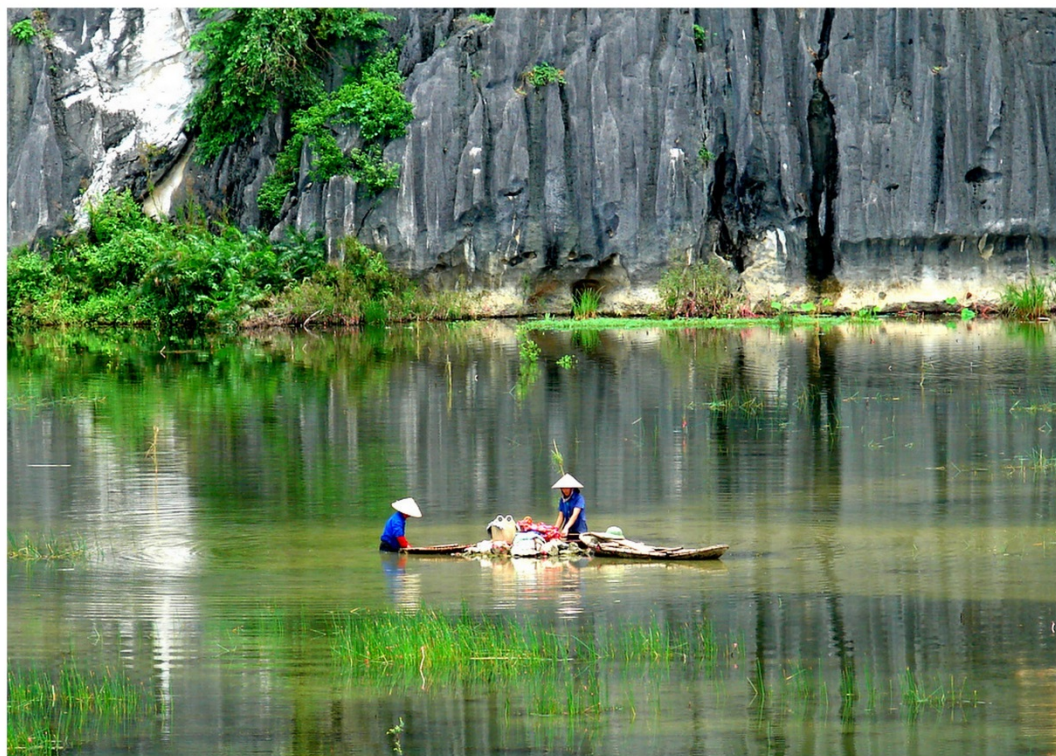




IUCN Green List of Protected and Conserved Areas: Standard, Version 1.1

The global standard for protected areas in the 21st Century



Supported by:



Federal Ministry
for the Environment, Nature Conservation,
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based on a decision of the German Bundestag



Green List
Protected | Conserved Areas

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The IUCN Green List of Protected and Conserved Areas: Global Standard

Version	1.1
Source language	English. Official translations available.
Responsible Unit	IUCN Global Protected Areas Programme
Developed by	IUCN Green List of Protected and Conserved Areas: Standards Committee
Subject (Taxonomy)	Protected Areas; Conserved Areas; Conservation Outcomes; Standard; Protected Planet; Management Effectiveness; Assurance; Aichi Biodiversity Target 11.
Date approved	November 2017
Approved by	IUCN Council IUCN Green List Committee
Applicable to	IUCN Green List of Protected and Conserved Areas Programme
Objective	<i>To provide a global benchmark for protected and conserved areas to assess whether they are achieving successful conservation outcomes through effective and equitable governance and management. The Standard includes globally consistent Components and Criteria, which are supported by indicators, to measure site performance.</i>
Is part of	IUCN Green List of Protected and Conserved Areas Programme
Conforms to	IUCN Environmental and Social Management System (ESMS) ISEAL Codes of Good Practice for Sustainability Standards
Related Documents	IUCN Green List of Protected and Conserved Areas User Manual
Distribution	IUCN COMPASS; IUCN Union Portal and IUCN website Protected Planet® portal (UN Environment World Conservation Monitoring Centre (WCMC) and IUCN

Document History

Current Version 1.1

Version	Release date	Summary of changes
Version 0.1	Released in September 2012	Presented for feedback at IUCN World Conservation Congress 2012, Jeju, Korea.
Version 0.2	Released in June 2014	Major adjustments to align with ISEAL Alliance Credibility Principles Expert Workshop (June 2014) to refine content. Version adopted for 2014 Pilot Phase.
Version 0.3	Released in September 2015	Global Consultation version, including minor adjustments based on feedback from evaluation of Pilot Phase (2014) and World Parks Congress feedback (Nov. 2014). Expert evaluation of comments received on this version form basis for adjustments in revision to create 1.0
Version 1.0	Released in September 2016	Released at the IUCN World Conservation Congress 2016, Hawaii, USA
Version 1.1	Released in November 2017	Amended by the IUCN Green List Standard Committee, then endorsed and submitted by the IUCN Green List Committee to the IUCN Council which approved its release during their 93rd Meeting at IUCN World Headquarters, Gland, Switzerland.

Contents

Introduction	5
Part 1: Global Standard	10
Part 2: Generic Indicators and Sample Means of Verification	15
Part 3: Guidance for Components and Criteria	24



Green List

Protected | Conserved Areas

Introduction

Protected areas are a universal approach to nature conservation, present in all countries, for both land and sea. Conserving nature is essential for the future of humanity by securing the persistence of natural diversity that supports human life. Well-governed, well-designed and well-managed protected areas are our most effective tool for conserving nature, and provide a wide range of ecological, socio-economic, cultural and spiritual benefits.

The IUCN Green List of Protected and Conserved Areas Programme (**IUCN Green List Programme**) aims to encourage, achieve, and promote effective, equitable and successful protected areas in all partner countries and jurisdictions.

The overarching objective of the IUCN Green List Programme is to **increase the number of protected and conserved areas that deliver successful conservation outcomes through effective and equitable governance and management**. This high-level objective will be reached through a set of underlying objectives:

1. To ensure that the IUCN Green List of Protected and Conserved Areas Standard provides a suitable measure for strengthening conservation outcomes and improving equitable and effective management of protected and conserved areas
2. To position the IUCN Green List Programme as an accessible channel for conservation capacity development for protected and conserved areas
3. To promote collaboration and investment in implementing effective and equitable conservation management in protected and conserved areas committed to work towards the IUCN Green List of Protected and Conserved Areas Standard.

At the heart of the IUCN Green List Programme is a Sustainability Standard, which is has global application. ISEAL defines a sustainability standard as: *A standard that addresses the social, environmental or economic practices of a defined entity, or a combination of these (ISEAL Credibility Principles¹).*

The IUCN Green List of Protected and Conserved Areas Standard (**IUCN Green List Standard**) describes a set of seventeen **CRITERIA** categorised under four **COMPONENTS**, accompanied by 50 **INDICATORS**, for successful conservation in protected and conserved areas. It provides an international benchmark for quality that motivates improved performance and helps achieve conservation objectives. By committing to meet this global standard, site managers seek to demonstrate and maintain performance and deliver real nature conservation results. The global IUCN Green List Standard remains unchanged, until it is reviewed at least every five years (in accordance with the ISEAL Code²), to ensure that the Standard is continuously improving and consistently providing an international benchmark for quality.

The generic indicators can be adapted to the national context (typical level of adaptation; or other relevant jurisdictions such as subnational or regional levels is also possible).

¹ <https://www.isealalliance.org/sites/default/files/Credibility%20Principles%20v1.0%20low%20res.pdf>

² <https://www.isealalliance.org/our-work/defining-credibility/codes-of-good-practice>



The objective of the global IUCN Green List Standard is to: ***provide a global benchmark for protected and conserved areas to assess whether they are achieving successful conservation outcomes through effective and equitable governance and management. The IUCN Green List Standard includes globally consistent Components and Criteria, which are supported by indicators, to measure site performance.***

Development of the IUCN Green List of Protected and Conserved areas

IUCN began to shape the concept for a Green List of Protected Areas in 2008. At the 2012 World Conservation Congress, four IUCN Resolutions supported the development of an IUCN Green List for Protected and Conserved areas. One IUCN Resolution (WCC 2012-Res-041-EN) called for the development of objective criteria for 'Green Listing', while a second (WCC 2012-Res-076³) called for the Green List to be adapted to certify performance in marine protected areas (MPAs). The IUCN World Commission on Protected Areas (WCPA) and IUCN's Global Protected Areas Programme convened a global development and consultation process to create and test a new IUCN Green List Standard for protected areas. A pilot phase in eight jurisdictions was undertaken with results presented at the IUCN World Parks Congress, Sydney, November 2014. A total of 25 protected and conserved areas received a provisional 'Green List' certificate for their achievements.

Further evolution of the IUCN Green List Standard, including the results from global consultation on the Standard in 2015 and 2016, and adaptations to the IUCN Green List Programme, were presented at the IUCN World Conservation Congress in Hawai'i, where a further three IUCN Resolutions^{4,5,6} support ongoing implementation.

