

# **KAZA TFCA PROJECT EXTERNAL REVIEW 2006**

**Implemented on behalf of the  
Swiss Agency for Development and Cooperation**

**Mid-Term Evaluation Report**

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## **ACRONYMS USED:**

AFD	French Development Agency
AWF	African Wildlife Foundation
CBD	Convention on Biological Diversity
CBNRM	Community Based Natural Resource Management
CI	Conservation International
CIDA	Canadian International Development Agency
CITES	Convention on International Trade of Endangered Species
DBSA	Development Bank for Southern Africa
DED	<i>Deutscher Entwicklungsdienst</i>
GEF	Global Environmental Facility
GTZ	<i>Gesellschaft für Technische Zusammenarbeit</i>
IRDNC	Integrated Rural Development & Nature Conservation
IUCN	International Union of Nature Conservation
KAZA TFCA	Kavango-Zambezi Transfrontier Conservation Area
MET	Ministry of Environment & Tourism
MoU	Memorandum of Understanding
NACSO	Namibian Association of CBNRM Support Organisations
NGO	Non-governmental Organisation
OUZIT	Okavango Upper-Zambezi International Tourism
OUZTFCA	Okavango Upper-Zambezi Trans-frontier Conservation Area
PA	Protected Area
PPF	Peace Park Foundation
SADC	Southern Africa Development Community
TBNRM	Transboundary Natural Resource Management
TFCA	Transfrontier Conservation Area
TBNRM	Trans-boundary Natural Resource Management
UNDP	United Nations Development Program
UNEP	United Nations Environment Programme
USAID	United States International Development Assistance
WWF	World Wide Fund for Nature

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## **EXECUTIVE SUMMARY**

### **PART A: EVALUATION**

#### **Section 1. Introduction**

##### **Background.**

The proposed Kavango-Zambezi Transfrontier Conservation Area (KAZA TFCA) concept evolved from the earlier Okavango Upper Zambezi International Tourism Initiative (OUZIT). The overall goal of the KAZA TFCA is an integrated land-use that will strengthen the regional economy and rural livelihoods, provide for sustainable transboundary biodiversity conservation, and promote good neighbourly relationships.

##### **The Mid-Term Review Report.**

This report is the result of a mid-term review of the Swiss funded KAZA TFCA project, initially conceptualized and implemented in support of Conservation International's (CI) efforts in promoting TFCAs in the SADC region (2002-2004). In a second phase (2005 to 2008) SDC support is focused on activities that will assist in creating an enabling environment specifically for the establishment of the KAZA TFCA concentrating on the Eastern Caprivi Region in partnership with the Namibian NGO "Integrated Rural Development and Nature Conservation" (IRDNC) and CI. The review is based on a comprehensive literature and archive review complemented by a field visit and interviews/discussions with key persons and institutions active in the KAZA TFCA.

The report is composed of two Parts. Part A describes the project purpose and objectives, provides a brief overview of pertinent framework conditions, followed by an in-depth assessment of each project component, an institutional analysis of the two SDC partner organizations CI and IRDNC, and a summary evaluation of the institutional and financial capability of CI and IRDNC. Part B is dedicated to the recommended "Way Forward" and potential future SDC support to the KAZA TFCA development process. SDC retained the consulting services of Goetz Schuerholz (team leader) and Richard Magweregwe for the implementation of this mid-term review which only addresses SDC interventions in the KAZA TFCA. The assignment was implemented between the 20<sup>th</sup> of August and the 11<sup>th</sup> of September 2006.

Constraints that complicated this evaluation were mostly related to the complexity of the KAZA TFCA and the complexity of the CI and IRDNC projects.

##### **Project Rationale and History.**

CI's activities related to the KAZA TFCA started in the Year 2000 with the establishment of its regional TFCA Unit in Cape Town with an initial focus on (a) community development, actively promoting private/public sector partnerships; (b) research related to socio-economic impacts of TFCAs; and (c) identification of key ecological corridors linking conservation areas within TFCAs. The project was expanded in 2003 to cover (a) the Level 1 survey of landmines in the Luiana Partial Reserve, Angola; (b) Rebuilding of the Gudigwa village; and (c) Funding for IRDNC to assist with the development of Caprivi Conservancies.

The SDC program was expanded in 2005 when SDC entered into a direct contract with IRDNC, co-funding WWF-UK supported community based activities in eastern Caprivi Conservancies and the promotion of Transboundary Cooperation and Natural Resource Management (TBNRM) related to the targeted Caprivi conservancies.

### **Geographic Target Area.**

The proposed TFCA encompasses the greater part of the Okavango River Basin, an integral part of an extended ecoregion that is connected to the Upper Zambezi River Basin shared by Angola, Namibia and Botswana. The KAZA TFCA covers approximately 300 000 km<sup>2</sup> of very complex ecosystems.

The boundaries of the KAZA TFCA still remain undefined. No agreement on the extent of the TFCA has been reached yet by the five partner countries. Tentative ecological corridors connecting key conservation areas in the Region were recently defined at a CI sponsored multi-national and multi-stakeholder workshop with focus on elephant ecology.

### **Framework Conditions.**

Details on political, administrative, legal, biophysical and socio-economic framework conditions of the KAZA TFCA are provided by GEF funding proposals prepared under the auspices of the World Bank (2005) and UNEP 2005. There is consensus, however, that the current lack of baseline data for the KAZA TFCA is one of the most serious handicaps for integrated land-use planning and its future development.

## **Section 2. Component Assessment and Grant Recipient Analysis.**

### **Conservation International (CI).**

- Facilitation of Transfrontier Conservation Areas (TFCA) Development.

This activity involves advocacy, lobbying and facilitation of the KAZA TFCA within the five KAZA partner countries with an SDC contribution of US\$ 190,000 since 2002 covering 50% of the total component cost.

Although the objectives of this project component appear relevant and in compliance with regional and country-specific priority needs, the nature of this component does not permit a qualitative and quantitative assessment of its output and contribution to the project. Lobbying the TFCA on the macro-level may not be one of CI's key strengths.

- Support for Community-Based Natural Resource Management Projects.

This component originally was composed of two sub-components: (a) Support to IRDNC for the facilitation of social, economic and environmental sustainability in the "front line" conservancies of Eastern Caprivi, and (b) the East Chobe floodplain conservancy support project.

The latter started in 2003, is on-going, fully covered by SDC funds (US\$ 240,000), provides technical support to the floodplain Conservancies Kasika, Impalila and Nakabulelwa in form of participatory land use mapping, designing wildlife management plans, and developing natural resource based enterprises which generate income for the conservancies and their members. This

sub-component is well targeted, well conceptualized and implemented. It meets regional priority needs.

- Facilitation, Supervision and Support for Elephant Projects in the TFCA.

Conservation International is using elephants in the KAZA TFCA as a flagship species to promote coordinated land-use practices for conservation across international boundaries. Activities include telemetry research to determine local, regional and transboundary movements, annual aerial elephant surveys, and support to activities leading to reduction of elephant human conflicts. This project component started in 2002 and is on-going. The Swiss contribution to the overall elephant component has been approximately 7%.

The elephant work reveals the need for harmonized management and policy guidelines across the five partner states and the need to designate ecological corridors allowing movements of elephants across international borders. The focus on elephants by CI is well justified with elephants being a recognized key flagship and economic species in the KAZA TFCA and of vital economic importance to CBNRM and TBNRM activities. The research provides critical baseline data related to synchronized transboundary elephant management guidelines and potential ecological corridors. Constraints related to this component are insufficient staff, material, and administrative support, and CITES restrictions on trade of elephant products.

- Economic Impacts of TFCAs.

The rationale for researching the economic impacts of TFCAs on regional economies (macro- and micro-level). It is suggested that a socio-economic assessment poses a formidable task which currently exceeds the capacity and capability of the CI TFCA Unit. In light of budget constraints the TFCA Unit limited the investigations to the tourism sector. The of the tourism study indicates that direct employment in the tourism sector in the KAZA TFCA constitutes only 0.5% of the total work force (spin-offs not included). The research suggests that the capacity for tourism may have been reached for most prime destination in the KAZA TFCA with limited potential for future expansion.

- Other SDC supported activities implemented by CI.

The Gudigwa Traditional Village.

The rationale for the establishment of the Gudigwa Village was to provide tourists with the opportunity to experience the traditional San Bushman life and to provide the San people with a new business opportunity. The Gudigwa operation was meant to be owned and operated by the local Bukakhwe community. This project component encountered problems from the start. The lodge was destroyed by fire shortly after opening, then rebuilt. It continues to experience low occupancy rates due to difficulties in attracting qualified management personnel.

#### Basketry Development in the Okavango Panhandle.

SDC funds supported several Okavango villages with focus on commercialization of traditional basketry work by women of selected Okavango villages. This highly successful gender specific project may serve as example for seed money effectively spent: SDC funding in support of this activity amounted to only US\$ 10,000, enabling a substantial economic growth at grassroots level in an economically marginalized region.

#### Clearing of landmines in the Luiana Partial Reserve.

The Luiana landmine removal initiative is one of CI's key focal areas. The presence of landmines in the Luiana Partial Reserve of southern Angola is seen as a major obstruction and limitation towards achieving integrated flow of wildlife and people in the TFCA. CI's fund-raising efforts for this initiative have had limited success. SDC funded the level 1 survey.

### **Integrated Rural Development and Natural Resource Conservation (IRDNC)**

- **Facilitation of Sustainable Conservancies/Trusts.**

The purpose of this project component is to assist the existing and emerging conservancies to function effectively while reaching social, economic and environmental sustainability and to effectively manage and conserve their natural resources in partnership with government. The IRDNC program has build up an experienced and capable team of facilitators, instrumental in empowering communal "frontline" conservancies of the Eastern Caprivi guiding them through the process of becoming self-sufficient. The assessment shows that the activities under this component were well targeted, conceptualized and implemented, that synergies are being created through good cooperation with other NGOs working at grassroots level, and that a strong conservancy structure opens doors for new business opportunities, and joint ventures. Concerns are that revenues from wildlife (allocated hunting quota) as the most important source of income may not be enough to be shared with conservancy members. There is a need to mainstream conservation into IRDNC activities and a need for improved communication between conservancy structure and constituents. This component is of high relevance and priority, achieving excellent results.

- **Facilitation of Trans-Boundary Fora.**

This intervention promotes transboundary cooperation between conservancies and their neighbours. Significant common interest areas are: transboundary fire management, combating cattle theft, wildlife monitoring and dealing with problem animals, anti-poaching, fishing, and information exchange. SDC funds are used to support the creation of four emerging transboundary fora. There is consensus agreement that the establishment of transboundary fora and transfrontier cooperation at grassroots level is "key" to the success of the TFCAs, that TBNRM cooperation provides an excellent mutual learning experience, and creates important synergies and friendship between neighbouring communities. This initiative is highly relevant, of priority in the framework of TFCAs, well conceptualized and efficiently implemented. The exit strategy defined for this component is feasible and realistic.

- **Support for Conservancies to Reach Financial Sustainability.**

The SDC funded part of this component is to provide grants to existing and emerging Caprivi conservancies which have not reached yet financial independence. The initiative is well conceptualized and implemented. The grants have resulted in substantial "good will" by the



recipient conservancies, ultimately benefiting conservation and members of conservancies. It is recognized that the grants create an enabling environment (administrative structure) for economically attractive spin-off activities. IRDNC's exit strategy (13 conservancies to reach financial and administrative self-sufficiency by the end of the project in 2010) appears realistic.

### **Institutional and Financial Analysis of the SDC Grant Recipients.**

- Conservation International (CI).

CI's Regional Support Office in Cape Town, represented through its Transfrontier Conservation Area Unit (TFCA Unit) is composed of six permanent employees, four being located in the Cape Town Office and two operating independently inside the KAZA TFCA.

The total budget of the TFCA Unit allocated to the KAZA TFCA component for the year July 2005 to June 2006 was US\$ 631,963, of which 51% were contributed by SDC. The budget for the period July 06 to June 07 amounts to US\$ 564,167 of which 24.6% are contributed by SDC. Key funding sources other than SDC for the current year are: Gale (35%), Cinco Hermanos (35%), and Esso (4%).

The key bottleneck to the management capability and performance of the TFCA Unit is its financial insecurity. The small TFCA Unit has to do its own fund-raising with limited success. The long-term survival of CI's Cape Town Office and its future contribution to the KAZA TFCA depend entirely on its fund-raising success.

- Integrated Rural Development and Natural Resource Conservation.

IRDNC is a field-based non-governmental organization and registered trust in Namibia, operating in the Caprivi Strip over the past 14 years. The Caprivi Unit of IRDNC, financially supported by the WWF family for the past 15 years, has assembled a team of highly skilled and seasoned professionals organized in form of five working groups.

The annual budget of IRDNC is approximately US\$ 900,000 of which US\$ 800,000 are contributed by WWF-UK and US\$ 100,000 by SDC. WWF-UK funding is secured until 2008 and may well be extended until the Year 2010 to accommodate IRDNC's unique exit strategy.

### **Summary Assessment of Grant Recipients.**

- CI's Capability, Program, Performance and Future Role in the KAZA TFCA.

The TFCA Unit's capability to provide a significant contribution to the advancement of the KAZA TFCA is significantly impacted by its financial instability. Its in-house capacity to implement community related work is limited. Unless funding sources for this component can be located, CI's community program will be terminated in 2006. CI's Kaza TFCA "program" would benefit from better cohesion. Unless the TFCA Unit finds a suitable niche, preferably with focus on conservation issues in the Kaza TFCA, its future role will remain uncertain.

- IRDNC's Capability, Program, Performance and Future Role in the KAZA TFCA.

IRDNC's institutional, technical and financial capabilities are sound. Sufficient staff and funds are allocated to components that are complementary to each other, targeting critical issues at the grassroots level. The focus on community empowerment related to conservancy establishment in

the Western Caprivi, a geographic area of highest strategic importance to the KAZA TFCA, is of unquestionable relevance and priority. The IRDNC Caprivi Program meets SDC's three priority requirements, providing visible contributions to poverty reduction, biodiversity conservation and transboundary cooperation. IRDNC's selection of target groups and beneficiaries is highly appropriate and program components are delivered effectively and efficiently. The overall timeline of the program and IRDNC's exit strategy appear sound and realistic. IRDNC's program goals and objectives are met in a timely fashion and synergies have been generated through well focused cooperation with CI, WWF-Plus, Pepper Trust and the DED Community Forests Program.

### **Section 3: Cross-cutting Issues.**

- Linkages to Other Projects in the KAZA TFCA and Donor/NGO Cooperation.

At current more than 44 major institutions, agencies and organizations are active in the KAZA TFCA. The majority of related projects are linked to socio-economic and humanitarian issues, few directly to biodiversity conservation. There appears to be a plethora of uncoordinated transboundary initiatives leading to confusion and possible conflict. Against this background the urgent need to coordinate and fine-tune programs and activities in the KAZA TFCA and to synchronize and harmonize international and national efforts, is self-evident.

- Conservation Benefits from Conservancies.

The direct benefits of the Caprivi frontline conservancies to biodiversity conservation are over-estimated. Benefits appear more in favour of the communities (economic benefits from hunting allocations) than in support of biodiversity conservation.

- Tourism Potential of the KAZA TFCA.

Economic gains from tourism and tourism potential of Transfrontier Conservation Areas is generally exaggerated, causing false expectations which cannot be met. Supporting research for the KAZA TFCA suggests that the capacity for tourism may have been reached for most of the TFCA. The capacity of conservancies to generate revenues from tourism (except safari hunting) is limited and contributes little to poverty reduction.

## **PART B: THE WAY FORWARD**

### **Section 4. Challenges and Barriers, Selection of Priority Areas for Future Interventions**

- Challenges facing the KAZA TFCA.

The KAZA TFCA initiative involves an enormous geographic area and five distinctly different nations which have to find common grounds for a consensual management agreement on this highly diverse region. Recognized priority needs in the KAZA Region have to be addressed, irrespective of the KAZA area ever becoming a single entity. Key to the establishment of the KAZA TFCA is the definition, establishment and stabilization of ecological corridors connecting existing conservation areas in the KAZA Region. Ecological corridors need priority attention.

Barriers to the Four Recognized Pillars of TFCAs.

Key barriers to the four pillars *Ecological Integrity, Governance, Social Participation and Empowerment, and Sustainability* are related to the un-manageable size of the current TFCA, insufficiencies related to country-specific protected area system, inadequate ecological connectivity, lack of integrated land use planning, low potential for benefit sharing from biodiversity, lack of biophysical and socio-economic baseline data, overlapping and contradicting policies and legislation in all areas and partner countries, uncontrolled colonization and land-use, weak institutional structures and low community involvement in land- and resource use planning and allocation.

- Emerging Priority Programs.

(a) Stratification of the TFCA into development/activity nodes (manageable units) with focus on key areas that will provide ecological connectivity between existing PAs (=identified ecological corridors); (b) elaboration of a spatial land use plan for one key geographic area in a scale of 1: 1 000 000 to serve as model for future expansion into other areas of the TFCA; (c) consolidation of existing and compilation of needed ecological base line data; (d) establishing and strengthening community structures in selected geographic development nodes with focus on communities inside identified ecological corridors; (e) establishing and strengthening transboundary cooperation in priority development nodes (corridor areas); (f) designing spatial land use plans on local/community level for identified priority corridor area in an operational scale of 1:10,000; and (g) assisting communities in improving livelihood strategies; and (h) providing funds and technical support to communities pursuing conservancy status and community forest rights in priority development node(s).

- Past and Current SDC Supported Interventions related to Emerging Priority Programs and Potential Future SDC Support.

Most of the of the SDC supported interventions implemented by CI and IRDNC coincide with identified priority needs of the KAZA TFCA, qualifying for continuing support. Although the Eastern Caprivi as an important ecological area is currently the focus of SDC support, it is recommended to concentrate future efforts on the Kwando ecological corridor only providing a key ecological link as part of the Okavango watershed in the heart of the KAZA TFCA. The risks associated with the proposed future interventions are low considering the highly successful history of community empowerment, conservancy establishment/strengthening, the blossoming cooperation between grassroots oriented NGOs, and TBNRM activities in the Caprivi as resulting from the IRDNC and CI projects.

## **FINAL REPORT**

### **PART A: EVALUATION**

#### **Section 1. INTRODUCTION**

##### **1.1. Background**

The proposed Kavango-Zambezi Transfrontier Conservation Area (KAZA TFCA) concept evolved from the earlier Okavango Upper Zambezi International Tourism Initiative (OUZIT) that was launched by Angola, Botswana, Namibia, Zambia and Zimbabwe with support of the Southern African Development Community (SADC) and the Development Bank for of Southern Africa (DBSA) in 1993. The development process of OUZIT and its current status has been described in detail by Kohler et al. (2004) and Hanks (2006-c).

The former tourism based OUZIT initiative that appears to have failed because of its poorly defined scope and lack of ownership<sup>1</sup> has been redefined by the Ministers responsible for Tourism, Wildlife and Protected Areas of the five partner countries and converted into the current KAZA TFCA Program in 2003. The newly defined focus of the KAZA TFCA is conservation as the primary form of land use with tourism as a valuable by-product<sup>2</sup> The overall goal of the KAZA TFCA is an integrated land-use that will strengthen the regional economy and rural livelihoods, provide for sustainable transboundary biodiversity conservation, and promote good neighbourly relationships.

It is widely recognized that the TFCA's ambitious goals can only be achieved through a participatory approach to land- and resource use, securing the livelihood of the rural poor and the generation of tangible benefits targeted at the household level. It is self-evident that local empowerment and a harmonized transfrontier approach to sustainable land- and resource use management will play a decisive role in this process. Of equal importance to the overall success will be the synchronization of land- and resource use policies, strategies and decision making processes by the five partner countries.

##### **1.2. The Mid-Term Review Report**

The following report is the result of a mid-term review of the Swiss funded KAZA TFCA project, initially conceptualized and implemented in support of Conservation International's (CI) efforts in promoting TFCAs in the SADC region (2002-2004). In a second phase (2005 to 2008) SDC support is focused on activities that will assist in creating an enabling environment specifically for the establishment of the KAZA TFCA. Funding for the first phase was limited to CI. On completion of the first phase in 2004 CI continued to receive Swiss funding in support of KAZA TFCA activities on a year-to-year contract basis. The second partner of SDC within this project is the Namibian NGO "Integrated Rural Development and Nature Conservation" (IRDNC) which entered a four-year contract with SDC in 2005 with work focus on the establishment and strengthening of "front line" conservancies in the Eastern Caprivi Region, a recognized

key ecological link within the KAZA TFCA, connecting the Okavango Delta in Botswana with the upper Okavango watershed in Angola.

Further to the qualitative assessment of past and current interventions implemented by CI and IRDNC in support of the KAZA TFCA the terms of reference for this assignment specifically ask for a critical assessment of priority needs for the target area and the design of a priority action program suitable for future SDC support: “the Way Forward” which is presented in the second part of this report.

SDC retained the consulting services of Goetz Schuerholz (team leader) and Richard Magweregwe for the implementation of this mid-term review.

### **1.3. Approach and Constraints to the Assessment**

#### **1.3.1 Methods**

The review commenced with a comprehensive literature and archive review of SDC, CI and IRDNC files and documents, followed by a three weeks field trip (20<sup>th</sup> of August to the 11<sup>th</sup> of September 2006), which included visits of the CI, discussions with John Hanks in Cape Town, government and private sector stakeholders in Gaborone and numerous stakeholders in the Eastern Caprivi target area.

John Hanks provided a sound insight into the history of the SDC-CI-IRDNC working relationship and quality information on the outcome of the recently finished KAZA TFC Pre-Feasibility Study implemented under his leadership on behalf of the five KAZA TFCA member States and SADC. Discussions with the Peace Parks Foundation (PPF) focused on PPF’s current and future role in the KAZA TFCA development process.

The field work involved visits of six existing and emerging Caprivi frontline conservancies currently receiving IRDNC and/or CI support. During the field visit interviews were carried out with project staff from CI and IRDNC, members of partner organizations (i.e., Elephant Pepper Trust, WWF Plus, African Wildlife Foundation), Conservancy Committees and Conservancy Members and representatives from Transboundary Fora in Zambia and Botswana. A complete list of persons met and interviewed during this assignment is provided in Annex 1.

