
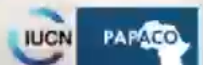


Small Technical Grants for Assessments Information Session

Assessment Tools - Examples

Green List
Governance Tools
IMET
METT


Green List
Protected Conserved Areas



The IUCN Green List of Protected and Conserved Areas

Beatrice Chataigner
IUCN_Programme on African Protected Areas & COnservation

December 2020

0:00 / 10:29

Tools for Protected Area Governance and Equity assessment (PAGE)

Tools for Protected Area Governance and Equity assessment (PAGE)

Phil Franks

Principal Researcher

Conservation Communities and Equity programme

International Institute for Environment and Development



Assessing PA management

Management concerns what activities are being carried out in a given situation or area.

- Assessment is based on the framework of PA management effectiveness (PAME) – see below
- Methodologies (tools) include METT, Rappam, IMET



Assessing PA governance and equity

Governance concerns who decides what the activities are, how that is decided and how the actors responsible for implementing the activities can be held accountable.

Equity in conservation is about governance being fair as well as good.

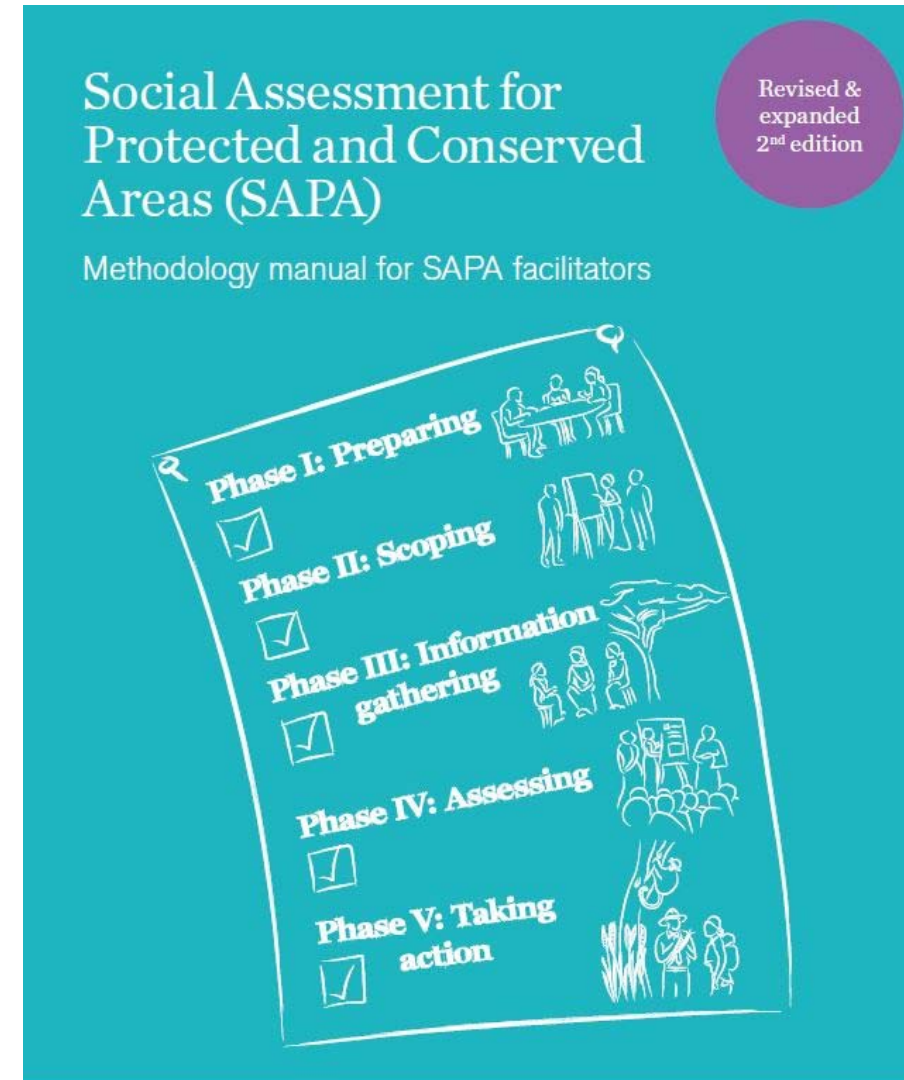
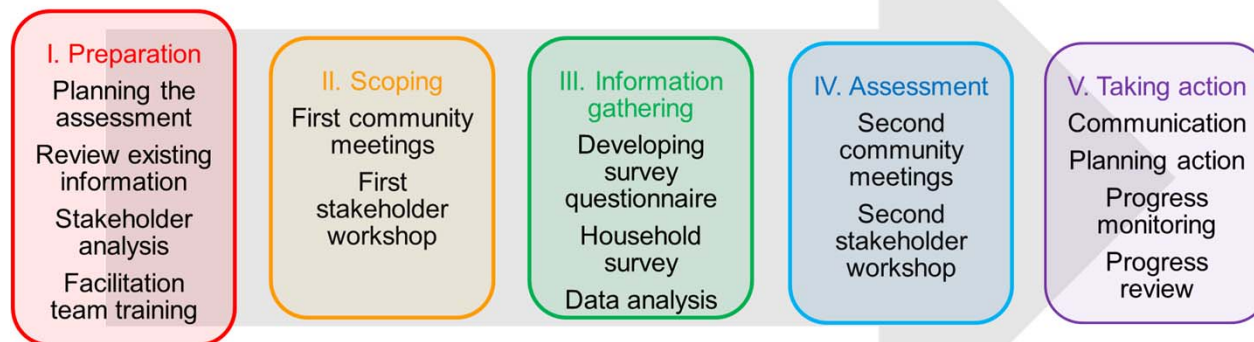
- Equity has 3 dimensions – recognition, procedure, distribution.
- Assessment is based on a framework of ten principles of equitable governance – see below
- Methodologies (tools) include SAPA, SAGE, GAPA

Equity: recognition	1. Recognition and respect for the rights of all relevant actors
	2. Recognition and respect for all relevant actors and their knowledge
Equity: procedure	3. Full and effective participation of all relevant actors in decision-making
	4. Transparency, information sharing and accountability for actions and inactions
	5. Access to justice including effective dispute resolution processes
	6. Fair and effective law enforcement
Equity: distribution	7. Effective mitigation of negative impacts on communities
	8. Benefits equitably shared among relevant actors
Other governance	9. Achievement of conservation and other objectives
	10. Effective coordination and collaboration between actors, sectors and levels

Social Assessment for Protected Areas (SAPA)

SAPA focuses on impacts of PCAs on the wellbeing of local people and includes a basic governance assessment. SAPA can be used with almost any type of PCA.

SAPA process



Countries in Africa where SAPA has been used



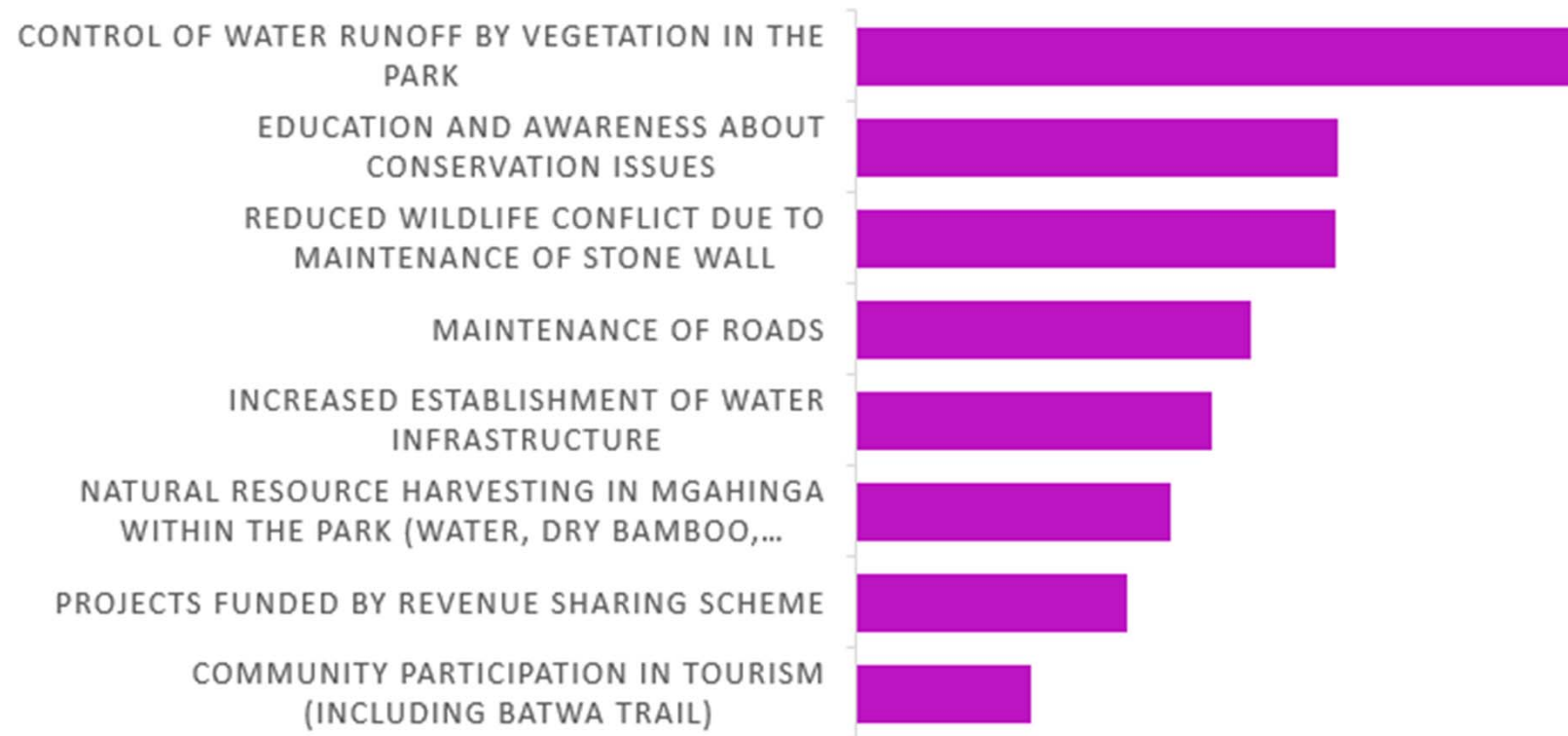
- Gabon (1)
- Cameroon (2)
- Chad (1)
- Liberia (1)