³ https://portals.iucn.org/library/sites/library/files/resrecfiles/WCC_2012_RES_75_EN.pdf

⁴ https://portals.iucn.org/library/sites/library/files/resrecfiles/WCC_2016_RES_031_EN.pdf

⁵ https://portals.iucn.org/library/sites/library/files/resrecfiles/WCC_2016_RES_030_EN.pdf

⁶ https://portals.iucn.org/library/sites/library/files/resrecfiles/WCC_2016_RES_072_EN.pdf

International code for sustainability standards

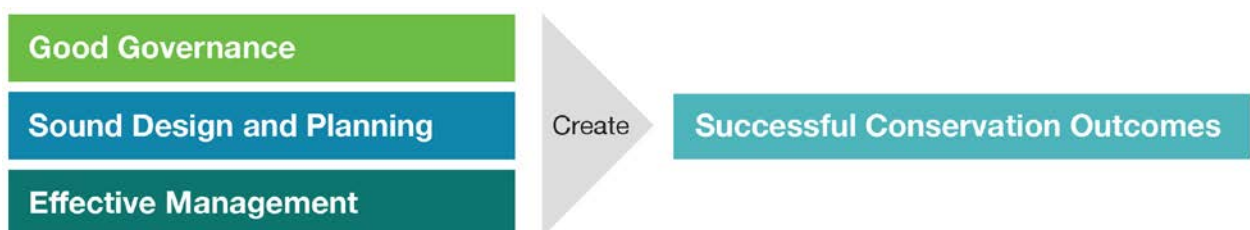
IUCN is committed to align the development of the IUCN Green List Standard and the IUCN Green List Programme to the ISEAL Codes of Good Practice⁷: a global reference for standard-setting, assurance and impact evaluation for social and environmental sustainability standard systems. The IUCN Green List Programme is seeking to comply with ISEAL requirements by 2020. This version of the IUCN Green List Standard is informed by the lessons learned from the evaluation of the pilot phase in 2014 and global consultations carried out in 2015 and 2016. The IUCN Green List Standard is supported by an Assurance Procedure and rules, as documented in the accompanying IUCN Green List of Protected and Conserved Areas User Manual (**IUCN Green List User Manual**). The IUCN Green List User Manual describes the objectives of the overall IUCN Green List Programme. It provides the framework for implementation of the IUCN Green List Programme globally, and on a jurisdictional basis.

The IUCN Green List of Protected and Conserved Areas Standard

The IUCN Green List Standard is organised into four components of successful nature conservation in protected and conserved areas. The baseline components concern:

- **Good Governance**
- **Sound Design and Planning;** and
- **Effective Management**

Together, these support the component on **Successful Conservation Outcomes** attesting to the successful achievement of a site's goals and objectives. Each component has a set of criteria and each criterion has a set of generic indicators to measure achievement.



Globally consistent, locally relevant

The criteria are globally consistent requirements that collectively describe the efforts needed to fully achieve the global IUCN Green List Standard. A 'Green List' site is one that is currently evaluated to achieve *all* criteria, across all four components. The IUCN Green List Standard is implemented through a jurisdictional approach, tailored to each country or region where the IUCN Green List of Protected and Conserved Areas is adopted. The IUCN Green List Programme allows for flexibility for each jurisdiction to implement the Standard. For each criterion of the IUCN Green List Standard, a set of generic indicators and associated means of verification is maintained by IUCN. These generic indicators may be adapted to the context of each participating jurisdiction, to allow for reflection of regional and local characteristics and circumstances in which protected and conserved areas operate. Note that the generic indicators are designed to be universal in application, so not all of them (or any of them) have to be adapted, if they have been evaluated to meet the regional or local context. The guidance for this process is detailed in the accompanying IUCN Green List User Manual.

⁷ <https://www.isealalliance.org/our-work/defining-credibility/codes-of-good-practice>

Assurance and evaluation

The IUCN Green List Programme assures that protected and conserved 'are effectively and equitably managed, and achieving successful conservation of their values'. A global partnership with Accreditation Services International (**ASI**) provides the IUCN Green List of Protected and Conserved Areas with an Independent Assurance agency tasked with assurance of the IUCN Green List Programme. The assurance mechanisms and procedures in place ensure independence and credibility of decision-making that will ultimately be compliant with all ISEAL Codes of Good Practice. Participation by individual protected areas, conserved areas, and their governing agencies is entirely voluntary, through commitment to promote continuous improvement through the IUCN Green List Programme.

'Green list' status for protected and conserved areas

Sites wishing to achieve 'Green List' status must demonstrate, and then maintain, successful implementation of the IUCN Green List Standard. This is evaluated in three Phases:

1. *Application Phase:*

The first step is a voluntary commitment to the IUCN Green List Programme. This **commitment** is made through an online registration⁸. Sites then provide initial evidence for a few indicators of the first three components of the IUCN Green List Standard. A representative of the Expert Assessment Group for the Green List (EAGL) in the site's jurisdiction checks that the evidence has been provided, and Candidate status is granted to the site.

2. *Candidate Phase:*

Once admitted as a candidate, the site implements the full set of IUCN Green List Standard criteria, by providing evidence against all indicators and addressing any identified shortcomings over a period of time. This candidate phase may take months or even several years depending on the issues that have been identified. A stakeholder consultation and a site visit by an EAGL representative are also required in this phase. Once complete, candidate sites are put forward for **nomination** to the Green List. The **nomination** process involves the preparation and submission of a complete dossier by a candidate site addressing all Standard criteria. It will be evaluated by the full Expert Assessment Group for the Green List (**EAGL**) for the local jurisdiction, with the process verified by an independent Reviewer (trained and provided by ASI). Based on this EAGL's recommendation, the final decision will be made by the IUCN Green List of Protected and Conserved Areas Committee.

3. *Green List Phase:*

Once a Candidate site is awarded '**IUCN Green List**' status, the management and representatives for the site will be provided a **certificate**. The area will be afforded the right to use the IUCN Green List of Protected and Conserved Areas logo and claims (in accordance with guidelines), and will be recognised and promoted by IUCN as a global exemplar in conservation achievement. Additionally, all Candidate and 'IUCN Green List' sites will be profiled on the Protected Planet® portal⁹ of the UN Environment World Conservation Monitoring Centre's (WCMC) World Database on Protected Areas (WDPA). After a site achieves Green List Status, the IUCN Green List of Protected and Conserved Areas Programme focuses on supporting the site to maintain that status. A mid-term rapid review of performance is carried out for all 'Green List' sites. Additionally, throughout the period, the IUCN Green List Programme factors and filters stakeholder views and public opinion into the site's ongoing performance. The IUCN Green List

⁸ <http://iucn.force.com/greenlist>

⁹ <https://protectedplanet.net/>

User Manual also deals with procedures for grievances from any parties involved. In the final year of the current Green List award, the site management must begin a renewal process to justify continued success and performance against the Standard criteria, and thereby renew their Green List status for a further period, usually five years. If for any reason new challenges affect the site's achievement of the Standard, it will be considered again as a Candidate, and encouraged to develop a specific plan of action to regain Green List status through renewed nomination.

All interested stakeholders should contact IUCN's Global Protected Areas Programme for information on the process of implementing the IUCN Green List Standard and achieving Green List status at greenlist@iucn.org.



Component 1: Good Governance

Green List sites demonstrate equitable and effective governance



**Criterion 1.1
Guarantee Legitimacy
and Voice**

There are clearly defined, legitimate, equitable, and functional governance arrangements, in which the interests of civil society, rights-holders and stakeholders, are fairly represented and addressed, including those relating to the establishment or designation of the site.



**Criterion 1.2
Achieve Transparency
and Accountability**

Governance arrangements and decision-making processes are transparent and appropriately communicated, and responsibilities for implementation are clear, including a readily accessible process to identify, hear and resolve complaints, disputes, or grievances.



**Criterion 1.3
Enable Governance
Vitality and Capacity
to Respond Adaptively**

Planning and management draws on the best available knowledge of the social and ecological context of the site, using an adaptive management framework that anticipates, learns from and responds to change in its decision-making.



Component 2: Sound Design and Planning

Green List sites have clear, long-term conservation goals and objectives, based on a sound understanding of their natural, cultural and social-economic context



Criterion 2.1
Identify and Understand Major Site Values

The site's major values for conservation of nature with associated ecosystem services and cultural values are identified and understood.



Criterion 2.2
Design for Long-Term Conservation of Major Site Values

The design of the site in its landscape/seascape context support long-term maintenance of the major site values.



Criterion 2.3
Understand Threats and Challenges to Major Site Values

Threats and challenges to major site values are described and understood in sufficient detail to enable effective planning and management to address them.



Criterion 2.4
Understand the Social and Economic Context

The social and economic context of the site including the positive and negative social and economic impacts of the way it is managed is understood and reflected in management goals and objectives.



Component 3: Effective Management

Green List sites are managed effectively

Criterion 3.1 **Develop and Implement a Long-Term Management Strategy**



The site has a long-term strategy that provides a clear explanation of the overall goals and objectives of management (explicitly including the conservation of the area's major values and achievement of its social and economic goals and objectives). This is reflected in an up-to-date management plan or its functional equivalent, which:

- Provides clear and appropriate management directions: Strategies and actions specified in plans, policies and procedures are appropriate and sufficient to achieve the planned goals and objectives for the area.
- Demonstrates adequate capacity to manage effectively: Key strategies and associated activities to achieve goals and objectives in the long-term are supported by adequate financial and human resources, adequate staff competency, capacity development and training; appropriate access to equipment and adequate infrastructure; and measures are in place to deal with critical shortfalls.