Structured templates specifically prepared for this mid-term review were used for the qualitative assessment of each of the four key interventions implemented by CI and the three intervention areas of IRDNC. The templates were completed jointly with the CI and IRDNC working groups. The templates permit an impartial and easy identification and assessment of each intervention’s strengths and weaknesses.

The preliminary findings of the mid-term review and recommendations for potential future SDC involvement were presented at the end of the mission to the participants of an SDC implemented multi-stakeholder “wrap-up” workshop in Kasane. The suggestions and observations resulting from the workshop form part of this report.

The mid-term review is strictly confined to SDC supported interventions implemented by CI and IRDNC in support of the KAZA TFCA.

The report is composed of two Parts. Part A describes the project purpose and objectives, provides a brief overview of pertinent framework conditions, followed by an in-depth assessment of each project component, an institutional analysis of the two SDC partner organizations CI and IRDNC, and a summary evaluation of the institutional and financial capability of CI and IRDNC. Part B deals with to the recommended “Way Forward” and potential future SDC support to the KAZA TFCA development process.

### **1.3.2. Barriers and Constraints Influencing the Mid-term Review**

Constraints that complicated this evaluation were mostly related to the complexity of the KAZA TFCA. Its large size ( an area of 300 000 km<sup>2</sup> straddling the boundaries of five nations), its highly diverse ecosystems, still undefined perimeter boundaries, controversial and overlapping national policies and legislation related to land- and resource use in the five partner countries, and the large number of donors and NGOs involved, are only some of the constraints complicating an objective assessment of the KAZA TFCA.

Other problems complicating the review process are directly linked to the complexity of the CI and IRDNC projects. Only three of IRDNC’s seven key objectives are financially supported by SDC, although all seven objectives are transversal and all work related to the seven objectives started years prior to the SDC involvement. This makes it extremely difficult to gauge the actual impacts of Swiss funding. The seemingly identical activities in Caprivi conservancies (i.e., land use mapping, elephant-human conflict resolutions, TBNRM cooperation etc.) implemented by CI and IRDNC adds to the confusion.

The general lack of key baseline data related to the KAZA TFCA is serious handicap to an objective review and any future post-project evaluation.

### **1.4. Project Rationale and History**

CI’s activities related to the KAZA TFCA started in the Year 2000 with the establishment of its regional TFCA Unit in Cape Town (see Chapter 2.3.1). The TFCA Unit’s initial activities were directed to: (a) community development, actively promoting private/public sector partnerships; (b) research related to socio-economic impacts of TFCAs; and (c) identification of key ecological corridors linking conservation areas within TFCAs (CI 2002-2006-c and Hanks 2006-c).

In the Year 2002 the TFCA Unit received an SDC grant of CHF 1,530,000 for a 4-year period under conditions specified as follows:

*“The first year of the project will concentrate on activities related to two Transfrontier Conservation Areas, namely the AIS-AIS / Richtersveld Transfrontier Conservation Park (South Africa/Namibia- with an extension to Angola) and the Okavango / Upper Zambezi / TFCA (Angola / Botswana / Namibia / Zambia / Zimbabwe). In both areas new*

*technologies will be developed and tested which will have relevance to the establishment of TFCAs in other parts of Africa, and to the continuation of the project in Years 2 and 3” (from Hanks, 2006-c)*

SDC funds provided to the TFCA Unit in Years 2 and 3 were subject to additional project proposals. In addition to the 1.5 Million original CHF SDC grant, a budget expansion was negotiated to cover the following activities:

- Level 1 survey of landmines in the Luiana Partial Reserve, Angola.
- Rebuilding of Gudigwa village.
- Funding for IRDNC to assist with the development of Caprivi Conservancies.

IRDNC is a Namibian NGO and registered trust that pioneered community-based natural resource management in Namibia, involving more than 30 registered communal area conservancies and more than 40 emerging conservancies of which 13 are located in the Eastern Caprivi Region. (IRDNC 2005-a and -b). WWF-UK has been IRDNC’s major funding partner since the early 90s.

The proven track record of IRDNC and its ground-breaking community work in the Eastern Caprivi provided a solid foundation for the early cooperation with CI, prompting the TFCA Unit to sub-contract IRDNC for community related work in the Eastern Caprivi Region in 2003 (SDC funds).

In the Year 2005 IRDNC entered into a CHF 560,000 four-year contract (2005-2008) with SDC in support of community based activities in eastern Caprivi Conservancies and the promotion of Transboundary Cooperation and Natural Resource Management (TBNRM) related to the targeted Caprivi conservancies.

The key objectives of the SDC supported KAZA-TFCA initiative<sup>3</sup> read as follows:

- a) *Consolidation at the local level of the community approach developed by IRDNC with the support of WWF UK and establishment of bridges with the adjacent communities in Zambia, Botswana, Angola and Zimbabwe.*
- b) *Design of precise boundaries of the TFCA and shaping of corridors linking these protected areas together with the assistance of CI.*
- c) *Formalization on the technical and political levels of the cooperation bringing together the concerned authorities of Angola, Botswana, Namibia, Zambia and Zimbabwe with the assistance of CI and under the auspices of SADC*
- d) *Promotion of multiregional cooperation on transversal themes such as HIV and AIDS, gender, economic impact and monitoring with ad hoc partners.*

The specific project components implemented by CI under the SDC contract are:

- Facilitation of KAZA TFCA development.

- Support to CBNRM projects:
  - Gudigwa traditional village.
  - Support to IRDNC.
  - Chobe Floodplain transboundary linkages (=Caprivi Project).
  - Basketry development in the Okavango panhandle.
- Facilitation, supervision and support to elephant projects throughout the KAZA TFCA.
- Clearing of landmines in the Luiana Partial Reserve.
- Assessment of economic impacts of KAZA TFCA.

The specific project components implemented by IRDNC under the sub-contract with CI and the contract with SDC fall under three of IRDNC's seven strategic objectives related to the east Caprivi conservancies:

- To facilitate sustainable, robust and well managed target conservancies/trusts with all appropriate components of their management framework operations.
- To advocate community-based natural resource management and forge effective linkages and partnerships nationally and internationally, with special focus on regional trans-boundary forums.
- To support conservancies during their transition to financial sustainability by providing, administrating and monitoring of grants.

The three SDC supported strategic objectives by IRDNC are complementary to CI's transboundary objectives in Caprivi and relate to IRDNC's institutional support to conservancies, transboundary activities, and conservancy grant-making. On average, SDC contributes 45% to the operating costs of the first 2 objectives and a full 100% to the grants (CHF 560,000 in total).

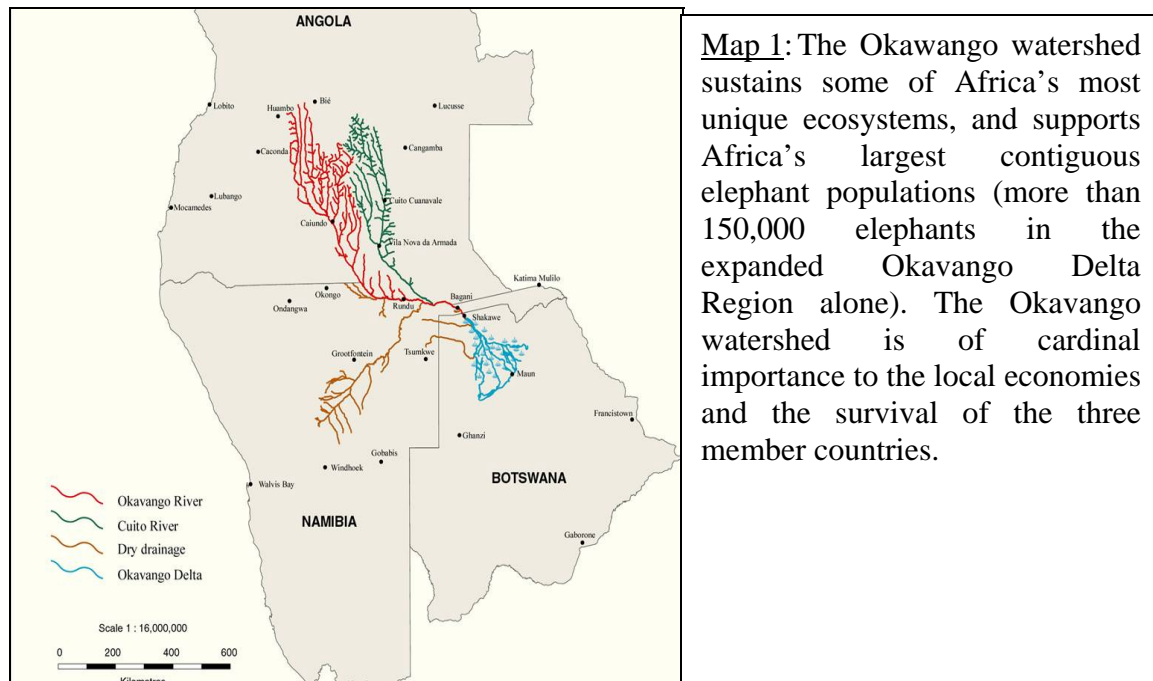
### **1.5. Geographic Target Area**

The proposed TFCA encompasses the greater part of the Okavango River Basin, an integral part of an extended ecoregion that is connected to the Upper Zambezi River Basin. Map 1 illustrates the huge expanse and the enormous importance of the Okavango watershed system shared by Angola, Namibia and Botswana.

The KAZA TFCA covers approximately 300 000 km<sup>2</sup> of very complex ecosystems ranging from some of Southern Africa's most significant wetlands to extensive and contiguous miombo and mopane woodlands described in detail by Hanks (2006) and in a GEF funding proposal prepared by UNEP (2005).

The boundaries of the KAZA TFCA still remain undefined. No agreement on the extent of the TFCA has been reached yet by the five partner countries. Tentative ecological corridors connecting key conservation areas in the Region were recently defined at a CI sponsored multi-national and multi-stakeholder workshop with focus on elephant ecology, herd distribution and movement patterns in the KAZA TFCA Region.





## 1.6. Framework Conditions

Details on political, administrative, legal, biophysical and socio-economic framework conditions of the KAZA TFCA are provided by GEF funding proposals prepared under the auspices of the World Bank (2005) and UNEP 2005. Specific information on transboundary issues (i.e., veterinary concerns, wildlife fences, tourism assessment etc.) can be found in the inception report for the Pre-Feasibility study recently completed on behalf of the five KAZA partner countries, spearheaded by Hanks<sup>4</sup>. Information on the history of the KAZA TFCA, potential institutional arrangements for its future administration, and a review of past and current donor activities has been provided by Kohler (2004). There appears consensus that the current lack of baseline data for the KAZA TFCA is one of the most serious handicaps for integrated land-use planning and its future development.

## Section 2. Assessment of Project Components and Impacts

### 2.1. Conservation International (CI)

#### 2.1.1. Facilitation of Transfrontier Conservation Areas (TFCA) Development

This activity is a continuation of efforts started in 2002 in support of advocacy, lobbying and facilitation within the five KAZA member states. CI's TFCA Unit has organized meetings, lectures and seminars in all five countries to promote awareness of the KAZA TFCA. The SDC contribution since 2002 has been US\$ 190,000, constituting approximately 50% of the total component cost.

Conservation International, as one of the largest and most powerful international lobby for biodiversity conservation (in Southern Africa CI's dual focus is on biodiversity hotspots and TFCAs), could play a pivotal role promoting this aspect of the KAZA TFCA in the future. At current, the CI is the only conservation NGO promoting conservation issues as key underpinning of the TFCA across the borders of the five KAZA partner countries. CI is one of the very few institutions currently working in Angola promoting the biological importance of the KAZA TFCA.

In this light the objectives of this project component appear relevant and in compliance with regional and country-specific priority needs. CI's management capability for this component, however, has been hampered by insufficient staff and chronic budget shortages which do not permit long-term planning.

The evaluation of this component revealed that:

- CI's stated objectives for this project component were not well identified.
- Related indicators were too vague for a qualitative assessment of the activities' impacts and contributions to the KAZA TFCA development process.
- Lobbying conservation needs of the TFCA has been insufficiently addressed at the micro-level.
- CI's efforts are not well synchronized with similar activities by other actors in the region.
- There was no support for this activity by SADC and poor support by some of the partner countries.

CI identified the lack of institutional capacity in Angola and wavering commitment to the KAZA TFCA by member states as some of the most serious constraints to the KAZA TFCA development. For further detail on the component assessment it is referred to Annex 2-a.

In summary, the nature of this component does not permit a qualitative and quantitative assessment of its outputs and contributions to the project. It is suggested that lobbying the TFCA on the macro-level is not a key strength of the TFCA Unit which would be better served by concentrating its future efforts on conservation issues.

### **2.1.2. Support for Community-Based Natural Resource Management Projects**

This component originally was composed of two sub-components:

1. Support to IRDNC for the facilitation of social, economic and environmental sustainability in the "front line" conservancies of Eastern Caprivi, and
2. the East Chobe floodplain conservancy support project.

The first sub-component built on an already established and productive TBNRM program in Caprivi, supported by USAID via WWF-US. USAID funding ended in June 2004 when SDC support kicked in (IRDNC under sub-contract from TFCA Unit using SDC funds) which expired in December 2004.

The four-year contract awarded by SDC to IRDNC in 2005 permits IRDNC to continue work related to the sub-component 1, independent of Conservation International.

The assessment of the 'Component 1' interventions will therefore be made in context with IRDNC's other two components covered by the same contractual agreement with SDC (Chapters 2.2.1 and 2.2.3).

The East Chobe Floodplain Conservancy Support Project was initiated in 2003 and is ongoing. The overall goal of this project component is to improve natural resources and wildlife management on the Chobe floodplain, and to ensure ultimate self-sufficiency of the corresponding conservancies. This is expected to be achieved through benefits derived from enterprise development, private sector partnerships with Conservancies and income generation through allocated wildlife quotas. This component provides technical support to the floodplain Conservancies Kasika, Impalila and Nakabulelwa in form of participatory land use mapping, designing wildlife management plans, and developing natural resource-based enterprises which generate income for the conservancies and their members.

Actual land use mapping in the target conservancies commenced in 2004 as a joint effort between IRDNC and CI, following a participatory "scoping" study implemented by Carol Murphy. In addition to actual land- and resource use mapping CI's efforts were extended in 2004 to the establishment and training of anti-poaching units and tour guiding in the Impalila and Kasika Conservancies. The same activities were carried over to 2005 with focus on the same two Conservancies. Building on the positive experience with tour guiding in Kasika and Impalila Conservancies, the activities were expanded in 2006 to the Kwando Conservancy strategically located in the Kwando ecological corridor.

In 2006 the TFCA Unit entered into a cooperation agreement with WWF-Plus to apply conservation agriculture in the Kasika and Impalila Conservancies. The East Chobe Floodplain Conservancy Support Project has been fully covered by SDC funds with a total allocation of US\$ 240,000 for the three-years period 2003 to 2006 inclusive.

The overall assessment of this sub-component substantiates that the implemented activities meet regional priority needs, are well targeted, conceptualized and implemented. Work performed under this component has created important synergies through cooperation with NGOs such as WWF-PLUS, Pepper Trust (focus on reduction of elephant/human conflicts), and IRDNC (focus on strengthening institutional structures of conservancies, lobbying hunting quotas and embarking on TBNRM activities through the establishment of transboundary fora).

Although this sub-component is designed to be complementary to CI's overall program in support of the KAZA TFCA, it appears to be a "stand-alone" activity.

The analysis of this sub-component (Annex 2-b) indicates that lacking office space and administrative support (no telephone, fax, copier etc.) negatively impacted on the management capability and performance of this sub-component. The short time-line of

this component (no funds available beyond 2006) proves to be a handicap to effectively capitalize on its success. Poor GIS support for the participatory mapping has been identified as an obstacle.

The exit strategy for the Kasika and Impalila Conservancies (to be self-sufficient by the end of 2006) appears realistic. Kasika Conservancy has reached financial self-sufficiency prior to this evaluation and the Impalila Conservancy is expected to be on target (end of 2006).

Following recommendations are made for future support to this component:

- Introduce spatial land use planning into current land use planning activities that includes designated wildlife conservation areas inside conservancies.
- Mainstream biodiversity conservation concepts into conservation agriculture and other resource orientated activities.
- Improve the current grazing regime in conservancies in favour of 'wildlife' (provide wildlife habitat free of grazing by livestock).

### **2.1.3. Facilitation, Supervision and Support for Elephant Projects in the TFCA**

Conservation International is using elephants in the KAZA TFCA as a flagship species to promote coordinated land-use practices for conservation across international boundaries. The elephant population of northern Botswana is contiguous with that of north-western Zimbabwe and the Caprivi Strip of northern Namibia (Map 2). These populations are expected to be linked with those of south-western Zambia and southern Angola. Preliminary research has shown that there is elephant movement between the five KAZA TFCA partner states. Recent estimates show that elephant populations in northern Botswana comprise the largest contiguous population on the African continent, in excess of 120,000 animals with an annual growth rate of 5% (CI 2004).

Activities implemented within this component include satellite telemetry studies of elephants to determine local, regional and transboundary movements, habitat use, seasonal and annual aerial elephant census of northern Botswana, Caprivi and south east Angola, implementation of an elephant workshop to brainstorm KAZA TFCA-wide conservation and management opportunities, and work related to the reduction of elephant/human conflicts.

This project component started in 2002 and is on-going. The 2003 aerial surveys were financed by the US Fish & Wildlife Service, covering the Caprivi Strip, Luiana Partial Reserve in Angola and the adjacent area in Zambia. The same survey was repeated in 2004 with joint funding from WWF and the US Fish & Wildlife Service. The cost for the 2005 survey covering the same geographic area as in of 2004, was US\$ 194,000 with an SDC contribution of US\$ 44,600. SDC's contribution to the elephant workshop was US\$ 15,800. The SDC funded scoping study on the prevention of human/elephant conflicts ("Chilli Pepper Review) implemented under the umbrella of this component, amounted to US\$ 15,800. The total budget for the elephant support project since inception in 2002 is

approximately US\$ 1 million. The Swiss contribution to the overall elephant component budget has been approximately 7%.

The assessment proves the importance of transboundary cooperation in support of elephant research and management in the light of elephant populations straddling the boundaries shared by the five partner countries and elephant movements across the entire KAZA TFCA, as suggested by the research results.

Elephants are also recognized as critical source of income from consumptive and non-consumptive use with direct financial benefits to conservancies in Namibia and wildlife trust communities in Botswana. The elephant work substantiates the need for harmonized management and policy guidelines of the five partner countries and the need to officially designate transfrontier ecological corridors that permit free movements of wildlife between established conservation areas. It also indicates the need for a concerted effort regarding the expanding elephant/human conflicts.

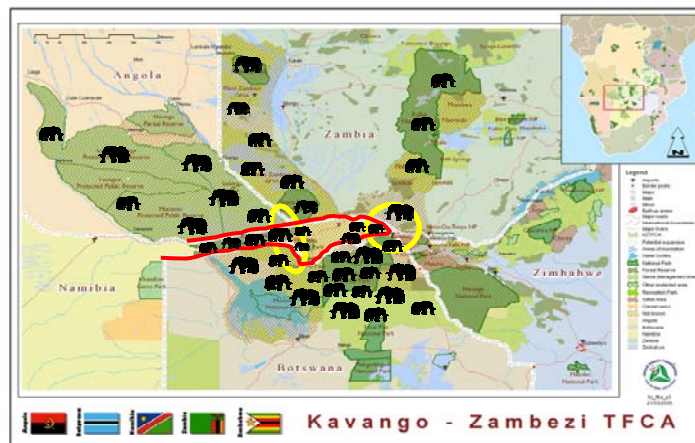
The assessment of the elephant work component showed that:

- The focus on elephants is well justified with elephants being recognized a key flagship species to the KAZA TFCA and of vital economic importance to CBNRM and TBNRM activities.
- This component provides critical baseline data related to synchronized transboundary elephant management guidelines and potential ecological corridors.
- The multi-national and inter-disciplinary elephant workshop resulted in important transboundary management recommendations.
- Positive results have been achieved in trials with Chilli Pepper used as elephant deterrent protecting agricultural fields of subsistence farmers.
- That the elephant provides an attractive opportunity for fund-raising.

Following shortcomings and constraints related to this component were identified:

- Staff, material, and administrative support allocated to this component proved to be insufficient.
- Coordinated long-term work plans are lacking due to chronic financial constraints.
- Beneficiaries and target group were not well defined in the project design stage.
- The lack of formalized cooperation agreements with other researchers working on elephants in the KAZA TFCA has caused frictions and work overlap.
- Capacity development (how to deal with elephants and reduce conflicts) at grassroots level has not been sufficiently addressed.
- Elephant use policies and legislation needs to be harmonized by the five partner states.
- CITES restrictions prohibiting international trade in ivory pose a heavy burden on countries with high elephant populations.
- There appears to be insufficient support to elephant work by Angola and Zambia.

## Elephant & Conservancies



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### Map 2: Elephant Distribution in the KAZA TFCA and Key Potential Corridors (yellow circles)

It is recommended that more emphasis in future elephant work be placed on identified ecological corridors and elephant/human conflict prevention with focus on communities located within the to-be targeted corridors. Further detail on the assessment of this component is provided by Annex 2-c.

#### 2.1.4. Economic Impacts of TFCAs

The rationale for the proposed research is to determine the economic impacts of TFCAs on regional economies on the macro- and micro-level (CI 2005-a and b). This research addresses a consistently stated need for financial data on economic impacts of TFCAs, especially as related to survival strategies.

Work in phase 1 focussed on the Richterveld –Ai-Ais TFCA providing some meaningful results for this specific area. The work was extended to the KAZA TFCA during the later part of phase 1 and the follow-up phases 2005 and 2006.

Considering the complexity of the five partner countries involved, the relatively early stage of the KAZA TFCA development, and the diversity of livelihood and economic activities within this region, a broadly based socio-economic assessment poses a formidable task which currently exceeds the capacity and capability of the TFCA Unit. In light of the limited funding available for this task (total available budget of US\$ 69,200), the TFCA Unit concentrated its work on the tourism sector. In the Year 2005 an economic study on tourism related aspects in the KAZA TFCA was implemented by Helen Suich, assisted by a graduate student from the United States (Suich 2005; Suich et al. 2005). The tourism study, finalized in 2006 at a total cost of US\$ 44,100, was fully covered by SDC funds.

