



# Management Plan Guidelines



## For Protected Areas In Kenya



Prepared by Kenya wildlife Service (KWS)

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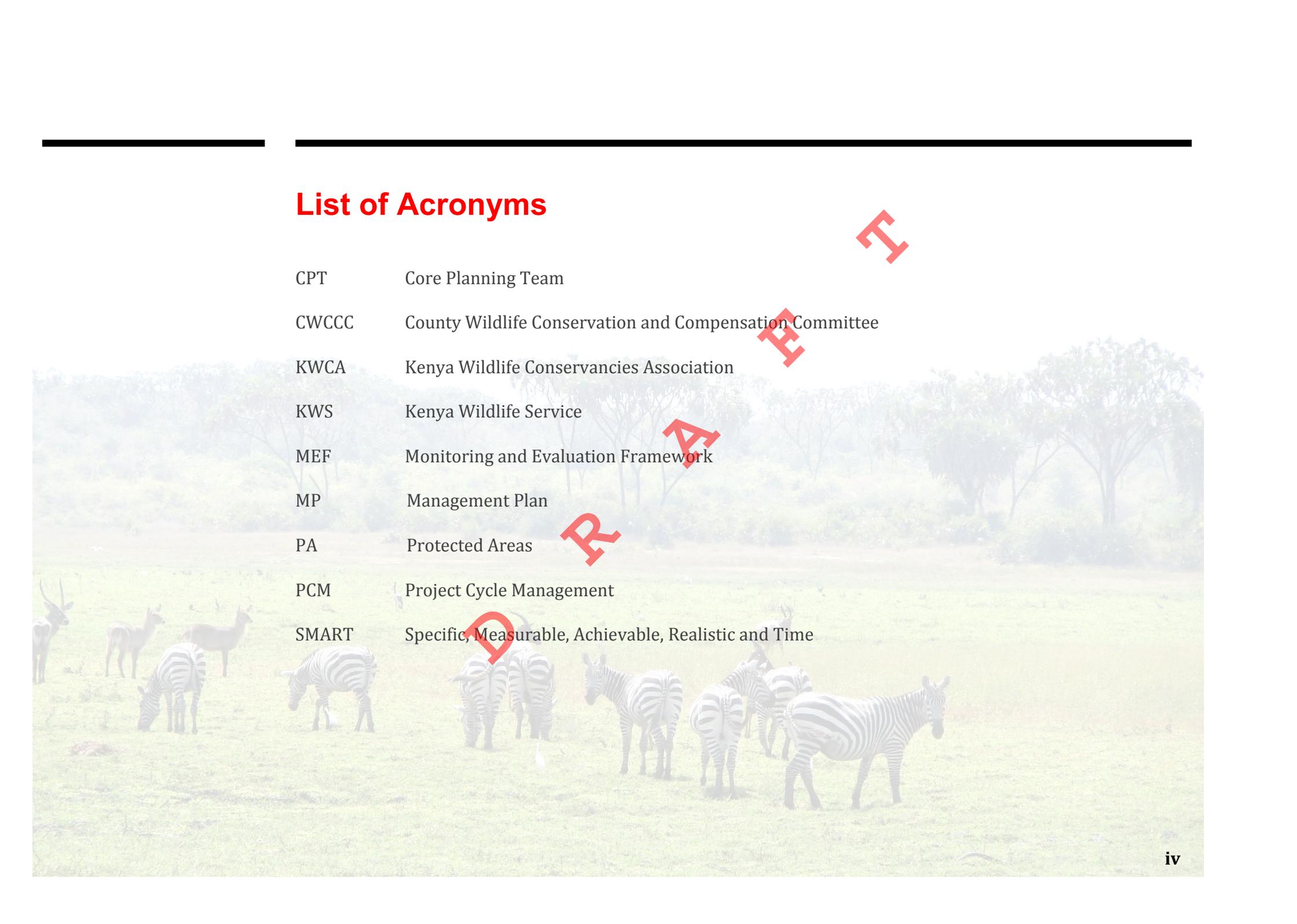
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## List of Acronyms



CPT	Core Planning Team
CWCCC	County Wildlife Conservation and Compensation Committee
KWCA	Kenya Wildlife Conservancies Association
KWS	Kenya Wildlife Service
MEF	Monitoring and Evaluation Framework
MP	Management Plan
PA	Protected Areas
PCM	Project Cycle Management
SMART	Specific, Measurable, Achievable, Realistic and Time

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The support provided by Mukii Gachugu in putting the document together is acknowledged, as is the inputs from the Steering Committee made up of Dickson Ole Kaelo and Gladys Warigia (KWCA), Apollo Kariuki and Ann Kahihia (KWS), Dr. Juliet King (Northern Rangelands Trust, NRT), Lucy Waruingi (African Conservation Centre, ACC), Edwin Tambara (AWF), Dr. Irene Amoke (Kenya Wildlife Trust, KWT), Judy Kepher-Gona (Sustainable Tourism and Travel Agenda, STTA), Koikai Oloiptip (Amboseli Ecosystem Trust), and Nigel Hunter (Soysambu Conservancy). The guidelines benefited a lot from input from participants of the guidelines validation meeting.



## 1. Introduction

### 1.1 Purpose of the Guidelines

*A standardized approach:* The purpose of these guidelines is to provide a simple standard for development of Protected Area (PA) management plans that can be applied by institutions or individuals that are mandated to manage PAs in Kenya. These guidelines provide a practical, proactive, coordinated and standardized approach, on how to develop, implement, monitor and evaluate management plans for public, private and community protected wildlife areas. The overall intention is to improve protected areas planning and management at all levels.

The guidelines provide a basis for engagement between the county governments, communities and individuals responsible for preparing, approving and implementing protected area management plans, and the Kenya Wildlife Service (KWS), which has an oversight role over wildlife protected areas.