Criterion 3.2 **Manage Ecological Condition**

Management can clearly demonstrate that ecological attributes and processes are being managed to maintain the area's major natural values and associated ecosystem services.

Criterion 3.3 **Manage Within the Social and Economic Context of the Area**

Management can clearly demonstrate that:

- Rights-holders and stakeholders are recognized and engaged effectively by management, and their interests are fairly and fully considered;
- The social and economic benefits of the area are recognized, promoted and are being maintained, OR, where such maintenance is incompatible with the maintenance of the area's natural values, any restrictions are designed and implemented in consultation with, and preferably following the free, prior and informed consent of right-holders and stakeholders.

Component 3: Effective Management *continued*

Green List sites are managed effectively

Criterion 3.4
Manage Threats

Threats are being actively and effectively responded to, so that their impact is not compromising the maintenance of major site values or the achievement of the area's goals and objectives.

Criterion 3.5
Effectively and Fairly Enforce Laws and Regulations

Relevant laws, regulations and restrictions are fairly and effectively applied in all aspects of the protected area management and operations.

Criterion 3.6
Manage Access, Resource Use and Visitation

When permitted, activities within the area that involve direct access to resources are compatible with and support the achievement of the area's conservation goals and objectives, meet the needs of users, and are properly regulated. When permitted, tourism and visitor management are compatible with and support the achievement of the area's conservation goals and objectives.

Criterion 3.7
Measure Success

Monitoring, evaluation and learning provide an objective basis for determining measures of success. Monitoring and assessment programmes should be capable of providing data on:

- Whether each of the site's major values is being successfully protected;
- Level and intensity of threats; and
- Achievement of management goals and objectives.

As appropriate, thresholds may be determined by changes in major values over a specified time period compared to those anticipated without the protected and conserved area.



Component 4: Successful Conservation Outcomes

Green List sites demonstrate successful long-term conservation of major natural values, and associated cultural and ecosystem service values; as well as the achievement of social and economic goals and objectives



Criterion 4.1
Demonstrate Conservation of Major Natural Values

The area is meeting or exceeding the performance thresholds for nature conservation, consistent with its IUCN protected area management category.

Criterion 4.2
Demonstrate Conservation of Ecosystem Services

The area is maintaining and providing the major ecosystem service values.

Criterion 4.3
Demonstrate Conservation of Cultural Values

The area is maintaining and providing for the persistence of major cultural values.



Indicators in blue = To be met during the Application Phase
 Indicators in green = To be met during the Candidate Phase

Part 2: Generic Indicators and Sample Means of Verification

Component	Criterion	Generic Indicator No.	Generic Indicator	Sample Means of Verification	Notes
1: GOOD GOVERNANCE	1.1 GUARANTEE LEGITIMACY AND VOICE: There are clearly defined, legitimate, equitable, and functional governance arrangements, in which the interests of civil society, rights-holders and stakeholders, are fairly represented and addressed, including those relating to the establishment or designation of the site.	GLS-V1.1-1.1.1	The site's governance structure is clearly defined and documented and in accordance with relevant national or regional government, jurisdiction or recognised authority specifications	Foundational documents or equivalent containing rules, bylaws, governance structure	
		GLS-V1.1-1.1.2	The site's local governance structures and mechanisms provide civil society, stakeholders and rights-holders with appropriate opportunities to participate in management planning, processes and actions	Foundational documents or equivalent explaining rules, bylaws, governance structure Minutes of meetings during management plan development	
		GLS-V1.1-1.1.3	The site's local governance structures and mechanisms recognise the legitimate rights of Indigenous Peoples and local communities	Documentation of formal or informal relationships/agreements with relevant groups Meetings with local and indigenous communities	Guidance on Indigenous Rights is contained in the UN Declaration on the Rights of Indigenous Peoples ¹⁰
		GLS-V1.1-1.1.4	Rights-holders and stakeholders are effectively involved in decision-making and the adaptive management of the site.	Clear identification of rights-holders and stakeholders Discussion with rights-holders and stakeholders Discussion with site managers	'Effective involvement' will be assessed by the EAGL
		GLS-V1.1-1.1.5	Governance arrangements help advance gender equity in relation to management of the site.	Documentation of formal or informal relationships/agreements with relevant groups Documented evidence of efforts to improve and maintain gender equity through governance and decision-making structures, management and employment programmes, employment records	
		GLS-V1.1-1.1.6	The defined governance structures and mechanisms are accepted by major constituents (civil society, rights-holders and stakeholders), reflecting the governance category of the site	Documentation of formal or informal relationships/agreements between major constituent groups Discussions with constituent groups	Governance arrangements help advance gender equity in and around the site.

¹⁰ http://www.un.org/esa/socdev/unpfii/documents/DRIPS_en.pdf

1: GOOD GOVERNANCE	<p>1.2 ACHIEVE TRANSPARENCY AND ACCOUNTABILITY: Governance arrangements and decision-making processes are transparent and appropriately communicated, and responsibilities for implementation are clear, including a readily accessible process to identify, hear and resolve complaints, disputes, or grievances.</p>	GLS-V1.1-1.2.1	The governance structures and key documents on management are readily accessible to civil society in an easily understandable format. Key documents include the site's management plan or equivalent, relevant subsidiary plans and other key direction documents	Confirmation of public accessibility of the listed documents, records and other information	
		GLSCA-V1.1-1.2.2	Where a formal decision-making body exists, the current membership of the body is publically available and procedures for establishment and membership of the body are publically accessible, or where there is no decision-making body appointed, the names and contact details of formal decision-makers such as a Minister or Agency Director are publically accessible	Confirmation of public availability of the current membership of any decision-making body for the site Confirmation of public accessibility of the relevant details	
		GLS-V1.1-1.2.3	The outcomes of discussions by decision-making bodies or decision-makers in relation to issues raised by civil society, rights-holders and stakeholders are publically available	Assessments and reports confirming there is appropriate, clear and regular communication of decisions from decision-making bodies or decision-makers	There may be cases where public availability of some discussions is not appropriate, especially in relation to cultural heritage measures
		GLS-V1.1-1.2.4	A readily accessible process to identify, hear and resolve complaints, disputes or grievances related to the governance or management of the site is in place	Assessments and reports, endorsed by stakeholders, confirming there is an appropriate process in place	
		GLS-V1.1-1.3.1	Procedures are in place to ensure that results from monitoring, evaluation and consultation are used to inform management and planning processes including the establishment of goals and objectives	Monitoring reports with recommendations on corrective management actions Documentation of procedures for connecting monitoring and evaluation	There may be cases where some monitoring information should not be public, such as location of endangered species or cultural heritage matters
		GLS-V1.1-1.3.2	Planning and decision-making recognises relevant conditions, issues and goals at national and regional scales that impact the protected area	Documentation of planning processes	
		GLS-V1.1-1.3.3	Planning and management processes draw on multiple knowledge sources (scientific, experiential, local and traditional knowledge)	Documentation of planning processes clearly demonstrating knowledge sources and how they are sourced and used in decision-making processes	
2: SOUND DESIGN & PLANNING	<p>2.1 IDENTIFY AND UNDERSTAND MAJOR SITE VALUES: The site's major values for conservation of nature with associated ecosystem services and cultural values are identified and understood.</p>	GLS-V1.1-1.3.4	The site has, where relevant, considered historical changes and future projections in social, ecological and climate conditions	References used for planning processes Considerations included in management plan or equivalent	
		GLS-V1.1-2.1.1	The site meets the IUCN definition of a Protected Area and/or is recognised as a 'Conserved Area'	Foundational documents or equivalent Documented consultation with site management Reference to IUCN Protected Area definition ¹¹ and IUCN guidance on Conserved Areas and 'Other Effective Area-based Conservation Measures'	Foundational documents are the baseline documents used to manage the site, including management plans, systems plans, national legislation, national protected areas framework documents, etc.

¹¹ <https://www.iucn.org/theme/protected-areas/about/protected-areas-categories>

2: SOUND DESIGN & PLANNING	2.2 DESIGN FOR LONG-TERM CONSERVATION OF MAJOR SITE VALUES: The design of the site in its landscape/seascape context support long-term maintenance of the major site values.	GLS-V1.1-2.1.2	The site has been listed and correctly assigned one of the six IUCN Protected Area management categories, or has been listed as an 'Other Effective Area-based Conservation Measure', and been assigned one of the four IUCN governance types in the UN Environment World Conservation Monitoring Centre World Database on Protected Areas (WDPA)	Reference to the UN Environment World Conservation Monitoring Centre World Database on Protected Areas (WDPA), with all data fields completed, accessible through the Protected Planet® portal	Sites not formally listed as Protected Areas under the formal WDPA dataset can be included by WCMC as a 'Conserved Area' category, for example as Indigenous and Community Conserved Areas, or as 'Other Effective Area-based Conservation Measures'. The four governance types can be found in IUCN Governance of Protected Areas: from Understanding to Action, Best Practice Protected Areas Guideline Series No. 20 ¹²	
		GLS-V1.1-2.1.3	The site has a current management plan or equivalent that is used to guide management priorities and activities	Management plan or equivalent Work programmes and activities indicating conformity with management plan objectives and priorities		
		GLS-V1.1-2.1.4	The major natural values and associated ecosystem services and cultural values of the site are clearly identified and understood	Foundational documents or equivalent Management plan or equivalent Scientific research papers Related databases Reports on traditional and local knowledge, as appropriate Feedback from stakeholders		
		GLS-V1.1-2.2.1	The designated site is large enough and sufficiently connected to other habitats or ecosystems to achieve the goals and objectives for the site's major values for nature conservation	Management planning documentation including maps Consultation with site management References to scientific research justifying conclusions Consultation with relevant experts		
		GLS-V1.1-2.2.2	The site is part of an identified conservation network which is designed to meet goals of representation, replication, connectivity and resilience	Management planning documentation including maps Site system plan or gap analysis Consultation with site management		

¹² http://cmsdata.iucn.org/downloads/governance_of_protected_areas_from_understanding_to_action.pdf. Borrini-Feyerabend, G., N. Dudley, T. Jaeger, 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 + 124pp.

