request with justifications and comparisons from other PAs. Fees for a particular PA should take into consideration other park fees in the country.

Kenya's parks are grouped in different categories to reflect the product and experience, and price. Any changes to entrance fees in one park should be consistent with the national structure, to the extent feasible (see Table P.3).

Integrated / Delegated: If the CA is able to set the entrance fee rates, this right will be granted to the SPV. Similar to bilateral CMPs, the rates should be reflective of the product and experience, and consistent with the national PA system where feasible. While the SPV board may approve the recommended entrance fee rate, in most cases the CA will need to take responsibility to gazette the rates, which should be stipulated in the contract.

Table P.3
Kenya Park Fees⁷⁴

	Citizens		Residents		Non-Residents	
	Adult (Kenyan Shilling)	Child/ Student (Kenyan Shilling)	Adult (Kenyan Shilling)	Child/ Student (Kenyan Shilling)	Adult (US \$)	Adult (US \$)
Premium Parks						
Ambroseli / Nakuru	860	215	1,030	515	60	35
Wilderness Parks (A)						
Tsavo East and Tsavo West	515	215	1,030	515	52	45
Wilderness Parks (B)						
Meru / Kora	300	215	1,030	515	52	35
Aberdare	300	215	1,030	515	52	26
Mt. Kenya – Kihari gate	300	215	1,030	515	43	26
Urban Safari						
Nairobi	430	215	1,030	515	43	22
Sanctuaries						
Nairobi Orphanage / Kisumu Impala / Nairobi Safari Walk	215	125	300	170	22	13
Mountain Climbing						
Mt. Kenya (Day Trip)	430	215	775	515	52	26
Mt. Kenya (3 Day Package)	1,290	645	2,325	1,545	156	78
Mt. Kenya (4 Day Package)	1,720	860	3,100	2,060	208	104
Mt. Kenya (5 Day Package)	2,150	1,075	3,875	2,575	260	130
Mt. Kenya (6 Day Package)	2,580	1,290	4,650	3,090	312	156
Scenic/Special Interest (A)						
Hells Gate / Elgon / Ol- Donyo Sabuk Mt. Longonot	300	215	600	300	26	17
Scenic/Special Interest (B)						
All Other Parks	300	125	600	255	22	13
Marine Parks						
Kisite Mpunguti	215	125	300	170	17	13
Malindi / Watamu / Mombasa / Kiunga	130	125	300	170	17	13

⁷⁴ For information on Kenya's parks and rates, visit www.kws.go.ke

18. Assets

This section outlines who owns any assets that are acquired during the CMP.

Recommendations for specific CMP models

Bilateral: Assets acquired by the partner with funding raised by the partner for the CMP, may be donated to the CA and used by the partner (agreed in a donation agreement) or used by the partner for the duration of the CMP and donated at the end of the CMP to the CA.

Integrated / Delegated: Assets acquired using funds generated through the CMP will be owned by the SPV and in most cases retained at park level once the CMP is complete. The following is recommended (WBG 2020b):

- At the commencement of the term the public partner will provide the private partner with an inventory of all operating assets allocated to the target PA and the CA will select those it wishes to retain. Retained assets will be transferred to the SPV and assets not retained will be redeployed elsewhere by the public partner.
- Disposal of any assets belonging to the CA during the CMP must be approved by the CA and if sold, the allocation of proceeds should be agreed prior to the sale, with funds going, in most cases, to either the SPV or the CA.
- All retained assets and any new assets acquired by the SPV shall become the responsibility of the SPV in terms of deployment and maintenance during the term.
- At the end of the term all operating assets will revert to the public partner at no charge (unless instructed otherwise through a donor agreement, which may be the case for special assets acquired by the partner through donor funding).

- Any retained assets previously owned by the public partner that are disposed of during the term shall be disposed of with consent of the public partner and in line with relevant regulations in force for the disposal of state-owned assets; all proceeds shall be reinvested in the SPV.
- In the event that the agreement is terminated as a result of a material breach by the private partner then all assets acquired by the SPV during the completed term will vest with the public partner. In the inverse, all assets acquired by the SPV during the completed term will vest with the private partner and the public partner will commit to facilitating their removal from the target PA.

19. Liability and Indemnity

Recommendations for specific CMP models

Bilateral: Each party bears the responsibility for liability and indemnify the other.

Integrated / Delegated: Each party bears the responsibility for liability and indemnifies the other, and in addition, both parties indemnify the SPV.

20. Existing Commercial Relationships and New Concessions / Enterprise Development

This section of the contract will outline how the parties engage with existing tourism and other commercial partners, and how future concessions are granted. Any future tourism concessions should be guided by a tourism plan that includes zonation and identification of suitable tourism facilities and a business plan that is nested under the GMP. Other non-tourism related

concessions should also be guided by the GMP and zonation plan.

Recommendations for specific CMP models

Bilateral: The public partner holds the existing concession contracts and will maintain these relationships. They will also hold future tourism contracts. Tourism development, if structured properly, can generate revenue for the PA. Tourism development and management expertise is a unique skill set that that partner can bring. They can help develop a tourism plan and a tendering process, help the public partner vet suitable operators, and support the development of contracts that generate revenue for the PA.