### 1.2 Specific objectives of the Guidelines

The guidelines aim to:

- (1) Provide a basis for monitoring and oversight of PA management planning;
- (2) Give direction on the process of preparing, approving, and implementing PA plans; and
- (3) Clarify how effective stakeholder participation in the planning process can be achieved

### 1.3 Users of the Guidelines

The guidelines are targeted for protected area planners and managers who need a structured guide to plan for and manage nationally protected areas. Policy makers will find these guidelines useful as good plans inform investment options. The Guidelines will also benefit members of public and NGOs interested in understanding protected areas' planning processes.

### 1.4 Process of preparing the Guidelines

The preparation of these Guidelines followed the following process:

- (1) The KWS in collaboration with the Kenya Wildlife Conservancies Association (KWCA) following on the requirements of the Wildlife Conservation and Management Act, 2013 (the Act), held discussions with

*“ The Cabinet Secretary shall, initiate public consultation for purposes of formulating management plan guidelines”. Section 44(5), the Wildlife Conservation and Management Act, 2013 (The Act)*

*Promoting a practical  
planning process that is  
based on evidence*

- key stakeholders and developed Terms of Reference (TORs) that spelled out the content and process for developing these Guidelines;
- (2) Brain storming sessions to interrogate current and past planning experiences and practices between Steering Committee and the consultant;
  - (3) Literature review of protected areas planning processes and best practice from around the world by the consultant (the list of documents reviewed is contained in the Bibliography);
  - (4) The consultant consulted with key stakeholders, before developing the first draft of the Guidelines;
  - (5) The KWS and KWCA with the support of the consultant developed second draft Guidelines and circulation for comments and value addition;
  - (6) Stakeholder consultative forums with county governments that have operational national reserves, conservancies and conservation NGOs;
  - (7) Incorporation of stakeholder comments and development of final guidelines;
  - (8) Stakeholder validation meeting; and
  - (9) The final draft Guidelines reviewed, revised and accepted by KWS Board Conservation Committee.

## **1.5 The process advocated for by the Guidelines**

The Guidelines propose planning steps that:

- ✓ Ensure a thorough understanding of the guiding policies, context and issues through a literature review, stakeholder consultation and information analysis;
- ✓ Follow a plan development approach that is methodical and consistent;
- ✓ Ensure the plan is implementable by incorporating a financing, implementation monitoring and evaluation processes; and
- ✓ Assure ownership through a formal validation, endorsement and approval process.

## **1.6 Approach and structure of the Guidelines**

Chapter 2 of these Guidelines provides an explanation of what constitutes PAs, why PA plans are important and the laws and guiding principles upon which the Guidelines are based. Chapter 3 explains the step-by-step processes recommended to develop management plans for protected areas. The Guidelines include Attachments and Annexes to ensure they provide adequate information needed to develop good PA plans.

## 2. Protected area Management Plans

### 2.1 Why is a protected area management plan needed?

The Fifth Schedule of the Act (Annex 3) defines a protected area management plan as “*the instrument in which all the ingredients for active management are described, in particular which organizations will undertake what responsibilities and what actions are intended to achieve what ends*”. As such, a PA Management Plan provides a logical and practical management road-map that prescribes specific activities and processes to be undertaken within a given timeframe, needed to deliver predetermined management objectives, which contribute to a shared PA vision or purpose. Without a management plan, the development and use of a protected area will be unplanned and haphazard. Development and use of PA resources will most likely be at the mercy of the people with most power. Such development will most likely result in short-term and not long-term sustainable benefits. The result may be lost opportunities and or irreversible damage to the PA. On the other hand, having a Management Plan:<sup>1</sup>

- ✓ Improves management of the protected area as decisions are based on a clear understanding of the PA;
- ✓ Provides guidance for managers;
- ✓ Provides continuity for management;
- ✓ Helps to track and report on challenges and successes;
- ✓ Helps in raising funds to support the PA;
- ✓ Improves use of financial and staff resources;
- ✓ Increases accountability; and
- ✓ Improves communication, especially with potential clients and stakeholders

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<sup>1</sup>Parr, J. Ravuso, M. Manten, M, 2009.

Planning for protected areas is good management

## Protected area Management Plans

*A shared understanding:* The PA Plan establishes a shared understanding between the PA managers and other stakeholders on the rationale for the proper management of the protected area and clarifies roles and responsibilities between the various parties.

*Demonstrating progress:* A PA Plan provides a framework to track, measure and report management results (outputs), progress towards desired objectives and impacts.

*What a PA Plan is not:* A Protected Area Management Planning process collects and collates information only relevant to the Plan. A Plan is not intended to be a comprehensive data source for a Protected Area.

### 2.2 Protected areas laws and policies

The requirement for protected area planning and consequently for these Guidelines is provided for under Section 44 and the Fifth Schedule of the Act and associated Regulations on the management of conservancies and sanctuaries; community participation in conservation; marine protected and conservation areas; and for protected wetlands. They recognize and are consistent with other relevant legislation specifically section 38(c) of the Environment Management and Co-ordination Act EMCA (1999) that provide for operational guidelines for the planning and management of environment and natural resources.

### 2.3 Protected areas management planning key guiding principles

The following guiding principles are fundamental to successful preparation and implementation of management plans:

*Stakeholder participation:* Effective stakeholder and community participation can be achieved through a variety of mechanisms designed to ensure that all stakeholders can meaningfully contribute to the plan's development. The four principal mechanisms that enable participation are: The Core Planning Team, Stakeholder Workshops, Expert Working Groups, and individual consultations. Participation should take place as early as possible and continue throughout the planning process. Creating a sense of ownership among PA stakeholders by involving them in planning discussions, and to some extent, decision making, improves the likelihood that the plan and its implementation will be successful.

*“The formulation and implementation of management plans shall involve the participation of neighboring communities”. (Section 44(2) of the Act)*

## Protected area Management Plans

*Regional integration:* Section 4 (c) the Act requires that “*wherever possible, the conservation and management of wildlife shall be encouraged using an ecosystem approach*”. Protected area management planning should therefore embrace regional integration within the context of the lands, issues and peoples surrounding the planning area. The long term success of PAs must be seen in the light of the search for more sustainable patterns of development in general. The aspirations and needs of the local communities in and around the PA must also be identified and addressed through the planning process and in the final plan.