2: SOUND DESIGN & PLANNING

2.3 UNDERSTAND THREATS AND CHALLENGES TO MAJOR SITE VALUES: Threats and challenges to major site values are described and understood in sufficient detail to enable effective planning and management to address them.

2.4 UNDERSTAND THE SOCIAL AND ECONOMIC CONTEXT: The social and economic context of the site including the positive and negative social and economic impacts of the way it is managed is understood and reflected in management

GLS-V1.1-2.2.3

Where a major site value is 'ecological integrity':

- The site contains an assemblage of native species and ecosystem types that is characteristic of the region, with intact ecological processes and trophic systems
- The site is large enough and sufficiently well connected to sustain a viable species population and ecosystem processes in the long term

Where a major site value is the conservation of a species:

- The site contains the full range of habitats required to sustain a viable population of the species or the ecological community in the long term, taking account of all relevant aspects of the species' life cycle (e.g. breeding areas, wintering grounds, safe migration routes)
- The site is large enough and sufficiently well connected to sustain a viable population of the species in the long term
- Or, where the species range is too large to be protected within one designated area:
 - a) The site is designed to protect one or more critical life history stage for a species. e.g. feeding, breeding, resting, migratory path / bottleneck
 - b) The site contains sufficient areas of the key habitats that support the critical life history stage of the species
 - c) The site is sufficiently well connected to other protected or managed areas that contain habitats the species needs to complete its life history

GLS-V1.1-2.3.1

Major current and potential threats to major natural values and associated ecosystem services and cultural values of the site are identified, understood and documented, and their location, extent and severity described in sufficient detail to enable effective planning and management to address them

GLS-V1.1-2.3.2

The likely impact of climate change on the major site values has been assessed, understood and documented

GLS-V1.1-2.4.1

The social and economic characteristics of the region that may be affected (positively or negatively) by the site's designation and/or current management have been identified and the location, extent and magnitude of effects of the site on social and economic characteristics have been

Maps of site and surrounding area
 Management planning documentation
 Consultation with site management
 References to scientific research justifying conclusions
 Specific research projects on species and/or ecosystem types
 Consultation with relevant experts

Management plan or equivalent listing threats for each major value
 Documentation of consultation with relevant experts
 Documented method and process for identifying threats

Management plan or equivalent documenting climate change threats
 Consultation with relevant experts

Social impact report(s), assessments
 Consultation with site management
 Consultation with relevant experts
 Management plan or equivalent

	goals and objectives.		described in the management plan or equivalent		
3: EFFECTIVE MANAGEMENT	<p>3.1 DEVELOP AND IMPLEMENT A LONG-TERM MANAGEMENT STRATEGY: The site has a long-term strategy that provides a clear explanation of the overall goals and objectives of management (explicitly including the conservation of the area's major values and achievement of its social and economic goals and objectives). This is reflected in an up-to-date management plan or its functional equivalent, which:</p> <ul style="list-style-type: none"> - Provides clear and appropriate management directions: Strategies and actions specified in plans, policies and procedures are appropriate and sufficient to achieve the planned goals and objectives for the area. - Demonstrates adequate capacity to manage effectively: Key strategies and associated activities to achieve goals and objectives in the long-term are supported by adequate financial and human resources, adequate staff competency, capacity development and training; appropriate access to equipment and adequate infrastructure; and measures are in place to deal with critical shortfalls. 	GLS-V1.1-3.1.1	<p>The site has a current management plan or functional equivalent which includes:</p> <ul style="list-style-type: none"> a) the goals and objectives for management of the natural values and social and / or economic objectives (where relevant) identified in Component 2 b) the management strategies and activities to achieve these goals over the long term and an indication of the activities that are allowed or prohibited in the site and any zoning or temporal / spatial restrictions on access to or use of the site 	<p>Assessment that benefits and impacts have been considered in the management plan or equivalent</p> <p>Consultation with appropriate representatives of potentially affected rights-holders and other stakeholders</p> <p>Management plan or functional equivalent</p> <p>Evidence of consultation processes</p> <p>Formal approval of the management plan or equivalent</p>	<p>The management plan should also document major natural values and associated ecosystem services and cultural values (2.1), and threats to these values (2.3) and the likely impact of climate change on values (2.4)</p>
		GLS-V1.1-3.1.2	<p>The site can demonstrate that management activities and policies, and/or legislation and regulations are being implemented and are consistent with the management plan (or equivalent)</p>	<p>Annual work plan or equivalent</p> <p>Consultation with site management</p>	
		GLS-V1.1-3.1.3	<p>Adequate, functional and safe equipment and infrastructure is available and accessible to staff as appropriate to manage the site</p>	<p>Documentation which may include photos, maintenance schedules for major equipment, visual inspections, etc.</p>	
		GLS-V1.1-3.1.4	<p>The site has adequate numbers of appropriately trained staff, led by an effective management team, to implement all aspects of its management plan in the long term</p>	<p>Staff organisational chart and documents</p>	
		GLS-V1.1-3.1.5	<p>Management efforts support equity, including gender equity, related to site management.</p>	<p>Discussion with staff and local knowledgeable experts</p> <p>Staff organisational chart and documents</p>	
		GLS-V1.1-3.1.6	<p>Financial constraints are not threatening the capacity of management to achieve the site's objectives</p>	<p>Reports or information on implementation of annual work plans</p> <p>Discussion with staff and local knowledgeable experts</p> <p>Reports or information on implementation of annual work programmes</p>	

3: EFFECTIVE MANAGEMENT	3.2 MANAGE ECOLOGICAL CONDITION: Management can clearly demonstrate that ecological attributes and processes are being managed to maintain the area's major natural values and associated ecosystem services.	GLS-V1.1-3.2.1	Strategies and actions to maintain ecological attributes and processes (including natural disturbances) to maintain or enhance the site's major values are identified and implemented	Discussion with staff and local knowledgeable experts
		GLS-V1.1-3.2.2	The site can demonstrate that management activities related to natural values are being implemented and are sufficient for the maintenance of the site's major natural values and ecological processes	Relevant regional strategies Management plan or equivalent Annual work plan or equivalent Consultation with site management Operational plan Relevant regional strategies Management plan or equivalent Annual work plan or equivalent Consultation with site management Operational plan
	3.3 MANAGE WITHIN THE SOCIAL AND ECONOMIC CONTEXT OF THE SITE: Management can clearly demonstrate that: - Rights-holders and stakeholders are recognized and engaged effectively by management, and their interests are fairly and fully considered; - The social and economic benefits of the area are recognized, promoted and are being maintained, OR, where such maintenance is incompatible with the maintenance of the area's natural values, any restrictions are designed and implemented in consultation with, and preferably following the free, prior and informed consent of right-holders and stakeholders.	GLS-V1.1-3.3.1	The social and economic context of the site has been incorporated into management, based on consideration of social and economic goals and objectives for the site, as established in Criterion 2.4	Annual work plan or equivalent Evidence of consideration of social and economic context in framing of objectives during the management planning process Records of results of management's consultation with local stakeholders and rights-holders Management plan or equivalent Discussions with local stakeholders and community members
		GLS-V1.1-3.3.2	Opportunities to enhance the social and economic benefit of the site to local communities (where consistent with conservation of major site values) are considered during reviews of management plan and through adaptive governance, management and planning processes	
	3.4 MANAGE THREATS: Threats are being actively and effectively responded to, so that their impact is not compromising the maintenance of major site values or the achievement of the area's goals and objectives.	GLS-V1.1-3.4.1	The site management is implementing a work programme that identifies effective responses to each of the major threats to (a) major site values identified under Criterion 2.3 or (b) the achievement of the site's goals and objectives including long term and 'external' threats	Annual work plan or equivalent Management plan or equivalent Discussions with local stakeholders and community members Consultation with relevant experts
		3.5 EFFECTIVELY AND FAIRLY ENFORCE LAWS AND REGULATIONS: Relevant laws, regulations and restrictions are fairly and effectively applied in all aspects of the protected area management and operations.	GLS-V1.1-3.5.1	Patrol and surveillance systems, or equivalent, are in place where needed, are adequately set up with sufficient resources and effective operational procedures
	GLS-V1.1-3.5.2		Legal or customary compliance mechanisms are supported including the equitable application of appropriate sanctions to offenders	

3: EFFECTIVE MANAGEMENT

3.6 MANAGE ACCESS, RESOURCE USE AND VISITATION: When permitted, activities within the area that involve direct access to resources are compatible with and support the achievement of the area's conservation goals and objectives, meet the needs of users, and are properly regulated. When permitted, tourism and visitor management are compatible with and support the achievement of the area's conservation goals and objectives.