The assessment revealed that the tourism study was sound in principle but did not cover the entire TFCA and not all operators. Furthermore the study's limited focus on tour operators and lodges does not truly reflect economic impacts of tourism at the grassroots level. Consequently, no conclusions may be drawn with respect to contributions by the tourism industry to poverty reduction, a key requirement for SDC financial support to the KAZA TFCA.

The tourism research provides meaningful statistics related to employment, shedding light on the real economic impacts at grassroots level: an estimated total of 5,200 local workers (689 on a part-time basis) are currently employed in the tourism sector in the KAZA TFCA. Compared to the estimated 1.5 million KAZA population, direct employment by the tourism industry constitutes only 0.5% of the total work force (spin-offs not included).

Noteworthy are suggestions by the study authors regarding the tourism potential in the KAZA TFCA. The authors suggest that the saturation point for tourism appears to have been reached for most prime destination in the KAZA TFCA, indicating the limited potential for future expansion. Future opportunities will mostly be confined to 'niche' products.

In summary, the tourism study constitutes only a small portion of the socio-economic landscape which has not been fully addressed yet. Socio-economic research, commissioned by the TFCA Unit in 2006 with funds provided by ESSO Petroleum (US\$ 25,100) is expected to contribute to a better understanding of livelihood strategies related to conservancies in the eastern Caprivi and border communities of the neighbouring countries. The work will be implemented by Jane Turpie from the University of Cape Town, to be completed by December 2006 (CI 2006-b). Further details on the assessment of the tourism study are provided in Annex 2-d.

### **2.1.5. Other SDC supported activities implemented by CI**

#### **a) The Gudigwa Traditional Village**

The Gudigwa Traditional Village Camp was first developed by CI's Botswana office which was shut down following the elephant workshop in 2006 due to budget constraints. The rationale for the establishment of the Gudigwa Village was twofold: to provide tourists with the opportunity to experience the traditional San Bushman life and to provide the San people with a new business opportunity. The Gudigwa operation was meant to be owned and operated by the local Bukakhwe community. SDC funds were used initially for the construction of the airstrip at the Village Camp and for staff training. The village was destroyed by fire shortly after opening in 2003. SDC provided an additional grant of R 395,000 to rebuild the place which became operational in 2004.

The lessons learned have been described by Hanks (2006-b). The rationale for the establishment was well intended. Experience, however, has shown that private sector

involvement (infrastructure to-be owned and operated by the private sector) appears to be an essential prerequisite to success. The Gudigwa venture shows that it may be problematic finding quality management personnel for a community owned operation. Although the Gudigwa village is currently operational, its occupancy rate is low and its future not secured. CI's exit strategy for this business venture was not well designed.

#### **b) Basketry Development in the Okavango Panhandle**

SDC seed-money was allocated in support of a basketry project to the villages of Shakawe, Nhxaoga and Nxamasere, located in the Okavango River panhandle. The development of tourism camps in the Okavango Delta opened up new commercial opportunities to market the palm leave baskets, traditionally produced by the women in this area. This transition from traditional crafts used at home to a commercialized operation was an economic success with a visible contribution to poverty reduction. This highly successful, gender specific economic business venture has caused a ripple effect, resulting in a growing number of villages commercializing basketry operations. The basketry project serves as an excellent example for seed money effectively being spent (US\$ 10,000 SDC funds only).

#### **c) Clearing of landmines in the Luiana Partial Reserve**

The Luiana landmine removal initiative appears to be one of CI's key focal areas. The presence of landmines in the Luiana Partial Reserve of southern Angola is seen as a major obstruction and limitation towards achieving integrated flow of wildlife and people in the TFCA. CI argues that the presence of landmines in such strategic locations very seriously impacts on achieving the overall KAZA TFCA objectives, especially in integrating Angola as an equal partner in the TFCA development (CI 2005-c).

The results of the level 1 survey, fully financed by SDC (CHF 63,000), conducted in 2003 (the first of four steps involving the clearing of minefields), indicate the existence of much more extensive landmine presence than originally anticipated. This prompted the TFCA Unit to establish close links with UNDP in Luanda and other institutions in search of funding for follow-up work. The first phase of the follow-up would clear an area which will link the Caprivi with the Luiana Partial Reserve in eastern Angola to the Sioma Ngwezi National Park in Zambia. Most of the work would concentrate on Angola. The second phase would clear a 10 km wide strip along the Kwando River to the north, an area with good tourism potential. The total cost for the demining process is estimated at US\$ 5 million.

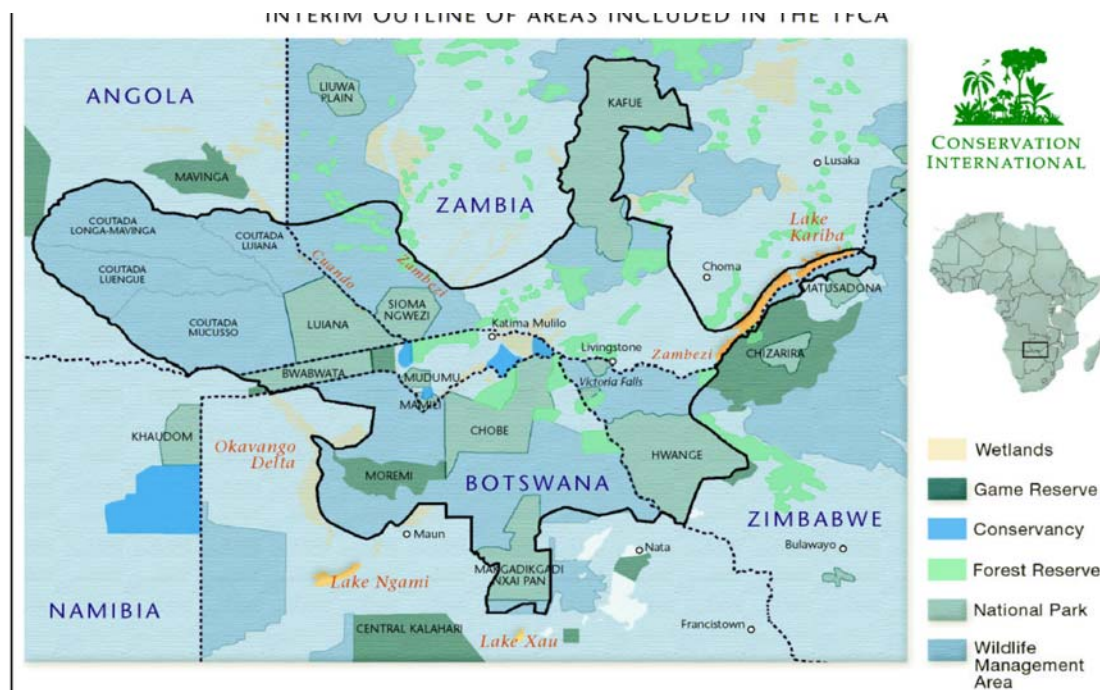
Widely acknowledged positive aspects of the mined areas are that they currently act as a deterrent to squatters in search of land, preventing uncontrolled settlements in an area that has not received yet proper protection status for biodiversity conservation. It may therefore be prudent to maintain the current *status quo* until the protection of the area is properly secured.



## 2.2. Integrated Rural Development and Natural Resource Conservation (IRDNC)

### 2.2.1. Facilitation of Sustainable Conservancies/Trusts

The IRDNC program has build up an experienced and capable team of facilitators who have been instrumental in empowering communal “frontline” conservancies guiding them through the process of becoming self-sufficient. One of IRDNC’s priority geographic target area is the Eastern Caprivi Strip, strategically located between prime conservation areas, bordering four neighbouring countries. The Caprivi Strip is seen as a critical link between prime conservation areas in neighbouring countries and as “key” to wildlife transboundary activities along its frontiers. Most of the existing and emerging frontline conservancies are bordering protected areas of neighbouring Botswana and Zambia, thus playing an important role for transboundary wildlife management and conservation.



**Map 3: Tentative Boundaries of the KAZA TFCA and Designated Protected Areas**

The purpose of this project component is to assist the existing and emerging conservancies to function effectively while reaching social, economic and environmental sustainability and to effectively manage and conserve their natural resources in partnership with government.

The activities associated with this component started years prior to SDC entering into the current cooperation agreement with IRDNC in 2005. SDC funds allocated to this strategic objective cover wages of three IRDNC staff members and contribute to the overall operational costs of IRDNC. A qualitative assessment of the impacts of the SDC

funds is not possible since the funds are “pooled” with core funding received by IRDNC from WWF-UK (US\$ 500,000/a in support of all seven major strategic objectives of IRDNC compared to USD\$ 100,000/a SDC funds in support of only **three** of the seven IRDNC objectives).

Several of the Conservancies receiving direct and indirect benefits from IRDNC were visited. The meetings with Conservancy Committee members substantiated that IRDNC and CI activities are:

- Well targeted, conceptualized and implemented.
- Synergies are being created through good cooperation with other NGOs working at grassroots level.
- Emphasis on community empowerment is “key” to overall conservancy success.
- A well functioning institutional framework is a prerequisite and catalyst for revenue generation from wildlife and forests (in conservancies that include community forests and conservancies with allocated hunting quotas).
- A strong conservancy structure opens doors for new business opportunities, and joint ventures.

Membership in the conservancies visited is steadily growing, a positive indicator for the growing popularity of conservancies amongst their constituents.

Concerns surfacing from the discussions with conservancy members are:

- Revenues from wildlife (allocated hunting quota) as the most important source of income may cover the operational costs of conservancies but leave little to share with conservancy members.
- Direct benefits at the household level from conservancies are practically non-existent.
- The land- and resource use maps do not sufficiently address the need for setting aside wildlife areas inside the conservancies.
- IRDNC is supporting existing and emerging conservancies throughout the Caprivi with insufficient focus on identified ecological corridors.
- Need for financial management training.
- Need for equity sharing on the household level.
- Need for improved communication between conservancy administrators and constituents.

The summary assessment of this component in terms of relevance, priority, project design, clarity of goals and objectives, and achievements, is mostly positive. The exit strategy for this component (conservancies are robust and self-sufficient) is well defined and on target. Further detail on the assessment of this component is provided in Annex 2-e.

### **2.2.2. Facilitation of Trans-Boundary Fora**

This intervention promotes transboundary cooperation between conservancies in the Eastern Caprivi which share a common boundary with neighbours from Botswana, Zambia and Angola. The initiative, fully financed by SDC with a budget of US\$ 90,000 for the four-year project timeline, started in 2005. The final target is the establishment of formal and self-perpetuating “transboundary fora” which design and implement common interest activities and policies.

Significant common interest areas are: fire management, combating cattle theft, wildlife monitoring, dealing with problem animals, anti-poaching, fishing shared waters, and information exchange. To achieve this, IRDNC facilitates transboundary exchange visits between neighbouring communities, implements workshops and seminars, provides training and assists in the preparation of Memoranda of Cooperation. In the Year 2005, USD 10,000 SDC funds were spent on transboundary exchange visits and workshops related to the four emerging TB Fora of Imushi-Kwando (Namibia and Zambia), Salambale-Chobe Community Trust (Namibia and Botswana), Impalila/Kasika-Sekuti (Namibia and Zambia) and Tocadi-Kyaramacan (Namibia and Botswana). For the current calendar year three meetings are planned for each forum at a cost of US\$ 3000 per event, fully financed by the SDC grant. SDC funds also pay for the two Namibian facilitators in charge of this program.

The positive feedback on the transboundary forum initiative from conservancies visited and the two fora Chairpersons interviewed for this assessment (Chair from Zambia: Imushu-Kwando Forum; chair from Botswana: Salambala- Chobe Island Trust Forum) may be indicative of the overall success of this intervention.

Conservancy and fora members interviewed unanimously agree that:

- The establishment of transboundary fora and transfrontier cooperation at grassroots level is “key” to the success of the TFCAs.
- That TBNRM cooperation provides an excellent mutual learning experience.
- That TBNRM cooperation creates important synergies and friendship between neighbouring communities.
- That TBNRM activities have resulted in visible benefits to communities on both sides of the border.

In general, this component appears highly relevant, of priority in the framework of TFCAs, well conceptualized and efficiently implemented. It is unique and could serve as a model for other TFCAs. The exit strategy defined for this component is feasible and realistic.

The assessment reveals a perceived need to better inform communities on the nature and purpose of TBNRM Fora (see Annex 2-f), and a need for improved monitoring. The IRDNC team responsible for the implementation of this component identified the political and social instability in countries neighbouring Namibia as a constraint to the overall success of transboundary work. The discrepancies in the enabling framework conditions between the neighbouring states are perceived as the greatest threat. This

applies in particular to the reluctance by Zambia to accommodate local empowerment and to give resource use rights to communities (see Annex –f).

### **2.2.3. Support for Conservancies to Reach Financial Sustainability**

The SDC funded part of this component is to provide grants to existing and emerging Caprivi conservancies which have not reached yet financial independence. Emerging conservancies with internal political problems may not qualify until problems are solved and favourable framework conditions are in place. Grants range from US\$ 500 (applies to four of the six conservancies receiving grants in 2006), to US\$ 16,000 awarded in 2006 to the Impalila conservancy.

In 2005 IRDNC dispersed US\$ 32,000 of the approximately US\$ 100,000 SDC grant money available for the Year 2005 in support of the existing Kasika and Impalila conservancies, and the emerging conservancies Balyerwa, Lusese and Nakabolelwa. In the Year 2006, US\$ 30,000 were dispersed as grants to the emerging conservancies of Balyerwa, Bamunu, Sobbe, Mulisi, Sikunga, Malengaleriga and the two established conservancies Kasika and Impalila. The total SDC conservancy grant money is US\$ 145,000 for the four-year project timeline.

Kasika has reached financial sustainability in mid-2006 and will not receive any further financial support. Kasika's revenues generated through the 2006 hunting quota amounts to US\$ 80,000 compared to US\$ 20,000 in operational cost for the same year. Impalila is expected to reach financial independence through other tourism related arrangements (lease land, etc.)

This IRDNC component dealing exclusively with grants and interim financing for conservancies, is well conceptualized and implemented. The grants have resulted in substantial "good will" by recipient conservancies. Grant distribution is effective, the process efficient and unbureaucratic. It is recognized that the grants create an enabling environment (administrative structure) for economically attractive spin-off activities. Since the MET in Namibia is the driving force behind the conservancy movement, emerging conservancies have an excellent chance to be gazetted as soon as MET requirements are met. The grant money is critical in this process until conservancies reach financial self-reliance.

Constraints related to the structures of conservancies as highlighted by the IRDNC's grant facilitators are:

- Election of inappropriate persons as conservancy representatives.
- Poor communication between structures and constituents.
- Lack of transparency and accountability of the conservancy structure.
- Poor financial planning and equity sharing.

SDC funds are currently used to finance an IRDNC employed financial planner/accountant and one assistant who have embarked on a comprehensive training

program in financial management targeting all existing and emerging conservancies in the project area.

IRDNC has set realistic sustainability targets for the 13 conservancies to reach financial and administrative self-sufficiency by the end of the project in 2010.

### **2.3. Institutional and Financial Analysis of the SDC Grant Recipients**

#### **2.3.1. Conservation International (CI)**

Conservation International is a non-for-profit, U.S.-based, international organization, one of the world's largest conservation NGOs with close to 1000 employees deployed worldwide. Its major focus is on work related to identified global "ecological hotspots".

CI's Regional Support Office in Cape Town was established in October 2000 to develop programs associated with two of the five African Hotspots and the Okavango Delta in Botswana as a wilderness area of global importance. As part of this initiative, the Transfrontier Conservation Area Unit (TFCA Unit) was set up with a grant from the Rufford Foundation of US\$ 450,000, to facilitate the establishment of selected Transfrontier Conservation Areas in southern and eastern Africa.

The TFCA Unit is composed of six permanent employees, four being located in the Cape Town Office (Annex 3) and two operating independently inside the KAZA TFCA (Carol Murphy implementing CI's Caprivi Conservancy Program and Michael Chase in charge of the elephant project). The TFCA Unit's financial manager is shared by CI's Ecological Hotspots Program (Annex 4).

The allocated to the KAZA TFCA component for the year July 2005 to June 2006 was US\$ 631,963, of which 51% were contributed by SDC. The budget for the period July 06 to June 07 amounts to US\$ 564,167 of which 24.6% are contributed by SDC. Key funding sources other than SDC for the current year are: Gale (35%), Cinco Hermanos (35%), and Esso (4%).

The most serious bottleneck facing the TFCA Unit is its financial insecurity which does not allow for long-term planning. Currently, the Unit operates on a year-to-year basis wasting valuable professional energy on fund-raising instead of applied professional work. CI policy requires each regional office to be responsible for its own fund-raising and to return 25% to CI headquarters in Washington DC. This rather unusual arrangement has proved a severe barrier to the TFCA Unit's operational capability and has caused considerable consternation amongst potential donors.

In the Year 2003 the TFCA Unit hired a professional fund raiser (Karen Ross) to secure funding for both Programs: Wilderness Program (TFCAs) and the Hotspots Program. The fund raiser was fired in 2004 for inefficiency. Her responsibilities were taken over by Leo Braack, the new director of CI's Cape Town Office since 2004. In order secure more

professional time of L. Braack, a senior scientist, CI headquarters in Washington appointed a professional fund raiser to be stationed in Washington in 2005 with fund-raising responsibility for all of CI's African Programs in Liberia, Ghana, Central Africa, Madagascar, and Southern Africa. This proved to be unsuccessful. L. Braack was again in charge of fund-raising, a rather unsatisfying and un-sustainable arrangement. The time of the office director is currently divided between 15% for fund raising, 40% for field-work and travel and 45% for administration.

The long-term survival of CI's Cape Town Office and its commitment to the KAZA TFCA solely depend on the fund-raising success. This, however, may only be achieved through the services of a full-time professional fund raiser with full responsibilities for the TFCA Program.

In summary, the financial instability of the TFCA Unit hampers the development of long-term programs and is directly responsible for the high turn-over rate in personnel (hiring staff when funds become available, firing staff when funding runs out). This places a heavy burden on staff morale and motivation and is not very conducive to developing a team spirit.

### **2.3.2 Integrated Rural Development and Natural Resource Conservation**

IRDNC is a field-based non-governmental organization and registered trust in Namibia, operating in the Caprivi Strip over the past 14 years. After Namibia's independence in 1990 IRDNC contributed to the democratisation of discriminatory conservation laws leading to the establishment of government policy and legislation (Nature Conservation Amendment Act 1996), giving rights to communal area farmers over wildlife and tourism that were previously enjoyed by the commercial farmers (SDC 2005b). IRDNC, a founding member of NACSO, a collaborative body of Namibian NGOs specializing on CBNRM programs, has pioneered community-based natural resource management in Namibia since 1990.

IRDNC and its staff of about 60 have won a number of international and Namibian awards in the past decade for their work in linking conservation, rural development and community empowerment. IRDNC works with more than 45 registered and emerging conservancies. CBNRM is now expanding beyond wildlife to include other natural resources (IRDNC 2004-b).

One of IRDNC's key geographic focal areas is the Caprivi Strip with work focus on the creation of Conservancies. IRDNC's first priority in this process is capacity development for the successful establishment of community administrative structures, a prerequisite for conservancy registration with the MET. Namibia's conservancy movement has become widely popular and the number of communities seeking support to form conservancies in the Caprivi and beyond is increasing.

The Caprivi Unit of IRDNC, financially supported by the WWF family for the past 15 years, has assembled a team of highly skilled and seasoned professionals organized in

working groups (Annex 4) which address the most common needs of emerging and existing conservancies. Each Team is guided by one Coordinator:

- The Institutional Team is composed of five permanent staff positions facilitates social sustainability in Caprivi target conservancies.
- The Enterprise Development Team is composed of three permanent staff positions facilitates the economic sustainability in Caprivi target conservancies.
- The Natural Resources Management Team is composed of six permanent staff positions facilitates environmental sustainability in Caprivi target conservancies.
- The Women Resource Management Team is composed of four permanent staff positions facilitates the social and economic sustainability of women in Caprivi target conservancies.
- The Project Administration Team is composed of four permanent staff positions supports IRDNC staff and teams to achieve their objectives and to firmly entrench CBNRM nationally and regionally.

The unique organizational structure of IRDNC's Caprivi operation allows for excellent field cooperation between the five teams and permits a management flexibility that benefits both the organization and the recipient communities.

The annual budget of IRDNC is approximately US\$ 900,000 of which US\$ 800,000 are contributed by WWF-UK and US\$ 100,000 by SDC. WWF-UK funding is secured until 2008 and will be extended until the Year 2010 to accommodate IRDNC's unique exit strategy. By 2010 IRDNC expects the thirteen West Caprivi target conservancies to be administratively, economically and socially sustainable, an ambitious but realistic goal. At the same time the IRDNC Caprivi operation will be scaled down.

## **2.4. Summary Assessment of Grant Recipients**

### **2.4.1. CI's Capability, Program, Performance and Future Role in the KAZA TFCA**

The TFCA Unit's capability to provide a significant contribution to the advancement of the KAZA TFCA is significantly impacted by its financial instability (see closure of the Botswana operation due to lack of funding). Its in-house capacity to implement community related work is limited. Realizing this limitation, at the same time recognizing the importance of community empowerment to achieving overall conservation goals, the TFCA Unit subcontracted IRDNC to strengthen IRDNC's on-going community empowerment program in the Caprivi, a geographic focal area for CI and IRDNC alike.

This arrangement worked well until IRDNC entered into a direct contract with SDC in 2005, bypassing CI. Meanwhile CI has begun its own community program in the Caprivi that also is funded by SDC until the end of 2006. Unless new funding sources for this component can be located in time, CI's community program will come to an end in 2006.

CI's Kaza TFCA Program appears not very coherent which may be the primary reason for the Unit's difficulties in attracting donor support. CI's "program" components are "stand-alones" rather than integral parts of a well conceptualized and cohesive package producing visible results for the advancement of the TFCA. CI's current program components are relevant and of priority, the impacts however are not very noticeable.

Unless the TFCA Unit is able to identify a suitable niche for itself with focus on conservation issues in the Kaza TFCA, its future role will remain uncertain. The Kwando Corridor and the Luiana Partial Reserve in Angola would offer such opportunity. Both would fit well into CI's overall conservation portfolio and CI is well placed and capable to spearhead this initiative with all its implications (i.e., Luina National Park requirements: legal and policy framework, boundary definition and demarcation, elaboration of park management plan, support zone designation and planning, capacity development, park infrastructure development, promotion of tourism and facilitating private sector involvement, facilitating de-mining once the Luiana Partial Reserve has been converted into a viable national park, etc.). This would be a challenge that not only complies with CI's global conservation mission but also would provide highly visible results and contribute substantially to advancing the KAZA TFCA.