- Ethiopia (1)
- Kenya (6)
- Uganda (4)
- Mozambique (2)
- Zambia (2)

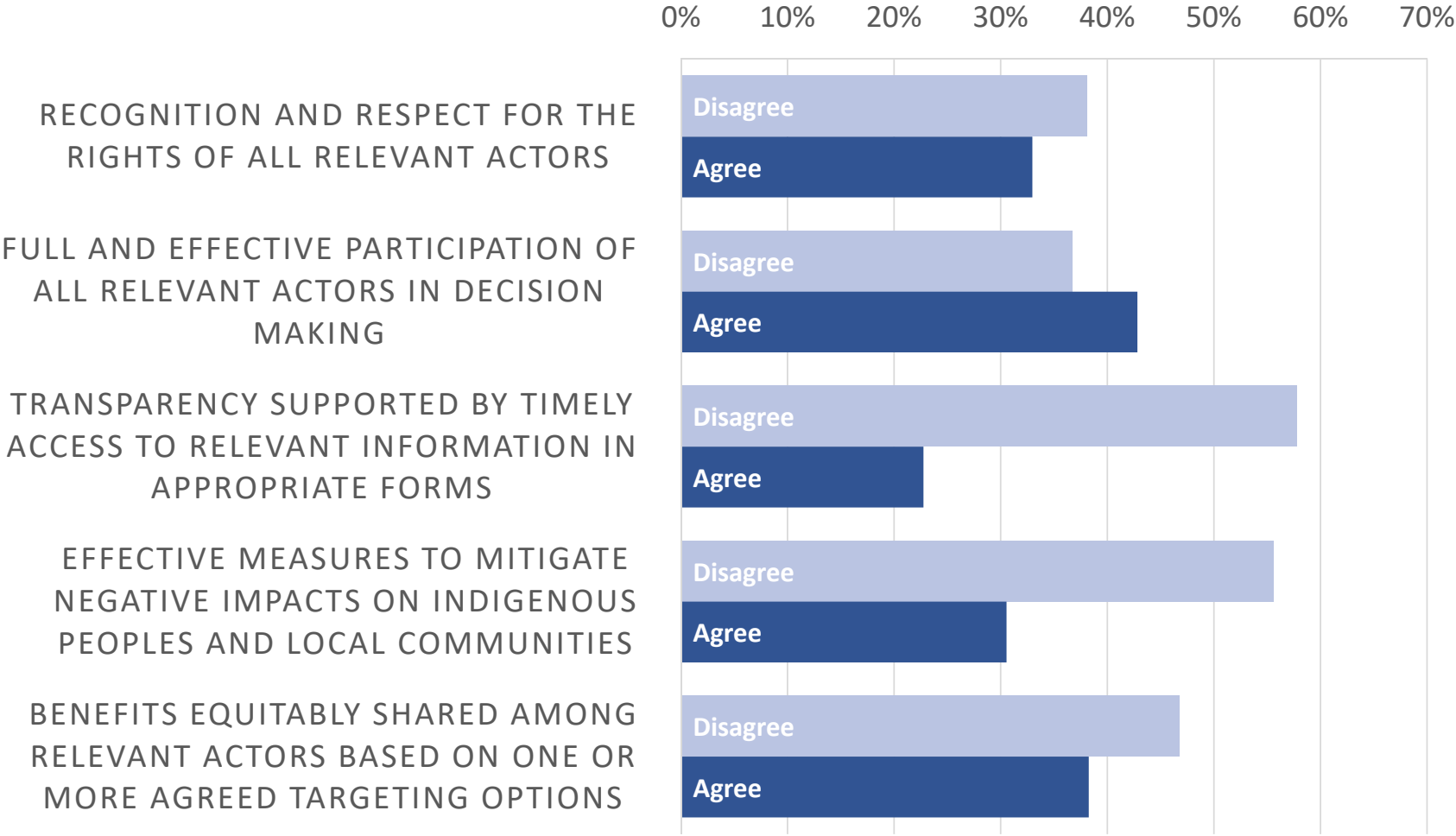


Mgahinga National Park, Uganda – Positive social impacts



- Overall, men and younger people were more positive particularly the impact of education and awareness
- Poorer people were most positive about the control of water run off
- Women were *slightly more* positive about the impact of stone wall maintenance on reducing human wildlife conflict

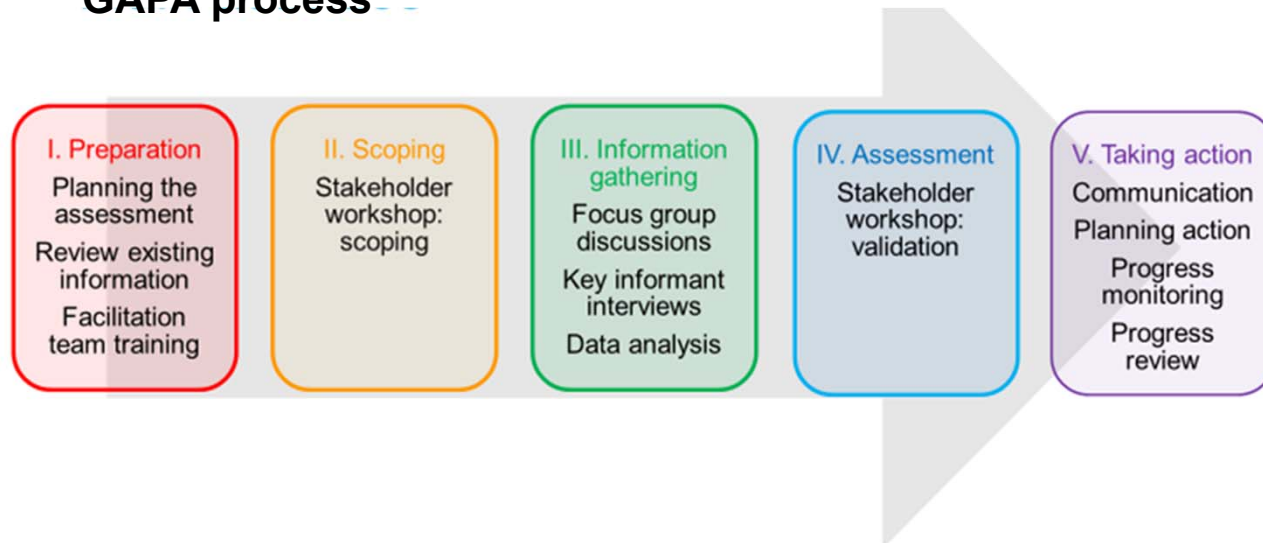
Mgahinga National Park, Uganda – governance



Governance Assessment for Protected Areas (GAPA)

GAPA focuses on governance challenges and underlying causes but is only for PCAs where actors are willing to explore sensitive governance issues.

GAPA process



Governance Assessment for Protected and Conserved Areas (GAPA)

Methodology manual for GAPA facilitators

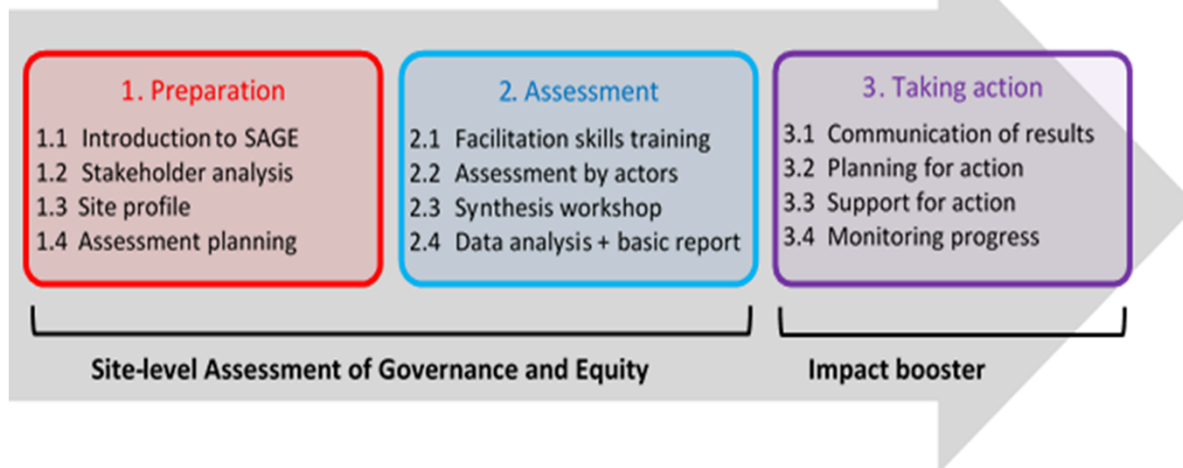


Francesca Booker and Phil Franks

Site-level Assessment for Governance and Equity (SAGE)

SAGE focuses on governance and equity. SAGE is less deep than GAPA but covers a broader scope of issues and costs less. SAGE can be used with any type of PCA.