*Adaptive management:* Management plans should be flexible, able to evolve to changing information, environmental conditions, and monitoring results. Adaptive management allows individual components of the plan to be amended or altered at any time due to changing resource conditions, social values, improved data, or in response to results of monitoring activities. The Fifth Schedule of the Act specifies that, “*a management plan should be a practical tool*. In terms of monitoring and implementation, the Fifth Schedule notes that “*a management planning process includes the production of an annual compliance report and a 5 year third-party management report.*”

*Management oriented and easily understood plans:* The Fifth Schedule of the Act notes that because of a “*tendency for management plans to be over elaborate ... they go unused*”. Hence, for successful plan implementation, the level of planning should be tailored to the capacities of the agencies and communities involved. A main focus of a Management Plan is the clear explanation of the vision, the management objectives needed to realize this and the strategies/actions required to implement them. In addition, given that Management Plans often have a wide and varied audience, Management Plans should be clear and accessible, free of jargon, easy to read and well presented.

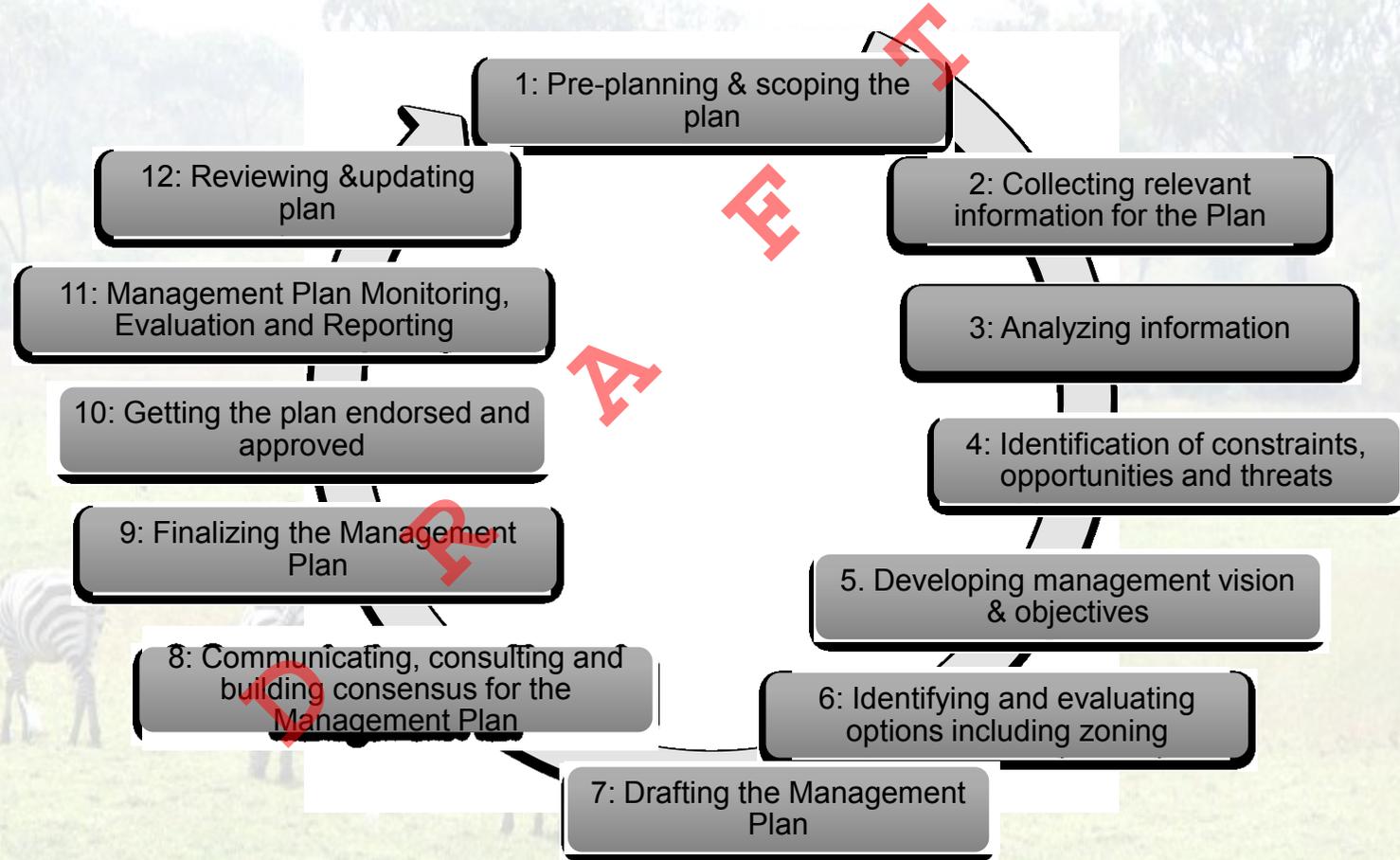
*A management plan: should be a practical tool;*

*Should be easily understood*

## 3. The Management Planning Process

Management planning process can be broken down into 12 steps outlined below:

Steps for developing  
a Management Plan  
(MP)



# The Management Planning Process

## 3.1 Step 1: Pre-planning and Scoping the Plan

This initial step establishes the scope of work, develops the Terms of Reference (TORs) and resource mobilization strategies. The step includes:

### ***Making clear why you need a management plan***

*Legal requirement:* Section 44 (1) of the Act requires every national park, marine protected area, wildlife conservancy and sanctuary be managed in accordance with a management plan that complies with the requirements prescribed by the Fifth Schedule of the Act.

The Fifth Schedule of the Act explains what management plans are, their purpose, and the need to adopt a fit-for-purpose approach while developing management plans. The Schedule provides a planning framework and the minimum information required. Being clear of the purpose of a management plan helps justify and prioritize the plan against other competing budget demands or where several plans need to be developed. It also helps to focus the planning processes on what is needed.