A summary assessment of the TFCA Unit's overall capacity and program performance is provided in Annex 5.

#### **2.4.2 IRDNC's Capability, Program, Performance and Future Role in the KAZA TFCA**

IRDNC's institutional, technical and financial capabilities are sound. Sufficient staff and funds are allocated to components that are complementary to each other, targeting critical issues at the grassroots level. The focus on community empowerment related to conservancy establishment in the Western Caprivi, a geographic area of highest strategic importance to the KAZA TFCA, is of unquestionable relevance and priority.

IRDNC's holistic approach to community development allows for wise and sustainable land and resource use, serving as model for the TFCA. The NGO's comprehensive work in the Caprivi frontline conservancies provides a solid basis for local people to develop ownership in the KAZA TFCA.

The IRDNC Caprivi program meets SDC's three priority requirements, providing visible contributions to poverty reduction, biodiversity conservation and transboundary cooperation. IRDNC's selection of target groups and beneficiaries is highly appropriate as witnessed by the ripple effect of IRDNC work (i.e., growing number of communities pursuing gazettement as conservancy). Program components are delivered effectively and efficiently. The overall timeline of the program and IRDNC's exit strategy appear sound and realistic. IRDNC's program goals and objectives are met in a timely fashion and synergies have been generated through well focused cooperation with CI, WWF-Plus, Pepper Trust and the DED Community Forest Program.



The future role of IRDNC in the development process of the KAZA TFCA should firmly be embedded in its current thematic foci. In order to increase its overall impacts, however, future work should concentrate on the Kwando corridor and on TBNRM activities with priority on corridor communities in Botswana and Angola. This would visibly strengthen the conservation objective of the TFCA and be complimentary to CI's efforts in securing sustainable protection for the Luiana Partial Reserve.

The IRDNCI program would benefit from a stronger emphasis on livelihood strategies inside the targeted conservancies and from mainstreaming conservation into all its program components. Better checks and balances may best be achieved by adding a staff position for a conservation biologist.

A summary assessment of IRDNC overall program and performance is provided in Annex 6.

### **Section 3. Cross-cutting Issues**

#### **3.1. Linkages to Other Projects in the KAZA TFCA and Donor/NGO Cooperation**

The inventory of organizations, bilateral aid- and international aid agencies, non-for-profit national and international NGOs, and private sector donors carried out in preparation of this mid-term review (Barbancho 2006) shows that more than 44 major institutions, agencies and organizations are currently active in the KAZA TFCA. The majority of their projects appear to be related to poverty alleviation, socio-economic development, livelihood strategies, humanitarian aid, and biodiversity conservation. Of the 44 reported organizations seven are bilateral aid agencies (USAID, SDC, Swedish Sida, DFID, AFD, Canadian CIDA, GTZ). Three major GEF Grants are allocated to KAZA TFCA member states, directly benefiting the TFCA development, implemented by the World Bank, UNDP and UNEP.

Although no supporting research on potential synergies in the KAZA TFCA is available, there appears to be a plethora of uncoordinated transboundary initiatives leading to confusion and possible conflict. The lack of coordination appears to equally apply to bilateral and international aid agencies, GEF implementing agencies, and the numerous NGOs, all in pursuit of their own agenda, frequently competing for the same funding sources. Only a few players are known to have entered into cooperation agreements.

Against this background the urgent need to coordinate and fine-tune programs and activities in the KAZA TFCA and to synchronize and harmonize international and national efforts is self-evident. It therefore appears prudent to formally establish an NGO and donor Forum for the KAZA TFCA at an early stage.

### **3.2. Conservation Benefits from Conservancies**

The direct benefits of the Caprivi frontline conservancies to biodiversity conservation appear to be over-estimated and in need of supporting research and action. Little direct evidence for the value of conservancies to conservation was found in the five existing and emerging conservancies visited in support of this review. The benefits appear more in favour of the communities (economic benefits from hunting allocations) than in support of biodiversity conservation. Unless specific conservation areas are set aside as no-utilization zones inside conservancies, there is little conservancies contribute to biodiversity conservation.

Conservation has to be mainstreamed into the multifaceted activities of IRDNC. Communities have to appreciate that wildlife conservation implies more than anti-poaching which concerns only “game” species within the wide spectrum of flora and fauna.

Conservancies have ample area available to accommodate basic needs for agriculture, livestock grazing, fuel wood- and minor-forest product collection needs, with plenty of areas left over for wildlife conservation purposes. Kazika conservancy as a typical example could easily afford to dedicate half of the 4000 ha conservancy land to conservation<sup>5</sup>.

Salambala is the only conservancy visited during this assignment that has set aside land as “wildlife habitat nucleus”. The emerging Balyerwa conservancy agreed to preserve a two km-wide strip of habitat surrounding the privately owned lodge built on conservancy land under a joint venture agreement, a condition placed on the community by the lodge owner who provides the emerging conservancy with jobs and revenue.

### **3.3 Tourism Potential of the KAZA TFCA**

The predicted economic gains from tourism and tourism potential of Transfrontier Conservation Areas, commonly used by politicians and lobbyists of TFCAs in southern Africa as key argument in favour of TFCAs, is vastly exaggerated. This also applies to the KAZA TFCA where expectations regarding future tourism potential are much too high. There still may be room to expand tourism in the KAZA region, but prime destinations appear to have reached their capacity as suggested by the results of CI’s tourism study (Suich, 2005; Suich et al. 2006). It is outright irresponsible to raise false hopes and expectations among rural communities in order to win their support for the establishment of protected areas/TFCA’s. If promises are not met, the expected backlash could well be resulting in failing support to the TFCA by local communities and donors alike.

The same applies to potential benefits of tourism to conservancies which are very limited in spite of joint venture agreements, trophy hunting, eco-villages, and community campsites. At current, the combined income generated by the gazetted frontline conservancies, barely cover their operational costs leaving little to share with constituents (the 2005 Kwando conservancy budget deficit is US\$ 83,000, the Salambala deficit US\$ 15,000

irrespective of substantial earnings from trophy hunting and other business ventures). Direct jobs created by tourism in conservancies are negligible.

The majority of the Caprivi Conservancies, in particular conservancies with game allocations, will reach financial self-sufficiency at some point. But it is equally obvious that there will be little surplus left for distribution amongst the constituents. It is unlikely that the economic impacts to be expected from tourism will ever be felt at the household level.

A generic problem characterizing the tourism industry is its high volatility. Increasing prizes of crude oil, a terror act such as 9/11, or one single tourist abduction/hostage-taking in a key tourist area may be sufficient to trigger a chain reaction with disastrous economic consequences to the international tourism market. Income from tourism should therefore be considered a “bonus”, but not the backbone of a country’s/region’s economy.

## **PART B: The Way Forward**

### **Section 4. Challenges and Barriers**

#### **4.1. Challenges facing the KAZA TFCA**

The KAZA TFCA initiative is a formidable venture that involves an enormous geographic area and five distinctly different nations which have to find common grounds for a consensual management agreement on this highly diverse region. Only time will tell whether the KAZA TFCA will ever be able to function as one single entity. It is unrealistic to expect this to happen soon. It may take years, even decades to fully realize this ambitious dream. The development will be an iterative process to be identified by a comprehensive feasibility study.

Recognized ecological priority needs in the KAZA Region will have to be addressed, irrespective of the KAZA area ever growing into one single (manageable) TFCA. This need has aptly been described by the TFCA Unit:

*“CI views habitat fragmentation as a major threat to biodiversity worldwide, and is committed to achieve linkages or “Corridors” between such ‘habitat islands’ to enable large-scale processes to proceed unimpeded or without disastrous consequences (migration, fire disease, droughts, climate change etc.), thereby ensuring longer term resilience and sustainability. This can only be achieved through regional approaches and collaboration which operates across political and other boundaries.”<sup>6</sup>*

In other words, key to the successful establishment of the KAZA TFCA is the definition, establishment and stabilization of ecological corridors that link existing prime conservation areas in the KAZA Region. Ecological corridors should therefore receive priority attention in the wide spectrum of activities needed to create the enabling environment for the TFCA at large.

The following chapter highlights some of the formidable challenges facing the development of the KAZA TFCA. Challenges marked in italic and underlined pose key threats and barriers to the development and should be tackled first. The challenges are grouped into self-explaining thematic blocks:

- *Kaza TFCA encompasses huge geographic area (300 000 square km).*
- Needs and demands of five sovereign partner countries to be accommodated.
- Legal, policy and institutional framework conditions differ significantly between partner countries.
- Significant differences between the capacity of the partner countries to contribute to the development and management of the KAZA TFCA.

- *Large and growing human population in target area resulting in growing land alienation/conversion and pressure on resources.*
- *Predominantly rural population (subsistence agriculture) significantly depending on natural resources in order to secure livelihood.*
- *Majority of households live at or below poverty level.*
- *Apart from tourism and limited CBNRM opportunities few economic alternatives for rural poor.*
- Collapse of infrastructure and facilities in large parts of the TFCA.

- Existing PA system in need of financial and technical support; need for upgrading in accordance with international tourism standards.
- *Highly fragmented ecosystems and insufficient linkages between designated protected areas (need for ecological connectivity).*

- *Highly scattered, diverse and incomplete baseline data.*
- *No coherent spatial land use plans for target area available.*

- *Fast growing elephant populations in parts of the TFCA.*
- *Growing wildlife-human conflicts.*
- *Existing minefields in Angola.*

- Numerous NGOs active in proposed TFCA competing for same funding sources (overlapping activities?).
- *Poor NGO and donor cooperation resulting in lack of synergies.*
- Most “projects” in target area donor driven.

## 4.2. The Four Pillars of TFCAs and National Protected Area Systems

The widely recognized ‘pillars’ that TFCAs and protected area systems appear to have in common are:

- i. *Ecological Integrity*
- ii. *Governance*
- iii. *Social Participation and Community Empowerment*
- iv. *Financial Sustainability*

The following chapter highlights key barriers to these four pillars related to the KAZA TFCA.

### 4.2.1. Barriers Related to Ecological Integrity

- Existing systems of protected areas are insufficient to safeguard regional biodiversity.
- Need for the expansion of existing protected areas which currently do not appear to equally represent all ecosystems of the KAZA TFCA (especially PAs equivalent to IUCN categories I and II).
- PA systems of partner countries currently do not include private and communal PAs as recognized parts of national PA systems.
- Support zones of PAs are not defined and/or legislated in any of the five partner countries.
- PA systems of partner countries do not address the issue of ecological connectivity (ecological corridors).
- PA systems in partner countries are mostly understaffed, under-equipped and under-budgeted.
- Inexistent benefit sharing with PA neighbours (revenues generated by PAs are not shared and cannot be retained by PAs).
- Insufficient monitoring and evaluation of biodiversity inside and outside PAs.
- Insufficient emphasis on need for spatial land use planning related to protected areas, their undefined support zones and potential ecological corridors.
- Insufficient emphasis on land tenure related to support zones of PAs and potential ecological corridors.
- Uncoordinated and uncontrolled colonization/settlement resulting in squatting.

### 4.2.2. Barriers Related to Governance

- Weak and differing institutional structures on macro-, meso, and micro levels.
- Insufficient emphasis on decentralization and devolution in at least four of the five KAZA TFCA partner countries.
- Legal mandates, administrative systems and objectives regarding PAs and land-/resource use differ widely between five partner countries.
- Confusing and non-homogeneous (overlapping/lacking) legal framework in the five countries (policies, laws, regulations, plans, etc.).
- Conflicting policies and interests related to land and resource use inside and outside PAs.

- Conflicts between traditional and allocated rights to land and resource use.
- Poor legal basis and incentives related to the creation of privately and community owned and operated protected areas.
- Administrative structures for participatory management of protected areas under different governance missing and/or differing widely between five countries.
- Insufficient inter-institutional cooperation on all government levels related to biodiversity conservation.
- Insufficient emphasis on opportunities for private sector- and community involvement in conservation management.

#### **4.2.3. Barriers Related to Social Participation and Empowerment**

- Insufficient private sector involvement in biodiversity conservation.
- Insufficient community involvement in conservation issues related to economic development initiatives.
- Insufficient community and private sector involvement in the establishment of new protected areas.
- Difficulties in assessing goods and services provided by biodiversity particularly of protected areas (water, oxygen, non-timber products, grazing, gathering etc.).
- Differing perspectives and expectations on all levels and in all sectors regarding biodiversity conservation.
- Insufficient commitment by government to local empowerment (except Namibia).
- Potential conflict of interest between government policies and traditional land/resource use (rights) by communities.

#### **4.2.4. Barriers Related to Financial Sustainability**

- Insufficient government funds for the development of the KAZA TFCA.
- Insufficient ability to capture and capitalize the goods and services provided by PAs and biodiversity in general.
- Insufficient government commitment to biodiversity conservation in view of other priorities.
- Poor government investments and interest in protected areas and creation of ecological corridors.
- Limited capacity to generate revenues from biodiversity conservation for its sustainable protection.
- Poor integration of biodiversity conservation into economic and social development.
- Line institutions mandated with biodiversity conservation poorly equipped (understaffed, under-financed) to effectively comply with mandate.

### **4.3. Selection of Suitable Priority Interventions**

It is apparent that not all challenges can be addressed simultaneously and not all barriers removed at the same time. The biggest challenge therefore is to address the right issues at the right time in order to maximize the impacts of interventions on the KAZA TFCA

development process. Major generic macro-strategies that apply to priority needs of all five partner countries are:

- Spatial-land- use planning on a macro-, and micro level.
- Consolidating existing- and collecting additional biophysical and socio-economic baseline data to be processed in GIS format as critical underpinnings for participatory spatial land-use planning and wise land-/resource-use decision-making.
- Mainstreaming capacity and skill development into all activities.
- Forming alliances with other actors/donors (KAZA TFCA NGO-Forum in order to synchronize programs and activities).
- Establishing TFCA-wide monitoring and evaluation system, possibly via NGO-Forum, creating data processing centers and socializing data base.
- Designing and implementing a comprehensive information campaign with focus on corridor areas and on dissemination of key message on the purpose and objectives of the TFCA and the need for ecological corridors; widely publicized information campaign on how all this will affect local people (positive and adverse impacts).

#### **4.3.1 Emerging Priority Programs addressing Ecological Integrity**

1. Stratification of the TFCA into development/activity nodes (manageable units) with focus on key areas that will provide ecological connectivity between existing PAs (=identified ecological corridors).
2. Elaboration of a spatial land-use plan for one key geographic area in a scale of 1: 1 000 000 to serve as model for future expansion into other areas of the TFCA. This requires multi-national, multi-sectoral and multi-stakeholder participatory planning and selection of broad land-use categories for which policy packages have to be elaborated. The spatial land-use map would be composed of biophysical and socio-economic thematic maps (vegetation cover, soils and geology, surface water, biodiversity, existing conservation areas, population distribution, actual land use, land use capability, ecological sensitivity, etc.).
3. Identification and establishment of areas inside priority corridors and conservancies that may serve as “ecological stepping stones”.
4. Consolidation of existing and compilation of needed ecological bas-line data.

#### **4.3.2. Emerging Priority Programs addressing Governance**

1. Establishing and strengthening community structures in selected geographic development nodes with focus on communities inside identified ecological corridors (includes design of incentive systems).
2. Harmonizing traditional structures/authorities and administrative structures.
3. Establishing formal links (MoUs) between community structures and regional/national structures.
4. Establishing proper communication channels and means between local structures and constituents.

5. Establishing and strengthening transboundary cooperation in priority development nodes (corridor areas).

#### **4.3.3. Emerging Priority Programs addressing Social Participation and Empowerment**

1. Designing spatial land use plans on local/community level for identified priority corridor area in an operational scale of 1:10,000 using categories and policies identified/elaborated for the macro-level spatial land-use plan for the same corridor to serve as model for other areas.
2. Assisting communities in obtaining legal land tenure rights (where legally feasible) and resource use rights.
3. Assisting communities in improving livelihood strategies (e.g., conservation agriculture, reducing wildlife-human conflicts, skill development, private sector partnerships etc.).

#### **4.3.4. Emerging Priority Programs addressing Financial Sustainability**

1. Safeguarding food security of rural communities in selected priority corridor(s) through technical transfer, skill development and provision of seed funding for self-empowerment/income generating opportunities.
2. Providing bridge funding and technical support to communities pursuing conservancy status and community forest rights in priority development node(s).
3. Assist communities in developing job and income generating economic alternatives leading to financial stability on a household- and community level.

#### **4.4. Past and Current SDC Supported Interventions related to Emerging Priority Programs and Potential Future SDC Support**

The following chapters describe how the past and current CI and IRDNC Programs fit into the emerging priority programs highlighted in the previous chapters and which of the activities may qualify for continuing support by SDC.

##### **4.4.1 The Conservation International Program**

Facilitation of TFCA Development: This is not seen as a key priority for SDC funding. If the TFCA Unit feels strongly about a continuation of its KAZA TFCA promotional activities on a political level, in particular with respect to its Angola engagement, other than SDC funds should be used.

##### Support to CBNRM Projects:

a) Gudigwa Traditional Village: This past CI initiative fully complies with Program 3 linked to the pillar “Social Participation and Empowerment”.



b) Support for IRDNC: The corresponding interventions implemented by IRDNC under a sub-contract from the TFCA Unit fully comply with Programs 1, 2, 3 and 5 linked to the pillar “Governance” and should be continued.

c) Chobe Floodplain transboundary linkages: This on-going activity complies with Program 5 linked to the pillar “Governance” and Programs 1 and 3 linked to the pillar “Social Participation and Empowerment” and should be continued, possibly under the auspices of IRDNC instead of CI.

d) Basketry development in the Okavango panhandle: This highly successful intervention fully complied with Programs 1, 2, 3 linked to the pillar “Financial Sustainability” and Program 3 linked to the pillar “Social Participation and Empowerment”. It may serve as a model for similar activities, in particular gender specific interventions in other areas (see current IRDNC supported women empowerment projects in Caprivi conservancies).

#### Facilitation, supervision and support for elephant projects throughout the TFCA

This on-going Program covers interventions which fully comply with Programs 3 and 4 linked to the pillar “Ecological Integrity” (Elephant surveys, satellite tracking to establish movement patterns, elephant group home ranges, and elephant workshop), and Program 3 linked to the pillar “Social Participation and Empowerment” (Chilli Pepper consultancy and work with communities linked to above activity ‘d’).

#### Clearing of landmines in the Luiana Partial Reserve

This on-going activity will increase in importance once the protection status of the Luiana Partial Reserve in form of a gazetted national park has been secured and a well trained and equipped ranger corps is in place to guarantee the sustainable protection of the newly-to be created conservation area. The TFCA Unit should continue to be supported in its strive to secure better protection for Luiana, especially since CI appears to be the only actor in pursuit of this goal. The Luiana area is a cardinal link in the Kwando corridor. This activity fully complies with Program 1 linked to the pillar “Ecological Integrity”.

#### Economic Impacts of TFCA’s

Past and current activities fit Program 1 linked to the pillar “Ecological Integrity”, which addresses the need for biophysical and socio-economic baseline data in support of coordinated and integrated future land-use planning. Consolidation of existing data and the compilation of non-existent baselines has emerged as a high priority need for the TFCA. Although the TFCA Unit has no in-house capacity to address this formidable task on the required scale, it has the capability to design, supervise and quality-control corresponding sub-contracts.

#### **4.4.2 Integrated Rural Development and Natural Resource Conservation Involvement**

To facilitate sustainable, robust and well managed target conservancies/trusts with all appropriate components of their management framework operations

IRDNC's interventions grouped under this heading (mostly financed through WWF-UK support) fully comply with Programs 1, 3 and 5 linked to the pillar "Governance"; Programs 1, 2 and 3 linked to the pillar "Social Participation and Empowerment"; and Programs 1, 2, and 3 linked to the pillar "Financial Sustainability". All related activities are of high relevance and priori, qualifying for continuing support.

To advocate community-based natural resource management and forge effective linkages and partnerships nationally and internationally, with special focus on regional trans-boundary forums

This fully SDC funded intervention complies with Program 5 linked to the pillar "Governance". The promising results of the transboundary fora fully justify continuing support by SDC.

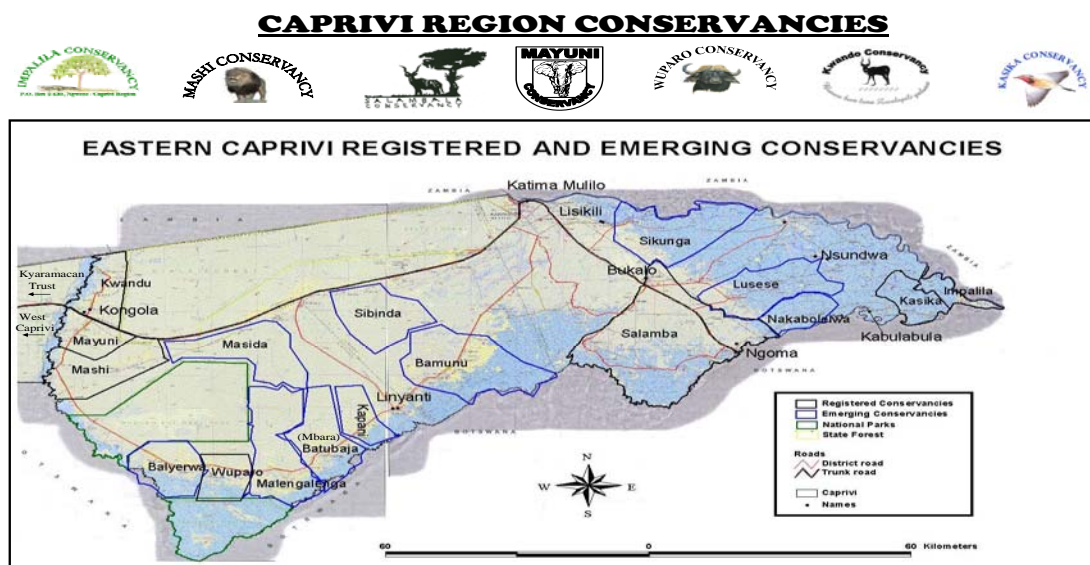
To support conservancies during their transition to financial sustainability

This on-going SDC funded intervention complies with Program 2 linked to the pillar "Financial Sustainability". Interim financing proves to be critical to emerging and existing conservancies which have not reached yet financial sustainability. This program requires continuing financial support, especially for conservancies located in priority corridors.