SAGE process



Site-level Assessment of Governance and Equity (SAGE) User's guide v1

October 2020

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Countries where SAGE has been used



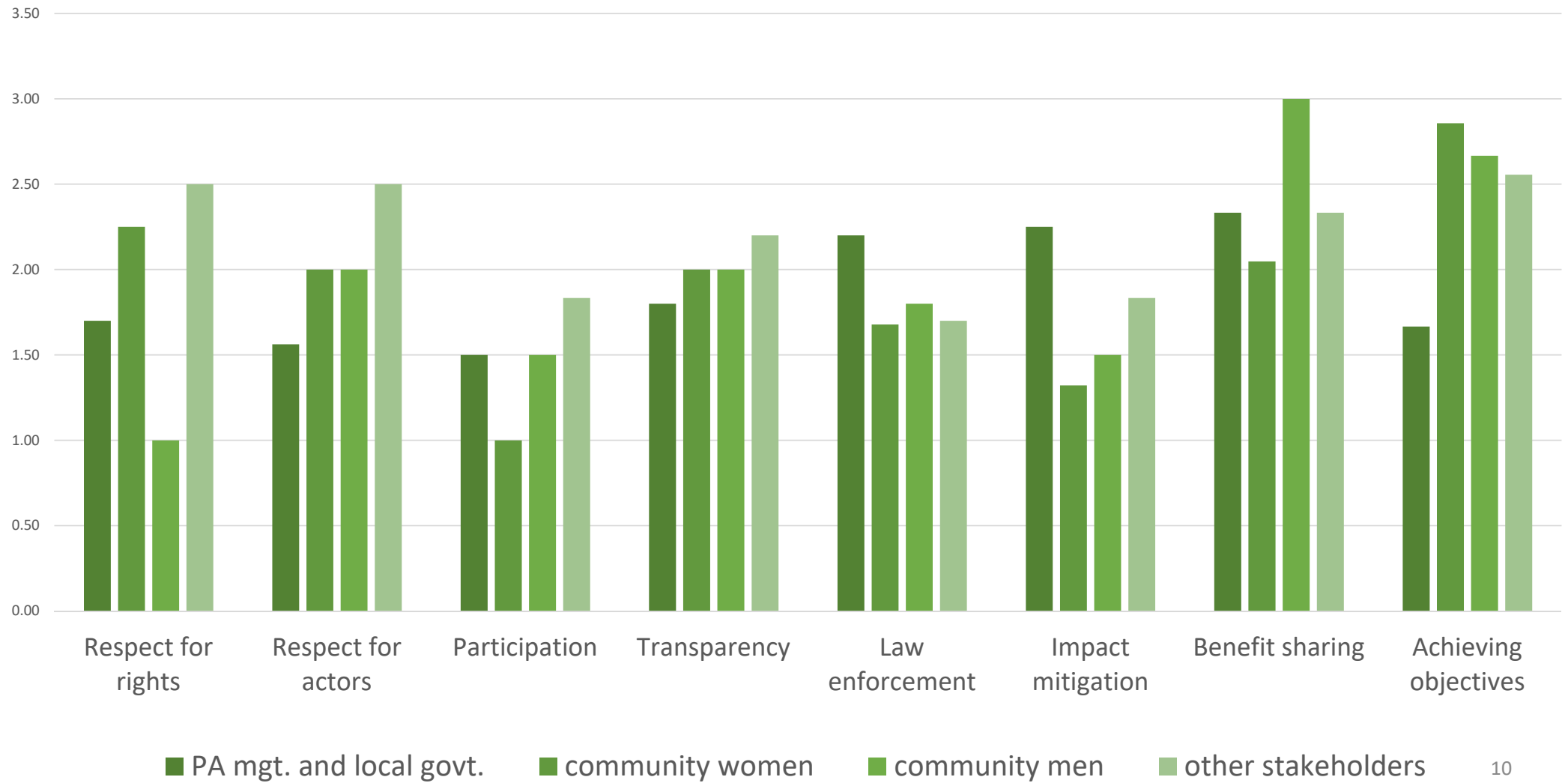
- Vietnam
- Cambodia
- Philippines
- Greece
- UK



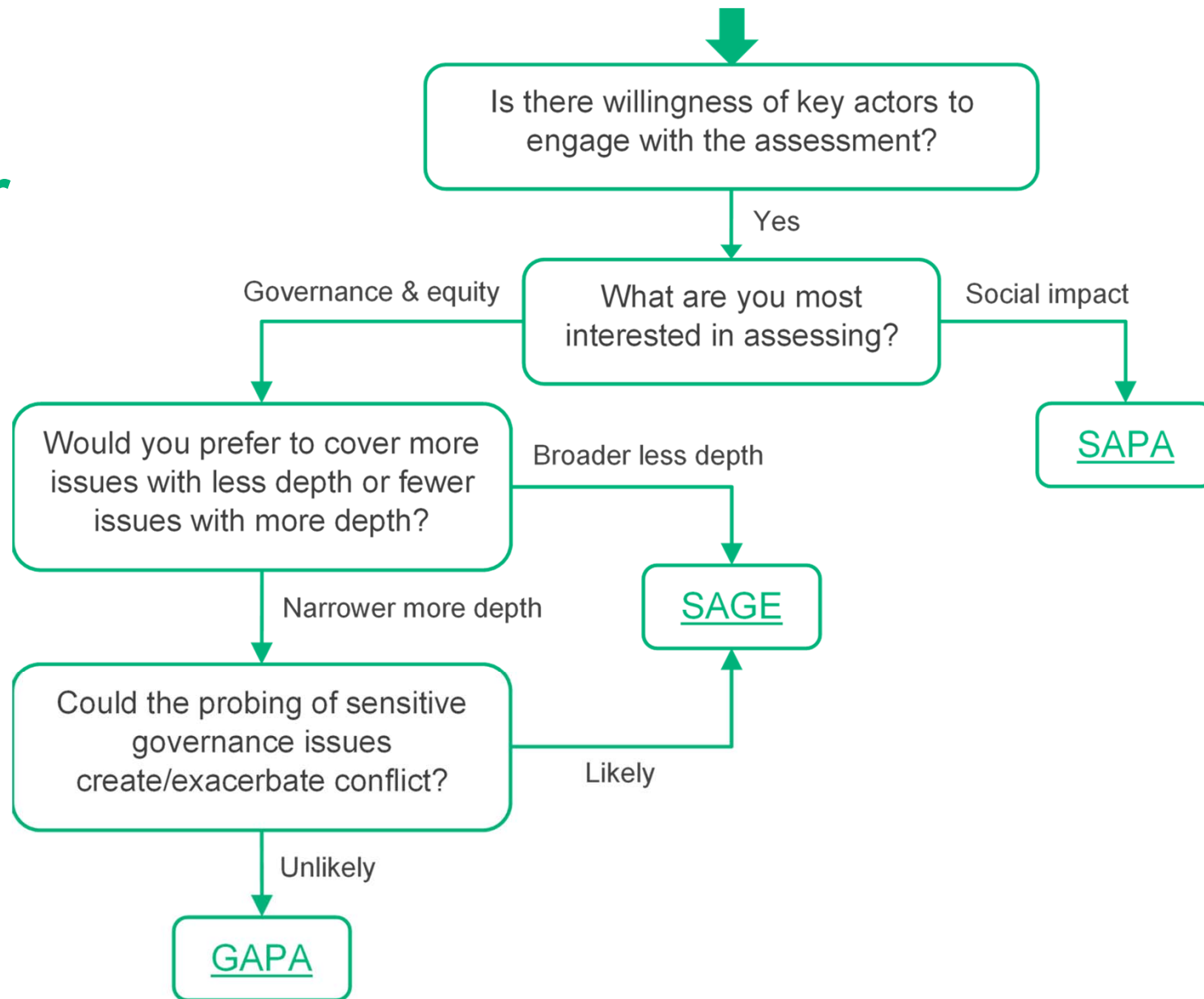
- Tanzania
- Zambia
- Cameroon
- Chad
- Colombia
- Bolivia



Mulobezi GMA, Zambia: scores for each governance principle



SAPA, SAGE or GAPA?