### **Box 2.1: Pre-planning and scoping the plan**

- (1) Clarify the reasons for a Management Plan
- (2) Decide the Plan Period
- (3) Decide who should be involved and how
- (4) Develop a detailed work-plan (what, who, when, resources)
- (5) Develop a budget
- (6) Develop a Terms of Reference

*A management plan helps justify planned priorities against other competing demands*

### **Box 2.2(a): Why we need a management plan**

We need a Management Plan to:

- ✓ Improve management of the protected area as decisions are based on a clear understanding of the PA
- ✓ Provide guidance to managers
- ✓ Provide continuity for management
- ✓ Help track and report on challenges and successes
- ✓ Help justify funding requests and budgeting for the PA
- ✓ Improve allocation of financial and staff resources to priority objectives and activities
- ✓ Increase accountability
- ✓ Improve communication, especially with potential clients and stakeholders

(Source: Parr, J. Ravuso, M. & Manten, M., 2009)

## The Management Planning Process

### Box 2.2(b): When do we need a management plan

We need a Management Plan for a National Park or Reserve:

- ✓ Where a Park or Reserve has no existing management plan
- ✓ Where circumstances have or are changing significantly, for instance increasing or anticipated increase in threats to a Protected Area
- ✓ To resolve persistent management issues, for instance with communities adjacent to the protected area
- ✓ Where an existing management plan is outdated and requires major revisions.

*Decision to prepare  
a management plan  
lies with the owner  
of the PA*

*Authorizing the development of a management plan:* In the case of national park management plans or national reserves and sanctuaries managed by KWS, the executive management will commission development of management plans and in the case of national reserves or sanctuaries under the jurisdiction of county governments, the relevant county government will commission the planning process. The conservancy boards commission management planning for conservancies.

### *Develop the plan scope of work*

It is important to clarify the planning process for, and the budget implication of the Management Plan.

# The Management Planning Process

## Box 2.3. Developing the plan scope of work

- (1) The KWS Wildlife Planning Officer/County Wildlife Planning officer or the appropriate planning officer at the conservancy constitutes a Core Planning Team (CPT) in consultation with the PA manager
- (2) The CPT, through a scoping workshop, develops the Plan Scope of Work which should include:
  - ✓ A rationale for a management plan including an initial indication of the geographic scope of the plan,
  - ✓ Identification of information needed for planning
  - ✓ Those to be involved in the planning process (stakeholder participation strategy)
  - ✓ A Work plan that provides details on how the plan will be delivered, including the involvement of external consultants. This can be in a table format covering, what (activity), when (delivery dates) and who (persons to deliver)
  - ✓ A planning budget against the Work plan. This helps Finance to allocate resources on time to ensure efficient delivery of the Plan

## Step 2: Collecting relevant information for the plan (including community consultations)

*Collect only  
relevant  
information*

### **Agree on information needed**

Planning and management should be based on reliable information. Data collection is informed by the PA's management issues and objectives and only information relevant to developing the plan should be collected and analyzed. The Fifth Schedule of the Act specifies the minimum information required.

### **Box 2.4: Data collection stages**

- (1) Gather available background information;
- (2) Carry out a field inventory to check the information (and to acquire additional data if required); and
- (3) Document it in the form of a description of the protected area key features and issues

## 3.2 Step 3: Analyzing Information

The Fifth Schedule of the Act requires that a management plan provide “a description of the anticipated benefits and beneficiaries and the species covered by the plan”. This can be done through identifying the exceptional values in a PA and developing a purpose statement based on these values. The aim of this step is to help explain the significance of a protected area. The assessment is a two-part process:

### **Identifying the exceptional values**

Exceptional values describe the area’s key biodiversity, scenic, geological, scientific, ecological, recreational values and other features that provide outstanding benefits to local, national and international stakeholders and that are especially important for maintaining the area’s unique qualities, characteristics and ecology.

From available information and through stakeholder consultations, develop a prioritized list of the key conservation values or benefits. (See details of stakeholder consultation at Annex 2)

### **Developing a PA purpose statement**

The purpose statement (Also referred to as the Statement of Significance) follows from the exceptional values and summarizes the importance of the PA, clarifies the reasons for its existence, and provides the overall goal that PA managers should strive to achieve.

#### **Box 2.5: Analyzing information**

- (1) Analyze the values and benefits
- (2) Develop a purpose statement for the PA

See Annex 2 for a detailed stakeholder consultation process

## 3.3 Step 4: Identifying Constraints, Opportunities and Threats

This step involves identifying the constraints on the PA’s management as well as any major threats to the area’s values.

Threats are human induced activities or natural processes that have caused, are causing or may cause the destruction, degradation of the PA’s values. In addition opportunities that can be exploited to address these threats and constraints are

#### **Box 2.6: Identifying constraints, opportunities and threats**

- (1) Identify management constraints
- (2) Identify major threats to the PA
- (3) Identify opportunities

identified.

## 3.4 Step 5. Developing management vision and objectives

The Fifth Schedule of the Act requires that the management plan provide “a brief statement of the wildlife management goals and objectives”. These can be provided in form of a long-term vision and specific management objectives.

### Long-term vision

The management plan process needs to capture what the plan owners’ see as an ideal future state for their PA and express it in a vision statement. The vision statement should be aspirational.

### Management Objectives

It is important to be clear on the objectives the PA owners want, and how they will get these objectives. Management objectives set out the specific conditions/objectives that management aims to achieve in a PA.

#### Box 2.7: Identifying and describing the objectives of the PA

- (1) Agree on a long-term vision
- (2) Develop objectives in the form of Objectives (high level, long term objectives)
- (3) Discuss and agree on the assumptions you are making

## 3.5 Step 6. Identifying and evaluating options including zoning

The Fifth Schedule of the Act prescribes that the Plan should make provisions for the management of:

- ✓ Habitats and species which is particularly important for 'closed' ecosystems;
- ✓ Migratory species; and
- ✓ Potential conflict with neighboring communities.

The Plan should also:

- ✓ Identify key breeding areas;
- ✓ Describe the activities being undertaken in the PA; and

*The Act prescribes  
what a management  
plan should include*

# The Management Planning Process

- ✓ Provide PA zones and the management objectives for each zone.