Integrated / Delegated: Existing contracts are held by the public partner. The public partner shall consult with the partner prior to any amendment and the partner shall have the right to review any amendments and contracts.

Future concessions:

- The SPV shall have the right, in close consultation with the public partner, to grant concessions in the PA. This must be done in compliance with a tourism and business plan that has been approved by the SPV and the GMP, and in close coordination with the public partner.
- The public partner shall agree that once the CMP contract expires, they will honor the concession agreements and renew them, if performance has been favorable, as per the concession agreement.

The SPV shall have the rights to ecosystem services, including but not limited to carbon rights, water rights, non-timber forest rights, and biodiversity offset rights, and shall have the right to develop commercial opportunities around these natural assets.

21. Audit and Evaluation

Clear timelines, responsibilities, and processes for reporting are outlined for M&E and auditing. The management team generally does M&E and an external expert agreed by both parties should complete the audit.

M&E should be done on an annual basis by the CMP management team on the performance of the CMP on conservation, social, and ecological targets; and on compliance with the obligations of the contract. There are a suite of M&E tools, such as the Management Effectiveness Tracking Tool and the Integrated Management Effectiveness Tool, which can be used by the management team to track progress. Reports are provided routinely to the board, in the case of integrated and delegated CMPs, and the committee, in the case of bilateral CMP.

- At a minimum, every three years, an external auditor should review the CMP. The auditor should be an internationally recognized PA management expert and jointly selected and agreed upon by the partners. In the CMP contract, both parties should agree to the outcome of the audit. The audit should assess and appraise the implementation and compliance by each partner of their respective obligations contained in the CMP contract, and evaluate the general performance and achievement of the CMP's intended goals and objectives. The auditor should make specific recommendations for areas of improvement.
- The M&E or the audit process may determine that targets are not being met or either party is not fulfilling their obligations. In this case, the contact should refer to the dispute mechanism (see Section 25).

22. Conflict Resolution

In the event of a conflict, the CA and the partner should use all efforts to settle the dispute amicably through negotiations. A timeframe should be established, such as 60 days, for said negotiation, and if unsuccessful, it will trigger the next phase of the conflict resolution process. If the conflict is at PA level, they should try to resolve it at park level. If unsuccessful after a certain period clearly defined in the contract (30 days), the conflict should be brought to the PMC or the SPV board.

If the conflict cannot be resolved through negotiations, the parties should undertake arbitration. The parties should agree to an arbitrator and the outcome shall be binding.

The termination of a CMP agreement should be considered a last resort. This will require the closeout of the partnership, guided by the contract, and the PA authority would need to decide if they will resume direct management or try to attract another partner.

23. Performance Review

On an annual basis, the SPV and/or the PMC will review performance, budgets, and deliverables. This will take into consideration the M&E as well as any audits.

24. Data Ownership

This section outlines who owns data that is collected during the CMP, such as ecological data, i.e., wildlife numbers, ecological threats, and land use change data.

Recommendations for specific CMP models

Bilateral: All data should be owned by and stored with the CA. The partner should have full access to the data and any publication of the data should be guided by communication guidelines (see Section 25).

Integrated / Delegated: All data should be owned by and stored with the SPV.

25. Communication

This section outlines the rights of both partners to communicate the work of the CMP and their role within it. Communications should acknowledge that the public partner is the overarching custodian of the target PA and working in partnership with the private partner.

This section will also outline policies around external communication, such as:

- Use of logos in the PA and in materials. In principle both logos should be included, as well as a partnership logo if created.
- Recognition of both parties in materials.
- Approval of any communications prior to publication (guidelines should be developed so that unnecessary approvals are not required).
- Recognition of the parties in scientific publications.
- Allowing the partner to display their logo in appropriate locations and in compliance with the PA branding guidelines.

A communication plan will be developed by both parties to guide communication.

26. Environmental and Social Standards

The CMP agreement should clearly outline how the CMP will meet international ESS (see *Chapter 6*). In addition, the obligation of the partners to use their best possible endeavors to honor environmental covenants in the execution of its operations within the CMP. These covenants should be incorporated into the contract. Some examples are listed below and will depend on the context.

Sample environmental covenants, to:

- Comply with international environmental safeguards and standards.
- Promote the use of sustainable energy and energy efficiency technologies across its operational base.
- Promote sustainable water use and related technologies across its operational base.
- Promote the use of reduce, reuse, and recycle practices across its operational base.
- Promote the use of sustainable waste management technologies and practices across its operational base.
- Limit visual, light, and noise pollution across its infrastructural design and operational base.
- Limit the use of chemicals and pesticides across its operational base.
- Not interfere with any natural watercourses or natural vegetation within the target PA without the approval of the PA authority.
- Develop and enforce compliance with an environmentally driven code of conduct applicable to all operations within the target PA.

Sample social covenants

- Comply with international environmental safeguards and standards.
- Promote local employment (including local contractors) wherever possible within the SPV and its operations.

- Promote the use of local supply chains wherever possible across its procurement needs.
- Promote gender diversity across its employment and contractor base and including within its main board of directors.
- Promote the engagement of youth wherever possible within its operational base.
- Develop and enforce compliance with a comprehensive set of health and safety protocols across its operational base.
- Promote best-in-class worker welfare standards across its employee and sub-contractor base.