	SAPA	SAGE	GAPA	Comment
Emphasis on social impacts	***			An add-on to SAGE gives basic coverage of impacts
Emphasis on governance and equity	**	***	***	SAGE and GAPA explore the perspectives on governance and equity of all key actors, while SAPA provides just the community perspective.
Scope of issues to be assessed	Up to 20 different social impacts	Up to 8 governance and equity principles	Up to 5 governance and equity principles	Issues assessed are selected by key actors according to the site context/needs
Process				We use the term “actor” as shorthand for stakeholders and rightsholders except in widely used terms such as “stakeholder workshop”
<ul style="list-style-type: none"> Who makes the assessment? Who reviews or validates the results? 	Community members All key actors	All key actors All key actors	All key actors All key actors	
Main methods	PRA ranking in a community meeting, household survey, stakeholder workshop	Questionnaire by actors individually or working in groups, stakeholder workshop	Focus group discussion and key informant interview, stakeholder workshop	With all methods, it is the actors themselves who make the assessment
Objectives of the assessment				All three tools enable improvement in social impact, governance, equity at site level.
<ul style="list-style-type: none"> Identifying strengths and challenges Diagnosing underlying problems Monitoring change over time 	** * ***	** ** ***	*** *** *	SAGE data can also be used for upward reporting versus national or global targets
Number of facilitators required:				The note-takers and facilitators with little or no experience are usually locally recruited
<ul style="list-style-type: none"> Facilitators with substantial experience Facilitators with little or no experience Note-takers or survey enumerators 	1 2 3-5	1 2-4 0-2	3-4 0 0-2	
Typical cost, including facilitators but excluding follow-up actions	USD 5000-20000	USD 2000-10000	USD 5000-15000	Cost varies according to site size, diversity of actors and the cost of logistics
Minimum duration from start to completion of assessment phase	12 weeks	4 weeks	8 weeks	At this stage, the assessment report is a PowerPoint presentation of the results

Thanks for your interest

If you would like to apply for a small grant to use SAPA or SAGE, we have experienced facilitators who can help you. Contact:

phil.franks@iied.org

ruth.pinto@iied.org



IMET

Integrated Management Effectiveness Tool



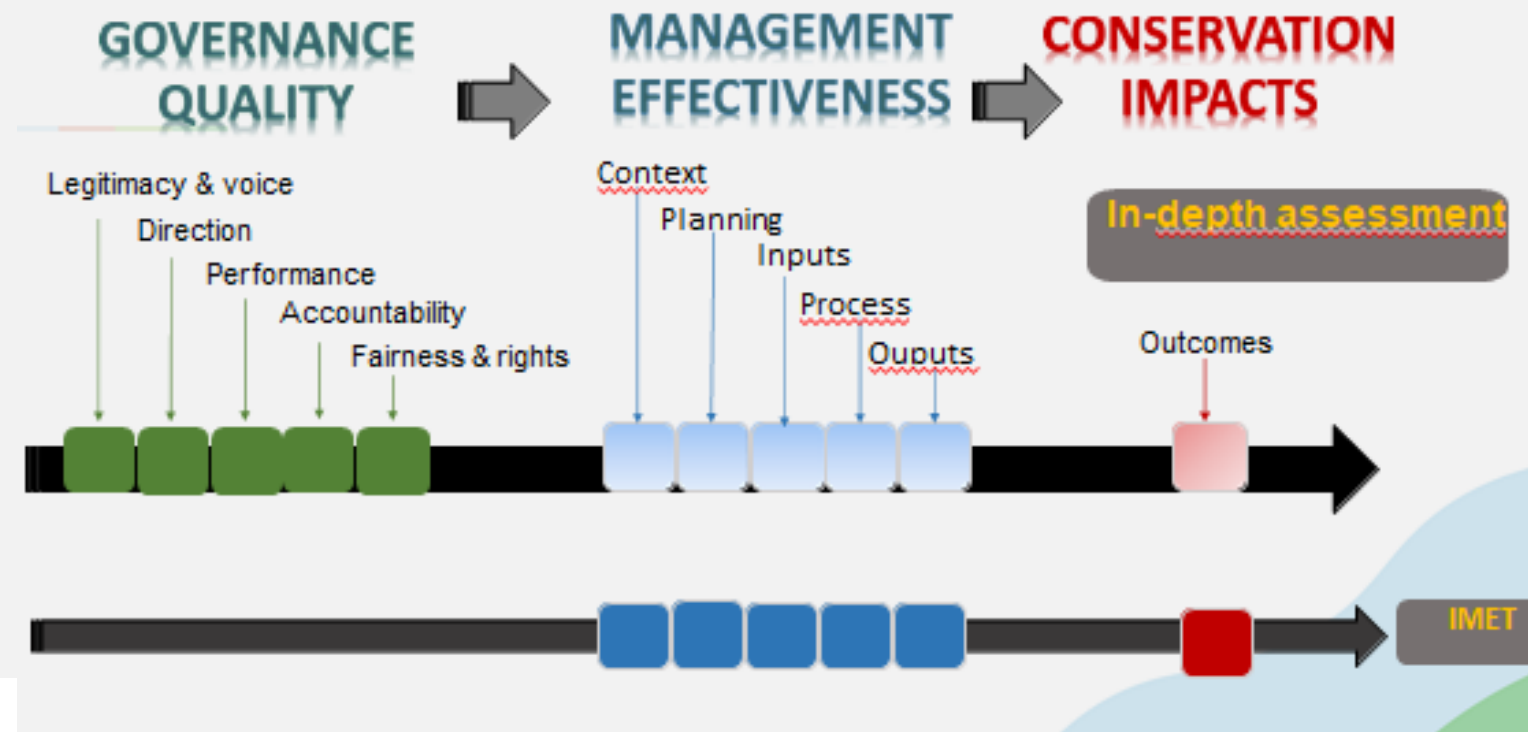
*Domoina Rakotobe,
Senior IMET coach
COWI team
Madagascar*

Overview

- What is IMET? What can it do?
- How to do an IMET assessment?
- What to include in budgeting for an IMET assessment?

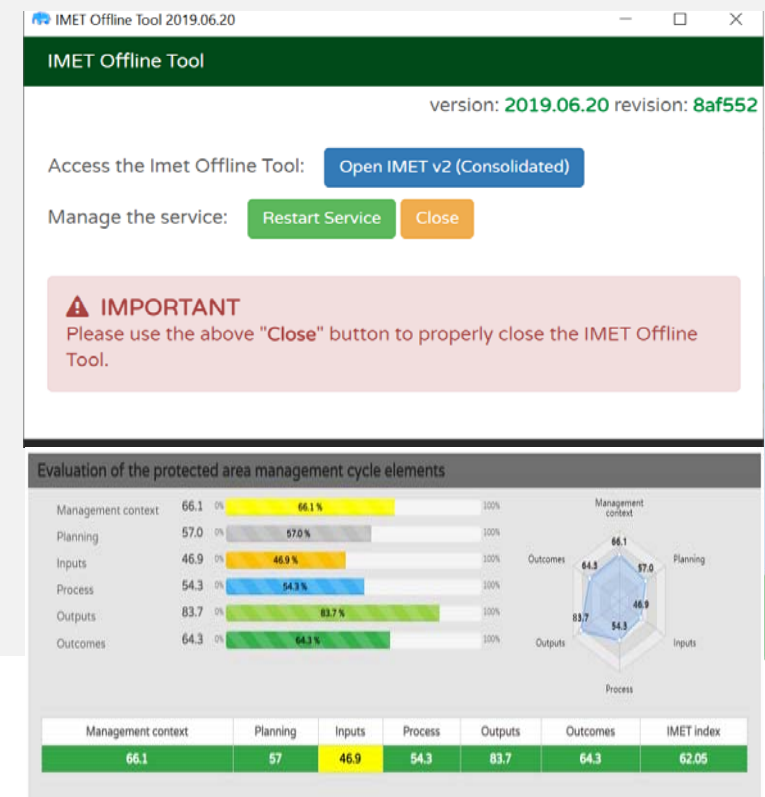
1. What is IMET?

IMET = Integrated Management Effectiveness Tool



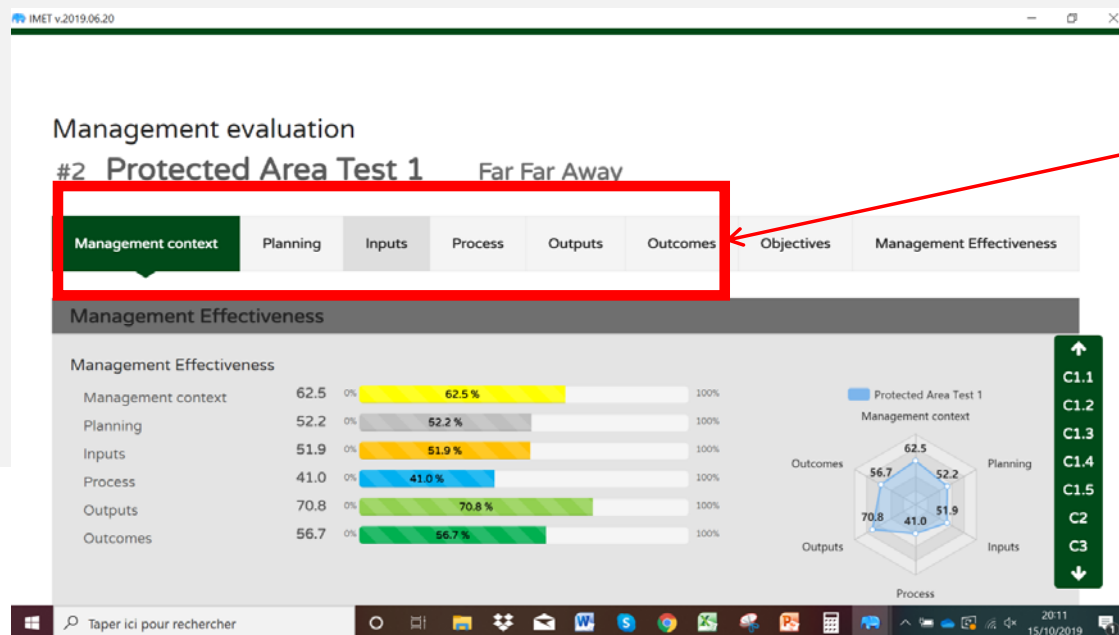
Integrated Management Effectiveness Tool