## Evaluating Options

This step focuses on how the management objectives will be achieved. The range of options for management actions for each objective should be identified, and the appropriate ones chosen based on whether they are specific, measurable, achievable, realistic and time bound (SMART).

### Step 6. Identifying and evaluating options

- (1) Identify a range of options and actions for each objective
- (2) Select SMART options and actions

## Zoning

Zoning is breaking down a protected area into smaller units. The zonation scheme describes the area each zone covers, including the exceptional values, and the major physical and geographical features it contains.

Zoning is used to support most appropriate uses of a protected area, for instance different levels of tourism use, high level of protection for a specific species or decentralized management, areas for settlement and grazing etc. Management zones can be used to meet multiple management objectives.

It is recommended to keep the zoning scheme simple with 3-4 zones. This allows PA managers and stakeholders to understand and implement the scheme. Wherever possible, zone boundaries should be aligned with physical features, such as roads and rivers, to enable easy zone identification on the ground.

### Box 2.9: Guidelines for developing a zoning scheme

The CPT and a GIS/Mapping expert (where possible):

- (1) Review information collected and analyzed over the previous steps, including GIS maps, community generated maps, and satellite imagery
- (2) Identify and delineate zones for different uses
- (3) Describe as clearly as possible, the values for each zone
- (4) Prescribe type of use and where possible level of use e.g. acceptable tourist accommodation and size
- (5) Develop a map showing the different zones
  - ✓ Building from existing GIS maps by adding new information
  - ✓ Highlight special features
  - ✓ Wherever possible, align zone boundaries to easily identifiable features on the ground e.g., roads

*Use zoning to support planning decisions*

*Create awareness to build broad support & acceptance for the Plan*

*See Attachments 1 & 3 for examples*

*The level of planning should be flexible*

## 3.6 Step 7: Drafting the Management Plan

With the information collected in the previous steps, the CPT puts the information together into a single document. Importantly, “*the level of planning should be tailored to the capacities of the agencies and communities involved*” (the Fifth Schedule of the Act). Hence, the content and structure of a plan should reflect the needs of the PA, the purposes and requirements of its managers and the availability of resources. For a major national park, it would be expected that the plan would be a larger more complex document than that of a smaller protected area, such as a Conservancy where it might be appropriate to produce a simpler document. The plan should focus on matters concerning the management and use of the area.

The content of the plan should have: an introduction to the protected area including why the PA is important, management issues of concern, the vision and objectives for its future management, how the objectives will be achieved, and how management effectiveness will be assessed. Examples of a management plan structure are provided at Attachments 1 and 3.

### Box 2.10: Guidelines for consolidating the Management Plan

The CPT:

- (1) Agree on the plan structure and style
- (2) Write the plan with a view of the primary users of the plan
- (3) Determine time required to develop a draft for presentation
- (4) Provide the resources needed to the writer
- (5) Get the first draft produced
- (6) Every CPT member review and comment on the first Draft
- (7) Compile the Draft Management Plan

## 3.7 Step 8: Communicating, Consulting and Building Consensus for the Management Plan

After the production of the First Draft Management Plan, it is important to get stakeholder endorsement and commitment. Creating awareness of what the Plan is about by communicating its key elements as broadly as possible helps to build support for the implementation of the Plan.

## The Management Planning Process

### Box 2.11: Guidelines for validating the Management Plan

The CPT:

- (1) Discuss and agree on how to present the document to different stakeholders
- (2) Distribute the Draft Management Plan to key stakeholders including various government agencies, NGOs, and relevant private sector actors
- (3) Present the Draft Plan to the community as necessary. Make sure to print out key aspects of the Draft Plan, especially the Objectives and Activities
- (4) , be prepared to adjust the plan should there be major concerns
- (5) Hold other presentation and promotional meetings as necessary
- (6) Use the media as much as possible to highlight key aspects of the Management Plan
- (7) Make sure you engage CWCCC members and KWS senior management to support the document for endorsement and funding
- (8) Have a Plan Endorsement Meeting – to give the Plan owners an opportunity to review and provide feedback.

*Caution:* Make sure to indicate it is a Draft for comment

### 3.8 Step 9: Finalizing the Management Plan

This step in the process involves revision of the draft, taking into account the comments received from stakeholders.

### Box 2.12. Guidelines for finalizing the Management Plan

- (1) The CPT considers feedback and comments from various sources including senior KWS managers, members of the CWCCC and the Stakeholder Presentation Workshop
- (2) The writers produce the Final Management Plan for approval by the Plan owner (KWS, the county government, or the conservancy leaders)

# The Management Planning Process

## 3.9 Step 10: Getting the Plan Endorsed and Approved

This is a procedural step involving submission of the final plan for approval by the competent authority as required under section 44 (1) of the Act. It involves three key actors, the plan owner, KWS, CWCCC and the Cabinet Secretary responsible for wildlife conservation and management.

### *Approval by the plan owner*

The competent authority (legal owner) of the protected area is responsible for developing as well as implementing the management plan. As such, the competent authority or an agent of this legal entity should approve the management plan by signing the plan approval page.

### *Endorsement by KWS*

It is good practice for KWS to endorse all PA management plans. Sections 7(h), (I), (J); 44; 87(d); and 7(m) of the Act spell out the functions of KWS in PA planning processes as:

- ✓ Coordinating the preparation and implementation of ecosystem plans;
- ✓ Preparing and implementing national park management plans;
- ✓ Assisting and advising in the preparation of management plans for community and private wildlife conservancies and sanctuaries;
- ✓ Keeping a register of all management plans developed pursuant to the provisions of the Act; and
- ✓ Advising the Cabinet Secretary and the National land Commission on the establishment of community and private Conservancy and Sanctuary plans.

*The role of KWS in PA  
management planning*

## Approving National Parks and Reserves Management Plans

### Endorsement by County Wildlife Conservation and Compensation Committee (CWCCC)

The law requires the Management Plan to be endorsed by the County Wildlife Conservation and Compensation Committee (CWCCC). Under Section 19(b) of the Act, one of the functions of the CWCCC is to “oversee the preparation and implementation of management plans on community and private land”.