27. Termination

A CMP contract may be terminated, prior to the expiration of the contract, by:

- Agreement in writing by both parties.
- Material breach by the partner, in which case assets would go to the CA.
- Material breach by the CA, in which case assets would go to the partner.
- If either party is unable to fulfill their obligations (linked to the annual review as per Section 23), such as raising adequate funding.

28. Other Sections to Include in a CMP Contract

- **Force Majeure**
- **Assignment to Other Parties.** The assignment of a CMP agreement must be with the express written permission of the CA.
- **Notices.** How (mail, email, fax) and to whom communication should be directed for each party.
- **Non-representation.** The agreement should reflect that the parties are in a partnership, however, they do not have the right to represent the other party.

- **Amendments.** Amendments should be only allowed with the written approval of both parties.
- **Entirety of Agreement.** This CMP agreement shall replace any and all prior agreements. For example, a CA and a partner may have been operating under an MOU, the CMP contract shall make that null and void.
- **Governing Law.** The CMP agreement shall be governed by the law of the country where the PA is located.
- **Partner NGOs.** This section should stipulate how decisions are made regarding the role of other NGOs and partners in the PA; i.e., who decides and how activities are coordinated. In general, with delegated and integrated management CMPs the CEO of the SPV makes this decision. In bilateral CMPs, the PA manager will make this decision in consultation with the PMC; however, the CMP may stipulate that the partner will have approval of any NGO whose expertise is similar to that of the partner.

References

African Commission on Human and Peoples' Rights. 1981. African Charter on Human and Peoples' Rights, Banjul, The Gambia: <https://www.achpr.org/legalinstruments/detail?id=49>.

African Parks. 2021. *Akagera National Park 2010-2020 data*. Obtained from African Parks, South Africa.

African Parks. 2021. *Liuwa Plains National Park Data*. Obtained from African Parks, South Africa.

African Parks. 2021. *Majete Wildlife Reserve Data*. Obtained from African Parks, South Africa.

African Parks. n.d. The African Parks Model. PowerPoint presentation to the Global Wildlife Program, Washington, DC.

Alexandra, J., Bonacci, M. and C. Riddington. 2007. "Public-Private Partnerships for Reforestation – Potential Frameworks for Investment." Rural Industries Research and Development Corporation. Kingston, Australia: RIRDC.

Amboseli Ecosystem Trust. 2020. Amboseli Ecosystem Management Plan. Loitokitok, Kenya: <https://www.amboseliecosystem.org/wp-content/uploads/2020/12/AE-Management-plan-1.pdf>.

Baghai, M. 2016. "Of Parks and Partnerships: A Review of Collaborative Approaches to Improving Management of Africa's State Protected Areas." University of Oxford.

Baghai, M., Miller, J., Blanken, L., Dublin, H., Fitzgerald, K., Gandiwa, P., Laurensen, K., Milanzi, J., Nelson, M., and P. Lindsey. 2018. "Models for the Collaborative Management of Africa's Protected Areas." *Biological Conservation*. 218, 73-82.

Baghai, M., Lindsey, P., Everatt, K., and A. Madope. 2018b. "Regional Best Practices, Current Models in Mozambique and a Framework for Enhancing Partnerships to Protect Biodiversity Assets and Promote Development. Supporting the Policy Environment for Economic Development (SPEED+)." *BioFund and USAID*.

Baghai, M., Agnangoye, J.P., and B. Pongui. 2021. "Assessment of Protected Area Management Partnerships in Central Africa. Draft Preliminary Find and Recommendations." U.S.

Forest Service International Programs and USAID. Business and Biodiversity Offset Programme. 2009. "Biodiversity Offset Design Handbook" Forest Trends, Conservation International and Wildlife Conservation Society: https://www.forest-trends.org/wp-content/uploads/imported/biodiversity-offset-design-handbook-pdf.pdf.

Borrini-Feyerabend, G., Dudley, N., Jaeger, T., B. Lassen, N. Pathak Broome, A. Phillips, and T. Sandwith. 2013. Governance of Protected Areas: From understanding to action. Best Practice Protected Area Guidelines Series No. 20, Gland, Switzerland: IUCN. xvi + 124 pages.

Bosch, D. n.d. Land conflict management in South Africa: lessons learned from a land rights approach. Food and Agriculture Organization. <http://www.fao.org/3/j0415t/j0415t0a.htm>.

Brugière, D. 2020. "Public-Private Partnership for Protected Areas: Current Situation and Prospects in French-speaking Africa." *Papaco*, 31 pages.

Collins, Steve. March 2021. The African Safari Foundation. Electronic and telephonic communications.

COMIFAC (Commission des Forêts d'Afrique Centrale). 22 Juillet 2019. "Guide sous-régional de bonnes pratiques pour la gestion durable des aires protégées en mode partenariat public-privé (PPP) en Afrique Centrale." https://static.wixstatic.com/ugd/22a750_d2f6ca6944e-0475993022cb16256633c.pdf

Conservation Capital. 2018. *Conservation Area Business Plan Planning Framework and Methodology*. London, UK.

Conservation Capital. 2017. *Protected Area Public Private Partnership Principles and Description*. London, UK.

Conservation Capital. 2016. *Concession guidelines for nature based tourism*. London, UK.