- Software
- That collects, organizes data and information on PA management
- With internal statistics analysis
- With visualization components
- That helps measure management effectiveness
- Is a decision support system



Integrated **Management Effectiveness** Tool

- Based on the IUCN framework for measuring effectiveness of management of PAs



The Framework for assessing management effectiveness of protected areas



Integrated **Management Effectiveness** Tool

- Based on the IUCN framework for measuring effectiveness of management of PAs
- Inspired from existing ME tools: METT, RAPPAMEoH etc.
- Gives score-based estimation of quality of management

IMET v.2019.06.20

Rating

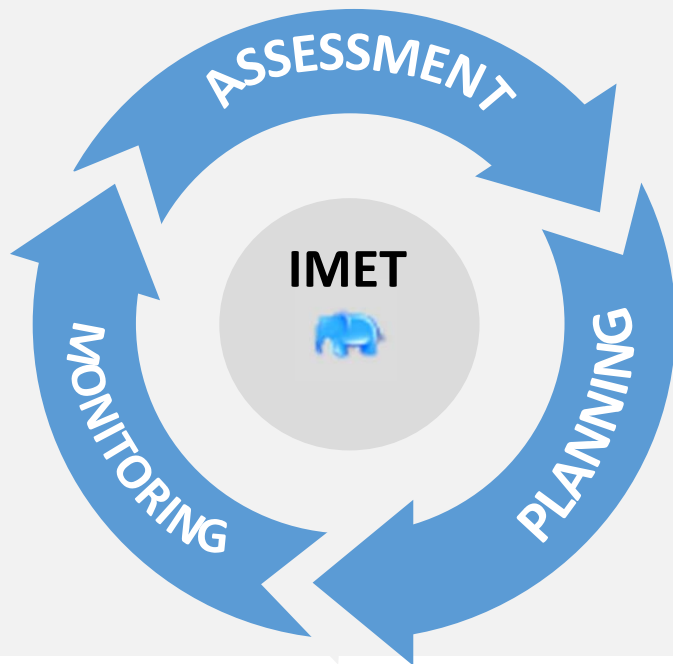
- Identify and evaluate the adequacy of the current legal and regulatory provisions for management in the protected area

★ **Adequacy:**

- N/A: this element is not related to the management of the protected area
- 0: Fully inadequate
- 1: Somewhat inadequate
- 2: Adequate
- 3: Fully adequate

Criteria – Concept measured – Variable	Adequacy
Gazetting and designation (e.g. national park)	N/A 0 1 2 3
Clarity of legal demarcation of the protected area (e.g. natural boundaries such as rivers, non-natural boundaries, customary rights, enclaves, etc.).	N/A 0 1 2 3
Internal rules for the management of the protected area	N/A 0 1 2 3

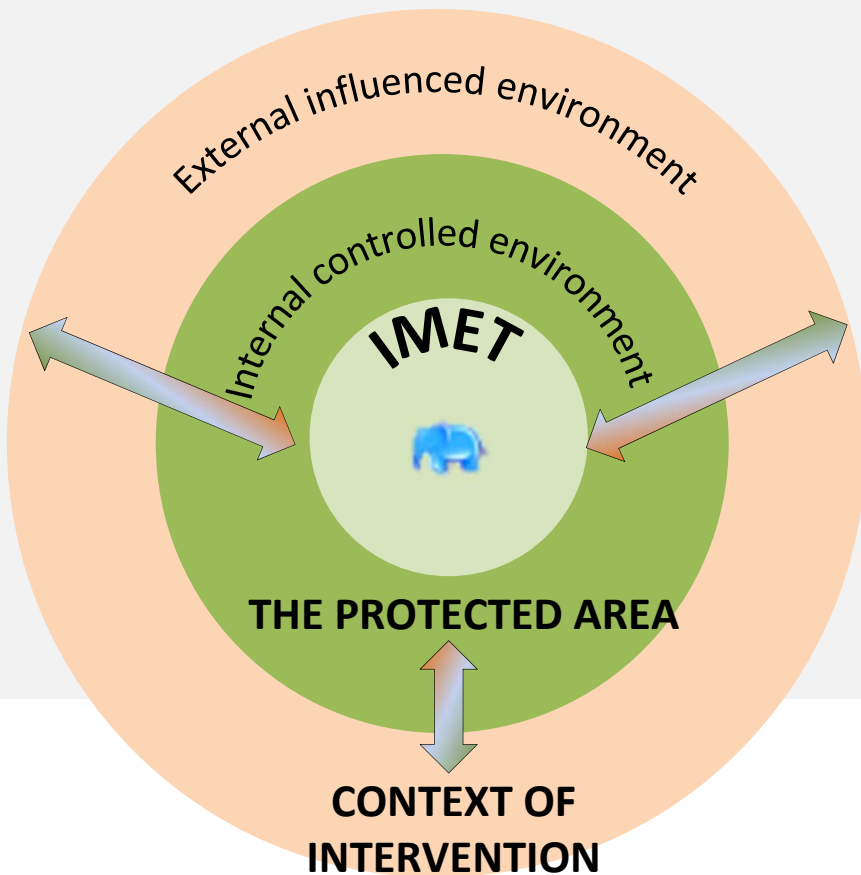
Integrated Management Effectiveness Tool



- Promotes adaptive management through greater linkages between assessment, planning and monitoring

The screenshot shows the 'Setting objectives' interface of the IMET tool. The interface has a dark green header with 'IX' and 'Setting objectives'. Below the header, there is a light blue box with an information icon and text: 'Establish and describe conservation objectives for inputs of the protected area. The objectives entered below will be used for improving management, and more specifically for the planning, resource (input) mobilisation, process phases, and for monitoring management activities of the protected area.' Below this, there is a table with three columns: 'Element/Indicator', 'Baseline', and 'Objective - Favourable conservation status'. The table has three empty rows for data entry. At the bottom left, there is a green 'Add item' button. At the bottom right, there is a 'Comments' section with a text input field. On the far right, there is a vertical green sidebar with a list of items: 11, 12, 13, 14, 15, and IX, with an upward arrow at the top.

Integrated Management Effectiveness Tool



- Promotes adaptive management through greater linkages between assessment, planning and monitoring
- Takes into account the context of intervention of the protected area

2019	Bénoué (607) Cameroon Encoding language: Version: v2	<div>Encode</div> <div> Context Evaluation Analysis report </div> <div> </div>
2019	Lopé (303875) Gabon Encoding language: Version: v2	

> IMET > PROTECTED AREA TEST 1

IMET management (v2 - Consolidated)

Intervention context

#2 Protected Area Test 1 Far Far Away

General Information about the protected area	Areas, boundaries and shape index, level of control	Human, financial and material resources	Key elements	Threats	Climate change and conservation	Ecosystem Services and community dependence
--	---	---	--------------	---------	---------------------------------	---

CTX 1.0.1 Responsibility for filling the form: Management team and partners

Name	Organization	Job role	Contact details
------	--------------	----------	-----------------

> IMET > PROTECTED AREA TEST 1

IMET management (v2 - Consolidated)

Management evaluation

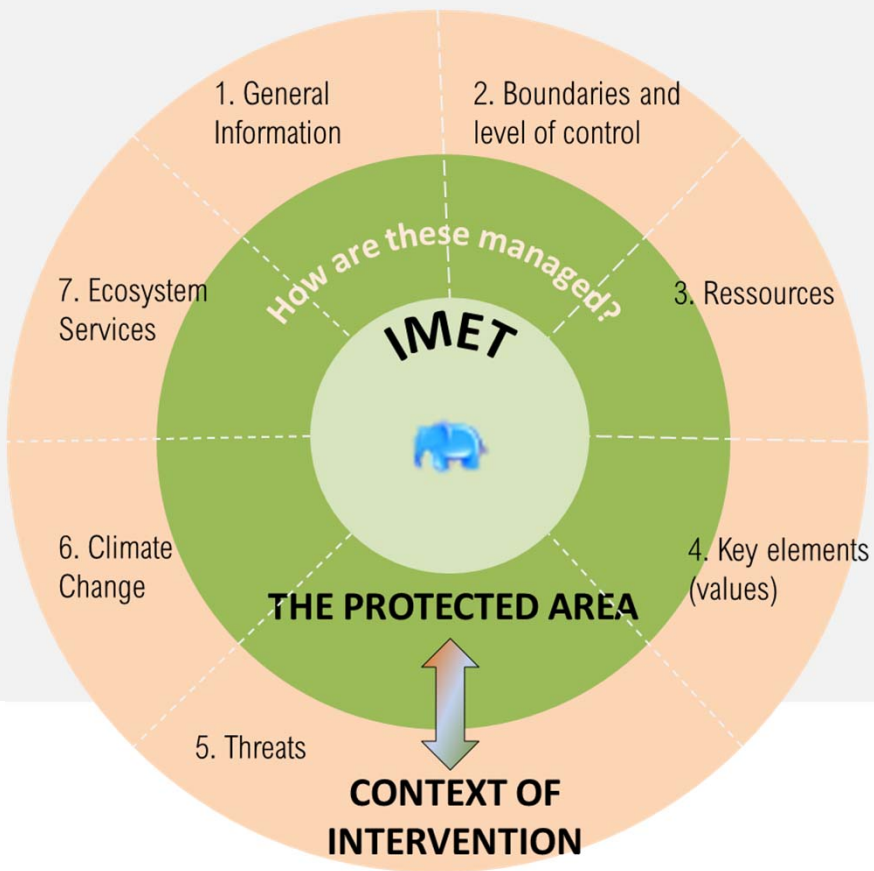
#2 Protected Area Test 1 Far Far Away

Management context	Planning	Inputs	Process	Outputs	Outcomes	Objectives
--------------------	----------	--------	---------	---------	----------	------------