### Gazetting by the Cabinet Secretary

To prevent any future unplanned development and use, it is important that the Cabinet Secretary, under section 44(3) of the Act, gazette a protected area Management Plan.

### Box 2.13: Process for approving a Management Plan for a KWS managed National Park or Reserve

- (1) The KWS Senior Management presents the Management Plan to the KWS Board of Trustees for approval, highlighting the key aspects of the plan including the resources and budget implications
- (2) The KWS Board of Trustees approves the Management Plan
- (3) The Management Plan's approval page is signed by the Director General and the Director responsible for KWS' Protected Areas
- (4) The Management Plan is transmitted to the Cabinet Secretary responsible for wildlife conservation and management for publishing in the official government newspaper (Kenya Gazette)
- (5) Final approved and gazetted management plan is circulated to relevant stakeholders for implementation or for information purposes

### Box 2.14: Process for approving a county government managed National Reserve or Sanctuary

- (1) The CPT presents the National Reserve Management Plan to the county government for approval
- (2) Upon approval, the Plan Approval Page is signed by the County Executive Member responsible for national reserves in the County
- (3) The county government submits five (5) hard copies and one electronic copy of the management plan to KWS for endorsement
- (4) KWS transmits the management plan to the Cabinet Secretary responsible for wildlife conservation and management for publishing in the official government newspaper (Kenya Gazette)
- (5) Final approved and gazetted management plan is circulated by the plan owner to relevant stakeholders for implementation or for information purposes

## The Management Planning Process

Boxes 2.13, 2.14, 2.15 give the procedures for approval of KWS managed, county government managed and community or private managed protected areas in Kenya.

### **Box 2.15: Process for approving a community or private Conservancy and Sanctuary Management Plan**

- (1) Individual management plans are prepared by the plan owner in consultation with the KWS, CWCCC, and other relevant stakeholders in conformance with the Fifth Schedule of the Act and these management plan guidelines
- (2) Management plans are reviewed and approved by the top most decision making organ/person responsible for the protected area
- (3) Management plans are endorsed by the CWCCC
- (4) The plan owner or the appointed agent submits at least five (5) hard copies and one electronic copy of the CWCCC endorsed management plan to KWS for endorsement
- (5) KWS-endorsed management plans are forwarded to the Cabinet Secretary responsible for wildlife conservation and management for gazettelement
- (6) Final approved and gazetted management plans are circulated by the plan owner to relevant stakeholders for implementation or for information purposes.

### **3.10 Step 11: Management Plan Monitoring, Evaluation and Reporting**

To ensure implementation of the Management Plan, it is vital to develop a good monitoring and evaluation plan to track plan implementation. The Fifth Schedule of the Act requires that the Plan explain “*the monitoring to be undertaken and its frequency*”, and the planning process to “*include the production of an annual compliance report and a 5 year third-party management report*”.

#### **Monitoring**

Monitoring tracks and reports on progress against targets during implementation. This allows continuous feedback and improvement. It helps in identifying program management issues as they occur and provide early indications of implementation efficiency.

# The Management Planning Process

## Evaluation

Evaluation is the process of periodically looking back and assessing how a program is performing. It is a more detailed review of program effectiveness, impacts and sustainability.

*Good M&E:*

*Helps to focus on results;*

*Show progress;*

*Learn lessons and improve*

## Monitoring and Evaluation Framework (MEF)

In a Management Plan, monitoring and evaluation is presented as a *Monitoring and Evaluation Framework (MEF)*. A MEF identifies targets against activities, outputs and objectives. It details when information on these targets will be collected, by whom and how, for instance, protected areas' indicators can be:

- ✓ Conservation and ecosystem' targets
- ✓ Socio-cultural and economic targets
- ✓ Management activity indicators and milestones.

An objective of the Management Plan may also be to establish a Monitoring & Evaluation Framework and systems for the protected area if these are not yet in place.

## Responsibility for monitoring and evaluation

The process of identifying realistic, measurable and time bound targets for each objective in the plan should be the responsibility of the CPT and key stakeholders, with support from a monitoring and evaluation expert, if necessary.

*Note:* It is important to have an adequate budget to undertake monitoring, otherwise it will not happen and therefore it will not be possible to demonstrate results.

### Box 2.16: Guidelines for developing a Monitoring and Evaluation Framework

As a team made up of the CPT members:

- (1) Identify targets for each management objective and make sure they are measurable
- (2) If possible identify the persons or organization that will be responsible for gathering information, and how often
- (3) Indicate, sources of information, such as PA monthly management reports, surveys etc.

# The Management Planning Process

## Box 2.17. Guidelines for implementing a monitoring, evaluation and reporting plan

- (1) Assign a lead person to coordinate monitoring, evaluation and reporting
- (2) Set aside resources to collect and analyze data to track progress against goals as per the monitoring and evaluation framework
- (3) Develop a reporting plan and produce summary reports of progress against goals using indicators from the MEF (annually, quarterly or half yearly)
- (4) Periodically review progress towards stated goals. It is recommended that you undertake such a review at the mid-point and at the end of the Plan period
- (5) Use monitoring and evaluation information and reports to show progress and success
- (6) Use monitoring information such as reports and data to *learn, and improve* the program and management
- (7) Provide feedback to decision makers with clear recommendations on how to improve the PA, including funding options.

### 3.1 Step 12. Reviewing and Updating the Plan

The final step in the planning process is to decide on how, when and by who, the Plan will be reviewed or updated. The decision to revise or update the Plan needs to be made in sufficient time to allow the new plan to be in place before the expiry of the old one. Information from monitoring and evaluation should be used when updating the Plan or developing a new Plan.