Conservation International and the Global Environment Facility. 2017. Environmental and Social Management Framework (ESMF). Version 6. Washington, DC: [https://www.conservation.org/docs/default-source/gef-documents/ci-gef-environmental-and-social-management-framework-\(esmf\)-version-06](https://www.conservation.org/docs/default-source/gef-documents/ci-gef-environmental-and-social-management-framework-(esmf)-version-06)

Convention on Biological Diversity. 2010. Decision Adopted by the Conference of the Parties to the Convention on Biological Diversity at its Tenth Meeting. Nagoya Japan: <https://www.cbd.int/doc/decisions/cop-10/cop-10-dec-31-en.pdf>

Crawhall, N. 2011. Africa and the UN Declaration on the Rights of Indigenous Peoples. *The International Journal of Human Rights*. 15(1):11-36. 10.1080/13642987.2011.529687: https://www.researchgate.net/publication/241713893_Africa_and_the_UN_Declaration_on_the_Rights_of_Indigenous_Peoples.

Deutz, A., Heal, G. M., Niu, R., Swanson, E., Townshend, T., Zhu, L., Delmar, A., Meghji, A., Sethi, S. A., and J. Tobin-de la Puente. 2020. "Financing Nature: Closing the Global Biodiversity Financing Gap." *The Paulson Institute, The Nature Conservancy, and the Cornell Atkinson Center for Sustainability*. 32 pages.

Dinerstein, E., Vynne, C., Sala, E., Joshi, A.R., Fernando, S., Lovejoy, T.E., Mayorga, J., Olson, D., Asner, G.P., Baillie, J.E.M., Burgess, N.D., Burkart, K., Noss, R.F., Zhang, Y.P., Baccini, A., Birch, T., Hahn, N., Joppa, N and Wikramanayake, E. 2019. A Global Deal for Nature: Guiding principles, milestones and targets. *Science Advances*. Vol. 5, No. 4, eaaw2869, DOI: 10.1126/sciadv.aaw2869.

Dovers, S., Feary, S., Martin, A., McMillan, L., Morgan, D. and Tollefson, M. 2015. "Engagement and Participation in Protected Area Management: Who, Why, How and When?" in G.L. Worboys, M, Lockwood, A. Kothari, S. Feary and I. Pulsford (eds) *Protected Area Governance and Management*. Canberra. ANU Press: 413-440.

Dudley, N. (Editor). 2008. *Guidelines for Applying Protected Area Management Categories*. Gland, Switzerland: IUCN. x + 86pp. WITH Stolton, S., P. Shadie and N. Dudley (2013). *IUCN WCPA Best Practice Guidance on Recognising Protected Areas and Assigning Management Categories and Governance Types*, Best Practice Protected Area Guidelines Series No. 21, Gland, Switzerland: IUCN. 143 pages.

European Parliament. 2020. European Parliament resolution of 15 January 2020 on human rights and democracy in the world and the European Union's policy on the matter – annual report 2018. Strasbourg, France: https://www.europarl.europa.eu/doceo/document/TA-9-2020-0007_EN.html

Fedreheim, E.G. 2017. "Co-management of Protected Areas to Alleviate Conservation Conflicts: Experiences in Norway." *International Journal of the Commons*. Vol. 11, no 2: 754-773.

Fitzgerald, K. 2010. *Land Tenure, Reform and Conservation Tools in South Africa and Their Potential Application in East Africa*. African Wildlife Foundation, Nairobi, Kenya: <https://abcf.org/files/documents/AWF%20SA%20Land%20Tenure%20Reform%20and%20Conservation%20Options%20KHF.pdf>.

Florizone, Richard, and Laurence Carter. April 2013. "A Winning Framework for Public-Private Partnerships: Lessons from 60-Plus IFC Projects" *SmartLessons*. International Finance Corporation: Washington, DC.

Gardner, C.J., Nicoll, M.E., Birkinshaw, C., Harris, A., Lewis, R.E., Rakotomalala, D., Anitry, N. and L. Ratsifandrihamanana. 2018. "The Rapid Expansion of Madagascar's Protected Area System." *Biological Conservation*; 220: 29-36.

Government of Mozambique. *Nature Based Tourism International Conference*. 2018. *Nature Based Tourism - Mozambique conservation areas*.

Grossman, D. and Holden, P. n.d. *Contract Parks in South Africa*. <https://conservation-development.net/Projekte/Nachhaltigkeit/CD1/Suedafrika/Literatur/PDF/Grossmann.pdf>.

International Finance Corporation (IFC). *IFC Performance Standards on Environmental and Social Sustainability*. Effective 1 January 2012. https://www.ifc.org/wps/wcm/connect/c02c2e86-e6cd-4b55-95a2-b3395d204279/IFC_Performance_Standards.pdf?MOD=AJPERES&CVID=kTjHBzk.

IPBES. 2019. *Global assessment report on biodiversity and ecosystem services of the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services*. E. S. Brondizio, J. Settele, S. Díaz, and H. T. Ngo (editors). IPBES secretariat, Bonn, Germany. 1,148 pages. <https://doi.org/10.5281/zenodo.3831673>.

IUCN. 2016. *Environmental and Social Management System Manual Version 2.0* –May 2016. Gland, Switzerland: https://www.iucn.org/sites/dev/files/iucn_esms_manual.pdf.