#### **4.4.3. Current Geographic Area of Interventions**

All of IRDNC's SDC funded work concentrates on 'frontline conservancies' located along the international border between Namibia and Botswana, and along the Kwando River extending to the northern border with Zambia and Angola. As illustrated by Map 4 there are six established and 11 emerging and planned conservancies located in the Eastern Caprivi Strip. Approximately 40% of this area is covered by conservancies, an additional 30% by State Forests and designated protected areas.

Current CI activities in support of community development also focus entirely on the Caprivi conservancies and neighbouring communities in Botswana and Zambia (TBNRM program and transfrontier fora). Other SDC funded interventions implemented by CI cover all five member states of work related to the "promotion of the KAZA TFCA" and Botswana, Namibia, Angola and western Zambia related to the elephant work component.



**Map 4: Existing and emerging conservancies in the eastern Caprivi Region**

#### 4.5. Key Selection Criteria for Future SDC Involvement in the KAZA TFCA

Any continuing and future activities to be funded by SDC should meet the following criteria:

- Compliance with Swiss/SDC focal development assistance criteria (poverty reduction, biodiversity conservation and transboundary cooperation).
- Addressing the rural poor as key target group and delivering tangible benefits for improved livelihood strategies.
- Focusing on identified key development nodes primarily accommodating identified priority ecological corridors.
- Proven benefits for the establishment of viable ecological corridors.
- Strategic focus on contributing to the creation of an enabling environment that furthers the Kaza TFCA development in general.
- Compliance with national priorities of the partner countries under the Environmental Action Plan (CBD).
- Complimentary to on-going activities by other donors to maximize impacts for the creation of an enabling environment of the TFCA (synergies).

## Section 5. Conclusions and Recommendations

### 5.1. Intervention Areas

It is noteworthy that all past and on-going interventions supported by SDC happen to address identified priority programs (see chapters 4.3.1 to 4.3.4) that will enhance the four key pillars of the KAZA TFCA. As could be expected, IRDNC's efforts continue to

concentrate on strengthening “Governance”, “Community Empowerment” and “Financial Sustainability”, whereas CI’s support is more directed towards strengthening the “Ecological Integrity” issue in the TFCA.

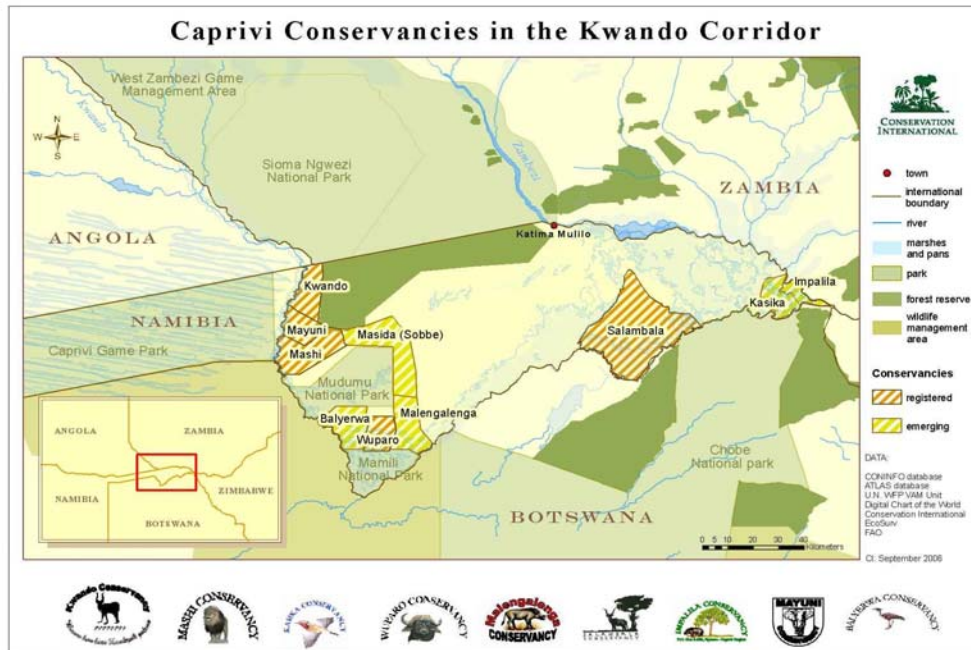
Emerging priority program areas that have not been appropriately addressed yet by any of the numerous actors in the KAZA TFCA are:

- Spatial and integrated land use planning.
- Expansion of protected area systems and identification/establishment of core ‘wildlife’ areas inside potential corridors.
- Consolidation of existing and collection of key base line data.
- Design and implementation of a comprehensive awareness campaign targeted at the entire TFCA Region.

Although these four program areas are of paramount importance they may not be the most suitable for SDC assistance due to their complexity and enormous budget requirements. Components of these programs, however, could well be supported by SDC. Examples are:

- Developing a practical methodology for spatial land use planning on a pilot basis covering the Kwando Corridor.
- Developing policy packages for key land use categories of the spatial land use plan.
- Identifying and establishing core wildlife areas inside the Kwando Corridor.
- Collecting biophysical and socio-economic baseline data for the Kwando corridor.

It also is noteworthy that the bulk of the SDC supported interventions focus on the Caprivi Strip, strategically located in the heart of the KAZA TFCA. It is highly recommended to keep the same geographic focus for future support. To further maximize the impacts of future interventions, it suggested concentrating future efforts on the Kwando Ecological Corridor that divides the eastern from the western Caprivi, a key link connecting prime conservation areas to the south (Okavango Delta) with the Luiana Partial Reserve bordering Sioma Ngwezi National Park to the north (Map 5).



**Map 5: Conservancies Located in the Kwando Ecological Priority Corridor**

## 5.2. Risk Assessment

The risks associated with the proposed future interventions are low considering the highly successful history of community empowerment, conservancy establishment/strengthening, the blossoming cooperation between grassroots oriented NGOs, and TBNRM activities in the Caprivi as implemented by IRDNC, CI, WWF-PLUS, WWF-UK, and Pepper Trust, all implementing projects complementary to each other.

## 5.3. Conclusions

In summary, past and current SDC supported activities appear to have had and continue to have highly appropriate thematic and geographic focal areas. In order to further enhance the already positive impacts on community empowerment, livelihood strategies and biodiversity conservation, future SDC support should be channelled to the Kwando Ecological Corridor, one of the most important areas of the evolving KAZA TFCA.

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<sup>1</sup> Hanks, John. 2006-c, page 6

<sup>2</sup> IBID

<sup>3</sup> Extracted *verbatim* from the ToR for this mid-term review.

<sup>4</sup> John Hanks, personal communication with reference to the KAZA TFCA Prefeasibility Study report elaborated under leadership of J. Hanks on behalf of the five KAZA member states in 2006. The report is expected to be published by November 2006

<sup>5</sup> Total conservancy area 4,200 ha. Total adult population of 700 (=approximately 250 families. Agricultural land/family needed: 1.5 ha (rain-fed agriculture) according to WWF-PLUS working in the conservancy. Average size of grazing land required/family: maximum 5 ha (the same land provides for fuel wood, poles, construction timber and minor forest products. Kazika total land requirements for farming and grazing: approximately 1,500 ha (agriculture and grazing). Additional land of 1000 ha reserved for an expanding human population. That leaves 2000 ha to be dedicated to strict wildlife habitat conservation.

<sup>6</sup>CI, 2005. From the Annex to the agreement between SDC and CI for phase 2 of the KAZA project: Chapter 2.



# **LIST OF ANNEXES**

- Annex 1: List of Persons Contacted**
- Annex 2: Evaluation Checklists 2-a to 2-g**
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- Annex 5: CI Evaluation Summary**
- Annex 6: IRDNC Evaluation Summary**

## ANNEX 1: List of contacts

Name	Organization	Phone
Braak, Leo	CI, Cape Town	27 (0)12 799 8655
Stipinovich Amalia	CI, Cape Town	27(0)22 799 8812
Chase Michael	CI, Elephant Project	267 625 22 05
Barbancho Nathalie	CI (SDC), Pretoria	27 (0)12 362 29 72
Carol Murphy	CI, Cape Town (based in Katima Mulilo, Namibia)	264 (0)66 254 721
Chenevard Richard	SDC, Pretoria	27 (0)12 362 29 72
Francoise Droz	SDC, Berne (Switzerland)	41 (0)31 32592-79
Diggle, Richard	WWF-Life Plus Project	
Simfukwe Maxon	WWF-Life Plus Project	
Hanks, John	International Conservation Services	27(0)28 254 9792
Myburg Werner	PPF, Stellenbosch	27 (0)12 362 2972
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Monggae Felix	Kalahari Conservation Society	276 397 4557
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Rakgoasi Rosina	Dept. of Wildlife + NPs Botswana	267 397 1405
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Nheta, Daisy	IRDNC, Namibia	264 (0)66 252108
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Wilson Graeme	IRDNC, Namibia	264 (0)66 252108
Maiba James	IRDNC, Namibia	264 (0)66 252108
Kasaona Martin	IRDNC, Namibia	264 (0)66 252108
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Mench Andreas and Mbongo Werner	Community Forestry in North-Eastern Namibia (CFNEN), DED Caprivi Region and Directorate of Forestry	264 (0)66 253244
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Canavan Katherine	USA Ambassador Botswana	
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Sparrow Alan	PPF (consultant)	263 (0)13 4447
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Matiza Chiuta Tabeth	IUCN Pretoria	

### Stakeholders

#### Impalila Conservancy

Chupo Godfrey  
Matengu Mavis  
Maswahu Calvin

Conservancy Manager  
guide  
guide

**Kasika Conservancy**

Sibongo Alfred  
Mafwila Lucius  
Kamwi Gloria  
Nyambi Christina

Conservancy Manager  
Chairman  
Secretary  
Treasurer

**Kwando Conservancy**

Muyoba Cordelia  
Lusepani Dixon  
Kangumu Fabian

Conservancy Manager  
Chairman  
Tourist Camp Supervisor

**Shesheke West Community Resource Board**

Kyemde Miston

(partner of Kwando Conservancy)

ZAWA field officer

**Balyerwa Conservancy**

Makwele Barnard  
Daxies Mwezi  
Salcata Gloria  
Meriam Chanuli  
Tobert Kabiso  
Morris Muhweta  
Muzwalicaba Pires  
Caicious Bupilo

Conservancy Manager  
Treasurer  
Vice-Treasurer  
Resource Monitor  
Ranger  
Treasurer  
Secretary  
Chairperson

**Salambala Conservancy**

Sinyambo Robert  
Nzebengwa Cecilia  
Saisai Boncance  
Ntonda Satraster  
Maswahu Matilda  
Sryoka Edina

Chairperson  
Treasurer  
Vice-Treasurer  
Management Monitor  
Secretary  
Vice-Secretary

**Chobe Enclave Trust, Botswana**

Sankwasa Luckson  
Nehunga Claudia

(partner of Salambala Conservancy)

Chairperson  
Manager

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## Annex 2

### Project Evaluation Check Lists

The following four check lists have been used in support of the evaluation of each component financed by SDC and implemented by either IRDC or CI.

- **Checklist 1: “Component Data”** (basic factual information)
- **Checklist 2: “Before”** (information related to the project planning and design stage)
- **Checklist 2: “During”** (information related to the implementation phase)
- **Checklist 3: “After”** (information related monitoring and assessment and the component at large in retrospect)

The checklists have been completed jointly with the persons responsible for the implementation of the corresponding component. Some questions asked in the checklists required a qualitative answer (**yes, no, unknown**), others look for a quantitative answer on a five part scale, where:

- O means neutral to the success/effectiveness of the project intervention;
- +1 means some contribution to the success of the project;
- +2 mean a significant contribution to the success of the project;
- 1 means a minor handicap or difficulty;
- 2 mean a major handicap or difficulty.

Footnotes were used to provide specific information where required for clarification and qualification.

**The SDC financed projects under review (CI and IRDNC) were originally based on four major objectives (s.ToR for this mid-term review):**

- Consolidation at the local level of the community approach developed by IRDNC with the support of WWF UK and establishment of bridges with the adjacent communities in Zambia, Botswana, Angola and Zimbabwe (**still valid**).
- Design of precise boundaries of the TFCA (**never addressed by project activities**) and shaping of corridors linking these protected areas together with the assistance of CI (**still valid and new focal area**).
- Formalization on the technical and political levels of the cooperation bringing together the concerned authorities of Angola, Botswana, Namibia, Zambia and Zimbabwe with the assistance of CI and under the auspices of SADC (**never fully addressed**);

- Promotion of multiregional cooperation on transversal themes such as HIV and AIDS, gender, economic impact and monitoring with ad hoc partners (**never fully addressed**).

The specific project components of the CI project agreed on by SDC and CI in 2002 (period 2002 to 2004, 2005, and 2006) are:

1. Facilitation of TFCA development (**completed checklist**).
2. Support for CBNRM projects (**completed checklist**).
  - Gudigwa traditional village (no checklist, but addressed in review report).
  - Support for IRDNC (covered by checklists 2 and 3)
  - Chobe Floodplain transboundary linkages (no checklist, but addressed in review report).
  - Basketry development in the Okavango panhandle (no checklist, but addressed in review report).
3. Facilitation, supervision and support for elephant projects in the TFCA (**completed checklist**).
3. Clearing of landmines in the Luiana Partial Reserve (no checklist, but addressed in review report).
4. Economic Impacts of TFCA's (**completed checklist**).

The specific project components of the IRDNC project agreed on by SDC and IRDNC in 2005 (project period 2005-2008) comply with the following IRDNC objectives:

1. To facilitate sustainable, robust and well managed target conservancies/trusts<sup>1</sup> with all appropriate components of their management framework operations (**completed checklist**).
2. To advocate community-based natural resource management and forge effective linkages and partnerships nationally and internationally, with special focus on regional trans-boundary forums (**completed checklist**).
3. To support conservancies during their transition to financial sustainability by providing, administrating and monitoring of grants (**completed checklist**).

IRDNC's objectives and activities are complimentary to CI's transboundary objectives in Caprivi and relate to IRDNC's institutional support to conservancies, transboundary activities and conservancy grant-making.

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<sup>1</sup> The Kyaramacan Trust is included in all references to target conservancies unless stated otherwise.

**ANNEX 2-a**

**Conservation International**

**Checklist 1: COMPONENT DATA**

**Title:** Facilitation of TFCA development

**Duration:** 2002 – on-going (wages for John Hanks - now Leo Braack -and support staff)

**Delays and Extension, Follow-up:** unknown

**Total Component Cost (in US\$): 380,000**

**Funding sources (% of total) and amounts (in US\$):**

	Total	0-25%	25-50%	50-75%	75-100%
SDC	190,000			50	
CI	190,000				

**Main Sources of Information:**

- 1 Progress reports
- 2 Trip reports

**Important documents not available:**

none

**Persons and Institutions Contacted in this Context:**

Leo Braack

Check Lists used in support of the KAZA-TFCA Project External Review

**Checklist 2: BEFORE**

		yes	no	unknown
<b>1. Who initiated this component</b>	SDC			
	CI	x		
	IRDNC			
	other			

		Available? Yes or no
<b>2. Planning Sequence</b>	Was there a proposal/concept paper/profile for component	Yes
	Was the document prepared participatory ( involving key stakeholders)	yes <sup>1</sup>
	Was there an SDC project- or appraisal document for component	yes <sup>2</sup>
	Was there a monitoring plan for the component	yes <sup>3</sup>
	Was there an agreement document with grant recipient	yes
	Was there an agreement with SADC and/or recipient countries	no
	Was the component proposal fine-tuned with other donors in region	no

<b>3. Was the component discussed</b>		-2	-1	0	+1	+2
	At political level					X
	At managerial level					X
	With other donors				x <sup>4</sup>	
	With communities			X		
	With other key stakeholders				x	

<b>4. Was the component relevant and of conservation priority</b>	Yes or no
In accordance with the regional TFCA strategy	Yes
In accordance with regional (SADC) priorities	Yes
In accordance with priorities of five TFCA member countries	Yes
In accordance with national biodiv. strategies/action plans of each country	yes

<sup>1</sup> Promotion of TFCAs in different countries.

<sup>2</sup> Implicit in contract.

<sup>3</sup> Institutional feedback and bi-annual donor reports.

<sup>4</sup> Only private sector.



Check Lists used in support of the KAZA-TFCA Project External Review

<b>5. Management capability</b>	-2	-1	0	+1	+2
How well could local CI office cope in terms of:					
• Staff		X			
• Material support (transport etc.)					X
• Office/administrative ability					X
• Proven project management skills					x
<b>6. Objectives/Targets</b>		-1	0	+1	+2
Was there an element of strengthening NGO capability			X		
Was there an element of institution building (Governments)					X
Were objectives well defined with sufficient detail					X
Were the objectives realistic		X			
Were the objectives relevant					x
Was the proposed component timeline realistic		X			
Were beneficiaries and target groups clearly identified					X
Were gender issues addressed			X		
Was poverty alleviation a guiding principle				X	
Was capacity development at grassroots sufficiently addressed			X		
Was local empowerment addressed				X	
Was alternative livelihood of rural poor addressed			X		
Was the transboundary cooperation issue addressed					x

<b>7. Strategy for monitoring and evaluation</b>	-2	-1	0	+1	+2
How good was definition of targets					x
How good was definition of indicators/verifiers				x <sup>5</sup>	
Was there a special monitoring program in place				x <sup>6</sup>	
Were assessment/evaluation dates specified					x
<b>8. Framework conditions</b>	-2	-1	0	+1	+2
Was there political commitment by member Nations					x
Was the policy and legal framework for the component sufficient				x <sup>7</sup>	
Was there sufficient community information/public awareness	x				
Was there community preparedness to participate (ownership)					x <sup>8</sup>
Were there similar conservation interest/projects in region					X
Was there transboundary cooperation					X
How good was/is CI's TFCA strategy					x
Was there interest in TFCA-Conservancies by communities					x

<sup>5</sup> Very difficult to quantify impacts.

<sup>6</sup> Bi-annual reports.

<sup>7</sup> Evolving legal framework, not fully in place yet.

<sup>8</sup> Excellent in Namibia, in other countries unknown.

Check Lists used in support of the KAZA-TFCA Project External Review

<b>9. General Planning</b>	-2	-1	0	+1	+2
Was the component:					
• feasible					X
• viable					X
• well conceptualized					X
• well designed					X
• clearly described					X
• Compatible with local systems/institutions					X
• Competing with other projects		x <sup>9</sup>			
• Competing with other NGOs, institutions		x <sup>10</sup>			
• Was there flexibility for change during project					X
• Was there a call for annual workplans					X
• Was there a reporting schedule					X
• Was there a good exit strategy			x		

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<sup>9</sup> Some tensions with other NGOs active in the same geographic region.

<sup>10</sup> Some overlap.

Check Lists used in support of the KAZA-TFCA Project External Review

**Checklist 3: DURING**

<b>1.Operations</b>	yes	no
Implementation through a new project management unit (PMU)		x
In cooperation with others (whom)	x <sup>11</sup>	
<i>Project providing:</i>		
• building		X
• offices		X
• vehicles		X
• equipment	X	
• team leader		X
• staff (number)	3	
• person months (total number of months:	--	
• technical backstopping services	x	

<b>2. Team</b>	-2	-1	0	+1	+2
Sufficient staff for project					x
Personality of team leader					--
Effectiveness of team					X
Motivation of team					X
Time spent in the field					x

<b>3. Policies and Support</b>	-2	-1	0	+1	+2
Was there flexibility within project					x
How effective was donor back-up (SDC)	x <sup>12</sup>				
How effective was CI headquarters support		x			
Did monitoring take place as planned					X
Did evaluation take place as planned					X
Compliance with reporting schedule					X
Compliance with budget					X
Compliance with activity program					X
Compliance with timelines					x

<sup>11</sup> Work was done mostly by principle investigator.

<sup>12</sup> It would be desirable to have better communication with donor.