# Attachment 1. An Example PA Plan structure for a detailed management

## Attachment 1. An Example PA Plan structure for a detailed management

### Cover Page

Plan Title  
Owners of the Plan  
Date  
Image

### Acknowledgements

### Foreword

### Table of Content

### Map of the Park, Reserve, Sanctuary or Conservancy

### CHAPTER 1: PLAN FOUNDATIONS

1.1 Description of the Area  
1.2 Vision Statement  
1.3 Exceptional Resource Values  
1.4 Major Issues of Concern

### CHAPTER 2: ZONATION SCHEME

2.1 Management & Land Use Zonation

### CHAPTER 3: MANAGEMENT PROGRAMMES

3.1 Conservation & Natural Resource Management  
3.2 Tourism Development  
3.3 Community Participation & Development  
3.4 Wildlife Utilization  
3.5 Operations and Security  
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### CHAPTER 4: MONITORING AND EVALUATION

### CHAPTER 5: PLAN IMPLEMENTATION SCHEDULE

References  
Appendices

## Attachment 2: IUCN Abbreviated planning approaches

### Attachment 2: IUCN Abbreviated planning approaches

The Fifth Schedule of the Act notes “a management plan should be a practical tool – one that can be created in simple form and built upon over time, using progress reports”.

The IUCN recommends that the preparation of an abbreviated management planning process where due to time or resources a full Management Plan cannot be prepared. IUCN notes that this should only be “‘stop-gap’ measure ...until such time that a full plan can be prepared.” Furthermore, such guidance can be as simple as a statement of the values to be protected and the most basic actions needed to maintain those values. However a rather more useful approach is the preparation of a broader document that includes a set of policies that address specific management issues, types of use and principles of infrastructure development. In this latter case, the process:

- ✓ Identifies the key features and management objectives;
- ✓ May include a management zoning scheme that identifies what can and cannot be done with specific emphasis on development and use;
- ✓ Briefly assesses the issues; and
- ✓ Provide an interim implementation plan.”<sup>2</sup>

<sup>2</sup> See Thomas, L and Middleton, J., 2003. Guidelines for Management Planning of Protected Areas. IUCN.

## Attachment 3. NRT's example for an abbreviated PA Plan structure

### Attachment 3. NRT's example for an abbreviated PA Plan structure

The Northern Rangeland Trust (NRT) also provide a good template of a Management Plan structure that contains the following sections:<sup>3</sup>

- (1) **Map:** key features, infrastructure, resources and land-use including future settlement planning
- (2) **Background information:** population, community ethnicity, land ownership; natural, physical and human assets; livelihoods; challenges (e.g. conflict, drought and vulnerability)
- (3) **Community development and conservation priorities:** list of key priorities, vision statement, goals and impact
- (4) **Strategic actions and partners** – high level activities for each goal, which will be developed in into more detailed action plans with key partners
- (5) **Implementing the plan:** description of the Conservancy personnel, resources and approach to implementation; partnerships; benefit-sharing mechanism; and means of measuring impact
- (6) **Community development and conservation priority areas:** identify specific locations where priority actions are needed (e.g. health/education/water infrastructure, roads, security outposts, rangeland rehabilitation, tourism investment etc.)

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<sup>3</sup>Northern Rangeland Trust (2015). Process for Developing a 'Conservancy Management and Community Development Plan

### Annex 1. Definitions

Based on the Act:

A “**management plan**” means the instrument in which all the ingredients for active management are described, in particular which organizations will undertake what responsibilities and what actions are intended to achieve what ends.

A “**Marine protected area**” means any park or reserve covering the area of intertidal or sub-tidal terrain, together with its overlying water and associated flora, fauna, historical and cultural features, which has been reserved by law, and includes any dry land found within the gazette boundary.

“**Cabinet Secretary**” means the Cabinet Secretary for the time being responsible for matters relating to wildlife.

“**County Wildlife Conservation and Compensation Committee**” means the committee established under section 18 of this Act.

A “**protected area**” means a clearly defined geographical space, recognized, dedicated and managed through legal or other effective means, to achieve long-term conservation of nature with associated ecosystem services and cultural values.

A “**national park**” means an area of land and/or sea especially dedicated to the protection and maintenance of biological diversity, and of natural and associated cultural resources, and managed through legal or other effective means.

A “**national reserve**” means an area of community land, declared to be a national reserve under this Act or under any other applicable written law.

A “**sanctuary**” means an area of land or of land and water set aside and maintained by government, community, individual or private entity for the conservation and protection of one or more species of wildlife.

A “**wildlife conservancy**” means land set aside by an individual landowner, body corporate, group of owners or a community for purposes of wildlife conservation in accordance with the provisions of this Act.

### Annex 2. Stakeholder Participation

Section 44 (2) of the Act requires that “in preparing and adopting a management plan, the Service shall consult with the county wildlife conservation committee. In the case of protected areas, the formulation and implementation of management plans shall involve participation of neighboring communities”. The Fifth Schedule of the Act also requires “a report detailing the participation of neighboring communities in the preparation of the plan”. In addition it is now accepted as good practice, for protected areas planning and management to be outward looking. While national parks and reserves are the responsibility of governments, good planning practice require that people with an interest in a protected area be, not only informed but proactively included in the planning processes.

People with an interest may include men and women who may directly or indirectly, be affected by the Protected Area, local government officials including politicians, representatives from NGOs and business people, for instance tour operators.

It is beneficial to involve stakeholders especially neighboring communities in planning for PAs

#### Benefits of public involvement

- (1) Stakeholder participation will provide additional relevant information on community perceptions and aspirations
- (2) Getting support from *politicians* and other key drivers of change will enrich the management plan process as they create a suitable implementation environment
- (3) Participation builds a sense of *involvement* and hence *ownership* of the Plan
- (4) Participation promotes *awareness* of the values of the protected areas and economic opportunities that may arise from improved management of a PA
- (5) Participation by men and women exposes the links between conservation interests and broader community development challenges and aspirations
- (6) Participation provides a platform to communicate with stakeholders, which can lead to quick resolution of issues and generate support

*A word of caution:* Involving a wide range of people can be time consuming and costly. Therefore the level of community participation should be balanced against the time and budget available to develop the Plan.