GLS-
V1.1-3.5.3

Laws and regulations regarding the use of the site are accessible to civil society, stakeholders and rights-holders

GLS-
V1.1-3.6.1

The types and levels of permitted activities are clearly described, and are compatible with the conservation of major site values

GLS-
V1.1-3.6.2

Where use and access are permitted:

- Uses and access are managed to minimise harm to the major site values, for example through permits, design, access control, or education
- The site's management strives to accommodate the needs of users, so far as this is compatible with the achievement of site objectives

GLS-
V1.1-3.6.3

The nature and level of permitted access for visitors are clearly described and are compatible with the conservation of major site values and objectives

GLS-
V1.1-3.6.4

Where visitor access is permitted:

- Visitor impacts are managed to minimise harm to major site values, for example through permits, access control, the provision and siting of facilities, education and enforcement
- There is no evidence that the impacts of visitors are majorly threatening the achievement of the site's objectives
- Visitor services and facilities are appropriate to the character, values and use of the site
- Visitor services and facilities meet specified safety standards
- Visitor services and facilities meet reasonable standards of environmental sustainability
- Interpretive, educational and information services for visitors meet visitors' needs (e.g. the needs of different audiences or age groups)
- The tourism industry within the site is managed to support the site's objectives
- Consideration has been given to the use of the site by disadvantaged people, and their needs have been adequately taken into account

one person involved in decision-making
Record of the results of prosecutions

Evidence of relevant available information

Documented description of permitted uses in management plan or equivalent
Consultation with site management
Environmental impact studies
Consultation with relevant experts
Reference to site rules, bylaws, etc.
Records of meetings of governing bodies, management committees, etc.
Discussions with local stakeholders and community members

Documented description of permitted visitor access in management plan or equivalent, or tourism management plan
Consultation with site management
Impact studies, visitor records
Consultation with experts

Documented description of provisions for visitor management
Visitor records
Visitor response surveys
Consultation with site management
Consultation with experts
Consultation with representatives of local community
Consultation with representatives of tourism industry within the site's boundaries
Report or other documentation in relation to the provision made for access by, and responses to the needs of disabled and disadvantaged people

Where safety standards are absent for a country or a region, the EAGL should apply reasonable judgement to the safety protocols used by the site

<p>4.2: DEMONSTRATE CONSERVATION OF MAJOR ASSOCIATED ECOSYSTEM SERVICES: The area is maintaining and providing the major ecosystem service values.</p>	<p>GLS-V1.1-4.2.1</p>	<p>The site meets or exceeds the performance measures for the conservation of ecosystem services, as specified in Indicator 3.7.1</p>	<p>The achievement of each ecosystem service performance measures should be documented through the site's established monitoring programme Assessment against the monitoring data Discussion with local experts The achievement of each cultural value performance measure should be documented through the site's established monitoring programme</p>	<p>The maintenance and enhancement of identified cultural values should be part of the site's monitoring plan</p>
	<p>GLS-V1.1-4.2.2</p>	<p>The provision of ecosystem services does not significantly impair the ecological values of the site</p>		
<p>4.3: DEMONSTRATE CONSERVATION OF MAJOR CULTURAL VALUES: The area is maintaining and providing for the persistence of major cultural values.</p>	<p>GLS-V1.1-4.3.1</p>	<p>The site meets or exceeds the performance measures for the conservation of cultural values, as specified in Indicator 3.7.1</p>		

Part 3: Guidance for Components and Criteria

Italicised text below is the same content from the Standard in Part 1 of this document

Component 1 and Accompanying Criteria Guidance Notes

Component 1: **GOOD GOVERNANCE**

Description: **Green List sites demonstrate equitable and effective governance**

Component 1 is about the quality of governance of the site, and its links to the performance against criteria for Components 2 and 3, ultimately yielding successful conservation outcomes in Component 4. As described in the *IUCN Best Practice Guidelines Series No. 20: Governance of Protected Areas*¹⁴ – *from understanding to action*, governance is concerned with:

- who decides on the management objectives of a PA, how to pursue them, and with what means
- how those decisions are taken
- who holds power, authority and responsibility, and
- who should be held accountable.

Practically, governance arrangements can vary greatly depending on the local context, but they can be defined as one of the four types as defined by IUCN:

- Type A: governance by government
- Type B: shared governance
- Type C: private governance, and
- Type D: governance by Indigenous Peoples and local communities

IUCN has defined five broad principles for good governance of protected areas (elsewhere described as equitable management or equitable governance):

- Legitimacy and Voice
- Direction
- Performance
- Accountability, and
- Fairness and Rights

¹⁴ Borrini-Feyerabend, G., N. Dudley, T. Jaeger, 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 + 124pp.

These principles should be applied according to local context, although some relate to human rights for which international standards are progressively written into law. Governance concerns the processes and institutions that guide how decisions are made. It sets the 'rules of the game' that determine the ability of different actors to participate in decision-making, what knowledge should be drawn on, how a protected area is integrated into the broader landscape and land-use and who has a legitimate voice in the management of a protected area. Not all stakeholders and rights-holders have equal opportunities and capacities within decision-making processes, so governance of a protected area should ensure that decision-making processes seek to balance inequitable distribution of power and resources, including efforts to achieve gender equity

IUCN's Environmental and Social Management System¹⁵ (IUCN ESMS, April 2016) provides a minimum set of criteria that should be used as further guidance.

Criteria Guidance Notes

1.1 GUARANTEE LEGITIMACY AND VOICE

There are clearly defined, legitimate equitable and functional governance arrangements, in which the interests of civil society, rights-holders and stake-holders, are fairly represented and addressed, including those relating to the establishment or designation of the site.

The site is legally established in compliance with relevant international agreements and national and applicable regional legislation, and the site's legal status is clearly defined and not subject to major ongoing legal or social dispute. Considerations of legitimacy will help with determining the question of how the voices of different actors with different levels of power, such as between genders, are accounted for in decision-making.

1.2 ACHIEVE TRANSPARENCY AND ACCOUNTABILITY

Governance arrangements and decision-making processes are transparent and appropriately communicated, and responsibilities for implementation are clear, including a readily accessible process to identify, hear and resolve complaints, disputes, or grievances.

Governance and decision-making is open to scrutiny by all stakeholders, with information presented in appropriate formats and the reasoning behind decisions evident. There is an appropriate, accessible process to identify, hear and resolve complaints, disputes, or grievances related to the governance or management of the site.

¹⁵ <https://www.iucn.org/resources/project-management-tools/environmental-and-social-management-system>

1.3 ENABLE GOVERNANCE VITALITY AND CAPACITY TO RESPOND ADAPTIVELY

Planning and management draws on the best available knowledge of the social and ecological context of the site, using an adaptive management framework that anticipates, learns from and responds to change in its decision-making.

Governance arrangements should create an environment that enables adaptive capacity to respond to events, knowledge, monitoring and learning. Adaptive governance should enable action despite uncertainty about future environmental change, and should support iterative learning within site planning and management to foster a culture of experimentation and risk taking. Governance determines whether, and how, evaluation and learning from site monitoring programmes are integrated into ongoing planning and management efforts. A solid foundation of adaptive governance should ensure that a site is able to monitor, measure and demonstrate that nature conservation and social goals and objectives are being achieved in the face of changing circumstances.

Adaptive governance instils a learning culture into all aspects of site management and draws on multiple types of knowledge (scientific, experiential, local and traditional) where relevant. Ecosystems and social systems change over time; a learning culture will enable management to adapt to changing circumstances.

Adaptive management is made possible through governance vitality which is about taking decisions in timely, well connected, adaptable, wise, creative and empowering ways.

Component 2 and Accompanying Criteria Guidance Notes

Component 2: SOUND DESIGN AND PLANNING

Description: **Green List sites have clear, long-term conservation goals and objectives, based on a sound understanding of their natural, cultural and socio-economic values and context.**

This component is about ensuring that the characteristics of the site will support the long term conservation of the natural values and associated cultural and ecosystem services values of the site. The conservation goals are consistent with the IUCN protected area categories and are based on a robust understanding of the major natural and cultural values of the site.

Site managers have sufficient and appropriate information to support effective planning to maintain site values over time, address threats to these values, and adapt to the impact of climate change among other global change factors. Managers should consider the current social and economic context of the site and planning should enhance social and economic benefits, where this is consistent with the conservation goals.

Effective site management requires that the major natural values and associated cultural and ecosystem service values be clearly identified. For IUCN, only those sites where the main objective is conserving nature can be considered protected areas; this can include many sites with other goals and objectives as well, at the same level, but in the case of conflict, nature conservation will be the priority.

The assignment of ecological values should be consistent with IUCN's protected area management categories¹⁶. For example, Category 1 and 2 protected areas should identify ecological integrity as a core value as that is the intention of the category. A table of IUCN categories and consistent ecological goals and objectives is provided¹⁷.