IUCN. 2013. *The IUCN Project Grievance Mechanism*. Gland, Switzerland: https://www.iucn.org/sites/dev/files/content/documents/iucn_project_complaints_management_system_december_2013.pdf.

IUCN Eastern and Southern Africa Regional Office (ESARO). 2020a. *Closing the gap: The financing and resourcing of protected and conserved areas in Eastern and Southern Africa*. Nairobi, Kenya: IUCN ESARO; (Biodiversity and Protected Area Management Programme). BIOPAMA: <https://portals.iucn.org/library/node/49045>.

IUCN ESARO. 2020b. *The State of Protected and Conserved Areas in Eastern and Southern Africa*. State of Protected and Conserved Areas Report Series No. 1. Nairobi, Kenya: <https://portals.iucn.org/library/node/49133>.

IUCN ESARO. 2017. *State of Protected Area Report East Africa*. Nairobi, Kenya: <https://portals.iucn.org/library/node/49133>.

Jonas, H., Makagon, J., and D. Roe. 2016. *Conservation standards: from rights to responsibilities*. IIED Discussion Paper. IIED, London: <http://pubs.iied.org/14666IIED>.

Lange, G.M., Wodon, Q., and Carey, K., Eds. 2018. *The Changing Wealth of Nations 2018: Building a sustainable Future*. The World Bank, Washington, DC: <https://www.world-bank.org/en/news/infographic/2018/01/30/the-changing-wealth-of-nations>.

Lindsey, P., Miller, J., Petracca, L., Coad, L., Dickman, A., Fitzgerald, K., Flyman, M., Funston, P., Henschel, P., Kasiki, S., Knights, K., Loveridge, A., Macdonald, D., Mandisodza-Chikerema, R., Nazerali, S., Plumptre, A., Stevens, R., VanZyl, H., and L. Hunter. 6 November 2018. "More Than \$1 Billion Needed Annually to Secure Africa's Protected Areas with Lions." *PNAS* 115 (45) E10788-E10796.

Lindsey, P., Allan, J., Brehony, P., Dickman, A., Robson, A., Begg, C., Bhammar, H., Blanken, L.,

Breuer, T., Fitzgerald, K., Flyman, M., Gandiwa, P., Giva, N., Kaelo, D., Nampindo, S., Nyambe, N., Steiner, K., Parker, A., Roe, D., Thomson, P., Trimble, M., Caron, A., and P. Tyrrell. July 29, 2020. "Conserving Africa's Wildlife and Wildlands Through the COVID-19 Crisis and Beyond." *Nature Ecology & Evolution*: 1300-1310.

Lindsey, P., Baghai, M., Bigurube, G., Cunliffe, S., Dickman, A., Fitzgerald, K., Flyman, M., Gandiwa, P., Kumchedwa, B., Madope, Al, Morjan, M., Parker, A., Steiner, K., Tumenta, P., Uiseb, K., and A. Robson. 2021. "Attracting Investment for Africa's Protected Areas by Creating Enabling Environments for Collaborative Management Partnerships." *Biological Conservation*. Volume 255. <https://doi.org/10.1016/j.biocon.2021.108979>.

Manolache, S., Nita, A., Ciocanea, D., Popescu, V., and L. Rozyłowicz. 2018. "Power, Influence and Structure in Natura 2000 Governance Networks. A Comparative Analysis of Two Protected Areas in Romania." *Journal of Environmental Management* 212 (April): 54–64. <https://doi.org/10.1016/j.jenvman.2018.01.076>.

MacKinnon, K., Sobrevila, C., and V. Hickey. 2008. Biodiversity, Climate Change and Adaptation Nature-Based Solutions from the World Bank Portfolio. The World Bank, Washington, DC.

Namaga, S.A., Tadele, H., Tessema, M. and Z. Tefera. 2020. "Underfunding, the Challenge of Federally Managed Protected Areas of Ethiopia." *Advances in Environmental Studies*. 4(2): 307-317. Vol

Public-Private Partnership Legal Resource Center. 2020. "Government Objectives: Benefits and Risks of PPPs." World Bank Group. <https://ppp.worldbank.org/public-private-partnership/overview/ppp-objectives>.

Rajaspera, B., Raik D.B. and H. Ravololonanahary. 2011. Developing a Resilient Co-Management Arrangement for Protected Areas: Field Experience From the

Ankeniheny- Zahamena Corridor in Madagascar, *Human Dimensions of Wildlife*, 16:4, 244-258: <http://dx.doi.org/10.1080/10871209.2011.585509>.

Razafison, R. and M. Vyawahare. 2020. "Madagascar Minister Calls Protected Areas a 'Failure,' Seeks People-Centric Approach." *Mongabay*. <https://news.mongabay.com/2020/08/madagascar-minister-calls-protected-areas-a-failure-seeks-people-centric-approach/>.

Robson, A., Trimble, M., Bauer, D., Loveridge A., Thomson P., Western G. and P. Lindsey. 2021. Over 80% of Africa's savannah conservation land is failing or deteriorating, *in preparation*.