Management Effectiveness

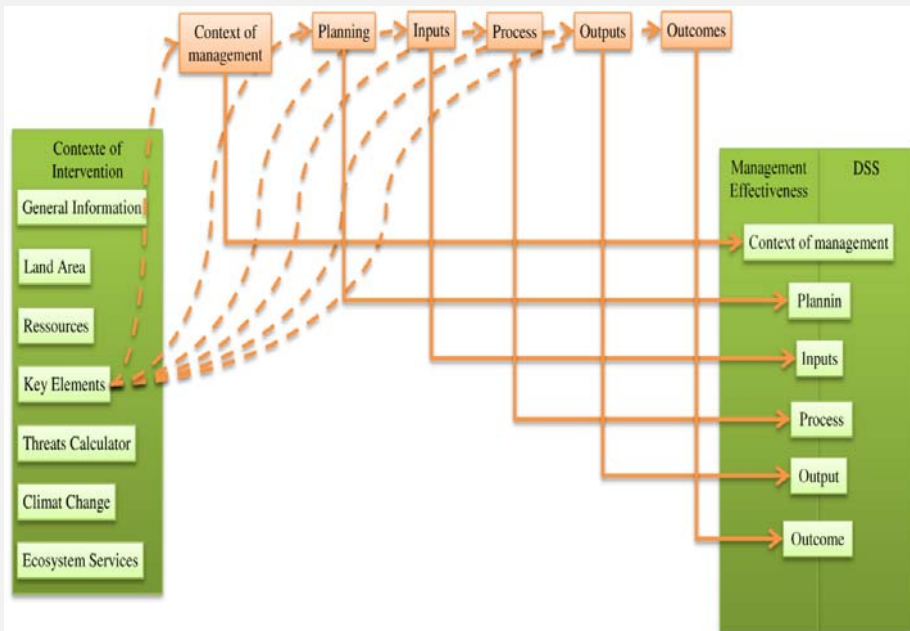
Management Effectiveness	
Management context	62.5 0% <div><div>62.5 %</div></div> 100%
Planning	52.2 0% <div><div>52.2 %</div></div> 100%

Integrated Management Effectiveness Tool



- Promotes adaptive management through greater linkages between assessment, planning and monitoring
- Takes into account the context of intervention of the protected area
- Considers all aspects of management

Integrated Management Effectiveness Tool



- Promotes adaptive management through greater linkages between assessment, planning and monitoring
- Takes into account the context of intervention of the protected area
- Considers all aspects of management
- Evaluates degree and quality of management

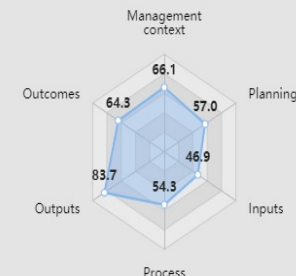
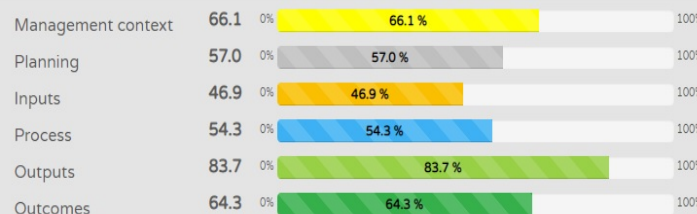
2. How to do an IMET Assessment?

1. Read the handbook 'COMIT'
<https://portals.iucn.org/library/sites/library/files/documents/2015-047-En.pdf>
2. Contact an IMET coach or/and identify a project leader
3. Download IMET software <https://rris.biopama.org/pame/tools>
4. (IMET training)
5. Pre-fill the IMET
6. Organize an IMET assessment workshop : 4-day assessment with ~ 10-15 people
7. Present and discuss results with larger team and key partners
8. Finalize operational recommendations

IMET assessment: Kisite and Mpunguti National Park – April 2019



Evaluation of the protected area management cycle elements



Management context	Planning	Inputs	Process	Outputs	Outcomes	IMET index
66.1	57	46.9	54.3	83.7	64.3	62.05

The IMET assessment has highlighted

- difficulties related to threats and needs for external support
- gaps in human resources, equipment and facilities are not sufficient
- how the MPA ensures the dual roles in protecting biodiversity and in promoting tourism activities, which are important for the local communities.
- The need for a more « seascape » approach in the area

3. What to include in budgeting for an IMET assessment?

Flexible model

Budget items	Approx. costs
2-day IMET training workshop (1st time users)	20-25 people, travel expenses, venue, food, accommodation
4-day field mission	10-15 people, travel expenses, venue, food, accommodation <i>* Depending on location and size of the PA</i>
Coaches' expenses	Travel expenses, daily allowance
1-day presentation workshop	20-25 people, travel expenses, venue, food, accommodation



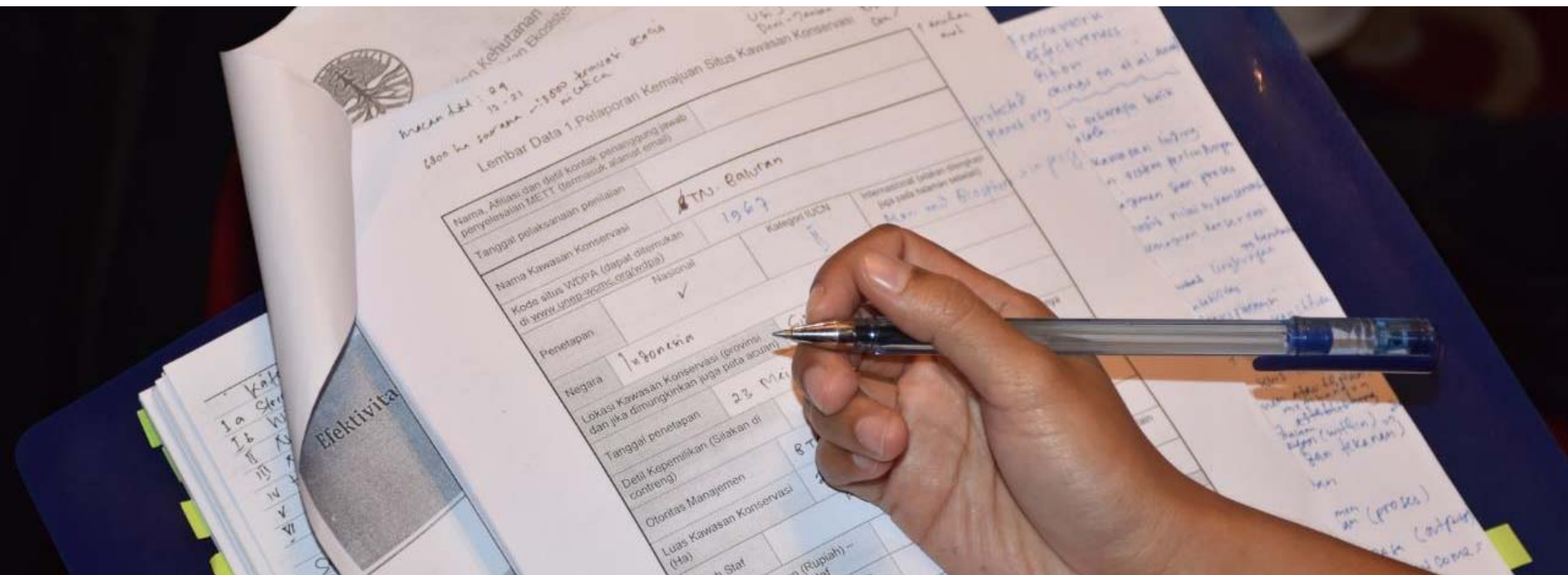
Thank you very much!