Additional IUCN guidance on the appropriate considerations for the impact of design and planning Protected Areas can be found in the IUCN Environmental and Social Management System¹⁸ (IUCN ESMS, April 2016).

¹⁶ 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.

¹⁷ <https://www.iucn.org/theme/protected-areas/about/protected-areas-categories>

¹⁸ <https://www.iucn.org/resources/project-management-tools/environmental-and-social-management-system>

Criteria Guidance Notes

2.1 IDENTIFY AND UNDERSTAND MAJOR SITE VALUES

The site's major values for conservation of nature with associated ecosystem services and major cultural values are identified and understood

A successful 'Green List' site must always identify major values for conservation of nature, and depending on the protected area management category and context, the associated cultural and ecosystem service values will also be identified and identified. Nature always refers to biodiversity, at genetic, species and ecosystem level, and often also refers to geodiversity, landform and broader natural values. All goals and objectives for management of the site are identified in accordance with the appropriate IUCN management category. In this Standard, 'major' values are defined as nature and associated ecosystem service and cultural values that the site is currently intended to conserve, maintain or enhance.

NATURAL VALUES

Major natural values include:

- Biodiversity values (e.g. threatened species, priority habitats or ecosystems)
- Ecological processes
- Landscape and connectivity values
- Geological and geomorphological features
- Paleontological values
- Scenic values and outstanding natural beauty.

ECOSYSTEM SERVICE VALUES

Ecosystem services are the benefits that humans derive from ecosystems. Ecosystem services can be categorised as

- (i) provisioning services (e.g. food, fuel, fibre)
- (ii) regulating services (e.g. flood retention, water quality, carbon storage), and
- (iii) supporting services (e.g. nutrient cycling; pollination).

Ecosystem service values can be documented using the Protected Area Benefit Assessment Tool or similar tools.

Ecosystem services are a subset of a much larger set of ecological processes. Collectively

humans are part of global ecosystems that include species and processes, that keep all people alive. So, in practical terms, assessing ecosystem services is always a small subset of larger ecological benefits that include oxygen, the global water and carbon cycles, etc. However, it is often useful to consider a set of direct benefits that sites provide to local people and communities.

Provisioning services are products obtained from ecosystems, including, for example, genetic resources, food and fibre, and fresh water. Such services may include medicinal plants, firewood or building materials for local purposes, depending on the category of the protected area.

Regulating services are benefits obtained from the regulation of ecosystem processes, for example, climate regulation, flood water retention.

Supporting services are those that are necessary for the maintenance of other ecosystem services. Some examples include biomass production, production of atmospheric oxygen, soil formation and retention, nutrient cycling, water cycling. In addition, the human health benefits of sites for surrounding communities and visitors are now well documented and should also be considered here.

CULTURAL VALUES

Cultural values are the non-material benefits people obtain from ecosystems through spiritual enrichment, cognitive development, reflection, and aesthetic experience, and include cultural identity and meaning, knowledge systems, social relations, and aesthetic values.

The Burra Charter defines cultural values as tangible and non-tangible values that have aesthetic, historic, scientific or social significance for past, present or future generations including:

- cultural practices, knowledge, songs, stories
- places or features of cultural significance, sacred sites
- built heritage, art, and relics
- human remains
- natural landforms, flora, fauna or minerals that have a cultural meaning.

**2.2 DESIGN FOR LONG-TERM
CONSERVATION OF MAJOR SITE VALUES**
*The design of the site in its landscape/
seascape context support long-term
maintenance of the major site values*

Each site may have distinctive cultural values that should be documented in the process of applying this Criterion.

The *design of the site in its landscape/seascape context* (i.e. size, viability, connectivity, context in the landscape) should be sufficient to maintain the major natural values identified in Criterion 2.1.

If connectivity with other sites or habitats is critical to the maintenance of the major site values of the site proposed for Green Listing, these sites should also be adequately managed to maintain the major natural and cultural values of the site. The site should be managed so it is integrated within the wider landscape and/or seascape. This may occur, for example, through active participation within a national or regional conservation strategy or land-use plan, through managing threats in collaboration with surrounding communities and user groups or through international collaboration and agreements, where relevant. The site may also contribute to an ecologically representative and well-connected system of protected areas. In cases where the conservation of the site's major site values is dependent on actions or conditions outside its own management control, the manner in which such actions or conditions will nonetheless be achieved or maintained will require explanation.

In cases where a major site value is a species population, the site should contain habitats that are of sufficient quality and size, or be connected to other suitable sites to conserve the species in the long term.

Management should consider the long term implications of climate change, and other global change factors, on the major site values identified in Criterion 2.1 and identify strategies to guide management of these values in the context of future change.

2.3 UNDERSTAND THREATS AND CHALLENGES TO MAJOR SITE VALUES

Threats and challenges to major site values are been described and understood in sufficient detail to enable effective planning and management to address them.

The identification of threats should include all major current and potential threats to the site's natural and associated cultural and social and economic values. Threat analysis should include examination of activities that are incompatible with the site's protected status.

Threats should be identified in collaboration with stakeholders and experts, and should be understood in detail and accuracy relevant to management. Threats could be identified using IUCN-Conservation Measure Partnership (CMP) Threat Classification Scheme¹⁹. Main categories of threats from the threat taxonomy are described below. As some threats will be specific to each jurisdiction, site type and site setting and context, any threats not featured the IUCN-CMP threat taxonomy can be identified in the 'other' field. Threats may include:

1. Residential and commercial development within a site
2. Agriculture and aquaculture within a site
3. Energy production and mining within a site
4. Transportation and service corridors within a site
5. Biological resource use and harm within a site
6. Human intrusions and disturbance within a site
7. Natural system modifications
8. Invasive and other problematic species and genes
9. Pollution entering or generated within a site
10. Geological events
11. Climate change and severe weather
12. Specific cultural and social threats
13. Other

It should be emphasised that this requirement does not exclude the continuation of activities that are compatible with the protected area's IUCN categorisation, and with its core objectives. Such activities may include hunting, collecting, recreational uses or other activities at sustainable levels.

¹⁹ <http://www.iucnredlist.org/technical-documents/classification-schemes/threats-classification-scheme>

2.4 UNDERSTAND THE SOCIAL AND ECONOMIC CONTEXT

The social and economic context of the site including the positive and negative social and economic impacts of the way it is managed is understood and reflected in site management goals and objectives.

Please note that the threats/challenges identified in this criterion should provide the basis for management responses to threats identified in criterion 3.4. Likewise, management responses to threats/challenges identified in 3.4 should link to the threats identified in this criterion.

The establishment and management of a protected area may have positive and/or negative impacts on rights-holders, stakeholders and the local community, depending on the prevailing social and economic context. Over time, the type of impact may also change, as conflicts are resolved, new conflicts arise or when governance is enhanced. The current social and economic context of the site should be sufficiently well documented and understood to be considered in ongoing planning and management to optimise positive impacts and to minimise negative impacts where possible.

This includes an understanding of the demographic characteristics of the region, previous uses of the site and the impact of protected area status on:

- cultural, spiritual, historical, and recreational values
- access (increased or decreased) for rights-holders, stakeholders and the public, and
- economic activity in the surrounding area.

Component 3 and Accompanying Criteria Guidance Notes

Component 3: Effective Management

Description: **Green List sites are managed effectively.**

The IUCN Best Practice Guidelines on Management Effectiveness²⁰ defines effective management to include three components:

- 1. Design:** Whether the site has been designed in such a way that it is capable of maintaining its values over time. This includes (i) The ecological and physical attributes of the site that mean that the integrity of natural values can be maintained; and (ii) The way in which the site fits within a social and cultural context to minimise negative and promote positive interactions with surrounding communities. (1 (i) is addressed as part of Component 2.2 in this Standard and 1 (ii) is addressed as part of Component 2.4)
- 2. Management systems and processes:** Whether the management planning systems, resources and processes implemented in the site are sufficient and in accordance with accepted and effective management approaches, given the environmental, social and cultural context of the site and projected future climate change. This aspect of effective management is addressed in Component 3 of this Standard.
- 3. Outcomes:** Whether the site maintains its values, most critically its nature conservation values, and achieves its goals and objectives over time. This aspect of effective management is addressed in Component 4 of this Standard.

Criteria Guidance Notes

3.1 DEVELOP AND IMPLEMENT A LONG-TERM MANAGEMENT STRATEGY

The site has a long-term strategy that provides a clear explanation of the overall goals and objectives of management (explicitly including the conservation of the area's major values and achievement of its social

PROVIDE CLEAR AND APPROPRIATE MANAGEMENT DIRECTIONS

A management plan, or functionally equivalent documentation, describes the goals and objectives of management and explains how these goals and objectives are to be achieved.

Green List sites must demonstrate that management of the site is undertaken in accordance with a clear vision based on an understanding of the natural values and associated ecosystem service and cultural values of the site, and other appropriate social, cultural and economic goals

²⁰ Hockings, M., Stolton, S., Leverington, F., Dudley, N. and Courrau, J. (2006). Evaluating Effectiveness: A framework for assessing management effectiveness of protected areas. 2nd edition. IUCN, Gland, Switzerland and Cambridge, UK. xiv + 105 pp.

and economic goals and objectives). This is reflected in an up-to-date management plan (or its functional equivalent).