Roxburgh, T., Ellis, K., Johnson, J.A., Baldos, U.L., Hertel, T., Nootenboom, C., and S. Polasky. 2020. Global Futures: Assessing the global economic impacts of environmental change to support policy-making. Summary report, January 2020. <https://www.wwf.org.uk/globalfutures>.

Rwanda Development Board. July 2018. Call for a concept proposal and expression of interest for the management and financing of Nyungwe National Park. RDB. Kigali, Rwanda.

Sanderson, E., Walston, J., and J. Robinson. From Bottleneck to Breakthrough: Urbanization and the Future of Biodiversity Conservation. 2018. NIH. <https://pubmed.ncbi.nlm.nih.gov/29867252/>

Saporiti, N. 2006. "Managing National Parks: How Public-Private Partnerships Can Aid Conservation." *Public Policy for the Private Sector*, June 2006. Washington, DC: IFC: <https://openknowledge.worldbank.org/handle/10986/11185>.

Snyman, S., Sumba, D., Vorhies, F., Gitari, E., Enders, C., Ahenkan, A., Pambo, A.F.K., and N. Bengone. 2021. *State of the Wildlife Economy in Africa*. African Leadership University, School of Wildlife Conservation, Kigali, Rwanda.

Space for Giants, UN Environment Program and Conservation Capital. 2019. *Building a wildlife economy: Working Paper 1: Developing*

nature-based tourism in Africa's state protected areas. Nairobi, Kenya.

Spenceley, A., Snyman, S. and P.F.J. Eagles. 2017. "Guidelines for Tourism Partnerships and Concessions for Protected Areas: Generating Sustainable Revenues for Conservation and Development." *Convention on Biological Diversity (CBD) - Secretariat, IUCN World Commission on Protected Areas (WCPA), Tourism and Protected Areas Specialist Group (TAPAS Group)*.

Spenceley, A., Nevill, H., Coelho, CF., and M. Souto. 2016. "An Introduction to Tourism Concessioning: 14 Characteristics of Successful Programs." *The World Bank*. Washington, DC: 10.13140/RG.2.1.1916.3764.

Stolton, S. and N. Dudley. 2019. The New Lion Economy. Unlocking the value of lions and their landscapes, Equilibrium Research, Bristol, UK.

Symes, W. S., Rao, M., Mascia, M.B. and R.L. Carrasco. 2015. "Why do we Lose Protected Areas? Factors Influencing Protected Area Downgrading, Downsizing and Degazettement (PADDD) in the Tropics and Sub-tropics." *Global Change Biology*. DOI:10.1111/gcb.13089.

Tuxill, J., Mitchell, N., and J. Brown. 2004. "Conservation and Collaboration: Lessons Learned from National Park Service Partnerships in the Western U.S." Conservation and Stewardship Publication No. 6. Woodstock, Vermont: Conservation Study Institute.

The Giants Club and the Government of Uganda. Uganda Conservation & Tourism Investment Forum. October 2017. *Investment Framework Opportunities*. Kampala, Uganda.

UN 2007. United Nations Declaration on the Right of Indigenous Peoples. Resolution adopted by the General Assembly on 13 September 2007: https://www.un.org/development/desa/indigenouspeoples/wp-content/uploads/sites/19/2018/11/UNDRIP_E_web.pdf.

Van Zyl, H. October 2011. "Business Plan and Sustainable Financing Strategy for the Dorob

National Park, Namibia." *Independent Economic Researchers, prepared for NACOMA/MET*: <https://www.researchgate.net/publication/270899646>.

Van Zyl, H. 2015. The Economic Value and Potential of Protected Areas in Ethiopia. Prepared for The Sustainable Development of the Protected Areas System of Ethiopia (SDPASE) project and the Ethiopian Wildlife Conservation Authority (EWCA). www.independentecon.co.za.

Vause, J. 2019. "Building a Wildlife Economy: Developing Nature-Based Tourism in Africa's State Protected Areas." *Conservation Capital and Space for Giants*. Working Paper 1. Nairobi, Kenya.

Virunga Foundation (A Company Limited by Guarantee). 2019. *Trustee's Report and Consolidated Financial Statements for the Year Ended 31 December 2019*. Government of UK Charity Commission.

Vyawahare, M. 30 March 2020. "Seychelles Extends Protection to Marine Area Twice the Size of Great Britain." Mongabay: <https://news.mongabay.com/2020/03/seychelles-extends-protection-to-marine-area-twice-the-size-of-great-britain/>.

Waeber, P.O., Rafanoharana, S., Rasamuel, H.A. and W. Lucienne. 2019. "Parks and Reserves in Madagascar: Managing Biodiversity for a Sustainable Future." 3 April 2019. *Open access peer-reviewed chapter*. DOI: 10.5772/intechopen.85348. <https://www.intechopen.com/books/protected-areas-national-parks-and-sustainable-future/parks-and-reserves-in-madagascar-managing-biodiversity-for-a-sustainable-future>.

Wilson, E., Noah, N., and J. Buultjens. 2009. "From Lessees to Partners: Exploring Tourism Public-Private Partnerships within the New South Wales National Parks and Wildlife Service." *Journal of Sustainable Tourism* 17 (2): 269–85. <https://doi.org/10.1080/09669580802495774>.