Check Lists used in support of the KAZA-TFCA Project External Review

<b>4. Government Commitment and Support</b>	-2	-1	0	+1	+2
<b>Strength of political commitment (and support) to the component</b>					
• national level Botswana					X
• national level Namibia					x
• national level Zambia				x	
• national level Angola		x			
• national level Zimbabwe		X			
• SADC Secretariat		X			
• donor community					X
• at managerial Dept./District level					x
• at field level (communities)			unknown		

<b>4. Constraints</b>	-2	-1	0	+1	+2
• Lack of institutional capacity in all 5 countries	x				
• Wavering commitment by member states	x				

Check Lists used in support of the KAZA-TFCA Project External Review

**Checklist 4: AFTER (In retrospect)**

Checklist 4 was not completed since all activities within this component are still on-going

<b>1. Strategy for monitoring and evaluation</b>	-2	-1	0	+1	+2
How good was definition of targets					
How good was definition of indicators/verifiers					
Was monitoring program implemented according to schedule					
Did evaluation take place as planned					
Was monitoring adequate					

<b>2. Component experience</b>	-2	-1	0	+1	+2
Was component “right” (highly relevant to TFCA establishment)					
Was training/capacity development aspect sufficiently addressed					
Has ownership been achieved at:					
• Government level					
• Community level					
In Retrospect:					
• Did target countries need/want it					
• Did target countries profit from it					
• Did the communities want it					
• Did the communities benefit from it					
• Did it contribute to poverty reduction					
• Are there resources to service it at field level					
• Is component sustainable					

**Summary Assessment**

<b>Component:</b>	Poor	Satisfactory	Good
Clarity of Goals and Objectives			<b>X</b>
Component Design		<b>X</b>	
Donor Support and Involvement			<b>X</b>
Achievement of objectives in terms of:			
• output		<b>X</b>	
• transfer of skills		Not applicable	
• follow-up prospects			<b>X</b>
• sustainability		Pending funding	
• transboundary acceptance			x

**ANNEX 2-b**

**Conservation International**

**Checklist 1: COMPONENT DATA**

**Title:** Chobe Floodplain transboundary linkages

**Duration:** 2003 - on-going

**Delays and Extension, Follow-up:** will be follow-up

**Total Component Cost (in US\$):** 240,000 (80,000/a including 2006)

**Funding sources (% of total) and amounts (in US\$):**

	Total	0-25%	25-50%	50-75%	75-100%
SDC					100

**Main Sources of Information:**

- 1 Progress reports
- 2 Annual reports
- 3 Publication and manuscripts, handbooks, leaflets

**Important documents not available:**

none

**Persons and Institutions Contacted in this Context:**

Carol Murphy  
Leo Braack  
Nathalie Barbancho

Check Lists used in support of the KAZA-TFCA Project External Review

**Checklist 2: BEFORE**

		yes	no	unknown
<b>1. Who initiated this component</b>	SDC			
	CI	x		
	IRDNC			
	other			

		Available? Yes or no
<b>2. Planning Sequence</b>	Was there a proposal/concept paper/profile for component	X
	Was the document prepared participatory ( involving key stakeholders)	X
	Was there an SDC project- or appraisal document for component	X
	Was there a monitoring plan for the component	x <sup>1</sup>
	Was there an agreement document with grant recipient	x
	Was there an agreement with SADC and/or recipient countries	no
	Was the component proposal fine-tuned with other donors in region	no

<b>3. Was the component discussed</b>		-2	-1	0	+1	+2
	At political level			X		
	At managerial level			X		
	With other donors			X		
	With communities					X
	With other key stakeholders					x

<b>4. Was the component relevant and of conservation priority</b>	Yes or no
In accordance with the regional TFCA strategy	yes
In accordance with regional (SADC) priorities	Yes
In accordance with priorities of five TFCA member countries	Yes
In accordance with national biodiv. strategies/action plans of each country	yes

<sup>1</sup> Monthly reports

Check Lists used in support of the KAZA-TFCA Project External Review

<b>5. Management capability</b>	-2	-1	0	+1	+2
How well could local CI/IRDNC office cope in terms of:					
• Staff					X
• Material support (transport etc.)					x
• Office/administrative ability	x <sup>2</sup>				
• Proven project management skills					x
<b>6. Objectives/Targets</b>		-1	0	+1	+2
Was there an element of strengthening NGO capability			X		
Was there an element of institution building (Governments)			X		
Were objectives well defined with sufficient detail					X
Were the objectives realistic					X
Were the objectives relevant					X
Was the proposed component timeline realistic	x <sup>3</sup>				
Were beneficiaries and target groups clearly identified					X
Were gender issues addressed					X
Was poverty alleviation a guiding principle					X
Was capacity development at grassroots sufficiently addressed					X
Was local empowerment addressed					X
Was alternative livelihood of rural poor addressed					X
Was the transboundary cooperation issue addressed					x

<b>7. Strategy for monitoring and evaluation</b>	-2	-1	0	+1	+2
How good was definition of targets				X	
How good was definition of indicators/verifiers					X
Was there a special monitoring program in place					X
Were assessment/evaluation dates specified					x
<b>8. Framework conditions</b>	-2	-1	0	+1	+2
Was there political commitment by member Nations			x		
Was the policy and legal framework for the component sufficient					X
Was there sufficient community information/public awareness					X
Was there community preparedness to participate (ownership)					X
Were there similar conservation interest/projects in region					x
Was there transboundary cooperation					x
How good was/is CI's TFCA strategy					x
Was there interest in TFCA-Conservancies by communities					x

<b>9. General Planning</b>	-2	-1	0	+1	+2
Was the component:					

<sup>2</sup> No office facilities available, no fax-machine, copier, phone etc

<sup>3</sup> Due to contractual conditions with SDC no long-term planning possible



Check Lists used in support of the KAZA-TFCA Project External Review

• feasible					X
• viable					X
• well conceptualized					X
• well designed					X
• clearly described					X
• Compatible with local systems/institutions					x <sup>4</sup>
• Competing with other projects					x
• Competing with other NGOs, institutions					X
• Was there flexibility for change during project					X
• Was there a call for annual workplans					x
• Was there a reporting schedule					x
• Was there a good exit strategy					x <sup>5</sup>

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<sup>4</sup> Excellent relationship with Induna (=traditional authority)

<sup>5</sup> Good for Kasika and Impalila conservancies. Will be self-sufficient by the end of 2006

Check Lists used in support of the KAZA-TFCA Project External Review

**Checklist 3: DURING**

<b>1.Operations</b>	yes	no
Implementation through a new project management unit (PMU)	X	
In cooperation with others (whom)	X	
<i>Project providing:</i>		
• building		X
• offices		X
• vehicles	X	
• equipment	X	
• team leader	x	
• staff (number)	2	
• person months (total number of months:	--	
• technical backstopping services	x <sup>6</sup>	

<b>2. Team</b>	-2	-1	0	+1	+2
Sufficient staff for project					x
Personality of team leader			--		
Effectiveness of team					X
Motivation of team					X
Time spent in the field					x

<b>3. Policies and Support</b>	-2	-1	0	+1	+2
Was there flexibility within project					X
How effective was donor back-up (SDC)	X				
How effective was CI headquarters support					X
Did monitoring take place as planned					X
Did evaluation take place as planned					X
Compliance with reporting schedule					X
Compliance with budget					X
Compliance with activity program					X
Compliance with timelines					x

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<sup>6</sup> Mostly referring to the financial sector

Check Lists used in support of the KAZA-TFCA Project External Review

<b>4. Government Commitment and Support</b>	-2	-1	0	+1	+2
<b>Strength of political commitment (and support) to the component</b>					
• national level Botswana			X		
• national level Namibia			X		
• national level Zambia			X		
• national level Angola			X		
• national level Zimbabwe			X		
• SADC Secretariat			X		
• donor community			x		
• at managerial Dept./District level					x
• at field level (communities)					x

<b>4. Constraints</b>	-2	-1	0	+1	+2
• lack of long-term perspective due to financial constraints	x				
• poor GIS support to mapping part	x				

Check Lists used in support of the KAZA-TFCA Project External Review

**Checklist 4: AFTER (In retrospect)**

Checklist 4 was not completed since all activities within this component are still on-going

<b>1. Strategy for monitoring and evaluation</b>	-2	-1	0	+1	+2
How good was definition of targets					
How good was definition of indicators/verifiers					
Was monitoring program implemented according to schedule					
Did evaluation take place as planned					
Was monitoring adequate					

<b>2. Component experience</b>	-2	-1	0	+1	+2
Was component “right” (highly relevant to TFCA establishment)					
Was training/capacity development aspect sufficiently addressed					
Has ownership been achieved at:					
• Government level					
• Community level					
In Retrospect:					
• Did target countries need/want it					
• Did target countries profit from it					
• Did the communities want it					
• Did the communities benefit from it					
• Did it contribute to poverty reduction					
• Are there resources to service it at field level					
• Is component sustainable					

**Summary Assessment**

<b>Component:</b>	Poor	Satisfactory	Good
Clarity of Goals and Objectives			<b>X</b>
Component Design			<b>X</b>
Donor Support and Involvement			<b>X</b>
Achievement of objectives in terms of:			
• output			X
• transfer of skills			X
• follow-up prospects			X
• sustainability			X <sup>7</sup>
• transboundary acceptance			x

<sup>7</sup> Pending fund availability

## **ANNEX 2-c**

### **Conservation International**

#### **Checklist 1: COMPONENT DATA**

**Title:** Facilitation, supervision and support for elephant projects throughout the TFCA  
Mike Chase: elephant aerial surveys, Elephant workshop  
John Hanks: Chilli Pepper Consultancy

**Duration:** 2002 and on-going

**Delays and Extension, Follow-up:** on-going

**Total Component Cost (in US\$):** 1.04 Million

#### **Funding sources (% of total) and amounts (in US\$):**

	Total	0-25%	25-50%	50-75%	75-100%
SDC (workshop, 2005 survey, Chilli Pepper Consultancy)	70,000	7%			
CI and other sources 2005-2006	980,000				

#### **Budget History:**

- 2002: Elephant surveys, satellite tracking, human-elephant conflict studies: SDC = Zero direct costs; Others = US\$ 280,981
- 2003: Elephant surveys, satellite tracking, human –elephant conflict studies: SDC = Zero direct costs; Others = US\$ 216,944
- 2004: Elephant surveys, satellite tracking, human-elephant conflict studies: SDC = Zero direct costs; Others = US\$ 123,000
- 2005: Aerial census of elephant in KAZA TFCA, plus salary contribution: SDC = US\$ 44,603; Others = US\$ 150,000
- 2006: Elephant workshop : SDC = US\$ 15,873; EXXON = US\$ 23,809
- Chilli Pepper Review: SDC = US\$ 15,873 (zero contribution from others for this component)
- Elephant Tracking and Surveys: SDC = Zero; Greenspun Foundation = US\$ 150,000

#### **Main Sources of Information:**

- 1 Elephant workshop proceedings (CI Archives)
- 2 Chilli Pepper Consultancy report (CI Archives)
- 3 Chase Michael: Status Report on Elephants in Angola, Caprivi, SW Zambia, Botswana (CI Archives)1

#### **Important documents not available:**

none

Check Lists used in support of the KAZA-TFCA Project External Review

**Persons and Institutions Contacted in this Context:**

Michael Chase, CI

John Hanks, CI consultant

Leo Braack

Check Lists used in support of the KAZA-TFCA Project External Review

**Checklist 2: BEFORE**

		yes	no	unknown
<b>1. Who initiated this component</b>	SDC			
	CI	x		
	IRDNC			
	other			

		Available? Yes or no
<b>2. Planning Sequence</b>	Was there a proposal/concept paper/profile for component	yes
	Was the document prepared participatory ( involving key stakeholders)	yes
	Was there an SDC project- or appraisal document for component	unknown
	Was there a monitoring plan for the component	yes <sup>1</sup>
	Was there an agreement document with grant recipient	yes
	Was there an agreement with SADC and/or recipient countries	yes <sup>2</sup>
	Was the component proposal fine-tuned with other donors in region	yes <sup>3</sup>

<b>3. Was the component discussed</b>		-2	-1	0	+1	+2
	At political level				x	
	At managerial level					x
	With other donors					x
	With communities	x				
	With other key stakeholders				x	

<b>4. Was the component relevant and of conservation priority</b>	Yes or no
In accordance with the regional TFCA strategy	yes
In accordance with regional (SADC) priorities	no
In accordance with priorities of five TFCA member countries	yes
In accordance with national biodiv. strategies/action plans of each country	yes <sup>4</sup>

<sup>1</sup> Bi-annual progress report, stakeholder workshops, quarterly progress reports.

<sup>2</sup> Endorsement and work permits, research permits and surveys implemented jointly with target countries.

<sup>3</sup> US F&Wildlife Service, AWF, Regional IUCN.

<sup>4</sup> Only Namibia and Botswana.

Check Lists used in support of the KAZA-TFCA Project External Review

<b>5. Management capability</b>	-2	-1	0	+1	+2
How well could local CI/IRDNC office cope in terms of:					
• Staff	X				
• Material support (transport etc.)	X				
• Office/administrative ability	x				
• Proven project management skills					x <sup>5</sup>
		-1	0	+1	+2
<b>6. Objectives/Targets</b>					
Was there an element of strengthening NGO capability	x				
Was there an element of institution building (Governments)			x		
Were objectives well defined with sufficient detail					x <sup>6</sup>
Were the objectives realistic					X
Were the objectives relevant					X
Was the proposed component timeline realistic	X				
Were beneficiaries and target groups clearly identified	x				
Were gender issues addressed			X		
Was poverty alleviation a guiding principle					x <sup>7</sup>
Was capacity development at grassroots sufficiently addressed	X				
Was local empowerment addressed				X	
Was alternative livelihood of rural poor addressed					X
Was the transboundary cooperation issue addressed					x

<b>7. Strategy for monitoring and evaluation</b>	-2	-1	0	+1	+2
How good was definition of targets				X	
How good was definition of indicators/verifiers					X
Was there a special monitoring program in place					X
Were assessment/evaluation dates specified					x
<b>8. Framework conditions</b>	-2	-1	0	+1	+2
Was there political commitment by member Nations		X			
Was the policy and legal framework for the component sufficient	x <sup>8</sup>				
Was there sufficient community information/public awareness				x <sup>9</sup>	
Was there community preparedness to participate (ownership)				x	
Were there similar conservation interest/projects in region				X	
Was there transboundary cooperation					x
How good was/is CI's TFCA strategy				x	
Was there interest in TFCA-Conservancies by communities					x

<sup>5</sup> Michael Chase was the principal investigator.

<sup>6</sup> Work was a dynamic process based on "lessons learnt" causing shifts in emphasis.

<sup>7</sup> Addressing human-elephant conflicts, conservancies, consumptive use.

<sup>8</sup> CITES seen as handicap; also there is no uniform elephant management in place.

<sup>9</sup> Only conservancies targeted by CI and IRDNC.



Check Lists used in support of the KAZA-TFCA Project External Review

<b>9. General Planning</b>	-2	-1	0	+1	+2
Was the component:					
• feasible					X
• viable					X
• well conceptualized					X
• well designed					X
• clearly described					X
• Compatible with local systems/institutions				X	
• Competing with other projects	x <sup>10</sup>				
• Competing with other NGOs, institutions	x <sup>11</sup>				
• Was there flexibility for change during project					X
• Was there a call for annual workplans					X
• Was there a reporting schedule					x
• Was there a good exit strategy			x		

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<sup>10</sup> Competing with a project started by Rudi van Aarden (University of Pretoria) who applied for and received funds from PPF to work in Zambia; conflict has been resolved.

<sup>11</sup> Has not been resolved yet with Angola.

Check Lists used in support of the KAZA-TFCA Project External Review

**Checklist 3: DURING**

<b>1.Operations</b>	yes	no
Implementation through a new project management unit (PMU)		x
In cooperation with others (whom)	x <sup>12</sup>	
<i>Project providing:</i>		
• building		X
• offices		X
• vehicles	X	
• equipment	X	
• team leader	X	
• staff (number)	x	
• person months (total number of months: 5 years)		
• technical backstopping services	x <sup>13</sup>	

<b>2. Team</b>	-2	-1	0	+1	+2
Sufficient staff for project	x				
Personality of team leader					X
Effectiveness of team					X
Motivation of team					X
Time spent in the field					x

<b>3. Policies and Support</b>	-2	-1	0	+1	+2
Was there flexibility within project					X
How effective was donor back-up (SDC)	X				
How effective was CI headquarters support	X				
Did monitoring take place as planned					X
Did evaluation take place as planned					X
Compliance with reporting schedule					X
Compliance with budget					X
Compliance with activity program					X
Compliance with timelines					X

<sup>12</sup> University of Botswana, Botswana Government, University of Massachusetts.

<sup>13</sup> Through PhD supervisor in Massachusetts.

Check Lists used in support of the KAZA-TFCA Project External Review

<b>4. Government Commitment and Support</b>	-2	-1	0	+1	+2
<b>Strength of political commitment (and support) to the component</b>					
• national level Botswana					X
• national level Namibia					X
• national level Zambia		X			
• national level Angola		X			
• national level Zimbabwe			X		
• SADC Secretariat			x		
• donor community			unknown		
• at managerial Dept./District level				x	
• at field level (communities)	x				

<b>4. Constraints</b>	-2	-1	0	+1	+2
• insufficient staff		x			
• unsecured funding		x			
• administrative constraints		x			
•					
•					
•					
•					
•					
•					

Check Lists used in support of the KAZA-TFCA Project External Review

**Checklist 4: AFTER (In retrospect)**

<b>1. Strategy for monitoring and evaluation</b>	-2	-1	0	+1	+2
How good was definition of targets		x <sup>14</sup>			
How good was definition of indicators/verifiers				X	
Was monitoring program implemented according to schedule				X	
Did evaluation take place as planned				X	
Was monitoring adequate				x <sup>15</sup>	

<b>2. Component experience</b>	-2	-1	0	+1	+2
Was component “right” (highly relevant to TFCA establishment)					x
Was training/capacity development aspect sufficiently addressed		x <sup>16</sup>			
Has ownership been achieved at:					
• Government level					x
• Community level		x			
In Retrospect:					
• Did target countries need/want it					X
• Did target countries profit from it					x
• Did the communities want it		x <sup>17</sup>			
• Did the communities benefit from it				X	
• Did it contribute to poverty reduction				X	
• Are there resources to service it at field level				x <sup>18</sup>	
• Is component sustainable					

**Summary Assessment**

<b>Component:</b>	Poor	Satisfactory	Good
Clarity of Goals and Objectives		X	
Component Design		X	
Donor Support and Involvement		X	
Achievement of objectives in terms of:			
• output		X	
• transfer of skills	x		
• follow-up prospects		X	
• sustainability	x		
• transboundary acceptance			x

<sup>14</sup> Targets were identified but changed over time in response to lessons learnt and changing framework conditions.

<sup>15</sup> Possible need for more regular reporting-back and brainstorming.

<sup>16</sup> There was training of Zambians and Namibians in aerial survey techniques.

<sup>17</sup> Communities highly interested in application of Chilli Pepper and conflict resolutions regarding wildlife-human conflicts.

<sup>18</sup> As integral part of other CBNRM activities in targeted Conservancies.

Check Lists used in support of the KAZA-TFCA Project External Review

**ANNEX 2-d**

Conservation International

**Checklist 1: COMPONENT DATA**

**Title:** Economic Impacts of TFCA's

**Component Duration:** 2002-2006

**Delays and Extension, Follow-up:** follow-up socio-economic 6 months study (financed by ESSO)

**Total Component Cost (in US\$):** 44.117

**Funding sources (% of total) and amounts (in US\$):**

	Total (thousand)	0-25%	25-50%	50-75%	75-100%
SDC	44.1				x
(Follow-up study) ESSO <sup>1</sup>	25.1				

**Main Sources of Information:**

1 Suich, H. 2005. Tourism in the Kavango-Zambezi Transfrontier Conservation Area. Final report.

2 Suich, H. et al. 2005. Economic Impacts of TFCAs: Baseline of Tourism in the Kaza TFCA. CI Paper No. 4. 2005.

**Important documents not available:**

Pre-Feasibility Study (3 volumes) of KAZA TFCA from 2006 by Hanks et al. on behalf of PPF.

Vital statistics for Kaza TFCA to which to relate the tourism study results subject to this component.

**Persons and Institutions Contacted in this Context:**

Leo Braack  
John Hanks  
Sedia Modise

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<sup>1</sup> The study has been commissioned; to be finalized by December 2006

Check Lists used in support of the KAZA-TFCA Project External Review

Check Lists used in support of the KAZA-TFCA Project External Review

**Checklist 2: BEFORE**

		yes	no	unknown
<b>1. Who initiated this component</b>	SDC			
	CI	x		
	IRDNC			
	other			

		Available? Yes or no
<b>2. Planning Sequence</b>	Was there a proposal/concept paper/ <i>profile</i> for component	yes
	Was the document prepared participatory ( involving key stakeholders --specify)	yes
	Was there an SDC project- or appraisal document for component	yes
	Was there a monitoring plan for the component <i>indicators</i>	yes
	Was there an agreement document with grant recipient	yes
	Was there an agreement with SADC and/or recipient countries	no
	Was the component proposal fine-tuned with other donors in region	no

<b>3. Was the component discussed</b>		-2	-1	0	+1	+2
	At political level		x			
	At managerial level				x	
	With other donors		x			
	With communities	x				
	With other key stakeholders		x			

<b>4. Was the component relevant and of conservation priority</b>	Yes or no
In accordance with the regional TFCA strategy	yes
In accordance with regional (SADC) priorities	yes
In accordance with priorities of five TFCA member countries	yes
In accordance with national biodiv. strategies/action plans of each country	yes



Check Lists used in support of the KAZA-TFCA Project External Review

<b>5. Management capability</b>	-2	-1	0	+1	+2
How well could local CI office cope in terms of:					
• Staff		x			
• Material support (transport etc.)				x	
• Office/administrative ability				x	
• Proven project management skills		x			
<b>6. Objectives/Targets</b>					
Was there an element of strengthening NGO capability		x <sup>2</sup>			
Was there an element of institution building (Governments)			x		
Were objectives well defined with sufficient detail	x <sup>3</sup>				
Were the objectives realistic	x				x
Were the objectives relevant	x				
Was the proposed component timeline realistic	x				
Were beneficiaries and target groups clearly identified	x				
Were gender issues addressed	x				
Was poverty alleviation a guiding principle	x				
Was capacity development at grassroots sufficiently addressed	x				
Was local empowerment addressed	x				
Was alternative livelihood of rural poor addressed					
Was the transboundary cooperation issue addressed					x
<b>7. Strategy for monitoring and evaluation</b>	-2	-1	0	+1	+2
How good was definition of targets	x				
How good was definition of indicators/verifiers		x <sup>4</sup>			
Was there a special monitoring program in place	x				
Were assessment/evaluation dates specified					x
<b>8. Framework conditions</b>	-2	-1	0	+1	+2
Was there political commitment by member Nations					x
Was the policy and legal framework for the component sufficient	x <sup>5</sup>				
Was there sufficient community information/public awareness	x				
Was there community preparedness to participate (ownership)	x				
Were there similar conservation interest/projects in region			x		
Was there transboundary cooperation					x
How good was/is CI's TFCA strategy in this context	x <sup>6</sup>				
Was there interest in TFCA-Conservancies by communities					x

<sup>2</sup> CI has no permanent staff capable of dealing with this component in a professional manne.

<sup>3</sup> The focus of this component related to KAZA was related exclusively to the tourism sector addressing tour operators and lodges only. There was no element addressing expected impacts on the community/household level (negative or positive economic impacts).

<sup>4</sup> As applied to the targeted tourism sector the indicators were partly adequate (minor handicap).

<sup>5</sup> No coordinated and harmonized transfrontier policy concept in place yet for any of expected economic impacts.

<sup>6</sup> Lopsided focal area with emphasis on tourism instead of broadly approaching community issues

Check Lists used in support of the KAZA-TFCA Project External Review

<b>9. General Planning</b>	-2	-1	0	+1	+2
Was the component:					
• feasible					x
• viable					x
• well conceptualized	x				
• well designed	x				
• clearly described	x				
• Compatible with local systems/institutions				x	
• Competing with other projects					x
• Competing with other NGOs, institutions					x
• Was there flexibility for change during project					x <sup>7</sup>
• Was there a call for annual workplans			x		
• Was there a reporting schedule				x	
• Was there a good exit strategy	x				

<sup>7</sup> Recognizing the need to identify other impacts, mainly on the community level, Ci has commissioned an additional study to be finalized within 2006 (for further details it is referred to the narrative for this component in the final evaluation report).