There are clear and appropriate management directions: Strategies and actions specified in plans, policies and procedures are appropriate and sufficient to achieve the planned goals and objectives for the site.

There is adequate capacity to manage the site effectively: The key strategies are supported by adequate financial and human resources; adequate staff competency, capacity development and training; appropriate access to equipment and adequate infrastructure; and measures are in place to deal with critical shortfalls.

and objectives. One approach would be to ensure that the goals and objectives of management are addressed within the management plan (or equivalent) and associated operational planning documentation, supported by evidence showing that the plan is being implemented as described. Plans should demonstrate that management activities address both short term goals and objectives, and also longer-term threats have been considered such as climate change projections for the region. However, other approaches than formal plans, that achieve the same objective would also be acceptable.

The implications of climate change on the natural and/or cultural values of the site should be considered and documented, particularly in relation to the management goals and objectives for these values²¹ (see reference for insight into climate change impacts on common site values). The IUCN Best Practice Guidelines Series No.24 on *Adapting to Climate Change - Guidance for protected area managers and planners*²² identify the following best practices for setting conservation goals and objectives in the context of climate change:

- Manage for change, not only for persistence
- Reconsider goals and objectives, not just strategies
- Adopt forward-looking and climate-informed goals and objectives
- Integrate climate considerations into existing planning

Climate-ready goals and objectives will provide a solid foundation for all elements of site planning, governance and management into the future. This will require that trends and changes in conditions are monitored over time, requiring management and governance to communicate with key constituents about the implications of these changes on site values and to integrate information into adaptive governance, management and planning²⁰.

DEMONSTRATE ADEQUATE CAPACITY TO MANAGE EFFECTIVELY

This Criterion recognises that sites can be successful even if their financial and other resources (understood in this context to mean also capacity) are limited. It is recognised that sites will always benefit from additional funding and capacity, and that this therefore should not, in itself, limit their ability to be placed on the Green List. However, sites with good financial and human

²¹ Hopkins, A., McKellar, R., Worboys, G. L., and Good, R. (2015) 'Climate change and protected areas', in G. L. Worboys, M. Lockwood, A. Kothari, S. Feary and I. Pulsford (eds) Protected Area Governance and Management, pp. 495–530, ANU Press, Canberra

²² Gross, John E., Woodley, Stephen, Welling, Leigh A., and Watson, James E.M. (eds.) (2016). Adapting to Climate Change: Guidance for protected area managers and planners. Best Practice Protected Area Guidelines Series No. 24, Gland, Switzerland: IUCN. xviii + 129 pp.

resource systems will have a much higher chance of being effectively managed and achieving conservation success. Management actions here encompass planning, implementation, stakeholder engagement, communication, infrastructure, research, volunteer programmes, monitoring and evaluation.

Assessment of this Criterion might address issues such as the following:

- Adequate equipment and infrastructure appropriate to the context of the site is available and accessible to staff as appropriate to manage the site
- Equipment and infrastructure are well-maintained and replaced regularly
- The site has sufficient numbers of appropriately trained staff with adequate competences, appropriately deployed and led by an effective management team, to implement all aspects of its management plan
- Staff are supported, respected and nurtured, and staff development, employment and working conditions, health, safety and welfare are given a high priority by the management authority
- Mechanisms are in place to recruit and use volunteers, and to partner with other institutions that can provide institutional support
- The managing organisation makes effective use of resources, working in a structured and strategic way with defined goals, established systems and standards, and means for monitoring and improving performance
- Mechanisms are in place for securing funds (e.g. fundraising for grants, requesting government allocations, setting up trust funds), preparing and managing budgets, and ensuring cost-effective and efficient financial management of the site
- There is no evidence that financial constraints are threatening the capacity of management to achieve the site's goals and objectives.

3.2 MANAGE ECOLOGICAL CONDITION

The site can clearly demonstrate that ecological attributes and processes are being managed to maintain the site's major natural values with associated ecosystem services and cultural values.

Management includes plans and actions to maintain ecosystem processes or simulate natural disturbance regimes where required. This could include, for example, fire management, maintenance of sedimentation or larval flows in marine systems, maintenance of hydrological regimes, habitat maintenance for native species, ecological restoration where required, management of native species, maintenance of essential ecological linkages within the site and with adjacent habitats and any other management necessary to maintain conservation values of the site.

Effective management of ecological conditions will be enhanced by use of an ecosystem-based approach to management. As defined by the Convention on Biodiversity, "the ecosystem approach is a strategy for the integrated management of land, water and living resources that promotes conservation and sustainable use in an equitable way [it]. is based on the application of appropriate scientific methodologies focused on levels of biological organisation, which encompass the essential structure, processes, functions and interactions among organisms and their environment. It recognises that humans, with their cultural diversity, are an integral component of many ecosystems.

This criterion does not deal directly with the management of threats, which are addressed in Criterion 3.4 (e.g. invasive alien species management).

3.3 MANAGE WITHIN THE SOCIAL AND ECONOMIC CONTEXT OF THE SITE

The site can clearly demonstrate that it takes into account the social and economic context of the site and the interests of rights-holders and stakeholders, and engages them appropriately. The social and economic benefits of the site are recognised, promoted and are being maintained, in a way which is compatible with the maintenance of the site's major natural values with associated ecosystem services and cultural values.

This Criterion is concerned with managing to enhance the social and economic benefits of a site in a manner that is consistent with the objectives of the site and its management category and does not damage or conflict with the major site values.

Social and economic benefits may include improved access, economic stimulus for local communities, opportunities for recreation, tourism, employment, education and scientific research. The type and magnitude of benefits of a given site will vary widely depending on the activities permitted, the relative isolation, and resourcing for the site. The role of the site in providing education, awareness, outreach and instilling value in nature to people, local and visitors and supporting programmes should also be considered.

Evidence to support performance on this Criterion could include how the social and economic context of the site is considered and addressed in the site's management plan (or equivalent), and associated operational planning documentation that shows that these aspects of the plan are being implemented as described. However, other approaches that achieve the same objective would be acceptable such as documenting management policies, processes and activities relating to this Criterion.

3.4 MANAGE THREATS

Threats are being actively and effectively responded to, so that their impact is not compromising the maintenance of major site values or the achievement of the site's goals and objectives.

3.5 EFFECTIVELY AND FAIRLY ENFORCE LAWS AND REGULATIONS

Relevant laws, regulations and restrictions are fairly and effectively applied in all aspects of the protected area management and operations.

3.6 MANAGE ACCESS, RESOURCE USE AND VISITATION

Activities within the site are compatible with, and support the achievement of the site's conservation goals and objectives, meet the needs of users, and are properly regulated. When permitted, tourism and visitor management is compatible with, and supports the achievement of the site's conservation goals and objectives.

The intent of this Criterion is that management should respond to both existing and potential threats whose significance may grow over time.

Threats will have been identified in Criterion 2.3. In this Criterion, management should demonstrate that there are programmes in place to contain or reduce the impacts of these threats on major site values such that the goals and objectives of management are able to be achieved. Evidence may include data on the extent and severity of threats and on threat reduction over time.

Controls on use of the site including prohibitions on certain activities and conditions applied to permitted activities should be effectively enforced if they are to prevent undesirable impacts on the site. This means that managers must have adequate capacity to detect potential infringements through patrol and surveillance and then the capacity to prevent or prosecute offences. The broader governance system must have the capacity and the will to support enforcement of these controls through legal or customary means with appropriate sanctions applied to offenders.

The application and enforcement of laws, regulations and controls over use must be fairly enforced and not favour particular individuals or groups. The laws, regulations and controls applied to the site are clearly communicated to stakeholders and any changes to these restrictions are made known to affected stakeholders before they are enforced.

MANAGEMENT OF APPROVED ACTIVITIES WITHIN THE SITE

Approved activities may include sustainable harvesting of natural resources where permitted by law and in accordance with any restrictions and guidelines contained in the site's management plan or other policies. This could include artisanal fishing in relevant zones, collection of non-timber forest products for local use, and other low-level harvesting of resources for local use. It would also include approved scientific research and other activities regulated by permit.

MANAGEMENT FOR VISITORS AND TOURISM

Visitor services and facilities meet standards of design, environmental sustainability and safety and are appropriate to the character, values and use of the site. Interpretive, educational and information services for visitors meet appropriate visitor needs and support management. Where

access is permitted, consideration has been given to the use of the protected area by people having varied physical ability, and their needs have been adequately and appropriately taken into account, considering the context of the protected area. The tourism industry within the site is managed to support the Protected Area goals and objectives.

3.7 MEASURE SUCCESS

Monitoring, evaluation and learning provide an objective basis for determining measures of success.

Monitoring and assessment programmes should be capable of providing data, and/or information on:

- *Whether each of the site's major values are being successfully protected;*
- *Location, extent and severity of threats; and*
- *Achievement of management goals and objectives.*

As appropriate, thresholds may be determined by changes in major values over a specified time period compared to those anticipated without the protected and conserved area.

The major site values are previously defined under Criterion 2.1. The definition of 'objective measures of success' in this Criterion 3.7 provides the basis for the subsequent assessment of Conservation Outcomes, covered in Component 4.