We are available if you need further information

Domoina Rakotobe domoina.r@cowibiopama.org

Carlo Paolini carlo.p@cowibiopama.org

Management Effectiveness Tracking Tool (METT)

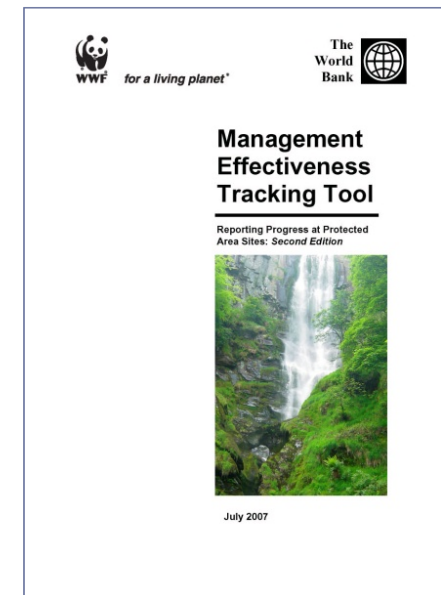
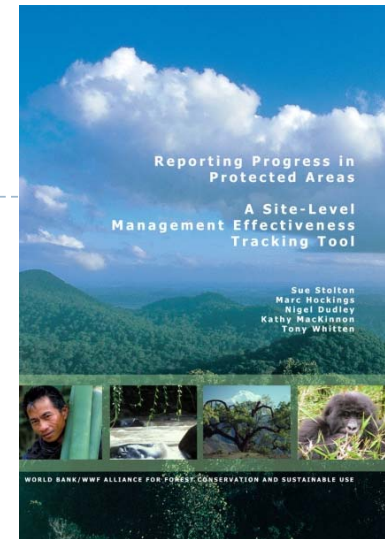


Introducing the METT-4 A new version the Management Effectiveness Tracking Tool

Sue Stolton, Equilibrium Research

A short history of the METT

- ▶ The METT was originally developed in 2002 to track the World Bank/WWF Alliance for Forest Conservation and Sustainable Use effective management target and was based around the IUCN WCPA protected area management effectiveness (or 'PAME') Framework
- ▶ Three versions published by WWF and World Bank in 2002 (METT-1), 2005 (METT-2) and 2007 (METT-3)
- ▶ 2016 WWF published a handbook on using the METT



Range of influence

Over the years, the METT has become the most used PAME tool Used in well over 2,500 protected areas in at least 127 countries. Some of the reasons for this uptake are ...

- ▶ Original version **translated** into multiple languages
- ▶ Use is obligatory in all **Global Environment Facility** and all **World Bank** protected area projects
- ▶ Adapted as the main PAME tool by **protected area agencies**, from Namibia to Indonesia, and in regional protected area initiatives, i.e. in Central Africa
- ▶ Adapted for wetland sites listed under the **Ramsar Convention**



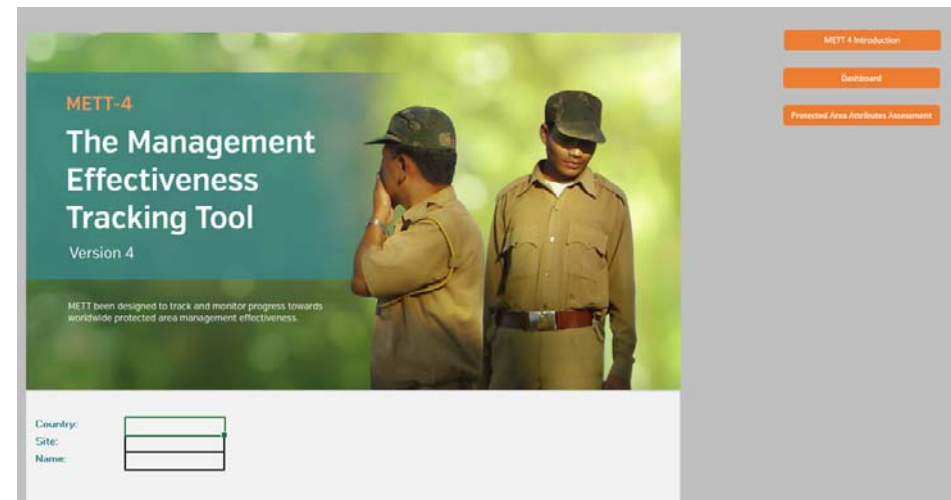
Why a new METT

- ▶ The 2007 version (METT-3) word document has been the standard version used for over a decade
- ▶ But many innovations in implementation, new management issues and increasingly sophisticated computer functionality all meant this version was getting out of date



The new METT-4

- ▶ Builds on an Excel METT developed for KFW, the German state-owned development bank, for assessment of their projects
- ▶ Excel functionality means automatic presentation of results
- ▶ All the METT needs to be considered and completed
- ▶ Greater emphasis on outcomes: additional worksheets allow for more detailed assessments of community relations, planning processes, condition of natural and cultural values, key species and habitats
- ▶ Questions re-ordered to a more logical flow
- ▶ New question on current management issues:
 - ▶ Climate change
 - ▶ Staff security
 - ▶ Connectivity



Main elements of the METT

- ▶ Protected area attributes
 - ▶ Background information on site and assessment
 - ▶ Identification of main site values and objectives
- ▶ Threat assessment
- ▶ Multiple choice questions
- ▶ Detailed outcomes assessment of values, species and habitat

Detailed assessment of values

This assessment should be completed where there are sufficient data available on the condition and trend in values to be able to make an assessment. It does not contribute to the overall 'score' of management effectiveness in the METT but can inform the rating on Condition of Values that is made in Question 35. In completing the table below, it will be important to review available monitoring results and to draw upon the knowledge of researchers, managers and community members in reaching a consensus understanding of the condition and trend in values. If there is insufficient knowledge to make this assessment, this should be indicated in the tick box below. If you lack the specific knowledge to complete the table below, please still give a rating at Question 35 based on the available knowledge.

There is insufficient information to assess condition and trend in the nominated values ☐

Condition: For each of the five main values that are listed for this protected area (and that have been copied from the PA Attributes sheet to the table below), describe the condition of each value using a scale of *very good*, *good*, *fair* or *poor*, based on the collective expertise of the assessors and using the guide on scoring below. The appropriate condition rating can be selected from the drop down list.

Very good: The condition of the value is essentially unimpaired

Good: The condition of the value is impaired to a small extent but the value is likely to be maintained in this condition without intervention.

Fair: The value is moderately impaired and is likely to require intervention or significant time to recover.

Poor: The value is substantially impaired and will require intervention to recover.

Don't know: There is no information available about the value so condition and trend cannot be determined.

Trend: Next, think about how the value has changed since the time the protected area was first designated and to describe its *trend* using the rating below which can be selected from the drop down list.

Improving: Getting better / recovering

Stable: Staying about the same

Deteriorating: Getting worse

Don't know: There is no information available about the value so condition and trend cannot be determined.

For each value assessed, provide a justification of the assessment. For example, a wildlife population might be in very good condition because it is at carrying capacity or is equivalent to a reference level for a healthy ecosystem. Management suggestions for improving the condition and/or trend should also be added where necessary.

Value	Condition	Trend	Justification for the rating	Ways to improve value
-------	-----------	-------	------------------------------	-----------------------

--	--	--	--	--

▶ ... | 32 | 33 | 34 | Detailed assess. of values | 35 | 35A | 36 | 36A | Details ... | ▶

3. Protected area regulations/controls

This question is not relevant to this PA

If you select this, please explain

Explanation:

Are appropriate regulations/controls in place to manage land/sea use and activities (such as hunting, NTFP, logging, mining, fishing)?

Help for answering this question: this refers to the existence of both legal regulations and customary controls; for instance, protected areas managed by private individuals, trusts or communities should still have clear rules regarding use of land and water.

Possible answers

- ☐ A There are no regulations/controls for managing land/sea use and activities in the protected area
- ☐ B Some regulations/controls for managing land/sea use and activities in the protected area exist but these are major weaknesses
- ☐ C Regulations/control for managing land/sea use and activities in the protected area exist but there are some weaknesses or gaps
- ☐ D Regulations/controlling for managing inappropriate land/sea use and activities in the protected area exist and provide an excellent basis for management

Evidence and justification: What are the reasons for choosing this response?

Actions to improve management: Is there anything you could do to improve management?

Information sources: Which information (evidence) have you used to answer this question? (Please tick relevant boxes and add details in column below)

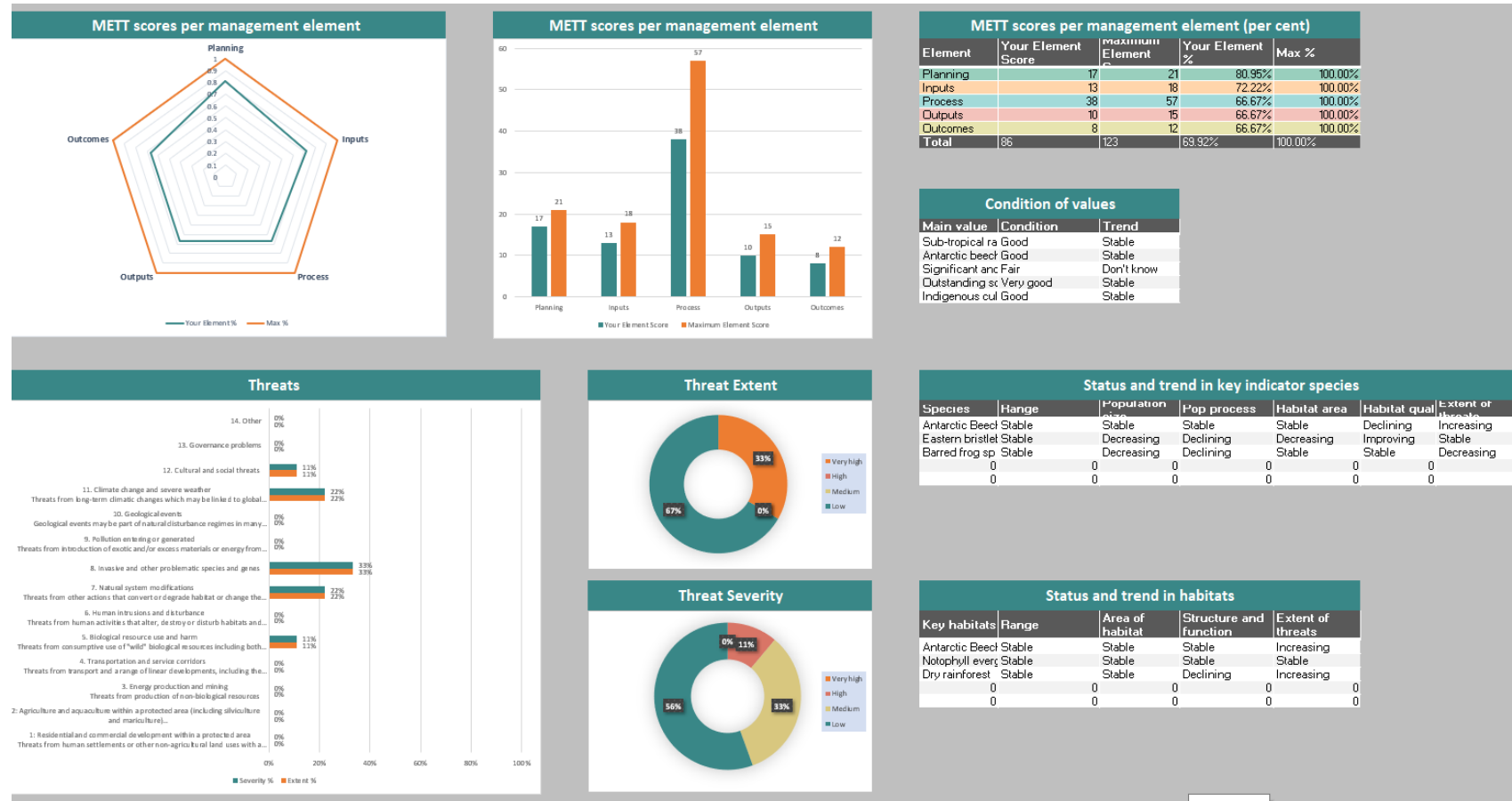
- ☐ Research and Monitoring
- ☐ Planning documents and departmental data
- ☐ Staff experience
- ☐ External expert opinion
- ☐ Community opinion / traditional knowledge
- ☐ Other (specify)