Check Lists used in support of the KAZA-TFCA Project External Review

**Checklist 3: DURING**

<b>1.Operations</b>	yes	no
Implementation through a new project management unit (PMU)		x
In cooperation with others (whom)		x
<i>Project providing:</i>		
• building		x
• offices		x
• vehicles		x
• equipment		x
• team leader		x <sup>8</sup>
• staff (number): 1 full time, one seconded by SDC	x	
• person months (total number of months: 9)	x	
• technical backstopping services through CI	x	

<b>2. Team</b>	-2	-1	0	+1	+2
Sufficient staff for project		x			
Personality of team leader					
Effectiveness of team				x	
Motivation of team					x
Time spent in the field		x			

<b>3. Policies and Support</b>	-2	-1	0	+1	+2
Was there flexibility within project			x		
How effective was donor back-up (SDC)					x <sup>9</sup>
How effective was CI headquarters support (Washington)	x				
Did monitoring take place as planned					x
Did evaluation take place as planned					x <sup>10</sup>
Compliance with reporting schedule					x
Compliance with budget					x
Compliance with activity program					x
Compliance with timelines					x

<sup>8</sup> A principal investigator was provided by CI (staff member) for the duration of the study.

<sup>9</sup> SDC provided funds specified by CI.

<sup>10</sup> Evaluation failed to recognize lop-sided focal area of component investigation.

Check Lists used in support of the KAZA-TFCA Project External Review

<b>4. Government Commitment and Support</b>	-2	-1	0	+1	+2
Strength of political commitment (and support) to the component <sup>11</sup> (tourism only)					
• national level Botswana					x
• national level Namibia					x
• national level Zambia					x
• national level Angola		x			
• national level Zimbabwe					x
• SADC Secretariat	x				
• donor community			x		
• at managerial Dept./District level					x
• at field level (communities)	x				

<b>4. Constraints</b>	-2	-1	0	+1	+2
• staff (un-experienced)		x			
• choice of work focus	x				
• poor conceptualization of component	x				
• insufficient funding	x				
• poor identification of target groups	x				

<sup>11</sup> This relates to the tourism sector only as the only focal area of the CI socio-economic impacts component.

Check Lists used in support of the KAZA-TFCA Project External Review

**Checklist 4: AFTER (In retrospect)**

<b>1. Strategy for monitoring and evaluation</b>	-2	-1	0	+1	+2
How good was definition of targets	x				
How good was definition of indicators/verifiers	x				
Was monitoring program implemented according to schedule				x	
Did evaluation take place as planned				x	
Was monitoring adequate	x				

<b>2. Component experience</b>	-2	-1	0	+1	+2
Was component “right” (highly relevant to TFCA establishment)	x <sup>12</sup>				
Was training/capacity development aspect sufficiently addressed			x <sup>13</sup>		
Has ownership been achieved at:					
• Government level			x		
• Community level	x				
In Retrospect:					
• Did target countries need/want it					x
• Did target countries profit from it					x
• Did the communities want it			x		
• Did the communities benefit from it	x				
• Did it contribute to poverty reduction	x				
• Are there resources to service it at field level			x		
• Is component sustainable			x		

<sup>12</sup> Failing to recognize the need for addressing the critical community level impacts the tourism study in itself is considered an asset but too specific an area in order to compensate for neglecting community impacts. There is consensus that without community support conservation efforts will fail. Community support for the TFCA can only be achieved by securing community livelihood, minimizing adverse impacts expected through the TFCA, and providing tangible community/household benefits.

<sup>13</sup> Training and capacity development was not applicable to this component (study character).

Check Lists used in support of the KAZA-TFCA Project External Review

**Summary Assessment**

<b>Component:</b>	Poor	Satisfactory	Good
Clarity of Goals and Objectives	x		
Component Design	x		
Donor Support and Involvement		x <sup>14</sup>	
Achievement of objectives in terms of:			
• output	x		
• transfer of skills	x		
• follow-up prospects		x <sup>15</sup>	
• sustainability	Not applicable		
• transboundary acceptance			x

<sup>14</sup> Confined to SDC support; ESSO has only been approached by CI recently on termination of SDC funding.

<sup>15</sup> ESSO funding available for additional study addressing community concerns commissioned to University of Cape Town

**ANNEX 2-d**

Conservation International

**Checklist 1: COMPONENT DATA**

**Title:** Economic Impacts of TFCA's

**Component Duration:** 2002-2006

**Delays and Extension, Follow-up:** follow-up socio-economic 6 months study (financed by ESSO)

**Total Component Cost (in US\$):** 44.117

**Funding sources (% of total) and amounts (in US\$):**

	Total (thousand)	0-25%	25-50%	50-75%	75-100%
SDC	44.1				x
(Follow-up study) ESSO <sup>1</sup>	25.1				

**Main Sources of Information:**

1 Suich, H. 2005. Tourism in the Kavango-Zambezi Transfrontier Conservation Area. Final report.

2 Suich, H. et al. 2005. Economic Impacts of TFCAs: Baseline of Tourism in the Kaza TFCA. CI Paper No. 4. 2005.

**Important documents not available:**

Pre-Feasibility Study (3 volumes) of KAZA TFCA from 2006 by Hanks et al. on behalf of PPF.

Vital statistics for Kaza TFCA to which to relate the tourism study results subject to this component.

**Persons and Institutions Contacted in this Context:**

Leo Braack  
John Hanks  
Sedia Modise

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<sup>1</sup> The study has been commissioned; to be finalized by December 2006

Check Lists used in support of the KAZA-TFCA Project External Review



Check Lists used in support of the KAZA-TFCA Project External Review

**Checklist 2: BEFORE**

		yes	no	unknown
<b>1. Who initiated this component</b>	SDC			
	CI	x		
	IRDNC			
	other			

		Available? Yes or no
<b>2. Planning Sequence</b>	Was there a proposal/concept paper/ <i>profile</i> for component	yes
	Was the document prepared participatory ( involving key stakeholders --specify)	yes
	Was there an SDC project- or appraisal document for component	yes
	Was there a monitoring plan for the component <i>indicators</i>	yes
	Was there an agreement document with grant recipient	yes
	Was there an agreement with SADC and/or recipient countries	no
	Was the component proposal fine-tuned with other donors in region	no

<b>3. Was the component discussed</b>		-2	-1	0	+1	+2
	At political level		x			
	At managerial level				x	
	With other donors		x			
	With communities	x				
	With other key stakeholders		x			

<b>4. Was the component relevant and of conservation priority</b>	Yes or no
In accordance with the regional TFCA strategy	yes
In accordance with regional (SADC) priorities	yes
In accordance with priorities of five TFCA member countries	yes
In accordance with national biodiv. strategies/action plans of each country	yes

Check Lists used in support of the KAZA-TFCA Project External Review

<b>5. Management capability</b>	-2	-1	0	+1	+2
How well could local CI office cope in terms of:					
• Staff		x			
• Material support (transport etc.)				x	
• Office/administrative ability				x	
• Proven project management skills		x			
<b>6. Objectives/Targets</b>					
Was there an element of strengthening NGO capability		x <sup>2</sup>			
Was there an element of institution building (Governments)			x		
Were objectives well defined with sufficient detail	x <sup>3</sup>				
Were the objectives realistic	x				x
Were the objectives relevant	x				
Was the proposed component timeline realistic	x				
Were beneficiaries and target groups clearly identified	x				
Were gender issues addressed	x				
Was poverty alleviation a guiding principle	x				
Was capacity development at grassroots sufficiently addressed	x				
Was local empowerment addressed	x				
Was alternative livelihood of rural poor addressed					
Was the transboundary cooperation issue addressed					x
<b>7. Strategy for monitoring and evaluation</b>	-2	-1	0	+1	+2
How good was definition of targets	x				
How good was definition of indicators/verifiers		x <sup>4</sup>			
Was there a special monitoring program in place	x				
Were assessment/evaluation dates specified					x
<b>8. Framework conditions</b>	-2	-1	0	+1	+2
Was there political commitment by member Nations					x
Was the policy and legal framework for the component sufficient	x <sup>5</sup>				
Was there sufficient community information/public awareness	x				
Was there community preparedness to participate (ownership)	x				
Were there similar conservation interest/projects in region			x		
Was there transboundary cooperation					x
How good was/is CI's TFCA strategy in this context	x <sup>6</sup>				
Was there interest in TFCA-Conservancies by communities					x

<sup>2</sup> CI has no permanent staff capable of dealing with this component in a professional manne.

<sup>3</sup> The focus of this component related to KAZA was related exclusively to the tourism sector addressing tour operators and lodges only. There was no element addressing expected impacts on the community/household level (negative or positive economic impacts).

<sup>4</sup> As applied to the targeted tourism sector the indicators were partly adequate (minor handicap).

<sup>5</sup> No coordinated and harmonized transfrontier policy concept in place yet for any of expected economic impacts.

<sup>6</sup> Lopsided focal area with emphasis on tourism instead of broadly approaching community issues

Check Lists used in support of the KAZA-TFCA Project External Review

<b>9. General Planning</b>	-2	-1	0	+1	+2
Was the component:					
• feasible					x
• viable					x
• well conceptualized	x				
• well designed	x				
• clearly described	x				
• Compatible with local systems/institutions				x	
• Competing with other projects					x
• Competing with other NGOs, institutions					x
• Was there flexibility for change during project					x <sup>7</sup>
• Was there a call for annual workplans			x		
• Was there a reporting schedule				x	
• Was there a good exit strategy	x				

<sup>7</sup> Recognizing the need to identify other impacts, mainly on the community level, Ci has commissioned an additional study to be finalized within 2006 (for further details it is referred to the narrative for this component in the final evaluation report).

Check Lists used in support of the KAZA-TFCA Project External Review

**Checklist 3: DURING**

<b>1.Operations</b>	yes	no
Implementation through a new project management unit (PMU)		x
In cooperation with others (whom)		x
<i>Project providing:</i>		
• building		x
• offices		x
• vehicles		x
• equipment		x
• team leader		x <sup>8</sup>
• staff (number): 1 full time, one seconded by SDC	x	
• person months (total number of months: 9)	x	
• technical backstopping services through CI	x	

<b>2. Team</b>	-2	-1	0	+1	+2
Sufficient staff for project		x			
Personality of team leader					
Effectiveness of team				x	
Motivation of team					x
Time spent in the field		x			

<b>3. Policies and Support</b>	-2	-1	0	+1	+2
Was there flexibility within project			x		
How effective was donor back-up (SDC)					x <sup>9</sup>
How effective was CI headquarters support (Washington)	x				
Did monitoring take place as planned					x
Did evaluation take place as planned					x <sup>10</sup>
Compliance with reporting schedule					x
Compliance with budget					x
Compliance with activity program					x
Compliance with timelines					x

<sup>8</sup> A principal investigator was provided by CI (staff member) for the duration of the study.

<sup>9</sup> SDC provided funds specified by CI.

<sup>10</sup> Evaluation failed to recognize lop-sided focal area of component investigation.

Check Lists used in support of the KAZA-TFCA Project External Review

<b>4. Government Commitment and Support</b>	-2	-1	0	+1	+2
Strength of political commitment (and support) to the component <sup>11</sup> (tourism only)					
• national level Botswana					x
• national level Namibia					x
• national level Zambia					x
• national level Angola		x			
• national level Zimbabwe					x
• SADC Secretariat	x				
• donor community			x		
• at managerial Dept./District level					x
• at field level (communities)	x				

<b>4. Constraints</b>	-2	-1	0	+1	+2
• staff (un-experienced)		x			
• choice of work focus	x				
• poor conceptualization of component	x				
• insufficient funding	x				
• poor identification of target groups	x				

<sup>11</sup> This relates to the tourism sector only as the only focal area of the CI socio-economic impacts component.

Check Lists used in support of the KAZA-TFCA Project External Review

**Checklist 4: AFTER (In retrospect)**

<b>1. Strategy for monitoring and evaluation</b>	-2	-1	0	+1	+2
How good was definition of targets	x				
How good was definition of indicators/verifiers	x				
Was monitoring program implemented according to schedule				x	
Did evaluation take place as planned				x	
Was monitoring adequate	x				

<b>2. Component experience</b>	-2	-1	0	+1	+2
Was component “right” (highly relevant to TFCA establishment)	x <sup>12</sup>				
Was training/capacity development aspect sufficiently addressed			x <sup>13</sup>		
Has ownership been achieved at:					
• Government level			x		
• Community level	x				
In Retrospect:					
• Did target countries need/want it					x
• Did target countries profit from it					x
• Did the communities want it			x		
• Did the communities benefit from it	x				
• Did it contribute to poverty reduction	x				
• Are there resources to service it at field level			x		
• Is component sustainable			x		

<sup>12</sup> Failing to recognize the need for addressing the critical community level impacts the tourism study in itself is considered an asset but too specific an area in order to compensate for neglecting community impacts. There is consensus that without community support conservation efforts will fail. Community support for the TFCA can only be achieved by securing community livelihood, minimizing adverse impacts expected through the TFCA, and providing tangible community/household benefits.

<sup>13</sup> Training and capacity development was not applicable to this component (study character).

Check Lists used in support of the KAZA-TFCA Project External Review

**Summary Assessment**

<b>Component:</b>	Poor	Satisfactory	Good
Clarity of Goals and Objectives	x		
Component Design	x		
Donor Support and Involvement		x <sup>14</sup>	
Achievement of objectives in terms of:			
• output	x		
• transfer of skills	x		
• follow-up prospects		x <sup>15</sup>	
• sustainability	Not applicable		
• transboundary acceptance			x

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<sup>14</sup> Confined to SDC support; ESSO has only been approached by CI recently on termination of SDC funding.

<sup>15</sup> ESSO funding available for additional study addressing community concerns commissioned to University of Cape Town

## ANNEX 2-e

### IRDNC

#### **Checklist 1: COMPONENT DATA**

**Title:** To facilitate sustainable, robust and well managed target conservancies/trusts<sup>1</sup> with all appropriate components of their management framework operations

**Duration:** 2004-2008

**Delays and Extension, Follow-up:**

**Total Component Cost (in US\$):**

**Funding sources (% of total) and amounts (in US\$):**

	Total	0-25%	25-50%	50-75%	75-100%
2004-2005					
SDC	0				
WWF	120,000				100%
2005-2008					
SDC	433,000				100%
WWF	0				

#### **Main Sources of Information:**

- 1 IRDNC presentation and follow-up discussions
- 2 Gazettment of Impalila and Kasika Conservancies
- 3 Project Proposal to SDC
4. Annual reports and progress reports
- 5 Internal evaluation

#### **Important documents not available:**

none

#### **Persons and Institutions Contacted in this Context:**

Daisy Nheta  
Richard Diggle

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<sup>1</sup> The Kyaramacan Trust is included in all references to target conservancies unless stated otherwise.



Check Lists used in support of the KAZA-TFCA Project External Review

**Checklist 2: BEFORE**

		yes	no	unknown
<b>1. Who initiated this component</b>	SDC			
	CI			
	IRDNC	x		
	other			

		Available? Yes or no
<b>2. Planning Sequence</b>	Was there a proposal/concept paper/profile for component	x <sup>2</sup>
	Was the document prepared participatory ( involving key stakeholders)	x <sup>3</sup>
	Was there an SDC project- or appraisal document for component	No
	Was there a monitoring plan for the component	Yes
	Was there an agreement document with grant recipient	Yes
	Was there an agreement with SADC and/or recipient countries	no <sup>4</sup>
	Was the component proposal fine-tuned with other donors in region	yes <sup>5</sup>

<b>3. Was the component discussed</b>		-2	-1	0	+1	+2
	At political level					X
	At managerial level					X
	With other donors					X
	With communities					x
	With other key stakeholders			x		

<b>4. Was the component relevant and of conservation priority</b>	Yes or no
In accordance with the regional TFCA strategy	Yes
In accordance with regional (SADC) priorities	Yes
In accordance with priorities of five TFCA member countries	Yes
In accordance with national biodiv. strategies/action plans of each country	Yes (Namibia only)

<sup>2</sup> Original funding proposal was to WWF-UK (5-year program), bridge funding and missing elements subject to subsequent SDC funding proposal.

<sup>3</sup> Planned jointly with MET and 2 stakeholder workshops.

<sup>4</sup> Facilitated community interaction between neighbouring communities (no direct work/involvement in neighbouring conservancies outside Namibia).

<sup>5</sup> Proposal widely distributed in Namibia, feedback incorporated (WWF-UK only).

Check Lists used in support of the KAZA-TFCA Project External Review

<b>5. Management capability</b>	-2	-1	0	+1	+2
How well could local IRDNC office cope in terms of:					
• Staff		x			
• Material support (transport etc.)				x <sup>6</sup>	
• Office/administrative ability				X	
• Proven project management skills					x
<b>6. Objectives/Targets</b>		-1	0	+1	+2
Was there an element of strengthening NGO capability			x		
Was there an element of institution building (Governments)					X
Were objectives well defined with sufficient detail			X		
Were the objectives realistic					X
Were the objectives relevant					X
Was the proposed component timeline realistic					X
Were beneficiaries and target groups clearly identified					X
Were gender issues addressed					X
Was poverty alleviation a guiding principle					X
Was capacity development at grassroots sufficiently addressed				x <sup>7</sup>	
Was local empowerment addressed					X
Was alternative livelihood of rural poor addressed	X				
Was the transboundary cooperation issue addressed					x <sup>8</sup>

<b>7. Strategy for monitoring and evaluation</b>	-2	-1	0	+1	+2
How good was definition of targets					X
How good was definition of indicators/verifiers					X
Was there a special monitoring program in place					X
Were assessment/evaluation dates specified					x
<b>8. Framework conditions</b>	-2	-1	0	+1	+2
Was there political commitment by member Nations					
Was the policy and legal framework for the component sufficient					
Was there sufficient community information/public awareness			x <sup>9</sup>		
Was there community preparedness to participate (ownership)					X
Were there similar conservation interest/projects in region					X
Was there transboundary cooperation			x		
How good was/is CI's TFCA strategy					X
Was there interest in TFCA-Conservancies by communities					X
<b>9. General Planning</b>	-2	-1	0	+1	+2

<sup>6</sup> Insufficient equipment for mapping component.

<sup>7</sup> Tailored to WWF needs/requirements.

<sup>8</sup> Conservancy structures enable TB for a.

<sup>9</sup> To be dealt with under TBNRM: TB for a.

Check Lists used in support of the KAZA-TFCA Project External Review

Was the component:					
• feasible					X
• viable					Xx
• well conceptualized					X
• well designed					X
• clearly described		X			
• Compatible with local systems/institutions					X
• Competing with other projects					X
• Competing with other NGOs, institutions					X
• Was there flexibility for change during project					X
• Was there a call for annual workplans					X
• Was there a reporting schedule					X
• Was there a good exit strategy					x

Check Lists used in support of the KAZA-TFCA Project External Review

**Checklist 3: DURING**

<b>1.Operations</b>	yes	no
Implementation through a new project management unit (PMU)		x
In cooperation with others (whom)	x <sup>10</sup>	
<i>Project providing:</i>		
• building		X
• offices		X
• vehicles	X	
• equipment	X	
• team leader		X
• staff (number)	1 <sup>11</sup>	
• person months (total number of months:	--	
• technical backstopping services		x

<b>2. Team</b>	-2	-1	0	+1	+2
Sufficient staff for project					x
Personality of team leader			x		
Effectiveness of team					x
Motivation of team					x
Time spent in the field					x

<b>3. Policies and Support</b>	-2	-1	0	+1	+2
Was there flexibility within project					x
How effective was donor back-up (SDC)			x		
Did monitoring take place as planned					x
Did evaluation take place as planned					x
Compliance with reporting schedule					x
Compliance with budget					x
Compliance with activity program					x
Compliance with timelines					x

<sup>10</sup> Jointly with WWF-UK, NACSO (NGO organization).

<sup>11</sup> One salaried position also used for other components.

Check Lists used in support of the KAZA-TFCA Project External Review

<b>4. Government Commitment and Support</b>	-2	-1	0	+1	+2
<b>Strength of political commitment (and support) to the component</b>					
• national level Botswana			X		
• national level Namibia					x
• national level Zambia			X		
• national level Angola			X		
• national level Zimbabwe			X		
• SADC Secretariat			X		
• donor community			X		
• at managerial Dept./District level					X
• at field level (communities)					x

<b>4. Constraints</b>	-2	-1	0	+1	+2
• (one identified by IRDNC)					
• Internal power struggles inside some Conservancies		x			
• Elected members not always qualified		x			
• Poor communication between electorate and constituents	x				

Check Lists used in support of the KAZA-TFCA Project External Review

**Checklist 4: AFTER (In retrospect)**

<b>1. Strategy for monitoring and evaluation</b>	-2	-1	0	+1	+2
How good was definition of targets					x
How good was definition of indicators/verifiers					x
Was monitoring program implemented according to schedule					x
Did evaluation take place as planned					x
Was monitoring adequate					x

<b>2. Component experience</b>	-2	-1	0	+1	+2
Was component “right” (highly relevant to TFCA establishment)					x
Was training/capacity development aspect sufficiently addressed					x
Has ownership been achieved at:					
• Government level					X
• Community level					X
In Retrospect:					
• Did target countries need/want it					X
• Did target countries profit from it					X
• Did the communities want it					X
• Did the communities benefit from it					X
• Did it contribute to poverty reduction					X
• Are there resources to service it at field level				x <sup>12</sup>	
• Is component sustainable			x <sup>13</sup>		

**Summary Assessment**

<b>Component:</b>	Poor	Satisfactory	Good
Clarity of Goals and Objectives		X	
Component Design		X	
Donor Support and Involvement		X	
Achievement of objectives in terms of:			
• output			X
• transfer of skills			X
• follow-up prospects			X
• sustainability			X
• transboundary acceptance			x

<sup>12</sup> Ownership steadily improving.

<sup>13</sup> Growing number of conservancies becoming self-supporting.