## Annex 2. Stakeholder Participation

### Stakeholder Analysis

Identifying the key stakeholders is crucial to ensuring good participation and ownership. Stakeholder analysis is carried out during the plan scoping stage where one of the outputs of this exercise is a stakeholder participation strategy outlines how different stakeholders will be involved in plan development. Effective participation is achieved through a multi-layered approach involving a variety of mechanisms designed to ensure that all stakeholders can meaningfully contribute to the plan's development. The principal mechanisms used to enable this participation are: The Core Planning Team, Stakeholder Workshops, Expert Group Discussions, Focus Group discussion, and individual consultations.

*People with an interest in a protected area should not only be informed but also be proactively included in the planning processes*

### The Core Planning Team

The Core Planning Team (CPT) is, as the name suggests, made up of the core people that are responsible for the management of the protected area concerned, and may include KWS field and Headquarters staff as well as managers from PA partner institutions. The CPT is the driving force behind the development of a management plan, and provides oversight and guidance throughout the entire management plan development process. The CPT meets as necessary throughout the planning process and participates in all other planning events.

The CPT is kept small to keep the planning process as efficient as possible, and is normally made up of around 8-10 members. A wider cross section of stakeholders will have the opportunity to contribute to the planning process through other participation mechanisms (see next sections). If a plan is being developed to cover several PAs (i.e. a conservation area), the CPT will need to be expanded to include all plan owners, such as county government or group ranch representatives.

Typical roles of the CPT include:

- (1) Oversee and provide guidance to the entire planning process and plan development
- (2) Ensure appropriate stakeholder participation throughout the planning process
- (3) Ensure that the plan responds to the key management issues, obstacles and opportunities in the area concerned
- (4) Ensure that the plan is in line with the PAPF, and is clearly and logically structured

## Annex 2. Stakeholder Participation

- (5) Ensure the plan being developed is in line with the management needs and implementation capacity of KWS, and any other plan owners

### Stakeholder workshops

Stakeholder workshops are the main mechanisms for directly involving a wide cross spectrum of stakeholders in the planning process. The workshops not only enable stakeholders to directly contribute to a plan's development, but also help raise awareness of the planning initiative and generate a wide base of support for the management plan. Two Stakeholder Workshops are held during a plan's development: a Stakeholder Planning Workshop near the beginning, and a Stakeholder Presentation Workshop near the end of the planning process. Both workshops typically involve around 30-40 stakeholders, including representatives from area management, KWS HQ, local government, local communities, tour operators and investors, and researchers and scientists. The two stakeholder workshops generally cover the following topics (See Box below):

Stakeholder Workshops	
Stakeholder meeting	Consultation Topics
Stakeholder Planning Workshop	<ol style="list-style-type: none"> <li>(1) Explain purpose of planning</li> <li>(2) Identifying exceptional values of the PA</li> <li>(3) Identifying the key threats, problems and issues that need to be addressed to protect the values</li> <li>(4) Agree on a vision</li> </ol>
Stakeholder Plan Presentation Workshop	<ol style="list-style-type: none"> <li>(1) Present the Draft Management Plan and discuss the main topics especially the objectives, outputs and activities</li> <li>(2) Get feedback on the Draft Management Plan</li> <li>(3) Endorse the Draft Management Plan</li> <li>(4) Get buy-in and promote ownership</li> </ol>

## Annex 2. Stakeholder Participation

### Expert group discussions

Expert Groups are designed to enable a small group of technical experts and key stakeholders to make a significant contribution to the development of the management plan. Expert groups or individuals such as research scientists will enrich the plan by providing information that may not be readily available, for instance on emerging issues or threats.

#### Important Expert Groups (from KWS, PAPF)

- (1) Tourism and Ecology Working Group
- (2) The Community Working Group
- (3) PA Operations and Security Working Groups

It is sometimes necessary to have focused discussions to understand specific concerns of particular interest groups, such as hoteliers. The conduct of the meetings may require an external facilitator with skills in conducting such meetings.

Individual consultations may provide opportunities to obtain specific information on particular aspects of the plan, for example a security person on security threats to the protected areas.

## Annex 3. Fifth Schedule (S.44): Management Plans

### Annex 3. Fifth Schedule (S.44): Management Plans

#### PART I—GENERAL

- (1) A management plan is the instrument in which all the ingredients for active management are described, in particular which organizations will undertake what responsibilities and what actions are intended to achieve what ends. However, despite being a primary tool, management plans often go unused because of a failure to see management plans as a dynamic working document requiring annual updates and because of a tendency to be over elaborate.
- (2) The level of planning should be tailored to the capacities of the agencies and communities involved. Management planning should be a practical tool – one that can be created in simple form and built upon over time, using progress reports.
- (3) A management plan process includes the production of an annual compliance report and a 5 year third-party management report.

#### PART 2 – PLANNING FRAMEWORK

- (1) The following are information that should be included as are information that should be included as a minimum:
  - a legal description of the area covered (whether national, provincial, local or some other designation). A legal description may include or officially recognize customary land boundaries and/or natural boundaries (e.g. rivers, river basins, mountain ranges, etc.);
  - a brief statement of the wildlife management goals and objectives;
  - the time period for which the plan is valid;
  - the species covered by the plan;
  - a description of habitat types, amounts, and plant composition (where possible);
  - A description of the activities being undertaken;
  - A report detailing the participation of neighbouring communities in the preparation of the plan;
  - A description of the anticipated benefits and beneficiaries

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(1) As the complexity of the protected area increases in terms of size, habitats, species, proposed activities, then the following incremental information should be included for non-consumptive utilization:

- the provision of zones and the management objectives for each zone;
- the identification of tourist carrying capacities;
- the quality targets to be met in terms of price and volume;
- the provision of tourist management regulations;
- the provisions for the management of habitats and species (particularly important in 'closed' ecosystems);
- the management of migratory species;
- the identification of key breeding areas;
- the management of potential conflict with neighbouring communities;
- the scale and location of any infrastructural development;
- the monitoring to be undertaken and its frequency;
- any relevant historical information.

(2) In the case of PAs where consumptive use of wildlife is practiced, the Act requires the following additional information to be included:

- data on historical wildlife culling, cropping, hunting, where such information is available; and
- an approved method for determining sustainable off take levels.

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