World Economic Forum (WEF). *The Global Risks Report 2020, 15th Edition*. 2020. Cologny,

Switzerland: http://www3.weforum.org/docs/WEF_Global_Risk_Report_2020.pdf.

World Bank. 2021. Banking on Protected Areas: Promoting Sustainable Protected Area Tourism to Benefit Local Economies. Washington, DC: World Bank: <https://openknowledge.worldbank.org/handle/10986/35737>

World Bank Group. 2021. *Private Participation in Infrastructure (PPI) 2020 Annual Report*. Washington, DC: World Bank: https://ppi.worldbank.org/content/dam/PPI/documents/PPI_2020_AnnualReport.pdf.

World Bank Group. 2020a. *Annual PPI Database Global Report, 2019*. Washington, DC: World Bank: <https://ppi.worldbank.org/content/dam/PPI/documents/private-participation-infrastructure-annual-2019-report.pdf>.

World Bank Group. 2020b. *Collaborative Management Partnerships (CMPs). Kenya's Protected Areas: The Potential, Key Dynamics and Recommended Method*. The World Bank Group, Washington, DC.

World Bank Group. 2020c. *Mobilizing Private Finance for Nature*. World Bank Group, Washington, DC: <https://pubdocs.worldbank.org/en/916781601304630850/Finance-for-Nature-28-Sep-web-version.pdf>.

World Bank Group. 2020d Tools and Resources for Nature-Based Tourism. World Bank, Washington, DC: <https://openknowledge.worldbank.org/handle/10986/34433> License: CC BY 3.0 IGO.

World Bank Group. 2018. Guidance Note for Borrowers: Environmental & Social Framework for IPF Operations. ESS7: Indigenous Peoples/ Sub-Saharan African Historically Underserved Traditional Local Communities. Washington DC: <http://documents1.worldbank.org/curated/en/972151530217132480/ESF-Guidance-Note-7-Indigenous-Peoples-English.pdf>.

World Bank Group. 2017. *Public-Private Partnerships Reference Guide*, Version 3. Washington, DC: World Bank Group.

World Bank Group. 2016. World Bank Environmental and Social Framework. Washington, DC: <https://pubdocs.worldbank.org/en/837721522762050108/Environmental-and-Social-Framework.pdf>.

World Bank Group. 2015. *World Bank Group Support to Public-Private Partnerships: Lessons from Experience in Client Countries, FY02-12*. Washington, DC: World Bank Group.

World Wildlife Fund. 2019. Environmental and Social Safeguards Framework. Gland, Switzerland: https://wwfint.awsassets.panda.org/downloads/essf_overview_document___public_v_1_0_aug_2019__1_.pdf.

World Wildlife Fund. 2020. Living Planet Report 2020 - Bending the curve of biodiversity loss. Almond, R.E.A., Grooten M. and Petersen, T. (Eds). WWF, Gland, Switzerland. https://files.worldwildlife.org/wwfcmprod/files/Publication/file/279c656a32_ENGLISH_FULL.pdf?_ga=2.18233649.985534678.1628106108-1591225813.1593290948

Yeung, P. 2021. "The Bold Plan to Save Africa's Largest Forest." *Future Planet* <https://www.bbc.com/future/article/20210107-congo-basin-a-bold-plan-to-save-africas-largest-rainforest>.

Protected Area Website References

The following websites were accessed between June 2020-June 2021 for information about PAs and CMPs, and used to inform the Toolkit and the case studies. Park, organization, and agency annual reports were also accessed from the websites.

	Public Partner	NGO CMP Private Partner	Protected Area	Country	Website Reference
1	Rwanda Development Board	African Parks	Akagera NP	Rwanda	https://www.africanparks.org/the-parks/akagera
2	Zambia Department of National Parks and Wildlife	African Parks	Bangweulu Game Management Area	Zambia	https://www.africanparks.org/the-parks/bangweulu
3	Mozambique National Administration of Conservation Areas	African Parks	Bazaruto Archipelago NP	Mozambique	https://www.africanparks.org/the-parks/bazaruto
4	Government of Central African Republic	African Parks	Chinko Reserve	Central African Republic	https://www.africanparks.org/the-parks/chinko
5	Government of Chad	African Parks	Ennedi Natural & Cultural Reserve	Chad	https://www.africanparks.org/the-parks/ennedi
6	Congolese Institute for the Conservation of Nature (ICCN)	African Parks	Garamba NP	Congo, Dem Rep	https://www.africanparks.org/the-parks/garamba
7	Government of Angola	African Parks	Iona NP	Angola	https://www.africanparks.org/the-parks/iona
8	Zambia Department of National Parks and Wildlife	African Parks	Liuwa Plain NP	Zambia	https://www.africanparks.org/the-parks/liuwa-plain
9	Malawi Department of National Parks and Wildlife	African Parks	Liwonde NP	Malawi	https://www.africanparks.org/the-parks/liwonde
10	Malawi Department of National Parks and Wildlife	African Parks	Majete Wildlife Reserve	Malawi	https://www.africanparks.org/the-parks/majete
11	Malawi Department of National Parks and Wildlife	African Parks	Mangochi Forest Reserve	Malawi	https://www.africanparks.org/the-parks/mangochi
12	Zimbabwe Parks and Wildlife Management Authority	African Parks	Matusadona NP	Zimbabwe	https://www.africanparks.org/the-parks/matusadona