## **ANNEX 2-f**

### **IRDNC**

#### **Checklist 1: COMPONENT DATA**

**Title:** To advocate community-based natural resource management and forge effective linkages and partnerships nationally and internationally, with special focus on regional trans-boundary forums

**Duration:** 2005 and on-going

**Delays and Extension, Follow-up:** not applicable

**Total Component Cost (in US\$): 90,000 (in 2005)**

#### **Funding sources (% of total) and amounts (in US\$):**

	Total	0-25%	25-50%	50-75%	75-100%
SDC	90,000				100

#### **Main Sources of Information:**

- 1 IRDNC presentation and follow-up discussions
- 2 Gazettment of Impalila and Kasika
- 3 Project Proposal to SDC
4. Annual reports and progress reports
- 5 Internal evaluation

#### **Important documents not available:**

none

#### **Persons and Institutions Contacted in this Context:**

Richard Diggle  
Nathalie Barbancho  
Daisy Nheta

Check Lists used in support of the KAZA-TFCA Project External Review



Check Lists used in support of the KAZA-TFCA Project External Review

**Checklist 2: BEFORE**

		yes	no	unknown
<b>1. Who initiated this component</b>	SDC			
	CI			
	IRDNC	x		
	other			

		Available? Yes or no
<b>2. Planning Sequence</b>	Was there a proposal/concept paper/profile for component	x <sup>1</sup>
	Was the document prepared participatory ( involving key stakeholders)	x <sup>2</sup>
	Was there an SDC project- or appraisal document for component	No
	Was there a monitoring plan for the component	Yes
	Was there an agreement document with grant recipient	Yes
	Was there an agreement with SADC and/or recipient countries	no <sup>3</sup>
	Was the component proposal fine-tuned with other donors in region	yes <sup>4</sup>

<b>3. Was the component discussed</b>		-2	-1	0	+1	+2
	At political level					X
	At managerial level					X
	With other donors					X
	With communities					x
	With other key stakeholders			x		

<b>4. Was the component relevant and of conservation priority</b>	Yes or no
In accordance with the regional TFCA strategy	Yes <sup>5</sup>
In accordance with regional (SADC) priorities	Yes
In accordance with priorities of five TFCA member countries	Yes
In accordance with national biodiv. strategies/action plans of each country	Yes (Namibia only)

<sup>1</sup> Original funding proposal was to WWF-UK (5-year program), bridge funding and missing elements subject to subsequent SDC funding proposal.

<sup>2</sup> Planned jointly with MET and 2 stakeholder workshops.

<sup>3</sup> Facilitated community interaction between neighbouring communities (no direct work/involvement in neighbouring conservancies outside Namibia.

<sup>4</sup> Proposal widely distributed in Namibia, feedback incorporated (WWF-UK only).

<sup>5</sup> Biodiversity strategies for other countries unknown, only Namibia.

Check Lists used in support of the KAZA-TFCA Project External Review

<b>5. Management capability</b>	-2	-1	0	+1	+2
How well could local IRDNC office cope in terms of:					
• Staff		x			
• Material support (transport etc.)				x <sup>6</sup>	
• Office/administrative ability				X	
• Proven project management skills					x
<b>6. Objectives/Targets</b>		-1	0	+1	+2
Was there an element of strengthening NGO capability			X		
Was there an element of institution building (Governments)					x <sup>7</sup>
Were objectives well defined with sufficient detail					x <sup>8</sup>
Were the objectives realistic					X
Were the objectives relevant					X
Was the proposed component timeline realistic					X
Were beneficiaries and target groups clearly identified					X
Were gender issues addressed			x		
Was poverty alleviation a guiding principle			x		
Was capacity development at grassroots sufficiently addressed					X
Was local empowerment addressed					X
Was alternative livelihood of rural poor addressed			x		
Was the transboundary cooperation issue addressed					x
<b>7. Strategy for monitoring and evaluation</b>	-2	-1	0	+1	+2
How good was definition of targets			x <sup>9</sup>		
How good was definition of indicators/verifiers			x		
Was there a special monitoring program in place		x			
Were assessment/evaluation dates specified		x			
<b>8. Framework conditions</b>	-2	-1	0	+1	+2
Was there political commitment by member Nations				x <sup>10</sup>	
Was the policy and legal framework for the component sufficient					x
Was there sufficient community information/public awareness		x			
Was there community preparedness to participate (ownership)					x
Were there similar conservation interest/projects in region			x		
Was there transboundary cooperation					X
How good was/is CI's TFCA strategy					x
Was there interest in TFCA-Conservancies by communities				x	

<sup>6</sup> Insufficient equipment for mapping component.

<sup>7</sup> Establishment of forums (=institutions).

<sup>8</sup> Very clear with respect to SDC.

<sup>9</sup> Not very specific for SDC component.

<sup>10</sup> Good for Botswana, none in Zambia.

Check Lists used in support of the KAZA-TFCA Project External Review

<b>9. General Planning</b>	-2	-1	0	+1	+2
Was the component:					
• feasible					X
• viable					X
• well conceptualized					X
• well designed					X
• clearly described					X
• Compatible with local systems/institutions					X
• Competing with other projects					X
• Complimentary with other NGOs, institutions					X
• Was there flexibility for change during project					X
• Was there a call for annual workplans					X
• Was there a reporting schedule					X
• Was there a good exit strategy					x

Check Lists used in support of the KAZA-TFCA Project External Review

**Checklist 3: DURING**

<b>1.Operations</b>	yes	no
Implementation through a new project management unit (PMU)	Yes <sup>11</sup>	
In cooperation with others (whom)	yes <sup>12</sup>	
<i>Project providing:</i>		
• building		X
• offices		X
• vehicles	X	
• equipment	X	
• team leader		X
• staff (number)	1.5	
• person months (total number of months:	--	
• technical backstopping services		x

<b>2. Team</b>	-2	-1	0	+1	+2
Sufficient staff for project				x	
Personality of team leader			--		
Effectiveness of team				X	
Motivation of team					X
Time spent in the field					

x

<b>3. Policies and Support</b>	-2	-1	0	+1	+2
Was there flexibility within project					x
How effective was donor back-up (SDC)	x				
Did monitoring take place as planned					X
Did evaluation take place as planned					X
Compliance with reporting schedule					X
Compliance with budget					X
Compliance with activity program					X
Compliance with timelines					X

<sup>11</sup> Initially TBNRM.

<sup>12</sup> Jointly with AWF, Caracol and cross-linked with other IRDNC components.

Check Lists used in support of the KAZA-TFCA Project External Review

<b>4. Government Commitment and Support</b>	-2	-1	0	+1	+2
<b>Strength of political commitment (and support) to the component</b>					
• national level Botswana			X		
• national level Namibia					X
• national level Zambia			X		
• national level Angola			X		
• national level Zimbabwe			X		
• SADC Secretariat			X		
• donor community					X
• at managerial Dept./District level				x	
• at field level (communities)				x	

<b>4. Constraints</b>	-2	-1	0	+1	+2
• Political and social instability		x			
• Variable commitment by partner		x			
• Discrepancies in enabling framework conditions		x			

Check Lists used in support of the KAZA-TFCA Project External Review

**Checklist 4: AFTER (In retrospect)**

<b>1. Strategy for monitoring and evaluation</b>	-2	-1	0	+1	+2
How good was definition of targets					x
How good was definition of indicators/verifiers		x			
Was monitoring program implemented according to schedule		x			
Did evaluation take place as planned					x
Was monitoring adequate		x			

<b>2. Component experience</b>	-2	-1	0	+1	+2
Was component “right” (highly relevant to TFCA establishment)					x
Was training/capacity development aspect sufficiently addressed					x <sup>13</sup>
Has ownership been achieved at:					
• Government level				x <sup>14</sup>	
• Community level					X
In Retrospect:					
• Did target countries need/want it				x <sup>15</sup>	
• Did target countries profit from it					x <sup>16</sup>
• Did the communities want it					x
• Did the communities benefit from it			X		
• Did it contribute to poverty reduction			X		
• Are there resources to service it at field level	x <sup>17</sup>				
• Is component sustainable			x		

**Summary Assessment**

<b>Component:</b>	Poor	Satisfactory	Good
Clarity of Goals and Objectives			x
Component Design			x
Donor Support and Involvement		X (AWF only)	
Achievement of objectives in terms of:			
• output		X	
• transfer of skills		X	
• follow-up prospects			X
• sustainability		Too early	x
• transboundary acceptance			x

<sup>13</sup> Workshops and exchange visits strengthened For a.

<sup>14</sup> Not targeted at Government.

<sup>15</sup> Namibia fully supportive, Botswana with distrust.

<sup>16</sup> Too early to gauge impact, but assumed positive.

<sup>17</sup> Too early to judge.

Check Lists used in support of the KAZA-TFCA Project External Review

**ANNEX 2-g**

**IRDNC**

**Checklist 1: COMPONENT DATA**

**Title:** To support conservancies during their transition to financial sustainability by providing, administrating and monitoring of grants.

**Duration:** 2004 - 2008

**Delays and Extension, Follow-up:** not applicable

**Total Component Cost (in US\$):** 145,000 (total amount in form of grants to conservancies)

**Funding sources (% of total) and amounts (in US\$):**

	Total	0-25%	25-50%	50-75%	75-100%
SDC	145,000				100

**Main Sources of Information:**

- 1 Grant agreements with Conservancies
- 2 Financial spreadsheets IRDNC

**Important documents not available:**

none

**Persons and Institutions Contacted in this Context:**

Denyse  
Daisy Nheta



Check Lists used in support of the KAZA-TFCA Project External Review

Check Lists used in support of the KAZA-TFCA Project External Review

**Checklist 2: BEFORE**

		yes	no	unknown
<b>1. Who initiated this component</b>	SDC			
	CI			
	IRDNC	x		
	other			

		Available? Yes or no
<b>2. Planning Sequence</b>	Was there a proposal/concept paper/profile for component	yes
	Was the document prepared participatory ( involving key stakeholders)	yes <sup>1</sup>
	Was there an SDC project- or appraisal document for component	Yes
	Was there a monitoring plan for the component	Yes
	Was there an agreement document with grant recipient	Yes
	Was there an agreement with SADC and/or recipient countries	no
	Was the component proposal fine-tuned with other donors in region	yes <sup>2</sup>

<b>3. Was the component discussed</b>		-2	-1	0	+1	+2
	At political level					X
	At managerial level					X
	With other donors			X		
	With communities					X
	With other key stakeholders					x

<b>4. Was the component relevant and of conservation priority</b>	Yes or no
In accordance with the regional TFCA strategy	yes
In accordance with regional (SADC) priorities	yes
In accordance with priorities of five TFCA member countries	unknown
In accordance with national biodiv. strategies/action plans of each country	yes <sup>3</sup>

<sup>1</sup> Savanna meeting with key stakeholders such as CI, IRDNC, Lodge Owners, Operators, Communities.

<sup>2</sup> Jointly with WWF UK, WWF-PLUS (US), excellent cooperation.

<sup>3</sup> Namibia only, IRDNC not working in neighbouring countries.

Check Lists used in support of the KAZA-TFCA Project External Review

<b>5. Management capability</b>	-2	-1	0	+1	+2
How well could local IRDNC office cope in terms of:					
• Staff					X
• Material support (transport etc.)					X
• Office/administrative ability					X
• Proven project management skills					X
<b>6. Objectives/Targets</b>		-1	0	+1	+2
Was there an element of strengthening NGO capability				X	
Was there an element of institution building (Governments)					X
Were objectives well defined with sufficient detail					X
Were the objectives realistic					X
Were the objectives relevant					X
Was the proposed component timeline realistic	x <sup>4</sup>				
Were beneficiaries and target groups clearly identified					x
Were gender issues addressed			x		
Was poverty alleviation a guiding principle					X
Was capacity development at grassroots sufficiently addressed					X
Was local empowerment addressed					X
Was alternative livelihood of rural poor addressed				X	
Was the transboundary cooperation issue addressed			X		

<b>7. Strategy for monitoring and evaluation</b>	-2	-1	0	+1	+2
How good was definition of targets					x <sup>5</sup>
How good was definition of indicators/verifiers					X
Was there a special monitoring program in place					X
Were assessment/evaluation dates specified					X
<b>8. Framework conditions</b>	-2	-1	0	+1	+2
Was there political commitment by member Nations					X <sup>6</sup>
Was the policy and legal framework for the component sufficient					X
Was there sufficient community information/public awareness					X
Was there community preparedness to participate (ownership)					X
Were there similar conservation interest/projects in region					X
Was there transboundary cooperation					X <sup>7</sup>
How good was/is CI's TFCA strategy					x
Was there interest in TFCA-Conservancies by communities					X

<sup>4</sup> Target of 2010 (financial sustainability of 13 conservancies reached) may be unrealistic.

<sup>5</sup> The conservancy process is MET driven; communities then approach IRDNC for assistance.

<sup>6</sup> Namibia has powerful commitment (MET driven).

<sup>7</sup> Providing enabling environment for TBNRM.

Check Lists used in support of the KAZA-TFCA Project External Review

<b>9. General Planning</b>	-2	-1	0	+1	+2
Was the component:					X
• feasible					X
• viable					X
• well conceptualized					X
• well designed					X
• clearly described					X
• Compatible with local systems/institutions					X <sup>8</sup>
• Competing with other projects					X
• Competing with other NGOs, institutions					X
• Was there flexibility for change during project					X
• Was there a call for annual workplans					X
• Was there a reporting schedule					X
• Was there a good exit strategy					X

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<sup>8</sup> Conservancies have close ties with traditional authorities (Induna).

Check Lists used in support of the KAZA-TFCA Project External Review

**Checklist 3: DURING**

<b>1.Operations</b>	yes	no
Implementation through a new project management unit (PMU)	X	X
In cooperation with others (whom)		
<i>Project providing:</i>		
• building		X
• offices		X
• vehicles		X
• equipment	X	
• team leader		X
• staff (number)	3	
• person months (total number of months:	--	
• technical backstopping services		x

<b>2. Team</b>	-2	-1	0	+1	+2
Sufficient staff for project					x
Personality of team leader			--		
Effectiveness of team				x <sup>9</sup>	
Motivation of team					X
Time spent in the field					X

<b>3. Policies and Support</b>	-2	-1	0	+1	+2
Was there flexibility within project					X
How effective was donor back-up (SDC)			x		
Did monitoring take place as planned					x
Did evaluation take place as planned					X
Compliance with reporting schedule					X
Compliance with budget					X
Compliance with activity program					X
Compliance with timelines					X
					X

<sup>9</sup> Providing grants, no training; now changed: first grants then training.

Check Lists used in support of the KAZA-TFCA Project External Review

<b>4. Government Commitment and Support</b>	-2	-1	0	+1	+2
<b>Strength of political commitment (and support) to the component</b>					
• national level Botswana			X		
• national level Namibia					X
• national level Zambia			X		
• national level Angola			X		
• national level Zimbabwe			X		
• SADC Secretariat			X		
• donor community				x <sup>10</sup>	
• at managerial Dept./District level					X
• at field level (communities)					x

<b>4. Constraints</b>	-2	-1	0	+1	+2
• in some conservancies poor community commitment		x			
• inappropriate persons may get elected		X			
• poor communication between structures and constituents (accountability, transparency)	X				
• poor financial planning and revenue distribution on community level	x				

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<sup>10</sup> Confined to direct partners of IRDNC.

Check Lists used in support of the KAZA-TFCA Project External Review

**Checklist 4: AFTER (In retrospect)**

<b>1. Strategy for monitoring and evaluation</b>	-2	-1	0	+1	+2
How good was definition of targets					X
How good was definition of indicators/verifiers					X
Was monitoring program implemented according to schedule					X
Did evaluation take place as planned					X
Was monitoring adequate					x

<b>2. Component experience</b>	-2	-1	0	+1	+2
Was component “right” (highly relevant to TFCA establishment)					X
Was training/capacity development aspect sufficiently addressed		x <sup>11</sup>			
Has ownership been achieved at:					
• Government level					x <sup>12</sup>
• Community level				x	
In Retrospect:					
• Did target countries need/want it					X
• Did target countries profit from it					X
• Did the communities want it					X
• Did the communities benefit from it					X
• Did it contribute to poverty reduction		x <sup>13</sup>			
• Are there resources to service it at field level					X <sup>14</sup>
• Is component sustainable					x

**Summary Assessment**

<b>Component:</b>	Poor	Satisfactory	Good
Clarity of Goals and Objectives			<b>X</b>
Component Design			<b>X</b>
Donor Support and Involvement			<b>X</b>
Achievement of objectives in terms of:			
• output			x
• transfer of skills		x	
• follow-up prospects			X
• sustainability		X	
• transboundary acceptance			x

<sup>11</sup> Not yet (work in progress).

<sup>12</sup> In Namibia 100%.

<sup>13</sup> Insignificantly.

<sup>14</sup> In progress.

### ANNEX 3: CI org-chart

#### CI Southern Africa Wilderness and Transfrontier Conservation Programme ORGANISATIONAL CHART -Status August 2006

NAME	Function	Type	With CI since	Highest qualification	Wage scale
Leo Braack	Director	Full time	July 2004	PhD	
Michael Chase	Manager: Elephant Project	Full time	June 1999	MSc	
Rowena Smuts	Programme Manager	Full Time	Jan. 2006	MSc	
Carol Murphy	Project Manager-Caprivi Conservancies Project	Full time consultancy	Apr. 2006	MSc	
Nathalie Barbancho	Development Officer	Full time Seconded from SDC	Oct. 2004 (to Sep. 2006)	Master of Law	Not paid by CI
Juanita Paulsen	Financial Manager	Part time (shared with Hotspots Progr. but full time in 1-2 months)	Sep. 2005	CIS qualification, majoring in Financial Accounting & Corporate Business Administration; Associated member of the Institute of Chartered Secretaries & administrators	
Amalia Stipinovich	Director's personal assistant & GIS Technician	Full time (Part time PA till July 2006)	March 2006	MA in Geographical Information Systems	
Nishaam Edwards	IT Manager	Part time (shared with CI Hotspots Progr.)	November 2004	MCSE & Human Resources Management	
Thandazani Nkala	Research Assistant	Full time	July 2004		



## ANNEX 4: IRDNC org-chart

### IRDNC- ORGANISATIONAL CHART -Status August 2006

NAME	Team and Function	Type of contract	With IRDNC since	Highest qualification/ experience
Graeme Wilson Julia Nchindo Patricia Nchindo Lucas Munembo	Project Administration Assistant Facilitator	Permanent Permanent Permanent Permanent	2 7  5	B.Ed (Hons) Grade 12, Secretarial Certificate Grade – Certificate Small Accommodation Establishment Operations Grade 7
Daisy Nheta John Kamwi Maurice Muyatwa Calvin Shozi	Institutional Support	Permanent Permanent Permanent Permanent	5 4 3 4	B. Tech in Forestry Grade 12 - Diploma in Theology Grade 12 - Basic Office Administration Grade 10 - Basic Office Administration
Reuben Mafati Markfaren Mushabati	Enterprise Development	Permanent Permanent	5 2	Grade 12 - Community Based Tourism Enterprise Grade 12 - Customer Care Certificate
Beaven Munali James Maiba Bennety Busihu Lusken Naha Obicious Siyanga Ferdinand Sinjabata	Natural Resource Management	Permanent Permanent Permanent Permanent Permanent Permanent	15 4 1   	Grade 9 Grade 10  Grade 12 Grade 12 Grade 10
Friedrich Alpers Euster Kumana Liep Kamba Jack Govagoe Aflred Chedau Benson Kupinga	West Caprivi	Permanent Permanent Permanent Permanent Permanent Permanent	2 1 7 3  	MSc in Forestry Grade 12 Basic Introduction on Community Tourism
Janet Matota Candia Diggle Joyce Sitapata Peggy Tatalife	Women Resource Management	Permanent	12 5 9 9	Grade 11 BA Hons Degree Grade 12
Denyse Faulkner Mavis Musole	Institutional Support	Permanent Permanent	2	ACA Grade 12

<b>Annex 5: Summary Table for KAZATFCA Project External Mid-Term Review</b>						
Conservation International Overall Program						
<b>Project's Development Outcome</b>	highly unsuccessful	unsuccessful	mostly unsuccessful	mostly successful	successful	highly successful
				x		
<b>CI Project's Impact on:</b>	unsatisfactory	partly unsatisfactory	satisfactory	excellent		
business performance			x			
private sector involvement		x				
community participation			x			
capacity development			x			
biodiversity conservation		x				
regional development		x				
trans-boundary relations				x		
country-development		x				
local economic growth		x				
economic sustainability		x				
<b>Project's Effectiveness:</b>						
implementation			x			
supervision			x			
quality personnel			x			
equipment/supplies		x				
administrative structure		x				
monitoring			x			
techn. backstopping		x				

Conservation International Overall Program						
<b>Project's Impact on:</b>	<b>unsatisfactory</b>	<b>partly</b>	<b>satisfactory</b>	<b>excellent</b>		
	<b>unsatisfactory</b>					
<b>Project's design/concept</b>						
relevance				x		
regional/global priority				x		
financial viability		x				
coherence/logic				x		
<b>Project's Contribution to:</b>						
Swiss programm goals			x			
<b>Project's Demonstration Effects:</b>						
ownership development		x				
changes in national policies		x				
sustainability of transb. Cooperation		x				
land- and resource use			x			
technology		x				
environmental law enforcement			x			
governance		x				

**Annex 6: Summary Table for KAZA TFCA Project External Mid-Term Review**

IRDNC Overall Program						
<b>Project's Development Outcome</b>	highly	unsuccessful	mostly	mostly	successful	highly
	unsuccessful		unsuccessful	successful		successful
						x
<b>Project's Impact on:</b>	unsatisfactory	partly	satisfactory	excellent		
		unsatisfactory				
business performance			xx			
private sector involvement		x				
community participation				xx		
capacity development			xx			
biodiversity conservation	x					
regional development			xx			
trans-boundary relations				xx		
country-development			x			
local economic growth		x				
economic sustainability			x			
<b>Project's Effectiveness:</b>						
implementation			xx			
supervision			x			
quality personnel			x			
equipment/supplies			x			
administrative structure			x			
monitoring			x			
technical backstopping			x			

IRDNC Overall Program						
<b>Project's Impact on:</b>	<b>unsatisfactory</b>	<b>partly</b>	<b>satisfactory</b>	<b>excellent</b>		
		<b>unsatisfactory</b>				
<b>Project's design/concept</b>						
relevance				XX		
efficiency				X		
regional/global priority				XX		
financial viability			X			
coherence/logic				XX		
<b>Project's Contribution to:</b>						
Swiss programm goals			X			
<b>Project's Demonstration Effects:</b>						
ownership development			X			
changes in national policies			X			
sustainability of transb. Cooperation		X				
land- and resource use		X				
technology		X				
environmental law enforcement			X			
governance				X		