The 38 multiple choice questions are the main feature of the METT

No.	Question	Maximum METT score	Your METT score (this column will be filled)	Your METT score from last assessment (if available)	Management element
1	Does the PA have legal status or is it established through "other effective means"?	3	0		Planning
2	Is management undertaken to achieve the objectives of the protected area?	3	0		Planning
3	Are appropriate regulations/controls in place to manage use and activities in accordance with the management objectives?	3	0		Process
4	Does land and sea use planning outside of the protected area recognise the protected area and contribute to the management of the protected area?	3	0		Planning
5	Is the protected area the right size and shape to protect species, habitats, ecological processes and water catchment?	3	0		Planning
6	Is the boundary known and demarcated?	3	0		Process
7	Is there a management plan or equivalent and is it being implemented?	3	0		Planning
7a-c	Additional points: Planning process	3	0		Planning
8	Is there a regular work plan and is it being implemented?	3	0		Planning
9	Do you have enough information to manage the area?	3	0		Inputs
10	Are there enough people to manage the protected area?	3	0		Inputs
11	Do the people involved in managing the protected area have the necessary knowledge and skills?	3	0		Inputs
12	Is the current budget sufficient?	3	0		Inputs
13	Is the budget secure?	3	0		Inputs
14	Is the budget managed to ensure effective administration of the protected area?	3	0		Process
15	Are equipment and facilities sufficient for management needs?	3	0		Inputs
16	Can staff (i.e. those with responsibility for managing the site) enforce protected area legislation and regulation?	3	0		Process
17	Are systems (e.g. patrols, permits, intelligence gathering etc) in place to control access/resource use in the protected area?	3	0		Process
18	Do protected area staff have safe working conditions and does management prioritise safety?	3	0		Process
19	Is there a programme of management-orientated survey and research work?	3	0		Process
20	Are management activities regularly monitored, evaluated and adapted?	3	0		Process
21	Is active resource management being undertaken?	3	0		Process
22	Is the protected area consciously managed to adapt to climate change?	3	0		Process
23	Is the protected area being consciously managed to prevent carbon loss and to encourage further carbon capture?	3	0		Process
24	Does management consider ecosystem service provision?	3	0		Process
25	Is there a planned education programme linked to the management needs?	3	0		Process
26	Is there co-operation with neighbouring land/sea State and commercial users?	3	0		Process
27	Do commercial tour operators contribute to protected area management?	3	0		Process
28	If fees (i.e. entry fees or fines) are applied, do they help protected area management?	3	0		Process
29	Are visitor facilities and services adequate?	3	0		Outputs
30	Are Indigenous people involved in management decisions?	3	0		Process
31	Do local communities living in or near the protected area have input to management decisions?	3	0		Process
31a-c	Additional points - Impact on communities	3	0		Outputs
32	Is the protected area providing sustained livelihood benefits to local communities and/or Indigenous people, e.g. in the form of employment?	3	0		Outputs
33	Are the threats to the main values of the protected area being effectively addressed?	3	0		Outputs
34	Have the requirements for functional connectivity have been assessed and implemented?	3	0		Outputs
35	Detailed assessment of condition and trend in values				Outcomes
35	What is the condition of the important natural values of the protected area as compared to when it was first established?	3	0		Outcomes
35 a-c	Additional points - Condition of natural values	3	0		Process
36	What is the condition of the important cultural values of the protected area as compared to when it was first established?	3	0		Outcomes
36 a-c	Additional points - Condition of cultural values	3	0		Process
37	Detailed assessment of key species				Outcomes
37	Has the status of key indicator species changed over the last 5 years?	3	0		Outcomes
38	Detailed assessment of habitats				Outcomes
38	Has the status of habitats changed over the last 5 years?	3	0		Outcomes
	Total score	126	0	0	

METT-4 results: dashboard

One of the major innovations of the excel version of METT-4 is the dashboard which will automatically generate visual interpretations of the results



METT-4 results: action plans

All the actions indicated in the multiple choice section are also exported to a separate excel sheet, to make the development of an action plan easier

Actions you have identified to improve your management effectiveness					
No.	Question	Actions to improve management	By when?	Who is responsible?	Who else needs to be engaged?
1	Does the PA have legal status or is it established through "other effective means"?	Nil			
2	Is management undertaken to achieve the objectives of the protected area?	Nil			
3	Are appropriate regulations/controls in place to manage use and activities in accordance with the management objectives of the protected area?	Nil			
4	Does land and sea use planning outside of the protected area recognise the protected area and contribute to the achievement of management objectives?	Improve liaison with local government planning			
5	Is the protected area the right size and shape to protect species, habitats, ecological processes and water catchments of key conservation concern?	Strategic acquisition to improve connectivity			
6	Is the boundary known and demarcated?	Nil			
7	Is there a management plan or equivalent and is it being implemented?	Increased staff and resourcing			
7a-c	Additional points: Planning process	Indigenous engagement recently improved. Planning can take too long to complete			
8	Is there a regular work plan and is it being implemented?	Increased staff and resources			
9	Do you have enough information to manage the area?	increase monitoring across greater range of attributes			
10	Are there enough people to manage the protected area?	Increased staff and resources			
11	Do the people involved in managing the protected area have the necessary knowledge and skills?	Specialist regional staff made more available to assist on-park management			
12	Is the current budget sufficient?	increase budget to enable full completion of annual program			
13	Is the budget secure?	Nil			
14	Is the budget managed to ensure effective administration of the protected area?	Timely distribution of funds			
15	Are equipment and facilities sufficient for management needs?	Increase resources and capital funding for camping area development			
16	Can staff (i.e. those with responsibility for managing the site) enforce protected area legislation and regulation?	Extend training to all staff			
17	Are systems (e.g. patrols, permits, intelligence gathering etc) in place to control access/resource use in the protected area?	Nil			
18	Do protected area staff have safe working conditions and does management prioritise safety?	Maintain vigilance and OHS procedures			
19	Is there a programme of management-orientated survey and research work?	Annual research seminar			
20	Are management activities regularly monitored, evaluated and adapted?	Workshop with local staff and dedicated budget to address			

Where next for the METT?

- ▶ The METT had provided an introduction to PAME to about 65% of all the countries worldwide
- ▶ Helped identify management processes critical to success
- ▶ Its use and adaptation is increasing
- ▶ We hope METT-4 will have a wide uptake and increase the efficacy of the tool and improvement of management effectiveness where it is used

METT-4

The Management Effectiveness Tracking Tool

Version 4

METT been designed to track and monitor progress towards



Protected Area Attributes Assessment



THANK YOU

The METT-4 can be downloaded from
<https://www.protectedplanet.net/en/thematic-areas/protected-areas-management-effectiveness-pame>

The development of the Excel Workbook and revised Manual text was supported by IUCN Oceania Regional Office through the BIOPAMA programme (www.biopama.org), WWF International, Conservation Assured | Tiger Standards, Equilibrium Research and IUCN WCPA.

Adapted Assessments using IUCN Best Practice Guidelines



The STGA is directed at both protected and conserved areas including all four IUCN/CBD governance types

Assessments that adapt the IUCN Best Practice Guidelines No. 20 will also be considered

Please contact: Jennifer Kelleher, Programme Lead, Governance, Equity and Rights, Global Protected and Conserved Areas Programme

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Resources:

STGA Guidelines: <https://action.biopama.org/stga/>

Greenlist: <https://iucngreenlist.org/>

Assessment tools overview in the Regional Resource Hub:

<https://biopama-rris.rcmrd.org/pame/tools>



Questions?