Each of the site's major values should be assessed against a performance threshold as the basis for determining conservation success in relation to the associated value. Thresholds will rarely be absolute and may be refined as knowledge improves. There should be an explicit process for revising thresholds as new information is received. Thresholds should not be arbitrarily changed to accommodate changes in management performance.

Thresholds can be established in many ways, including: values taken from scientific literature, comparison with past measurements, ecological modelling, values set by legislation or regulation and/or expert consensus. In all cases, the reasons for the selection of the threshold should be documented as part of the monitoring programme. If the scientific information needed to establish thresholds is lacking or inadequate, site managers can rely on general ecological concepts, comparisons to other similar systems, well-informed expert opinion, or failing that, the site managers' best estimate to determine a 'credible first iteration' of the thresholds.

The specific model for defining and measuring performance thresholds through the specification of 'Conservation Targets' and their associated key ecological attributes with acceptable ranges of variation for those attributes²³, as described in Parrish et al. (2003) provides one acceptable methodology for meeting this Criterion. However, adoption of this specific methodology is not a requirement. Any approach that meets the requirements of the Criterion would also be acceptable.

Development of thresholds is an inherent part of the site's monitoring programme.

²³ <https://academic.oup.com/bioscience/article/53/9/851-860/311604>

Component 4 and Accompanying Criteria Guidance Notes

Component 4: Successful Conservation Outcomes

Description: Green List sites demonstrate successful long-term conservation of major natural values, with associated ecosystem services and cultural values; which contribute as appropriate to the achievement of social and economic goals.

This Component is concerned with demonstrating that the site is achieving its goals and objectives for conserving major natural values with associated ecosystem services and cultural values, which contribute, as appropriate, to meeting the social and economic goals identified in Component 2. Measurement and assessment of outcomes is the only way to prove that sites are conserving their values. The measurement and assessment of site outcomes needs to be transparent, documented, and repeatable. Outcomes should be measured, and then assessed against a performance threshold identified in Criterion 3.7.

Measurement and assessment of site outcomes should be done as part of a site's monitoring programme. The measurement and assessment should be conducted using appropriate science, including expert opinion, and should also take advantage of available traditional and local knowledge. The monitoring system should retain records of the goals and objectives of the programme in the long term, including the monitoring methods, raw data, metadata, methods of analysis, and results. While it is preferable to have quantifiable data on outcomes, where these are not available, expert consensus may be used. Documentation of expert consensus should include information on the experts, their conclusions on the outcomes, and their specific reasons for coming to their conclusions.

Site managers should make information related to the monitoring and assessment of conservation outcomes available to rights-holders and stakeholders, and to civil society and the scientific community (see Criterion 1.3) except in cases where the sharing of the information would adversely impact conservation outcomes or the information is culturally sensitive, or commercially confidential.

Criteria Guidance Notes

4.1 DEMONSTRATE CONSERVATION OF MAJOR NATURAL VALUES

The site meets or exceeds thresholds for the stated performance measures for the conservation of major natural values.

For IUCN Protected Areas, nature always refers to biodiversity, at the genetic, species and ecosystem level, and often also refers to geodiversity, landform and broader natural values.

Natural values and their associated goals and objectives will be for one or more of the following: (i) intact ecosystems (ecological integrity); (ii) specific species; (iii) specific ecological communities or habitats; (iv) ecological features; (v) ecological processes; (vi) geological features; and (vii) paleontological features (fossils etc.). Many protected areas are also managed for outstanding scenic

values and natural beauty which are an inherent part of their ecological and geological features and can be evaluated in this context. Performance thresholds should be measurable and specific to the protected area location and the type of feature being measured. Refer to Criterion 2.1 for determination of the goals and objectives for natural values and to Criterion 3.7 for the development of thresholds.

Measurement of ecological outcomes must be appropriate to the ecological outcomes in question. For guidance on monitoring protected area goals and objectives, practitioners can refer to IUCN's *Protected Area Governance and Management*²⁴.

The achievement of each natural value threshold should be documented through the site's established monitoring programme. Wherever possible, science-based thresholds, to assess the condition of each natural value as good, fair or poor, should be established for each of the site's nature values. However, threshold levels for every nominated value may not exist in many instances. In these cases, expert opinion, and where available, traditional knowledge, should be used to consider the condition of the values as good, fair or poor. Good condition means the natural value is at an unimpaired level in the ecosystem, functioning at a level expected for the ecosystem type. For example, a wildlife population would be at or near carrying capacity. Fair condition indicates a level of concern about the state of the natural value and that is being impaired for some reason. A poor condition indicates that there is major concern with the condition of the natural value that it is functionally impaired and may be in danger.

Normally, Green Listed sites should have all natural resources in good conditions. Exceptions may be granted for nature values in fair condition if there is a sound explanation of causes and a plan in place to restore the condition to good.

Quantitative monitoring, based on a documented method, is the accepted standard, although expert opinion and traditional knowledge may be used as determined by the EAGL. Expert scientific opinion may be used to assess condition if there are adequate reasons why quantitative data are not available and the expertise is relevant and acceptable to the EAGL. Documented traditional ecological knowledge can also be used to monitor the achievement of thresholds. All documentation must be acceptable to the Reviewers.

²⁴ <http://press.anu.edu.au/?p=312491>: G. L. Worboys, M. Lockwood, A. Kothari, S. Feary and I. Pulsford (eds) (2015) *Protected Area Governance and Management*, ANU Press, Canberra.

4.2 DEMONSTRATE CONSERVATION OF MAJOR ASSOCIATED ECOSYSTEM SERVICES

The site meets the stated performance measures for conservation of major ecosystem services.

This Criterion measures the goals and objectives identified in Criterion 2.1 for ecosystem services.

Site managers should take advantage of a range of online tools to assess ecosystem services (see examples below):

- Protected Area Benefits Assessment Tool²⁵
- TESSA: A toolkit for rapid assessment of ecosystem services at sites of biodiversity conservation importance ²⁶
- InVEST (Integrated valuation of ecosystem services and trade-offs)²⁷
- Costing Nature²⁸:

Where communities and site managers have identified specific ecosystem services as values of the site, they should be measured and assessed as part of the site's monitoring system.

The achievement of each ecosystem service threshold should be documented through the site's established monitoring programme. Quantitative monitoring based on a documented method is the accepted standard. Thresholds should be used to establish the condition of the ecosystem service as being in good, fair or poor condition. Expert scientific opinion may be used to assess condition if there are adequate reasons why quantitative data are not available and the expertise is relevant and acceptable to the EAGL. Documented traditional ecological knowledge may also be used to monitor the achievement of thresholds. All documentation must be acceptable to the Reviewers.

An environmental scan should be conducted to look for potential impacts of the provision of all ecological services on the site's ecological values. Where an environmental scan indicates potential of major negative impact, a full environmental assessment of those impacts should be conducted.

Wherever possible, science-based thresholds to assess the condition of each ecosystem service as good, fair or poor, should be established for each of the site's nature values. However, threshold levels for every nominated value may not exist in many instances. In these cases, expert opinion, and where

²⁵ http://wwf.panda.org/wwf_news/?174401/PABATru

²⁶ <http://www.sciencedirect.com/science/article/pii/S2212041613000417>:

²⁷ <http://www.naturalcapitalproject.org/invest>

²⁸ <https://ebmtoolsdatabase.org/tool/costing-nature-coting-nature>

available, traditional knowledge, should be used to consider the condition of the ecosystem service values as good, fair or poor. Good condition means the ecosystem service is at an unimpaired level in the ecosystem and the flow of benefits would be expected to be sustainable. For example, medicinal plants are harvested at a rate that is not decreasing their overall site population. Fair condition indicates a level of concern about the state of the ecosystem service that is reduced or unsustainable for some reason. Poor condition indicates that there is major concern with the provision of the ecosystem service, and that it is functionally impaired and may be in danger of not being present in the future.

Normally, Green Listed sites should have all identified ecosystem services in good conditions. Exceptions may be granted for nature values in fair condition if there a sound explanation of causes and a plan in place to restore the condition to good.

4.3 DEMONSTRATE CONSERVATION OF MAJOR CULTURAL VALUES

The site meets the stated performance measures for maintaining and providing for major associated cultural values.

This Criterion measures the goals and objectives identified in Criterion 2.1 for cultural values.

Cultural values are the non-material benefits people obtain from ecosystems through spiritual enrichment, cognitive development, reflection, and aesthetic experience, including, for example, cultural identity and meaning, knowledge systems, social relations, and aesthetic values.

A range of cultural values are possible, including conservation of built heritage, protection and access to sacred sites and the ability to practice cultural traditions. Measurement systems must be appropriate to the value in question. For built heritage, there should be a condition assessment of the structure or object. For other cultural values, measurement systems and thresholds should be developed in collaboration with the people and communities who hold the cultural value.

Assessing against thresholds for cultural values should be done in conjunction with those people and communities holding the cultural values. Other cultural values should be rated as good, fair or poor according to a group assessment that includes adequate participation from people and groups that hold those cultural values. Ratings of the condition of cultural values should be transparent, recorded and justified.

Additional implementation guidance is also available in the IUCN Green List User Manual and at www.iucn.org/greenlist

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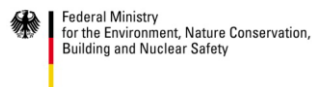
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