	Public Partner	NGO CMP Private Partner	Protected Area	Country	Website Reference
13	Malawi Department of National Parks and Wildlife	African Parks	Nkhotakota Wildlife Reserve	Malawi	https://www.africanparks.org/the-parks/nkhotakota
14	Rwanda Development Board	African Parks	Nyungwe NP	Rwanda	https://www.africanparks.org/the-parks/nyungwe
15	Republic of the Congo's Ministry of Forest Economy, Sustainable Development and Environment	African Parks	Odzala-Kokoua NP	Congo	https://www.africanparks.org/the-parks/odzala-kokoua
16	Government of Benin	African Parks	Pendjari NP	Benin	https://www.africanparks.org/the-parks/pendjari
17	Government of Chad	African Parks	Siniaka Minia Wildlife Reserve	Chad	https://www.africanparks.org/the-parks/siniaka-minia
18	Government of Benin	African Parks	W NP	Benin	https://www.africanparks.org/the-parks/w
19	Government of Chad	African Parks	Zakouma NP	Chad	https://www.africanparks.org/the-parks/zakouma
20	Nigeria National Park Service	African Nature Investors	Gashaka Gumpti NP	Nigeria	http://www.africanatureinvestors.org/nigeria-projects/
21	Congolese Institute for the Conservation of Nature	African Wildlife Foundation	Bili Uere Protected area	Congo, Dem Rep	https://www.awf.org/country/drc
22	Ethiopia Wildlife Conservation Authority	African Wildlife Foundation	Simen Mountains NP	Ethiopia	https://www.awf.org/country/ethiopia
23	Mozambique National Administration of Conservation Areas	Greg Carr Foundation	Gorongosa NP	Mozambique	https://gorongosa.org/
24	Congolese Institute for the Conservation of Nature	Forgotten Parks Foundation	Upemba NP	Congo, Dem Rep	https://forgottenparks.org/project/ukc/
25	Zimbabwe Parks and Wildlife Management Authority	Frankfurt Zoological Society	Gonarezhou NP	Zimbabwe	https://gonarezhou.org/
26	Mozambique National Administration of Conservation Areas	International Foundation for the Conservation of Wildlife	Gile National Reserve	Mozambique	https://fondationfrancoissommer.org/projets/mozambique/
27	Government of Niger	Noé	Termit and Tin Toumma National Nature Reserve	Niger	http://parcsdenoe.org/en/parcs-niger/
28	Republic of the Congo's Ministry of Forest Economy, Sustainable Development and Environment	Noé	Conkouati Douli NP	Congo, Republic	http://parcsdenoe.org/en/parcs-congo/

	Public Partner	NGO CMP Private Partner	Protected Area	Country	Website Reference
29	Senegal Department of National Parks	Panthera	Niokolo Koba NP	Senegal	https://www.panthera.org
30	Mozambique National Administration of Conservation Areas	Peace Parks Foundation	Zinave NP	Mozambique	https://www.peaceparks.org/parks/zinave-national-park/
31	Congolese Institute for the Conservation of Nature	Virunga Foundation	Virunga NP	Congo, Dem Rep	https://virunga.org/
32	Republic of the Congo's Ministry of Forest Economy, Sustainable Development and Environment	WCS	Nouabale-Ndoki NP	Congo, Republic	https://congo.wcs.org/Wild-Places/Nouabale-Ndoki-National-Park.aspx
33	Congolese Institute for the Conservation of Nature	WCS	Okapi Wildlife Reserve	Congo, Dem Rep	https://congo.wcs.org/
34	Mozambique National Administration of Conservation Areas	WCS	Niassa Special Reserve	Mozambique	https://mozambique.wcs.org/Wild-Places/Niassa-Special-Reserve.aspx
35	Nigeria National Park Service	WCS	Yankari NP	Nigeria	https://nigeria.wcs.org/Wild-Places/Yankari-Game-Reserve.aspx
36	Government of Central African Republic	WCS	Manovo-Gounda St. Floris NP	Central African Republic	https://www.wcs.org/our-work/regions/sudano-sahel
37	Republic of the Congo's Ministry of Forest Economy, Sustainable Development and Environment	WCS	Lac Tele Community Reserve	Congo, Republic	https://congo.wcs.org/Wild-Places/Lac-T%C3%A9le-Community-Reserve.aspx
38	Government of Central African Republic	WCS	Bamingui-Bangoran NP	Central African Republic	https://www.wcs.org/our-work/regions/sudano-sahel
39	Government of Central African Republic	WWF	Salonga NP	Congo, Dem Rep	https://www.wwf-congobasin.org/where_we_work/priority_places/salonga_national_park/
40	Congolese Institute for the Conservation of Nature	WWF	Dzanga-Sangha NP	Congo, Dem Rep	https://www.wwf-congobasin.org/where_we_work/central_africa_republic/dzanga_sangha_protected_area/







Collaborative management partnerships are increasingly being used to improve the management of protected areas and contribute to sustainable development.

For more information, visit the Global Wildlife Program at www.worldbank.org/en/programs/global-wildlife-program or contact gwp-info@worldbank.org.

SUPPORTED BY



LED BY



IN PARTNERSHIP WITH:

