

# WWF Regional CBNRM Capacity Building Project, Southern Africa

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## Report on the Evaluation of the Inception Phase

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## List of Acronyms

CA	CAMPFIRE Association
CAMPFIRE	Communal Areas Management Programme for Indigenous Resources
CASS	Centre for Applied Social Sciences
CBD	Convention on Biological Diversity
CBNRM	Community-based Natural Resource Management
CBO	Community-based Organisation
CCD	Convention to Combat Desertification
COMPASS	Community Partnerships for Sustainable Resource Management in Malawi Project
DFID	Department for International Development
DNAC	National Directorate of Conservation Areas
DNFFB	National Directorate of Forestry and Wildlife
DWNP	Directorate of Wildlife and National Parks
FANR	Food, Agriculture and Natural Resources
GEF	Global Environmental Facility
HIV/AIDS	Human Immuno-deficiency Virus/Acquired Immuno-deficiency Syndrome
HWC	Human/Wildlife Conflict
IDRC	International Development Research Centre
IIED	International Institute for Environment and Development
IUCN	International Union for the Conservation of Nature
IUCN-ROSA	IUCN Regional Office for Southern Africa
LIFE	Living in a Finite Environment Programme
MFA	Ministry of Foreign Affairs
MOMS	Management Oriented Monitoring System
MOU	Memorandum of Understanding
NACSO	Namibian Association of CBNRM Support Organisations
NGO	Non-governmental Organisation
Norad	Norwegian Agency for Development Cooperation
NRM	Natural Resource Management
PCU	Project Coordination Unit
PLAAS	Programme for Land and Agrarian Studies
PLA	Participatory Learning and Action
PMU	Project Management Unit
PWMA	Parks and Wildlife Management Authority
RCSA	Regional Centre for Southern Africa
SADC	Southern African Development Community

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SAWC	Southern Africa Wildlife College
SIDA	Swedish International Development Agency
SLAMU	South Luangwa Area Management Unit
SUPCAMP	Support to CAMPFIRE project
TFCA	Transfrontier Conservation Area
TOR	Terms of Reference
UN	United Nations
UNDP	United Nations Development Programme
USAID	United States Agency for International Development
WWF	World Wide Fund for Nature
WWF-SARPO	WWF Southern Africa Regional Programme Office
ZAWA	Zambian Wildlife Authority
ZEEP	Zambian Environmental Education Programme

## Executive Summary

This evaluation report covers the Inception Phase of the WWF Southern Africa Regional Community-based Natural Resource Management (CBNRM) Capacity Building Project. The Inception Phase runs from March 2003 – December 2005.

The Project has made good progress in laying a foundation for future phases and the evaluation team recommends that the project should continue into an Implementation Phase. Progress by Output is as follows:

*Output 1. Regional Forum for sharing best practices, information and carrying out peer reviews made operational and establishment/strengthening of Peer Review Fora supported at country level.*

The regional CBNRM forum has been established and held a first meeting. New national forums have been established in Zambia, Zimbabwe and Mozambique, and an existing forum is being supported in Botswana. Collaboration has been established with national level working groups on CBNRM in Malawi and South Africa. In Namibia the project collaborated with an existing national forum. Performance standards for peer review have been developed and are being tested in three countries.

*Output 2. Appropriate CBNRM training supported in formal and non-formal institutions*

Good progress has been made with curricula reviews carried out for tertiary institutions in Botswana, Mozambique, Zambia and Zimbabwe and one regional training institution (the Southern Africa Wildlife College); training needs assessments have been carried out in four countries (Botswana, Mozambique, Zambia and Zimbabwe); training of trainers delivered in Mozambique and Zambia; materials developed for institutions in Botswana, Mozambique, South Africa, Zambia and Zimbabwe; and a regional working group on training is being established. The training support provided by the Project is very much demand driven.

*Output 3. Strategic institutional capacity-building of focal organisations involved in CBNRM in the public, private sectors, civil society and community levels implemented in the partner countries*

Focal institutions for capacity building have been identified in Zimbabwe, Zambia, Botswana and Mozambique and capacity building support is being provided on wildlife monitoring, quota setting and human/wildlife conflict management. The capacity building is demand driven. Demand by far exceeds the Project's capacity to provide support.

*Output 4. Policy and legislation support provided at country level to promote and improve implementation of CBNRM with linkages to regional sectoral policies and transboundary initiatives*

A policy review has been carried out for Botswana, Malawi, Mozambique, Namibia, Zambia and Zimbabwe which lays a foundation for further policy work. The Project is providing technical input and financial support for CBNRM policy work in Botswana and Zambia. Most policy work is currently taking place at national forum level. Limited policy work has been carried out at a regional level. A good foundation is being laid on which to build future policy work at different levels.

*Output 5. Strategic Interventions*

Despite a slow start in 2003 due to a lack of personnel, the Project has gained momentum, the Project Management Unit (PMU) is in place and management systems

are operating. Useful partnerships have been established with key regional and international partners. Although no additional major source of funding has been found, some smaller sources of funding have been tapped. An HIV/AIDS strategy has been developed and a proposal developed for funding. The Project has made good use of partnerships and alliances for facilitating implementation. The Project needs to give more attention to developing a gender strategy.

It is too early to identify project impacts at the goal and purpose levels, as many of the Inception Phase activities have been process oriented and have focused on creating the mechanisms (such as national and regional forums) for project implementation. The Inception Phase was aimed at assessing demand for regional CBNRM services and at determining the appropriate implementation mechanisms. However, a number of project activities are having impact in the sense that they are bringing about changes that contribute to meeting the expected results of the Project. The Project-supported national forum in Mozambique is enabling CBNRM practitioners to implement the recommendations of the Mozambican National CBNRM Conference that is held every two years. The project has enabled an already established national CBNRM forum in Botswana to continue operating. This forum is engaged in important policy discussions with the Botswana government over proposed changes to CBNRM policy that affect community rights over wildlife. The newly established national CBNRM forum in Zambia, with project support, has identified policy gaps and is starting policy advocacy. The capacity building support to government wildlife agencies in Zambia, Mozambique and Zimbabwe is filling important gaps in the ability of these organisations to monitor wildlife, set sustainable hunting quotas and manage human/wildlife conflicts. The project has begun to produce useful technical documents on regional CBNRM policy issues, Performance Monitoring Standards and an Assessment of the Natural Resource Management Capacity of Community-based Organisations in selected sites within the region.

The successes achieved in the Implementation Phase have been facilitated by the project implementation approach which relies on a small Project Management Unit that coordinates activities through partner organisations in each target country. Further, the project is perceived by regional stakeholders and partners to be relevant to CBNRM needs in the region and to be meeting some of these needs. Despite delays in project start-up, particularly the appointment of the Regional Project Coordinator, delivery has been generally effective. Efficiency has been hindered by poor telecommunications in the Project's host country, Zimbabwe. Partners and stakeholders find project staff responsive to their needs, but again responsiveness is hindered by the poor telecommunications, particularly e-mail. Although the capacity of the PMU has been adequate for carrying out activities in the Inception Phase, staff capacity will need to be reassessed for the next phase. The Project has established a number of partnerships with various organisations that assist with funding or with implementation. Because of the small PMU, these relationships are important for facilitating implementation.

The Project needs to give attention to a number of issues during the design of the next phase. Communication with partners and stakeholders needs to be improved so that there is a better understanding of the overall project and project beneficiaries are kept up to date with progress. The technical documents developed by the project need to be disseminated in appropriate forms to reach different target groups. The Project Log Frame needs to be revised in order to more narrowly define the goal and purpose. Targets and indicators need to be made more realistic. Gaps in baseline information need to be filled. The Project needs to make some shifts in accountability so that there is more ownership by stakeholders and partners. In the absence of appropriate mechanisms for promoting co-ownership of the project (such as national CBNRM forums and a regional forum) the PMU has had to initiate actions and drive activities that the Project design envisaged would be driven with more stakeholder involvement and in some cases by a Steering Committee. The design of the next phase also needs to clarify issues such as

relationships between the regional CBNRM forum, regional working groups and the national forums, particularly with regard to decision-making and accountability. The mechanisms for allocating grants and the purposes for which grants might be used will also need clarifying. The design needs to avoid creating cumbersome decision-making processes that require decisions to be approved at many different levels resulting in the delay of activities or the allocation of funds.

The project has been unsuccessful in finding another major donor although it has managed to secure some small batches of funds for specific thematic activities. Project staff will need to renew efforts to find additional funding if the project is to achieve everything expected of it in the Implementation Phase. There have been unavoidable delays in finding a long-term institutional home for the project. The current negotiations with SADC over developing a relationship with the regional body should continue.

The following is a summary of the main recommendations of the evaluation team:

- 1) Increase efforts to secure additional funding/another major donor for the next phases.
- 2) Shift project ownership towards co-ownership between WWF and stakeholders/partners. Clarify institutional relationships, roles, responsibilities, decision-making authority and lines of accountability for next phases.
- 3) Develop clear exit/sustainability strategy – particularly addressing financial viability and investigate the feasibility of a regional CBNRM endowment fund (either establishing a CBNRM component of an existing fund or establishing a new one).
- 4) Keep PMU lean and mean – develop strong implementation mechanisms through regional working groups.
- 5) However, due to increased workload in next phase, increase capacity of PMU by addition of one person to assist the regional project coordinator with regional level activities; reassess roles and responsibilities especially with regard to training delivery; strengthen staff skills (e.g. on Monitoring and Evaluation); identify staff training needs and provide training.
- 6) Consider increasing efficiency of coordination and implementation through relocating coordinator to SA (for instance Pretoria – housed in IUCN). Carry out feasibility study of re-location.
- 7) Reassess budget for implementation phase.
- 8) Improve communications with partners and stakeholders and increase the profile of the Project. Disseminate products. Develop web-site. Project Co-ordinator should make information visit to each national forum prior to design of new phase.
- 9) Follow-up delivery and impact of training arising from Training of Trainers and materials development as part of monitoring and evaluation.
- 10) Identify more civil society institutions for support - to balance emphasis on focal (government) institutions.



- 11) Negotiate a relationship with SADC defined in an MOU covering specific roles and responsibilities that enables the project to maintain operational flexibility and its emphasis on civil society.
- 12) Develop a strategy for higher level policy engagement.
- 13) Develop a gender agenda for the implementation phase.
- 14) Revise log-frame, including goal, purpose and some indicators, in order to clarify what the project is doing and identify more realistic targets, but without changing the objectives of the project. Collect baseline information where there are gaps.

## 1. Introduction

### 1.1 Background

This report has been commissioned as part of an internal evaluation of the Inception Phase of the Southern Africa Regional Community-based Natural Resource Management (CBNRM) Capacity Building Project. The Project was initiated in 2003 and is funded by the Norwegian Government through WWF-Norway. The WWF Southern African Regional Programme Office (WWF-SARPO) implements the Project in partnership with a number of organisations in seven countries within the Southern African Development Community (SADC) region.

The Project was designed in September 2002 and has been implemented since March 2003. The Inception Phase is scheduled to end in December 2005. The purpose of this evaluation is to review progress under the Inception Phase and assess prospects for achieving the five- and ten-year targets. The evaluation considers the extent to which the planned activities for the Inception Phase have been carried out and assesses the progress made towards achieving the outputs. The evaluation also aims to assist WWF-Norway, WWF-SARPO and the Norwegian Government to decide whether the Project should be moved into a full implementation phase. The full Terms of Reference (TOR) for the evaluation are contained in Annex 6.

### 1.2 Methodology

The evaluation was carried out by project staff and an external consultant. The core evaluation team consisted of the external consultant, the Regional Project Coordinator from WWF-SARPO and the Programme Leader: Environment and Development of WWF-Norway. This team carried out interviews with the Project Management Unit (PMU) in Zimbabwe and with partners and stakeholders in Zimbabwe, Zambia, Mozambique and Botswana. The external consultant carried out interviews in Namibia. A number of key stakeholders were contacted by e-mail. A list of persons consulted is contained in Annex 1. The team reviewed project documents and other relevant literature. A log frame review was carried out, facilitated by the WWF-SARPO Conservation Director. The results of this review are presented in Annex 4. The preliminary findings of the core evaluation team were presented in a workshop to representatives of organisations facilitating implementation of the Project from Botswana, Malawi, Mozambique, Namibia, Zambia and Zimbabwe. Workshop participants commented on the evaluation findings and explored a number of key issues relevant for the design of a new phase of the Project. The key comments of participants on the preliminary findings were incorporated into a draft evaluation report. The draft evaluation report was disseminated to a broader group of project partners and stakeholders and their comments were incorporated into a final evaluation report.

The evaluation team recognises that the Inception Phase of the Project is intended to lay a foundation for a subsequent implementation phase or phases. As a result many of the Inception Phase activities have been process oriented and have focused on creating the mechanisms (such as national and regional forums) for project implementation. At this stage of the Project it is therefore difficult to measure impact, which in terms of the Project proposal refers to the results at the goal and purpose level. However, a number of project activities are having impact in the sense that they are bringing about changes that contribute to meeting the expected results of the Project. Where possible the evaluation team has identified impacts that are already being made, although the evaluation has focused mainly on the extent to which the Project has effectively and efficiently carried the activities planned for the Inception Phase (these activities are presented in sub-section 2.1 below). We have then assessed whether a successful foundation has indeed been

laid for further implementation. Recommendations are highlighted in the text and summarised in the executive summary and in a separate section at the end of the main report.

## 2. Project Description<sup>4</sup>

### 2.1 Goal, purpose and outputs

The overall goal or development objective of the Regional CBNRM Project is:

to contribute to poverty alleviation and sustainable livelihoods at rural household level from the management of natural resources by local communities in southern Africa.

This project goal fits closely with the overall development objective of poverty reduction that is promoted by the primary donor for the Project, the Norwegian Agency for Development Cooperation (Norad<sup>5</sup>). Norad and the Norwegian Government take a holistic approach to development, highlighting the interdependence of all elements of development – social, structural, human, governance, environmental, economic and financial.

The Project purpose is:

CBNRM is adopted as a mainstream strategy for rural development in southern Africa.

The outputs required to achieve the Project purpose are as follows:

Output 1. Regional Forum for sharing best practices, information and carrying out peer reviews made operational and establishment/strengthening of Peer Review Forums supported at country level.

Output 2. Appropriate CBNRM training supported in formal and non-formal institutions.

Output 3. Strategic institutional capacity-building of focal organisations involved in CBNRM in the public, private sectors, civil society and community levels implemented in the partner countries.

Output 4. Policy and legislation support provided at country level to promote and improve implementation of CBNRM with linkage to regional sectoral policies and transboundary initiatives.

Output 5. Strategic interventions implemented (HIV/AIDS, crosscutting, emerging issues, gender issues etc.)

The Project has been designed to be implemented in three phases. A foundation or Inception Phase was planned for the first 18-36 months, to be followed by an Implementation Phase lasting 36 months and finally a Consolidation Phase lasting a further 60 months. In the Inception Phase the following activities were prioritised:

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<sup>4</sup> The text for this section is drawn from and based on the Project Proposal submitted to Norad 1<sup>st</sup> October 2002. In order to avoid confusion we have used this document as our main reference for the framework of the project as the wording and structure of subsequent project documents are slightly different to the project proposal.

<sup>5</sup> Responsibility within the Norwegian Government for the Project in 2003 and 2004 was with Norad. Responsibility was shifted to the Ministry of Foreign Affairs (MFA) through the Royal Norwegian Embassy in Harare in 2005, following a reorganisation of the MFA and Norad.

**OUTPUT 1: Regional Forum and National Fora**

- 1.1 Facilitate in-country fora to establish goals, members, activities, guidelines, operational plans and targets in Zambia, Mozambique, Malawi, South Africa
- 1.2 Identify and develop best practice guidelines for CBNRM activities at community level
- 1.3 Hold regional forum to discuss and test the concept of best practice guidelines and agree on these

**OUTPUT 2: Appropriate Training in formal and non-formal institutions**

- 2.1 Mainstreaming in formal institutions
  - 2.1.1 Inventory of Institutions (tertiary)
    - 2.1.1.1 Existing curricula and course
    - 2.1.1.2 Existing programme and non formal institution in CBNRM training
    - 2.1.1.3 Training materials inventory
  - 2.1.2 Demand survey
    - 2.1.2.1 Training needs assessment
    - 2.1.2.2 Identify ideal tertiary institutions for fast track CBNRM course
- 2.2 Training in Informal Institutions
  - 2.2.1 Request national fora and focal partners to document and submit a list of CBNRM training themes and types of skills that are demand driven
  - 2.2.2 Review existing training programmes and identify and document best practices in form of locally adapted training materials i.e. computer, audio visual materials, manuals, drama, games etc.
  - 2.2.3 Identify national training partners by theme i.e. NRM, Business Enterprises, Organisational development etc
  - 2.2.4 Test priority training modules of CBNRM already existing in projects/programmes

**OUTPUT 3: Institutional Capacity**

- 3.1 Identify focal institutions in each project partner country
- 3.2 Identify capacity needs of focal institutions

**OUTPUT 4: Policy**

- 4.1 Review existing country CBNRM policies and identify gaps, overlaps and areas needing improvement
- 4.2 Compare policies/legal framework against guiding principles and best practices and analyse strengths and weaknesses
- 4.3 Support policy initiatives at request by national for a
- 4.4 Identify common critical policy issues and initiate dialogue

**OUTPUT 5: Strategic Interventions**

- 5.1 Set up project co-ordination office and explore partnerships and signing of MOUs at national and regional levels
- 5.2 Review suggested implementation strategy of the Project and refine if necessary
- 5.3 Form alliances/partnerships focusing on specific thematic issues with
  - 5.3.1 Focal partners and technical organisations
  - 5.3.2 Sister project relationships (Botswana-CBNRM, Namibia-LIFE, Zimbabwe-CAMPFIRE, Zambia-ZAWA/SLAMU)

### 5.3.3 HIV Aids awareness campaigners/programme implementers at regional and country levels

## 2.2 Implementation Strategy for the Inception Phase

The Project seeks to harness and capitalise on the vast wealth of knowledge, skills, resources and technical expertise that has been developed in national and regional CBNRM institutions following more than 10 years of development and implementation of the CBNRM concept in southern Africa. The Project takes a highly targeted and focused approach to developing region-wide CBNRM capacity and credibility by working with agreed-upon focal national institutions and constituents to systematically transfer appropriate knowledge, skills, and “Best CBNRM Practices”. The underpinning strategy of the Project is that all interventions funded must have a multiplier impact at the country or regional level through working with targeted institutions or constituents that have the capacity to generate a multiplier impact.

The ultimate beneficiaries are the rural communities involved in management of natural resources. So as to positively affect the ultimate beneficiaries, the Project aims to support organisations that provide services to community-based organisations (CBOs), institutions that train CBNRM implementers and organisations that can give a voice to local communities at national and regional level. The Project also targets policy makers, SADC regional bodies and national governments. It aims to work across all natural resource sectors in the region including marine and coastal zone management and tourism. The Project covers seven countries (Botswana, Malawi, Mozambique, Namibia, South-Africa, Zambia and Zimbabwe). Particular emphasis has been placed on Mozambique and Zambia in the Inception Phase as these countries were seen to be less advanced in terms of CBNRM development.

Implementation and management responsibilities are divided between a number of organisations. WWF-Norway has the responsibility for overall administrative, financial and technical reporting to the Norwegian Government and provides policy and technical support to the Project. WWF-Norway also carries out information, lobby and advocacy work in Norway based on the Regional CBNRM Project. Implementation within the region is the responsibility of a four-person Project Management Unit (PMU) based in the WWF-SARPO offices in Harare, Zimbabwe. Country coordination organisations have been identified in each target country to implement project activities at national level and to support the national CBNRM forums being established or strengthened by the Project. These organisations are the WWF national offices in Zambia, Zimbabwe and Mozambique, the WWF LIFE Project office in Namibia, the IUCN offices in Botswana and South Africa, and the COMPASS project office in Malawi. An overview of the current regional implementation arrangement is included in Annex 2. These coordination partners act as the implementing arm of the PMU and as the mechanism for channelling funds for activities in the different countries. The Project has also identified focal institutions in several countries which are pivotal to the implementation of CBNRM and are therefore targeted for specific capacity building activities. These are the Zambian Wildlife Authority (ZAWA), the Zimbabwean Parks and Wildlife Management Authority (PWMA), the Botswana Department of Wildlife and National Parks (DWNP) and the Department of Forestry and Wildlife (DNFFB) and the Department of National Parks and Conservation (DNAC) in Mozambique.

### 3. Relevance of the Project

#### 3.1 Relevance to CBNRM in the SADC region

CBNRM in the region has enjoyed considerable donor investment and has made important progress in several countries. However, the Project Proposal identifies a number of constraints to consolidating and improving on these successes. These constraints include:

- Government departments responsible for implementing CBNRM have lost capacity in terms of human and financial resources
- Policy and legislation provide weak incentives for sustainable resource management
- Despite conducive policy and legal frameworks in some countries, CBNRM implementation by governments is conflicting and contradictory
- CBNRM as an approach to resource management has remained politically marginalised
- Some donor cycles have ended and funding to CBNRM has ended in some countries before gains could be properly consolidated
- CBNRM performance standards have not been clearly defined
- Insufficient and/or inappropriate CBNRM training and technical capacity available in most countries

The Project intended to address these and other constraints through supporting mechanisms for advocacy on policy reform at national and regional levels, the development of Best Practice guidelines for CBNRM implementation, the development of CBNRM Performance Standards, support to CBNRM training in tertiary education institutions and in informal institutions, and capacity building of government agencies responsible for implementing CBNRM. The Project aimed to strengthen the capacity of support organisations that deliver services to local communities responsible for managing natural resources.

This project approach still remains relevant for regional stakeholders. During interviews conducted by the evaluation team respondents strongly emphasised the continuing need for capacity building of government agencies and non-governmental organisations (NGOs) that provide services to CBOs. They also identified major gaps in the capacity of CBOs in financial management, organisational development and in good governance. Respondents identified the need for further policy reform to strengthen the rights of local communities over their natural resources, even where policy and legislation are relatively strong (e.g. Namibia). In some cases, government lacked capacity to implement policy and legislation (e.g. Mozambique) while in others such as Botswana, government is developing new policy that weakens community rights over wildlife management and over the income from wildlife and tourism. There was therefore a need to improve the political legitimacy of CBNRM in the region and convince governments of its potential contribution to national and regional development goals. The need to learn from the experiences of other countries, the need to avoid 'reinventing the wheel' and the need to develop a regional approach to CBNRM with some agreed performance standards and best practices were often emphasised.

Participants in the feedback workshop on preliminary findings of the evaluation noted that the Project is even more relevant now because of the absence of major bilateral funding to national CBNRM programmes and because the government's proposals to remove CBNRM rights from communities in Botswana could provide a negative example for the region that might be followed by other governments. The problem was the paradigm where policy makers do not

recognise the value of wildlife and think that development means a focus on agriculture. Further, government perceptions that the wildlife and tourism industries in Botswana, Namibia and Zimbabwe were white owned and subject to leakage overseas led to a lack of support for these sectors and consequent underinvestment by government. These were some of the policy issues that the Project could address at the regional level. The Project needs to support the collection of good data from the region that can demonstrate that CBNRM makes a significant contribution to national economies and in certain circumstances can be the economically most viable form of land use for the local and national economies. Further, CBNRM practitioners should be targeting key people in other sectors such as in agriculture ministries and lands ministries that tend to drive rural development agendas. This was also an approach the Project could pursue. It was felt that the regional aspect of the Project gave national CBNRM programmes more lobbying power than if they were acting in isolation.

*Recommendation: The evaluation team supports this consensus that the outputs and activities of the Project are still relevant to addressing key CBNRM constraints and bottlenecks in the region. However, the Project should continue to avoid being drawn into trying to meet all the different needs that are being expressed by stakeholders. The Project should remain focused on providing value added through its regional approach and its strategy of targeting agencies that support local communities rather than trying to target CBOs directly.*

### 3.2 Relevance to WWF goals and priorities

The Project contributes directly and indirectly to global WWF priorities. As the Project's main emphasis is on CBNRM, which is only a tool for conservation and development, some of the links to WWF priorities may not be immediately obvious. Table 1 shows how the Project links to WWF priority issues and Global 200 Eco-regions.

In terms of geographical priorities the Project covers the Miombo Eco-region and part of the Eastern Africa Marine Eco-region, which are two of the Global 200 priority eco-regions for the WWF network. In the longer term there are likely to be positive impacts also for the Eastern Africa Coastal Forest Eco-region as CBNRM moves more into forest ecosystems along the East African coast. The Project is not part of an eco-region action programme. The Project mainly in an indirect manner contributes to global thematic WWF priorities such as species conservation and sustainable use, marine and coastal issues as well as to some extent forest and freshwater issues. Even though the linkages between CBNRM and WWF's global thematic priorities may not be very clear at first sight, CBNRM has the potential to be one of the main tools for achieving these priorities in Southern Africa.

### 3.3 Relevance to Norad and Norwegian MFA goals and priorities

The Norwegian Agency for Development Cooperation (Norad) and the Norwegian Ministry of Foreign Affairs (MFA) are the main donors for the Project. The overall goal for Norwegian development cooperation is poverty reduction. If successfully carried out the Project will contribute to poverty reduction through securing livelihoods of people who depend on the natural resource base for their survival, income and development opportunities. These people will have their capacity to manage the natural resources improved, their rights to these resources increased and will be empowered to make decisions over land use to reduce poverty and increase livelihood security.

**Table 1. Extent to which the Project contributes to WWF priority issues and Global 200 Eco-regions. (Source: Project Annual Plan 2005)**

Priority Issues	%	Contributes to which milestone(s)?
<b>Forests</b>	50	Forests for Life Target Driven Programme (TDP) 1.4 Improving management of existing protected areas
<b>Freshwater Ecosystems</b>	10	Living Waters TDP 2.1: Contributing to sustainable water management
<b>Oceans and Coasts</b>	10	Endangered Seas TDP 1.2: Contributing to management effectiveness
<b>Species</b>	20	Species TDP 1.1: Elephant
<b>Toxics</b>		
<b>Climate change</b>		
<b>Other</b>	10	CBNRM cross cutting SARPO capacity building target
<b>Total</b>	100	

Global 200 Eco-region(s)				
Miombo				
East African Marine				
Freshwater				
<b>Part of an ecoregion action programme?</b>	<b>Yes</b>		<b>No</b>	<b>X</b>

Sustainable use of natural resources and biodiversity protection has been and remains a main goal in Norwegian development cooperation. The Project contributes to this goal, mainly through capacity building and creating an enabling environment for sustainable use of natural resources. The Project will also assist the countries in meeting international commitments such as those under the UN Convention on Biological Diversity and the World Summit on Sustainable Development, a priority area for Norwegian development cooperation.

Good governance is also a main goal in Norwegian development cooperation. Good governance over natural resources such as wildlife, forests and water is at the core of the Project. The Project attempts to improve natural resource governance at local community as well as local and central government levels. This is also likely to have wider and positive governance implications. The Project also covers three out of five Norwegian main cooperation countries in Africa (Mozambique, Zambia and Malawi) and therefore fits well into the geographical focus of Norwegian development cooperation, which is Southern and Eastern Africa. Overall, the Project appears to fit well within the priorities for Norwegian development cooperation, also after the Norwegian development cooperation policy was revised in 2004.



## 4. Performance and Impact

### 4.1 Project progress by Outputs

A detailed assessment of project progress by Outputs is provided in Annex 3. This subsection contains a brief summary of the overall assessment for each Output.

*Output 1. Regional Forum for sharing best practices, information and carrying out peer reviews made operational and establishment/strengthening of Peer Review Fora supported at country level.*

Overall assessment: Formation of regional and national CBNRM forums is a slow process that is dictated by the pace at which in-country partners are able to implement activities. However, good progress has been made. The regional CBNRM forum has had a first meeting and will move from the establishment phase to a working phase. New national forums have been established in Zambia, Zimbabwe and Mozambique, and an existing forum is being supported in Botswana. Collaboration has been established with national level working groups on CBNRM in Malawi and South Africa. Performance standards for peer review have been developed and are being tested in three countries.

Prospects: All seven forums should become fully functional during the implementation phase, facilitating the consolidation and dissemination of the wealth of knowledge and experiences within the region, and united by common standards for measuring CBNRM performance and contribution to rural development.

*Output 2. Appropriate CBNRM training supported in formal and non-formal institutions*

Overall assessment: Good progress has been made with curricula reviews carried out for tertiary institutions in four countries (Botswana, Mozambique, Zambia and Zimbabwe) and one regional training institution (the Southern Africa Wildlife College); training needs assessments carried out in four countries (Botswana, Mozambique, Zambia and Zimbabwe); training of trainers delivered in Mozambique and Zambia; materials developed for institutions in Botswana, Mozambique, South Africa, Zambia and Zimbabwe; and a regional working group on training being established. The training support provided by the Project is very much demand driven.

Prospects: CBNRM will be mainstreamed in tertiary institutions in all countries; delivery will be consolidated in most countries and training extended through non-formal institutions.

*Output 3. Strategic institutional capacity-building of focal organisations involved in CBNRM in the public, private sectors, civil society and community levels implemented in the partner countries*

Overall assessment: Focal institutions for capacity building have been identified in Zimbabwe, Zambia, Botswana and Mozambique and capacity building support is being provided on wildlife monitoring, quota setting and human/wildlife conflict management. Again, the capacity building is demand driven. Demand by far exceeds the Project's capacity to provide support.

Prospects: The development of the Management Oriented Monitoring System (MOMS) will significantly improve the management of protected areas and various NRM sectors. However, much depends upon the extent to which the agencies adopting MOMs build it into decision-making systems. Once MOMS starts to be extended to CBOs, its continued application will

depend upon the extent to which these organisations have authority to take management decisions over their natural resources.

*Output 4. Policy and legislation support provided at country level to promote and improve implementation of CBNRM with linkages to regional sectoral policies and transboundary initiatives*

Overall assessment: A policy review has been carried out for Botswana, Malawi, Mozambique, Namibia, Zambia and Zimbabwe which lays a foundation for further policy work. The Project is providing technical input and financial support for CBNRM policy work in Botswana and Zambia. Most policy work is currently taking place at national forum level. Limited policy work has been carried out at a regional level. A good foundation is being laid on which to build future policy work at different levels.

Prospects: Dialogue on CBNRM policy is a good starting point: there is need for high-level policy engagement to ensure adoption of CBNRM as a rural development strategy; the regional forum can provide a platform for more policy work at the regional level.

*Output 5. Strategic Interventions*

Overall assessment: Despite a slow start in 2003 due to a lack of personnel, the Project has gained momentum, the PMU is in place and management systems are operating. Useful partnerships have been established with key regional and international partners. Although no additional major source of funding has been found, some smaller sources of funding have been tapped. An HIV/AIDS strategy has been developed and a proposal developed for funding. The Project has made good use of partnerships and alliances for facilitating implementation. The Project needs to give more attention to developing a gender strategy.

Prospects: The implementation approach developed by the Project should provide a good foundation for future phases. However, the Project will need to find additional sources of funding if it is to meet the ambitious expectations set for the Implementation and Consolidation Phases.

## **4.2 Impact and Value Added to National Level Efforts**

Although the Project activities have been mainly process oriented in the Inception Phase and have focused on building a foundation for further implementation, a number of impacts can be identified. The national CBNRM forum that the Project has helped establish in Mozambique is emerging as an implementing forum for the already established National CBNRM Conference that meets every two years. The national conference would make recommendations, but these were often not carried out over the next two years to the next meeting. The Project-supported national CBNRM forum enables a core group of civil society organisations to meet (with government agencies as participants but not formal members) to ensure that plans and priority recommendations of the conference are implemented. The national forum has met 5 times since its establishment in mid 2004, demonstrating a clear need amongst participating organisations. The forum has engaged with government over the need to implement policy and legislation that supports CBNRM activities. It is also actively addressing a number of other constraints to CBNRM that have been identified by the national conference.

The Project has enabled the National CBNRM Forum in Botswana to continue its activities following the end of a previous cycle of external funding and secretarial support. The Project support has come at a crucial time because of the need to advocate strongly with the Botswana

Government regarding proposed policy reforms that remove rights from local communities. The Botswana national forum has developed a number of position papers, and is actively trying to engage with government where possible. It has also made considerable progress in identifying constraints to CBNRM implementation and lessons learned from implementation activities in Botswana. The national CBNRM forum in Zambia, set up with project support, is starting to move from the establishment phase to implementation and has identified policy gaps and is starting policy advocacy. It will be important that the Zambian forum identifies appropriate linkages with the government-approved and wider Natural Resources Consultative Forum that will discuss natural resource issues and provide policy advice to government.

The TOR required the evaluation team to discuss the value added by the Project by describing the status of CBNRM implementation before and after project interventions. At this stage in the life of the Project it is too early to expect significant changes in implementation of CBNRM within the target countries. However, the evaluation team believes that there are a number of activities that represent ways in which the Project is adding value to national level activities.

For example, it is too early to gauge the impact of the work on developing Performance Monitoring Standards, as the testing of the methodology within three countries (Botswana, Zambia and Namibia) has started only recently. However, this is an innovative approach that practitioners in Namibia, Mozambique, Zambia and Botswana have expressed excitement about and adds value to the work of CBNRM implementing agencies within national CBNRM programmes. In the same way it is too early to gauge the impact of the training activities. The Inception Phase has carried out the necessary training needs assessments and inventory of existing materials that can guide future interventions. The training interventions in tertiary institutions will in most cases add CBNRM components to existing NRM courses. The Project will need to devise ways of monitoring the impact of its support to training that show how the training is being applied, rather than simply recording training events.

The capacity building support to focal institutions is filling important gaps in the ability of these organisations to monitor and manage natural resources in partnership with local communities and other stakeholders. The Management Oriented Monitoring System (MOMS) that was pioneered in Namibia is being adopted by government wildlife agencies in Botswana, Zambia and Mozambique in the absence of existing monitoring systems. The aim is to develop the same systems with CBOs in these countries so that as government and local communities are using standard formats for data collection and analysis, both will be able to accept the validity of the data. The impact of the introduction of the MOMS will be demonstrated by the extent to which the data gathered is used in management decisions by the agencies collecting the data and by whether the data continues to be collected over time. This means that appropriate decision-making processes need to be in place in these agencies. At the government wildlife department level much will depend upon the in-house capacity to establish and maintain data bases. At community level, much will depend upon whether CBOs have the authority to take management decisions over natural resources. There will be little incentive for them to carry out monitoring activities if policy and legislation do not enable them to use the information for their own management. These linkages demonstrate how the policy and advocacy component of the Project is fundamental to other components.

Implementation of the Project through WWF country offices in Zambia and Mozambique has impacted and added value to WWF activities in these countries. CBNRM is being incorporated within other projects of these country offices and is to some extent being 'mainstreamed' as a conservation approach. The interaction between the representatives of the country coordinating organisations at project planning meetings is increasing knowledge and understanding of CBNRM among key staff members. WWF appears to be increasing its profile in the region

among donors and government wildlife departments as an organisation that can provide CBNRM technical support.

### **4.3 Factors affecting successes and failures**

The implementation approach of the Project has enabled it to carry out most of the activities planned for the Inception Phase without employing a large implementation team. This implementation team consists of dedicated people who are hard working. They have been able to draw upon the services of hard working and dedicated people in the country coordinating organisations in each country to ensure implementation at the national level. Some of the country coordination partners are part of the WWF network (3) while others (4) are not.

Another factor that has assisted successful implementation of the Inception Phase is the extent to which the Project is meeting regional CBNRM needs and addressing constraints. As described in sub-section 3.1 above the Project is relevant to the CBNRM needs of the region and is perceived by all stakeholders interviewed to be meeting some of those important needs even though a wide range of needs still remain uncovered. Further, the Project is meeting many of the needs expressed at a Regional CBNRM Conference held in Namibia in 2003. In this respect the Project can be considered to be demand driven and not imposed on regional stakeholders. For these reasons, there has been support for the implementation of project activities at national levels.

The main areas where project implementation has not achieved intended results for the Inception Phase are the securing of a major additional funding source and in finding a long-term regional institutional home that would be likely to promote continuation of key activities once external support had come to an end. Both of these results were expectations of Norad and the Project design recognised that there could be strategic advantages in having such a long-term institutional home at the regional level. With regard to funding, the Project has made attempts to find major additional donors, but without success. This is partly due to one of the justifications for the Project made in the proposal to Norad – that there is donor fatigue with CBNRM. It had been expected for example, that USAID Regional Centre for Southern Africa (RCSA) would provide further funding to regional CBNRM activities in southern Africa, but the RCSA switched its natural resource management focus to Integrated River Basin Management, with only a small component aimed at local communities in Angola, Botswana and Namibia. In order to deal with this situation, the Project has managed to secure small amounts of funding to fund thematic areas of its activities such as the development of performance management standards, and is pursuing further such partnerships. These fund raising activities are covered in more detail in sub-section 8.3.2 below.

With regard to finding a long-term institutional home, the Project has pursued the possibility of being housed under the auspices of the SADC Food, Agriculture and Natural Resources (FANR) Directorate. Negotiations with SADC were put on hold because of a major restructuring of the regional body, which saw the demise of sectoral coordinating units located in member countries and the centralisation of activities to a SADC headquarters in Gaborone, Botswana. Once the restructuring had taken place, WWF-SARPO reopened negotiations with SADC and the contents of a Memorandum of Understanding are still under discussion. For a more detailed discussion of this issue see sub-section 8.3.1 below.

## 5. Implementation

### 5.1 Effectiveness and Efficiency of Delivery

The first year of the Project experienced difficulties in terms of effective delivery because of the delay in appointing the full time Regional Project Co-ordinator. Although other personnel in WWF-SARPO managed to initiate some activities, other activities were delayed. After the Project coordinator was appointed and the PMU was fully established in late 2003, the tempo of delivery increased. The strategy of using country coordinating organisations as project implementation agencies in the target countries has proved to be an efficient means of delivery. It has meant that the Project did not need to appoint a large staff to implement activities, but could rely on country coordinating organisation staff to interact with in-country organisations. Further, PMU staff did not need to keep visiting each country on a regular basis to ensure that progress would be made. Follow-up to meetings and events was carried out by country coordinating organisation personnel. This has, however, placed an additional burden on the staff of these organisations, but there was no evidence that this burden was too much. Further, in the Mozambique and Zambia country WWF offices, assisting in implementing the Project has contributed to mainstreaming of CBNRM within these country office programmes. There is no real alternative to this delivery approach if the Project is to avoid appointing a large and costly PMU. There are some real and potential inefficiencies in the Project coordination office being located in Harare, Zimbabwe. Telecommunications such as land line, and electronic mail connections are often disrupted and it becomes difficult for project partners to contact the PMU. This impacts negatively on the responsiveness of the PMU to partners. Further, locating the coordination office in Harare means that two air tickets need to be bought every time the coordinator or other staff members visit a partner country.

### 5.2 Responsiveness of PMU

In general partners and stakeholders said the PMU was responsive to their needs. However, the telecommunications problems experienced by Zimbabwe were mentioned by several people interviewed as a problem. This issue is particularly important for communications between WWF-Norway and WWF-SARPO when responses are needed to requests for information relating to project administration or clarifications on financial issues.

### 5.3 Capacity of PMU

During the first year of implementation project staff capacity was low because of the delays in appointing the Regional Co-ordinator. Implementation capacity was increased once the coordinator was appointed and he could begin to forge partnerships with other organisations to ensure implementation of planned activities. The Project carries out a number of direct training activities itself, particularly related to quota setting and human wildlife conflict, largely because this capacity was developed in WWF-SARPO in the past. However, some of the personnel who were responsible for delivering this training in the past have left WWF-SARPO and the Project tends to rely on the Conservation Director to fill the gaps. This is not an ideal situation and the Project needs to strengthen its training capacity. Some of the staff involved in the Project design and who were likely to play important roles in project implementation have left the organisation and even the region. This probably slowed progress initially. It was intended that the existing communications and policy specialists within WWF-SARPO would provide technical support to the Project PMU but this has not materialised in the form or to the extent that was expected.

Partly this is because the policy specialist is employed by another project and also because he does not have specific CBNRM policy experience. Although a communications strategy was developed, the PMU has not been able to draw on sufficient support from the communications specialist to implement it. The PMU has not been able to focus much on communications while getting the Project up and running. The current staff positions on the PMU are as follows: Regional Project Coordinator; Assistant Project Coordinator (also responsible for training and oversight of support to Zimbabwean national forum and focal institutions); Training Materials Data Base Manager (also carries out some training); Monitoring and Evaluation Specialist; and a Project Intern.

*Recommendation: In order to address some of these capacity issues in the next phase of the Project it is recommended that:*

- a) The regional thematic working groups should be strengthened to enable the Project to access regional expertise*
- b) Although the PMU should remain “lean and mean” it should be strengthened with an additional person to assist the Co-ordinator in regional level implementation (the assistant co-ordinator has responsibility for training and supporting in-country activities in Zimbabwe as well as some aspects of administration so has little time to assist at the regional level). The additional person could also help with the implementation of a project communications strategy and possibly regional level policy work.*
- c) The roles and responsibilities of individuals within the PMU should be reassessed for the implementation phase particularly with regard to who delivers training of trainers.*
- d) The Project should assess staff skills and provide relevant short-term training where appropriate (e.g. given the complexity of the Project and reliance on a number of partners and stakeholders for implementation it will be important to strengthen PMU monitoring and evaluation capacity)*

## **5.4 Budget**

The budget appears to have been adequate for the implementation of the activities intended for the Inception Phase. There is no indication from WWF-SARPO that the budget level hindered its work even if more resources could have been spent to meet some of the many CBNRM related demands in the region. Project spending was slow in the first year because of the delays in establishing the PMU, but the Project is now moving close to spending 100% of the funds annually.

*Recommendation: A new budget needs to be developed for the implementation phase. As part of this process it is recommended that:*

*Consideration should be given to front-loading the budget for certain activities at the start of this phase such as regional forum meetings and working group activities. It will be important for these bodies to meet more regularly in the beginning to carry out the planning and consensus building necessary to kick start many of their activities. Once planning has been carried out, agendas agreed and implementation processes and mechanisms are in place, then the regional forum and working groups will need to meet less frequently.*

## 5.5 Project Location

The physical location of the Project in Harare, Zimbabwe should be reconsidered. As noted in subsections 5.1 and 5.2 above the telecommunications problems experienced in Zimbabwe hinder communications with partners and stakeholders and negatively affect the responsiveness of the PMU. There are also increased travel costs associated with this location. The worsening political situation in Zimbabwe also raises concerns about the suitability of Harare as the appropriate location for a regional project.

*Recommendation: As part of the design of the next phase of the Project it is recommended that:*

*The Project should consider carrying out a cost-benefit analysis of re-locating the Project coordination office to South Africa and housing it within an existing organisation that can provide administrative support. One option for re-location that could be explored is to rent office space and administrative support services from the South African office of IUCN in Pretoria.*

## 5.6 Relationships with Stakeholders/partners (including SADC and other regional organisations e.g. IUCN) and the relevance and effectiveness of partnerships

The Project has explored and established a number of partnerships that assist in project implementation. It is partnering with IUCN country offices as the country coordinating partner organisations in Botswana and South Africa and has collaborated with IUCN Regional office for Southern Africa on the development an HIV/AIDS strategy. The Project also works closely with the IUCN country office in Mozambique. There are good working relationships with these IUCN offices. These relationships are important for achieving project results as the Project does not have its own in-country staff and relies on country coordinating organisations and other in-country partners for implementation. WWF has an agreement with the Peace Parks Foundation of Southern Africa to support the development of Transfrontier Conservation Areas (TFCAs). The Project will provide support in the implementation of CBNRM components of TFCAs (this is non-project funded).

Partnerships have been developed with the USAID-funded FRAME Project which disseminates NRM information amongst a network of African practitioners and academics, and the joint CBNRM research and information project of the Centre for Applied Social Sciences (CASS) at the University of the Zimbabwe and the Programme for Land and Agrarian Studies (PLAAS) at

the University of the Western Cape (non-project funded). Agreement has been reached with the International Institute for Environment and Development (IIED) in London for IIED to assist in getting CAMPFIRE materials on the web and to develop Participatory Learning and Action (PLA) notes with authors from the region and coordinated by the Project. These partnerships provide additional mechanisms for disseminating project materials, regional best practices and lessons learned.

Partnerships have been developed with a number of sister projects. These include the WWF Living in a Finite Environment (LIFE) Project in Namibia which assists in the regional roll-out of the event book system; the CAMPFIRE Association in Zimbabwe for the wildlife management series; and the WWF Zambia Environment Education Programme (ZEEP) / Africa and Madagascar Programme EE network which feeds materials and methodologies into the CBNRM project. The partnerships enable the Project to readily access best practices and lessons learned from existing CBNRM activities in the region, access existing materials, and access expertise that can help in the roll-out of best practices.

The Project's relationship with SADC is still being negotiated and is discussed in more detail in sub-section 8.3 below.

*Recommendation: In Botswana, Mozambique, Zambia and Zimbabwe the identified focal institutions targeted as key partners in CBNRM implementation and for capacity building are government departments. The Project should consider expanding its focal institutions to include more civil society organisations as well as government.*

## 5.7 Communications

The Project has not managed to provide good communications about its status and progress to stakeholders and partners. The country coordinating partner organisations are the best informed about the Project because they are part of regular project planning meetings and receive updates on progress from the PMU. Most other partners and stakeholders only have good knowledge of the part of the Project that affects them directly in their own countries and of the formation of the regional forum. More information needs to reach the identified focal institutions, and national forum members in each country. This issue and the need to disseminate project products are discussed in more detail in sub-section 8.2 below.

## 6. Log Frame Review

The evaluation team carried out a review of the Project log-frame towards the end of the evaluation period. The core team was joined for this exercise by the assistant project coordinator and the WWF-SARPO Conservation Director, who facilitated the review. The review revealed a number of weaknesses in the original log frame. These weaknesses and the recommendations for addressing them in the design of a further phase of the Project are presented in Annex 4. This section provides some further discussion and a summary of the main issues that need to be addressed. The discussion of specific points below is based on the guidance provided in Norad's Handbook for Objectives-oriented Project Planning (Norad undated).

### 6.1 Project Goal (Development Objective) and Purpose (Immediate Objective)

The log-frame review identified a number of problems regarding the Project goal statement. This statement is not framed in terms of a desired end and needs to be reworded. Further, it will be



very difficult to attribute to the Project achievement of the targets contained in the indicators. It would also be difficult and costly to collect the household data that is being suggested and no baseline data has so far been collected. Participants in the log-frame review felt that although the Project needs to meet Norad's overall goal of poverty reduction, it should also reflect WWF's conservation objectives. Two suggestions for rewording the goal are made in Annex 4:

1. *"Improved rural livelihoods at the household level through sustainable management of natural resources by communities in Southern Africa"*
2. *"Sustainable management of natural resources by communities in Southern Africa contribute to improved rural livelihoods"*

The first proposed goal statement does frame the development objective in terms of a desired end, but the second one is expressed as a process. Both are very broad and ambitious and are framed to establish the contribution of CBNRM to Norad's overall goal of poverty reduction. Both are framed as means-end statements. However the Norad guidance on developing log-frames suggests that the goal or development objective needs to be narrow and specific, and should not contain two or more objectives that are causally linked. Based on this guidance the Project goal statement should be revised. If either of the two proposed new goal statements are adopted, they should be further refined. Some project log-frame approaches do accept that goal statements will be very broad and that progress towards the goal will depend on a number of related processes beyond the control of the Project. For this reason these frameworks do not make provision for developing indicators at goal level. However, as the Norad log-frame approach does expect indicators at the goal level, the Project should consider developing a narrower and more specific goal statement. It is unusual for a project to change the overall goal but given the problems noted above, such action is recommended. One possibility is:

*"Enabling conditions for sustainable management of natural resources by communities in southern Africa improved."*

This statement covers more closely what the Project is actually doing i.e. improving the enabling conditions for CBNRM by working to develop best practices, developing performance standards, building capacity of organisations that support local communities, developing a trained body of professionals and trainers of trainers and improving the policy and legislative environment. This goal statement does not specifically tie CBNRM to poverty reduction, but the ways in which sustainable management of natural resources through CBNRM approaches can contribute to poverty reduction are addressed in the existing Project Proposal and could be further elaborated. The indicators for this new goal statement would need to be changed to reflect the improvement of enabling conditions for CBNRM.

The log-frame review participants felt that the purpose or immediate objective statement also needed refining and suggested the following:

*"CBNRM principles, policy and practice adopted as a mainstream strategy for rural development in southern Africa"*

This statement clearly identifies the means by which the enabling conditions for sustainable management of natural resources in the region by local communities will be improved – through the broader adoption of CBNRM principles, policy and practice. It also has clear links to the outputs and existing activities of the Project. Achievement of this statement would certainly contribute to the suggested new goal. However, there is one element missing in the existing outputs that would contribute to either the existing purpose statement, or the proposed new one. For CBNRM to be adopted as a mainstream rural development strategy in the region, it would need to be adopted as an approach by government agencies other than the wildlife and forestry departments that currently embrace it. This aspect should be given more consideration in the

design of another phase of the Project and might need to be reflected more strongly in the outputs.

*Recommendation: In summary, it is recommended that:*

- a) The Project goal statement be revised to be more narrow and specific and to reflect more closely a WWF conservation agenda as well as a rural development agenda*
- b) The indicators and targets at the goal level be revised in keeping with a revised goal statement*

## 6.2 Outputs and Indicators

The log-frame review participants did not recommend changing the existing outputs and they do generally support the achievement of the existing and the suggested new purpose. However, as noted in the previous sub-section more focus is required on how the Project will ensure that CBNRM is adopted as a rural development strategy in other sectors than wildlife and forestry.

In general many of the indicators in the log-frame need to be better defined. In some cases the targets were not defined based on a clear baseline and project implementation has shown that some targets are unrealistic or were based on inaccurate information. These indicators are identified in Annex 4 and should be reformulated. These problems are understandable and it is expected that targets and indicators developed as a guide during the design should be reviewed and if necessary replaced by more specific indicators once the Project becomes operational (Norad undated). During the log-frame review there was discussion on whether indicators are being used to demonstrate how project interventions have brought about change or whether the Project is measuring success by changes being made by other agencies. Thus if an indicator is framed as follows:

*“Within 18 months five countries have identified critical areas in existing policies hindering CBNRM implementation and proposals for improvement recommended”*

...does this mean that the Project should include in its data gathering countries that it did not give specific support to? For example, South Africa has its own process for identifying CBNRM constraints through a CBNRM working group, is making policy recommendations to government, is not supported by the Project, but a partner organisation of the Project is involved in this process. Should South Africa be included as a country that helps meet the target of five countries in the indicator? The Norad guidelines suggest that an indicator should be plausible i.e. “the changes recorded can be directly attributed to the Project” (Norad undated: 54). For the sake of clarity and to avoid misunderstandings during future evaluations, the Project should aim to measure what can be attributed directly to its interventions, particularly at the output level. Purpose and goal level indicators might be able to demonstrate that other agencies have adopted certain principles or practices as a result of project impact and the momentum generated by the Project without direct project intervention.

The Project will need to develop indicators that demonstrate impacts of training and capacity building support, rather than simply the number of training events held or number of people trained.

*Recommendation: In summary it is recommended that:*

- a) Indicators be revised, where appropriate, based on new information and more realistic targets*
- b) The PMU should identify gaps in baseline information and gather this data so that change can be properly measured*
- c) The PMU should revise indicators where appropriate to ensure that expected changes can be directly attributed to the Project*
- d) The PMU should identify areas such as training, where indicators need to measure impact rather than the holding of events or number of people attending/being trained. Where possible indicators should be revised to show impact.*

## 7. Continuation of the Project

A key question in the evaluation was to assess whether the Project should continue or not. The evaluation team finds that the Project has laid a sufficient foundation to move from the Inception Phase to an Implementation Phase. The team recommends that the Project should continue. This finding and this recommendation are based on a number of criteria that the team used for analysis. These criteria are:

- Are there major problems or failures that undermine potential success?
- Is the Project still relevant?
- Were the activities planned for the Inception Phase carried out and do they provide a foundation for continuation?
- Have the risks and enabling environment changed to adversely affect prospects of success?

The following sub-sections consider each of these questions and the final sub-section elaborates on the recommendation to continue the Project.

### 7.1 Are there major problems or failures that undermine potential success?

The evaluation team could identify no major problems or failures that are likely to undermine potential success of the Project, although there are a number of issues that need to be addressed in the next phase to streamline and improve on project implementation. As indicated in sub-section 4.1 above, the Project has made good progress in terms of achieving the planned outputs even though there were some delays with respect to some outputs and activities. However, the evaluation team notes that there were expectations from Norad that a) another donor would be found to support implementation and that b) a long-term institutional home would be found for the Project in order to promote sustainability beyond the period of external funding. While the lack of additional funding has not impeded progress during the Inception Phase, there will be increased demands upon the Project during an implementation phase and additional funding will be needed to meet these demands (see sub-section 8.3 for a more detailed discussion of this issue). With regard to finding a long-term institutional home for the Project, an MOU is still being negotiated with SADC. This issue is also discussed in more detail in sub-section 8.3. As yet the Project has not pursued the gender mainstreaming that was envisaged in the Project. Although this was not identified as a main priority for Inception Phase activities, the Project will need to start developing a focused gender mainstreaming strategy for the next phase.

The Project has not made good progress in developing an understanding among stakeholders of institutional relationships within the Project. The Project operates at multiple levels, has multiple implementing/coordinating units and agencies, and multiple partners and stakeholders. The lack of clear communication on these issues has caused some misunderstandings between the Project PMU and some Namibian stakeholders about how decision-making and accountability within the Project are to be structured. However the Namibian concerns on these issues are not shared by, or were not expressed by stakeholders interviewed from other countries involved in the Project. The evaluation team believes that at this stage of the Project these problems are not sufficient to undermine potential success. However, the issues of ownership, accountability and decision-making need to be addressed in the design of the next phase so that more stakeholder ownership of the Project is encouraged and clear lines of accountability and communication are established and understood by all. These issues are dealt with in more detail in sub-section 8.1 below.

## **7.2 Is the Project still relevant?**

This issue is discussed at some length in Section 3 above. The team finds that the Project is still relevant to CBNRM in the region. Its alignment with WWF priorities is somewhat indirect, but within the context of conservation issues and problems in southern Africa there are good justifications for WWF to be implementing a project of this nature. The Project does contribute to Norad's overall goal of poverty reduction but the emphasis on how this is achieved needs to be more clearly defined in project documents. The emphasis should shift away from household level income as an indicator for meeting poverty reduction goals and should focus more on issues of empowerment and livelihood diversification. The Project is well-aligned with the objectives and philosophy behind the UN conventions on biodiversity and combating desertification and with global development goals (see Section 3 above).

## **7.3 Were the activities planned for the Inception Phase carried out and do they provide a foundation for continuation?**

All of the activities planned for the Inception Phase as described in sub-section 2.1 above have been carried out. The timing of implementation of many of these activities was delayed. The delays were caused partly because some of the time frames envisaged in the design of the Project were unrealistic (e.g. the time needed to establish national forums and get them meeting regularly). Delays were also caused because of the late appointment of the Project Coordinator. However, despite these delays good progress has been made and sufficient foundation has been laid for continuation. The regional forum has been established, national forums have been established or strengthened, training needs assessments have been carried out, materials assessments have been done, an inventory of CBNRM courses in formal and non formal institutions has been carried out, capacity building of government wildlife departments has been initiated, partnerships developed and the PMU established and functional. Indeed, there are considerable expectations in the region that the activities that laid this foundation in the Inception Phase will continue.

#### **7.4 Have the risks and enabling environment changed to adversely affect prospects of success?**

In general the overall operating environment has not changed significantly since the Project design, although the situation regarding some assumptions has shifted regarding individual countries. For example at the purpose level, there are assumptions in the log-frame that “Political will to empower communities will continue to remain in place” and that “National Governments remain committed to decentralisation” (Annex 1 to the Project ). In Botswana the government has made policy proposals which if implemented will weaken the rights that communities have over wildlife and the receipt of income from wildlife and tourism. In Zimbabwe the macro-economic climate has continued to deteriorate. This deterioration and the recent government action against squatters and informal businesses will increase poverty and place additional pressure on natural resources in communal areas and on the incomes being derived from CBNRM activities. The Zimbabwe situation is something that falls well outside the control of the Project and the Project will need to monitor the situation to gauge whether project interventions there can continue to be useful.

However, the Project design recognised that policy and legislation for CBNRM in the region needed strengthening and that governments were not fully convinced of the need for devolving rights to communities. The emerging situation in Botswana is therefore something that project-supported activities, such as policy advocacy by the Botswana CBNRM forum, can help address. Given the centrality of policy reform for improving the performance of CBNRM in the region, there is a need for a concerted effort within the region to address this issue. The Project should consider moving up a gear to initiate a “high level policy push” that specifically targets Cabinet Ministers and other high level decision-makers.

The donor fatigue with CBNRM and the emerging academic critique of CBNRM identified in the Project document have continued during the Inception Phase of the Project. Donor fatigue helps to explain why the Project has struggled to find a major source of additional funding. However, there are still donors interested in CBNRM and supporting activities that contribute to sustainable livelihoods. There are still avenues for the Project to pursue so at this stage the evaluation team does not view the lack of progress on securing additional funding to be a sufficient problem to justify recommending that the Project should be halted. Having made this point though, the evaluation team recommends that the Project coordinator and the top management of WWF-SARPO, assisted by WWF-Norway, should give priority to finding an additional source of major funding.

#### **7.5 Recommendation to continue**

The above analysis indicates that there are no major problems in implementation of the Project that are likely to undermine success, the Project remains relevant, particularly for addressing bottlenecks to CBNRM in the region, the activities planned for the Inception Phase have been carried out, laying a good foundation for further implementation and the overall operating environment has not changed significantly. However, a number of issues emerge that require further attention which if not addressed could undermine future success and sustainability.

*Recommendation: The evaluation team recommends the continuation of the Project subject to the following:*

- 1) Agreement on continuation by the main project stakeholders*
- 2) The Project must continue to be 100% externally funded without match funding from WWF-Norway*
- 3) Priority is given by WWF-SARPO, with input from WWF-Norway, to find an additional source of major external funding*
- 4) The Project needs to increase stakeholder ownership, clearly define lines of communication and accountability and define institutional relationships and responsibility for decision making*
- 5) The Project should initiate a high-level policy push that targets key decision-makers at political level in order to bring about the desired policy and legislative reform and increase awareness of the potential for CBNRM to contribute to development as well as conservation*
- 6) A clear exit strategy for the Project needs to be developed that addresses issues such as long-term funding for CBNRM in the region and a long-term institutional home for the Project*

## 8. Key Issues for the Design of a Second Phase

A number of issues have been identified in this report that require more attention in a second phase of the Project and which are important for ensuring future success and sustainability. These issues are considered in more detail below.

### 8.1 Ownership, Accountability and Institutional Arrangements

#### 8.1.1 Proposed Institutional Framework for the Project

WWF personnel have stated strongly to the evaluation team that they do not want to impose the regional CBNRM capacity building project on people in the region. They clearly recognise that all projects need the “buy in” of beneficiaries and key stakeholders and this is particularly true of a regional project that depends on stakeholders in each of the target countries to implement activities. As noted in sub-section 7.1 above the Project operates at multiple levels, has multiple implementing/coordinating units and agencies, and multiple partners and stakeholders. The Project to Norad in 2002 partially addresses the issue of assigning responsibility for decision making and defining lines of accountability within this complex implementation framework. It proposed that the Project Coordinating Unit (PCU – now the PMU) would be responsible for conducting the “day-to-day affairs” of the Project and that responsibility for the overall “oversight” of the Project would lie with a Project Board or Steering Committee. The TOR for this committee indicate that it should provide direction for the Project. Among other things, it would (WWF-Norway 2002):

- review and approve the Project’s operational framework and guidelines
- establish and supervise the Project Coordination Unit (PCU)<sup>6</sup>

<sup>6</sup> The project proposal is not consistent with regard to the establishment of the Steering Committee and elsewhere suggests that this might be done by SARPO

- approve PCU annual work plan and budget
- monitor PCU activities to ensure adherence to the work plan
- review PCU progress reports
- approve financial statements and accounts
- establish project policy of how resources will be allocated to partner countries and receive and approve grant requests

These TOR clearly establish the Project board or steering committee as the main body for ensuring regional ownership of the Project by making the Project coordination unit accountable to the committee. The TOR in the proposal also made provision for the steering committee to receive and approve grants by stating that any member of the board (committee) “whose institution’s grant request is submitted to approval to the Board, that member shall recuse himself/herself from the matter” (WWF-Norway 2002: 38). The Project suggested that membership of the committee should consist of one person nominated by the national forums in each of the seven participating countries, a member with financial/business management expertise, an ex-officio SADC representative and an ex officio donor representative. It was envisaged that WWF-SARPO through the Regional Project Coordinator would act as the secretariat to the committee. The proposal does not make it clear whether the Board or Steering Committee was to be a separate body to the regional forum expected to be established under Output 1.

At national level the Project Proposal envisaged that the Project would identify “CBNRM focal partner” (country coordinating) organisations in each country that would act as the secretariat to the national CBNRM forums (WWF-Norway 2002: 37). The proposal does not specify which organisations these focal partners should be, but suggests some criteria such as having a track record in implementing CBNRM, having financial capacity to handle grants, capacity to provide secretariat support to the national forums, and availability of office space. Among other things, the focal partners would receive proposals for CBOs and submit these proposals to the national forum for screening. The proposal does not specifically provide for the focal partner organisations to be accountable to the national forums in the same way as it does for the PMU to be accountable to the steering committee. It does however, envisage that the focal partners would act as the secretariat to the national forums and provides for the national forums to have some involvement in approving the allocation of grants to CBOs i.e. a “screening” function.

During the Inception Phase the institutional arrangements for the Project have not fully followed the scenario outlined above. The main difference is that the Project steering committee has not been established. The Project has identified “focal partner organisations” (country coordinating organisations) in each country which have been WWF Country Offices where these exist, IUCN in Botswana and South Africa, the WWF-LIFE project office in Namibia and the COMPASS Project office in Malawi. These organisations have met regularly for planning and coordination purposes and have in effect acted as a steering body for the Project. In addition, the PMU has initiated a number of activities that in the absence of the steering committee envisaged by the Project Proposal have not been formally endorsed by regional stakeholders.

There are a number of practical reasons that underlie the emergence of the current institutional relationships within the Project. The steering committee was premised on the existence of national forums that would make up the core of the membership of the committee. The Project Proposal even envisaged that the steering committee would be responsible for establishing the PMU. This was not practical because national forums did not exist in each country and the PMU needed to be established to facilitate the development of these forums in some countries. This process, along with the establishment of the regional forum, understandably took time. Further, it

was convenient and made administrative sense for WWF to look to its own country offices and the WWF-LIFE office in Namibia as the country coordinating partner organisations to provide support to national forums and for implementing project activities in-country. In Botswana, IUCN had already been supporting a national CBNRM forum for some years.

However, these arrangements do not necessarily promote a high level of stakeholder ownership of the Project and could promote a perception that this is a project driven by WWF. This perception is held by some stakeholders in Namibia who expressed a high degree of frustration that the types of mechanisms for regional “ownership” of the Project suggested by the Project have not been established. The organisation currently recognised by the Project as Namibia’s national CBNRM forum, the Namibian Association of CBNRM Support Organisations (NACSO) takes a strong position on project ownership. NACSO is concerned that WWF is “going ahead with workshops and activities without a mandate from the regional forum”. NACSO suggests that the regional forum should direct the PMU activities, determine how project funds are spent, allocate grants, and refer decisions such as approving TOR for thematic working groups back to national forums for endorsement (P. Skyer *pers. comm.*).

The existing institutional arrangements have served the Project well in the Inception Phase given the absence of national forums in all participating countries to provide the foundation for stakeholder ownership at national and regional levels. The PMU could not wait for the national forums and the regional forum to be established in order to gain a mandate for all of its activities or it would have accomplished very little in the Inception Phase. Now that the Project is moving into an implementation phase, there is clearly a need to shift ownership to regional stakeholders and establish appropriate mechanisms and processes to achieve this.

However, while the Project needs to put in place appropriate mechanisms for promoting stakeholder ownership, two other key issues need to be taken into account. First, the institutional relationships and lines of accountability need to be such that they promote efficiency and effectiveness of decision-making and implementation. For example under the current arrangements the regional forum was scheduled to meet annually. This is not sufficient if the forum would need to take regular decisions that other institutions such as the proposed working groups needed to follow up on or if the regional forum needed to refer issues to the national forums. However, holding more regular meetings clearly has budgetary implications and might not be sustainable when external funding ends. There is some justification though, for suggesting that in the first year of the Implementation Phase, the regional forum should meet at least twice in the first 12 months of this phase in order to build some momentum for its activities.

The second issue to consider is that WWF is ultimately responsible to Norad (and any other potential donor) for project funds and results. It cannot therefore enable stakeholders to take full control of the Project and the allocation of funds. In effect this means that there has to be joint ownership of the Project between WWF and regional stakeholders. This should not present problems for crafting institutional arrangements as the principle of joint ownership is at the heart of the arrangements for the WWF-LIFE Project in Namibia. Under these arrangements, WWF is responsible to the donor for project reporting, but also reports to a Steering Committee made up of Namibian organisations and the donor, and this Steering Committee approves work plans and reports. This can provide a useful model for the Project.

Based on these considerations and proposals that emerged from discussions with the country coordinating partner organisations the evaluation team suggests adopting a set of institutional arrangements that are similar to those suggested in the Project Proposal, but with some modifications.



*Recommendation: The following is recommended for consideration during the design of the implementation phase:*

- a) *For reasons of good governance, the Project Steering Committee should represent a broader group of stakeholders than the Project beneficiaries only.*
- b) *The Project steering committee should consist of a small group of three-five elected representatives from the regional forum, a representative of the donor, and at least one external person in order to provide some form of independent scrutiny.*
- c) *WWF-SARPO should act as the secretariat for this committee.*
- d) *The committee members representing the regional forum should have full decision-making authority and should not need to refer any decisions back to the forum. These members should rotate over time, but in a way that ensures some continuity of membership.*
- e) *Careful consideration should be given to whether the Project steering committee should approve funding allocations to the various participating countries. Key issues are whether it will be easy to prioritise between the different needs of each country and whether proposals can be received and dealt with in a timely and non-bureaucratic manner. One option could be to allocate an equal block of funding for national activities in each country so that some activities can move forward quickly. Within the parameters of the project outputs, the national forums should be able to decide how these funds are used according to their specific needs. Some funds could then be kept back and allocated based on proposals received.*
- f) *More consideration needs to be given to the issue of grant making. The Project makes several passing references to grants but does not provide details on the purposes for which grants would be awarded or the mechanisms for allocation. The PMU working with the proposed steering committee should address this issue.*
- g) *In order to ensure that WWF is not perceived to be acting independently, it is recommended that country coordinating partner organisations do not receive funding to carry out project activities without this being approved by the Project Steering Committee (an example of such funding is the project support to the WWF-LIFE office in Namibia for the regional roll-out of the Namibian MOMS approach). Country coordinating organisations that receive such funds should report on spending and progress to the steering committee.*
- h) *If the country coordinating partner organisations are to be the secretariat for the national forums, then they should carry out project related activities at the national level with the approval of the national forums.*
- i) *The Project steering committee should meet three times a year and carry out the following functions:*
  - i) *Provide overall policy direction for the Project*
  - ii) *Approve the PMU annual work plan and budget*
  - iii) *Monitor PMU activities to ensure adherence to work plans*
  - iv) *Review and approve PMU progress reports*
  - v) *Explore the feasibility of establishing a regional CBNRM Endowment/Trust fund and carry out fund-raising activities*
  - vi) *Report on project progress to the regional forum*
  - vii) *Review and approve proposals by national forums for use of block funds*
  - viii) *Approve any regional level activities carried out with project funding by country coordinating partner organisations, and receive and review progress reports on these activities.*

### *8.1.2 Proposed institutional framework for the regional forum, regional working groups and national forums*

Consideration also needs to be given to the future institutional relationships between the regional forum, the proposed regional working groups and the national forums. Again it is important to avoid cumbersome and time-consuming lines of accountability and responsibility for decision-making that can delay project implementation. There is a general consensus among stakeholders interviewed that the national forums should provide the foundation for the regional forum. The first regional forum meeting held in December 2004 agreed that the regional forum should draw its memberships from national CBNRM forums as well as individual organisations that operate at regional level with similar aims and objectives. The regional forum would be supported by a secretariat drawn either from WWF-SARPO or IUCN-ROSA and would have a Steering Committee comprising one elected representative from each member country. The forum would establish thematic working groups at regional level that would facilitate the sharing of best practices and experiences among member countries.

So far no regional working groups have been formally established. However, at a meeting organised by the PMU in April 2005 to discuss training needs assessments, there was also discussion about the establishment of a training working group. It was agreed at that meeting that the TOR for this working group would be discussed by the national forums and then referred back to the regional forum so that a working group could be established. However the next planned meeting of the regional forum was to be December 2005<sup>7</sup>. This would have meant a delay of nearly 7 months before the working group could have been established if the proposed procedure was followed. The principle should be to devise a decision-making system that enables decisions to be taken quickly while ensuring that key stakeholders know that their interests are being considered. It will be unworkable for all key decisions of the regional forum to be referred back all the time to national forums.

*Recommendation: The following is recommended for consideration during the design of the Implementation Phase:*

- a. The national forums should delegate authority to their representatives in the regional forum to take such decisions as establishing working groups. If further decisions are required such as the approval of TOR for working groups, then this should be done by the Regional Forum Steering Committee either in a meeting or by e-mail. The executive or management committees of the national forums should be able to nominate members of working groups without waiting for a full national forum session.*
- b. The existing group of regional experts that has worked on performance monitoring criteria and a policy working group proposed by the PMU should be formalised under the regional forum as soon as possible (e.g. at the proposed regional forum meeting to be held at the end of August 2005). The group working on performance monitoring criteria should provide some feedback on progress to the regional forum.*

<sup>7</sup> This has now been brought forward to the end of August in order to involve the regional forum in the design of the Implementation Phase

- c. *All working groups should be accountable to the regional forum for reporting on progress on activities.*
- d. *In order to get the working groups up and running, the Project should consider allocating a block of funding to support basic start-up activities such as meetings and an exchange of ideas. Once working groups have an action agenda they could apply to the steering committee for operational funding.*
- e. *The functions of the national forums with regard to project activities could be as follows, provided this is within the constitution and mandates of the various forums:*
  - i) *Elect representatives to the regional forum who have a mandate to take key decisions (e.g. approve TOR for working groups)*
  - ii) *Propose agenda items for regional forum meetings*
  - iii) *Propose regional forum and working group activities*
  - iv) *Designate members of the thematic working groups*
  - v) *Receive funding from the Project to strengthen the capacity of the forum and approve grants for CBNRM capacity building activities<sup>1</sup>*
  - vi) *Identify case studies for lessons learned and best practice development*
  - vii) *Identify and discuss issues of importance for CBNRM in the country and the region, such as policy and capacity issues*
- f. *The functions of the regional forum with regard to project activities could be as follows:*
  - 1) *Establish thematic working groups at regional level to facilitate the sharing of best practices and experiences among member countries*
  - 2) *Approve TOR and work plans for the working groups*
  - 3) *Review and approve materials and products of the working groups*
  - 4) *Develop a common set of principles for CBNRM in the region and a common understanding of these principles*
  - 5) *Identify bottlenecks to the implementation of CBNRM in the region and develop strategies to address these bottlenecks*

## 8.2 Communications and dissemination of products

The PMU needs to improve communications in a number of ways. Most stakeholders interviewed were aware of how their own organisation benefited from the Project, but did not seem to have a good awareness of other project activities. There is a need for the Project to raise its profile among stakeholders. This means improving communications to stakeholders on project goals and objectives, the parameters within which funding can be used, project status and achievements. The PMU has mostly communicated with and through the country coordinating partner organisations. There is a need to continue with this approach, but some communications such as on project progress and status need to be made directly with national forums with copies to the country coordinating organisations. As yet the project does not have easily accessible information on the web. One of the potential project partners mentioned trying unsuccessfully to access information about the Project on the internet.

The Project has started to produce a number of written products that not only demonstrate its achievements, but are also useful technical documents for regional stakeholders. These include the policy review completed in March 2004 (Jones 2004), the report on the development of

performance monitoring criteria (Child 2004) and the “stocktaking” report on a preliminary assessment of the natural resource management capacity of community-based organisations in southern Africa (Schuster *et al* 2005). These documents are relevant to practitioners in all countries in the region and need to be disseminated. The policy review document lends itself to the development of a number of short “policy briefs” based on specific sections of the report that could be developed and disseminated. It contains recommendations for addressing policy issues at different levels based on experience in the region. The stocktaking document contains useful information on the implementation of CBNRM in five countries in the region including data on progress. The document on developing a performance review process represents innovation in CBNRM in the region and contains a useful description and analysis of the key elements of CBNRM and the means to measure them at community level. This document could also be usefully summarised in non-academic language and disseminated widely in shorter form. All three documents are meant to lay the foundation for future work of the Project and its stakeholders but have yet to be distributed to stakeholders.

*Recommendation: In order to improve communications in the next phase of the Project, the evaluation team recommends:*

- a) In the preparations for the design of the next phase of the Project, the Project Coordinator should visit the national forums of each country to discuss the findings of this evaluation, update stakeholders on project progress and status and to inform them of the design process. This opportunity should also be used to inform stakeholders of the funding status of the Project and the need to slow down on implementation activities until the Norwegian Government has agreed on further funding (which would not be available until around February / March 2006).*
- b) The Project should aim to get a functioning web-site up and running as soon as possible. Such a site should provide information about the Project as well as make project products and documents available electronically.*
- c) The existing technical documents should be widely distributed as soon as possible and in appropriate formats for different audiences (e.g. policy briefs, information pamphlets etc.).*
- d) Project progress reports and other relevant information on the status of the project should be provided directly to project stakeholder organisations such as national forums*

### **8.3 Sustainability and Exit Strategy**

The Project envisages two main mechanisms for ensuring sustainability. First, the proposal expects that by the end of the Project at least one institution in each partner country should be able to carry on with the promotion of CBNRM with its own or externally mobilised resources. Second, the proposal suggests that funding would be sought to support an endowment fund that would continue to make grants to CBNRM organisations in the SADC region. Project grants would be phased out during Phase 3 and this function would be taken over by the endowment fund. It was also envisaged that additional donor funding would be sought to support the activities in phases two and three of the Project. The Project Proposal envisages that once CBNRM has been mainstreamed in government policy in the region then the Project becomes redundant.

### *8.3.1 A long-term institutional home for the Project*

The Project Proposal envisaged the possibility of housing the Project within the Food, Agriculture and Natural Resources (FANR) Directorate of SADC. This was seen as a means for gaining political commitment at the regional level and for providing the Project with a long-term institutional home that would contribute to sustainability. The need to find a long-term institutional home for the Project is understood by the evaluation team to be a priority of the Norwegian Government in order to ensure continuation of CBNRM activities at a regional level once Norwegian funding ends.

As noted in sub-section 4.2.2 WWF is currently negotiating a MOU with SADC regarding the Project's relationship to the regional body. During the interviews carried out as part of the evaluation, the evaluation team met the key SADC officials involved in the MOU negotiations. The Chief Director at SADC Secretariat, made it clear at this meeting that the ownership of the Project needed to be stated very clearly. If it was a SADC owned project then SADC would contribute to defining the stakeholders, there would need to be a steering committee that represented member states and SADC would require the appointment of focal persons for the Project in each country. The Project would have to go through a technical committee of member states as part of the preparation for it to be tabled with the council of ministers for approval. The alternative was for WWF to continue with the Project but without any formal endorsement of SADC.

The idea of housing the Project within SADC was suggested in the Project Proposal as one of the options for finding a long-term institutional home and the proposal indicates that this option needed to be investigated (e.g. on page 33 it uses the wording "If the SADC model is chosen..."). There are certain strategic advantages in placing the Project under the SADC umbrella as this would mean approval by member governments and the opportunity to use such government commitment to support project objectives.

On the other hand the Project has a strong civil society component among its stakeholders and policy dialogue and advocacy form a strong part of the Project focus. A project of this nature might sit uncomfortably with a SADC approval process that requires various stages of approval by member governments. Further, Project sustainability will depend to a large extent on the national forums and their vision for what is needed at regional level.

At an operational level, the regional home for the Project is in effect a strong network of national and regional actors who determine the regional agenda based on a bottom-up approach. It is also not clear whether some of the regional aspects of the Project will be required for the full life of the Project. For example, there might not be a long-term role for a regional forum once CBNRM becomes mainstreamed within the region. This is an issue that would need reviewing towards the end of the implementation phase of the Project.

*Recommendation: The evaluation team recommends the following:*

- a) That WWF does not pursue the option of placing the Project fully under SADC ownership. The MOU negotiations with SADC could focus on a general agreement between WWF-SARPO and the regional body or alternatively a project-specific agreement.*
- b) If a project-specific agreement is pursued, the team recommends that the MOU focus on securing member country ratification and implementation of SADC protocols of importance for CBNRM in the region as well as securing regional support for CBNRM and also for ensuring sector integration that enables CBNRM to work as a strategy for both conservation and development. In terms of long-term sustainability, the focus should be on strengthening CBNRM activities at the national level through the national forums and using regional cooperation on best practices and policy advocacy to support and add value to national level activities.*

### 8.3.2 Additional funding for the Project

Although finding additional funding was not included in the priority activities identified for the Inception Phase of the Project, one of the indicators for measuring the success of Output 5 of the Project is “Additional donor partners identified within 6 months of project start and agreement in principle for co-funding within 10 months” (WWF-Norway 2002: 31). Activity levels are likely to increase in the Implementation Phase while funding from the Norwegian Government is not likely to do so. As noted in sub-section 4.2.2 above, although the Project has approached large donors, it has not managed to find an additional source of major funding. It has, however, managed to attract smaller amounts of additional funding for specific activities. These include US\$50 000 from the Sand County Foundation for support to the development of the Performance Monitoring Standards. Two other organisations are interested in supporting the performance standards work and the Project will follow up on these. Other organisations that might be interested in funding work on best practices and lessons learned include IDRC, IIED and the Kellogg Foundation. The Project will also continue to following up leads with a number of major donors and funding sources that include WWF Switzerland, the Swiss Development Cooperation, SIDA, WWF UK and DFID. WWF-SARPO top management have initiated discussions with these organisations and should follow up as a priority.

A number of other opportunities were identified during discussions with the country coordinating partner organisations. WWF-SARPO top management will initiate discussions with the GEF through UNDP to explore funding opportunities that might link to the objectives of UN conventions on biodiversity and combating desertification. WWF-Norway will explore opportunities through the World Bank Trust Fund supported by the Norwegian Government and the African Development Bank. WWF-SARPO top management will pursue opportunities with the EU in Brussels in conjunction with WWF-International.

*Recommendation: The evaluation team recommends that:*

- a) A concerted effort is made between WWF-SARPO and WWF-Norway to find additional donor funding for the Implementation Phase.*
- b) The Project should also give priority to investigating the viability of establishing an endowment fund, either as part of an existing fund as is suggested by the Project Proposal, or as a new fund. As part of this investigation the Project should consider whether such a fund would compete with national efforts to raise funds for CBNRM and efforts to establish national endowment funds (e.g. the newly created environmental trust fund in Namibia).*
- c) The Project works with national forums to explore the possibility of persuading bilateral donors supporting CBNRM to include funding for regional networking and best practices work that can support project objectives.*

## 9. Summary of Main Recommendations

This section provides a summary of the main recommendations made in the body of this report. More detail on these recommendations is provided in the specific sections and sub-sections which are cross-referenced for easy reference purposes.

- 1) Increase efforts to secure additional funding/another major donor for the next phases. *See sub-section 8.3.2.*
- 2) Shift project ownership towards co-ownership between WWF and stakeholders/partners. Clarify institutional relationships, roles, responsibilities, decision-making authority and lines of accountability for next phases. *For a number of detailed recommendations see sub-sections 8.1.1 and 8.1.2.*
- 3) Develop clear exit/sustainability strategy – particularly addressing financial viability and investigate the feasibility of a regional CBNRM endowment fund (either establishing a CBNRM component of an existing fund or establishing a new one) *See sub-sections 8.3.1 and 8.3.2.*
- 4) Keep PMU lean and mean – develop strong implementation mechanisms through regional working groups. *See sub-sections 5.1, 5.3*
- 5) However, due to increased workload in next phase, increase capacity of PMU by addition of one person to assist the regional project coordinator with regional level activities; reassess roles and responsibilities especially with regard to training delivery; strengthen staff skills (e.g. on Monitoring and Evaluation); identify training needs and provide training. *See sub-section 5.3.*
- 6) Consider increasing efficiency of coordination and implementation through relocating coordinator to SA (for instance Pretoria – housed in IUCN). Carry out feasibility study of re-location. *See sub-sections 5.1, 5.2, and 5.5.*
- 7) Reassess budget for implementation phase. *See sub-section 5.4.*

- 8) Improve communications with partners and stakeholders and increase the profile of the Project. Disseminate products. Develop web-site. Project Co-ordinator should make information visit to each national forum prior to design of new phase. *See sub-sections 5.7 and 8.2.*
- 9) Follow-up delivery and impact of training arising from ToTs and materials development as part of monitoring and evaluation. *See sub-section 6.2.*
- 10) Identify more civil society institutions for support - to balance emphasis on focal (government) institutions. *See sub-section 5.6.*
- 11) Negotiate a relationship with SADC defined in an MOU covering specific roles and responsibilities that enable the project to maintain operational flexibility and its emphasis on civil society. *See sub-section 8.3.1.*
- 12) Develop a strategy for higher level policy engagement. *See sub-section 7.4.*
- 13) Develop a gender agenda for the implementation phase. *See sub-section 7.1.*
- 14) Revise log-frame, including goal, purpose and some indicators, in order to clarify what the project is doing and identify more realistic targets, but without changing the objectives of the project. Collect baseline information where there are gaps. *See sub-sections 6.1 and 6.2.*



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## ANNEX 1

### LIST OF PERSONS CONSULTED

<b>2<sup>nd</sup> June 2005</b>	
<b><i>Meeting with Integrated Rural Development and Nature Conservation (IRDNC) Caprivi Project, Katima Mulilo, Namibia.</i></b>	
Richard Diggle	Coordinator of IRDNC Caprivi Project
<b>3<sup>rd</sup> June 2005</b>	
<b><i>Meeting with Secretariat of the Namibian Association of CBNRM Support Organisations, NACSO, Windhoek, Namibia.</i></b>	
Patricia Skyer	Formerly of NACSO Secretariat, now USAID Namibia Natural Resources Management Team Leader
<b><i>Meeting with WWF-LIFE Project, Windhoek, Namibia.</i></b>	
Chris Weaver	Chief of Party, WWF-LIFE Project
<b>8<sup>th</sup> June 2005</b>	
<b><i>Meeting with staff of the WWF Project Management Unit and other WWF SARPO staff, Harare, Zimbabwe.</i></b>	
Russell D. Taylor	Conservation Director, WWF Southern Africa Regional Programme Office (SARPO)
Morse Nanchengwa	Regional Project Coordinator, Regional CBNRM Capacity Building Project, WWF SARPO
Lillian Dimbi-Goredema	Assistant Project Coordinator, Regional CBNRM Capacity Building Project, WWF SARPO
Sam Murinye	Training Materials Database Manager, Regional CBNRM Capacity Building Project, WWF SARPO
Abel Khumalo	Monitoring and Evaluation Specialist, Regional CBNRM Capacity Building Project, WWF SARPO
Isaac Mupamaadzi	Project Intern, WWF SARPO
<b>9<sup>th</sup> June 2005</b>	
<b><i>Meeting with WWF SARPO Conservation Director, Harare, Zimbabwe.</i></b>	
Russell D. Taylor	Conservation Director, WWF Southern Africa Regional Programme Office (SARPO)
<b><i>Meeting with Parks and Wildlife Management Authority and CAMPFIRE Association, Harare, Zimbabwe.</i></b>	
Charles Jonga	Director, CAMPFIRE Association
Tapera Chimuti	Chief Ecologist, Parks and Wildlife Management Authority (PWMA)

Emmanuel Kawadza	Principal, Mushandike Natural Resources College, PWMA
<b><i>Meeting CASS TRUST, Harare, Zimbabwe.</i></b>	
Marshall Murphree	Chairman, Board of Trustees, CASS Trust
Shingirai Mandizadza	Research Fellow, CASS Trust
<b><i>Meeting CASS TRUST, Harare, Zimbabwe.</i></b>	
Phanuel Mugabe	Director, CASS Trust
<b>10<sup>th</sup> June 2005</b>	
<b><i>Meeting with WWF Zambia Coordination Office, Lusaka, Zambia.</i></b>	
Nalumino Nyambe	Acting Country Coordinator, WWF Zambia Coordination Office (ZCO)
Happy Mbulo	Finance and Administration Manager, WWF ZCO
Tuli Makota	CBNRM Coordinator, WWF ZCO
<b><i>Meeting with the Royal Norwegian Embassy, Lusaka, Zambia.</i></b>	
Jan Erik Studsrød	First Secretary, Royal Norwegian Embassy
<b><i>Meeting with Zambia Wildlife Authority, Lusaka, Zambia.</i></b>	
Hapenga Kabeta	Director General, Zambia Wildlife Authority (ZAWA)
Melody Simwanza	Manager, Game Management Area Operations, ZAWA
<b><i>Meeting with IUCN (The World Conservation Union) Zambia Office, Lusaka, Zambia.</i></b>	
Excellent Hachileka	Country Director Zambia, IUCN (The World Conservation Union) Zambia Office
<b>11<sup>th</sup> June 2005</b>	
<b><i>Meeting with Development Services and Initiatives and Natural Resource Consultative Forum, Lusaka, Zambia.</i></b>	
Frank Van Dickson	Director, Development Services and Initiatives (DSI)
Charles Phiri	Wildlife Monitoring Specialist, DSI
David Mulolani,	Coordinator, Natural Resources Consultative Forum
<b><i>Meeting with MS-Zambia, Lusaka, Zambia.</i></b>	
Ndeke Kanene	Country Director, MS-Zambia
<b>13<sup>th</sup> June 2005</b>	
<b><i>Meeting with WWF Mozambique Coordination Office, Maputo, Mozambique.</i></b>	
Helena Motta	Country Coordinator, WWF Mozambique Coordination Office (MCO)
Rito Mabunda	Forest Officer and CBNRM Coordinator, WWF MCO

<b><i>Meeting with DNFFB, Ministry of Agriculture, Maputo, Mozambique.</i></b>	
Marcelino Foloma	Community Forest Unit, Department for Wildlife, DNFFB, Ministry of Agriculture
Anibal Eduardo Nhampussa	Technician, DNAC, Ministry of Tourism (MITUR)
<b><i>Meeting with IUCN (The World Conservation Union) Mozambique Office, Maputo, Mozambique.</i></b>	
Isilda Nhantumbo	IUCN (The World Conservation Union) Mozambique Office
<b>15<sup>th</sup> June 2005</b>	
<b><i>Meeting with Southern Africa Development Cooperation (SADC) Secretariat, Gaborone, Botswana.</i></b>	
	Chief Director, SADC Directorates, Southern Africa Development Cooperation (SADC)
Margaret M. Nyirenda	Director, Food, Agriculture and Natural Resources (FANR) Directorate; SADC
Sandy Davis	Fisheries Adviser, FANR Directorate, SADC
<b><i>Meeting with IUCN Botswana and Wildlife Conservation and Management Programme (WCMP), DWNP, Gaborone, Botswana.</i></b>	
Masego Madzwamuse	Country Programme Coordinator, IUCN Botswana Programme Office
Brigitte Schuster	CBNRM Support Programme, IUCN Botswana Programme Office
Steven Johnson	Senior Community Services Adviser, Wildlife Conservation and Management Programme (WCMP), DWNP
<b><i>Meeting with Department of Wildlife and National Parks, Gaborone, Botswana</i></b>	
Eddison Gobuamang	Assistant Director, Community Extension and Outreach Division (CEOD), Department of Wildlife and National Parks (DWNP)
Rosinah Masilo-Rakgoasi	Head of Community Extension / CBNRM, CEOD, DWNP
Steven Atkins	Chief Technical Adviser, Wildlife Conservation and Management Programme (WCMP), DWNP
Steven Johnson	Senior Community Services Adviser, WCMP, DWNP
<b>18<sup>th</sup> and 19<sup>th</sup> June 2005</b>	
<b><i>Meeting to present preliminary evaluation findings to country coordinators for the Regional CBNRM Capacity Building Project, Pretoria, South Africa.</i></b>	
Russell D. Taylor	Conservation Director, WWF Southern Africa Regional Programme Office (SARPO)
Brigitte Schuster	CBNRM Support Programme, IUCN Botswana Programme Office (country coordination office Botswana)
Chris Weaver	Chief of Party, Living in a Finite Environment (LIFE), WWF Namibia Office (country coordination office Namibia)

George Muwowo	Project Coordinator, WWF Zambia Coordination Office (country coordination office Zambia)
Helena Motta	Country Coordinator, WWF Mozambique Coordination Office (country coordination office Mozambique)
Todd Johnson	Chief of Party, COMPASS II Project (country coordination office Malawi)
Lillian Dimbi-Goredema	Assistant Project Coordinator, Regional CBNRM Capacity Building Project, WWF SARPO (country coordination office Zimbabwe)

### Persons contacted by E-Mail:

John Balarin, Danish Hunters' Association. Potential project partner supporting training and performance standards development.

Ivan Bond, IIED, London, working with project on compilation of Participatory Learning in Action Notes based on regional CBNRM experiences.

Mikkel Funder, NORDECO, member of technical support group on CBNRM performance monitoring.

Mike Jones, Sand County Foundation, Southern Africa, co-funding project's performance monitoring work.

Karen Nott, Integrated rural Development and Nature Conservation, Namibia. Carried out training needs assessments and materials inventories.

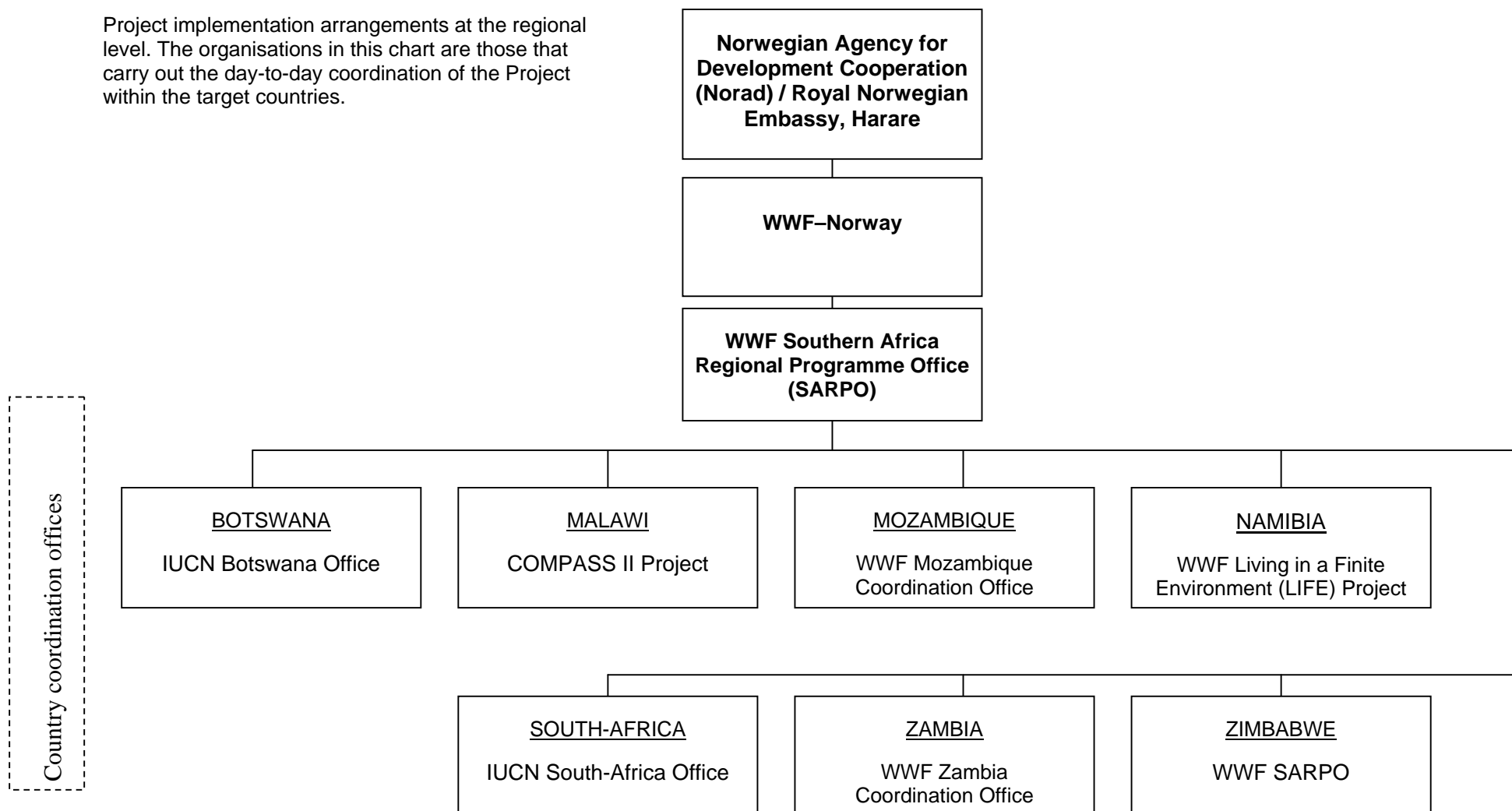
Greg Stuart-Hill, Natural Resources Monitoring Advisor, WWF-LIFE Project, Namibia and coordinator for regional piloting of MOMs.

Jenny Tholin, IUCN South Africa, project country coordination person for South Africa

## ANNEX 2

### REGIONAL PROJECT IMPLEMENTATION ARRANGEMENTS

Project implementation arrangements at the regional level. The organisations in this chart are those that carry out the day-to-day coordination of the Project within the target countries.



### ANNEX 3. PROGRESS BY OUTPUTS

**Overall goal:** “Contributing to poverty alleviation and sustainable livelihoods at rural household level from management of natural resources by communities in Southern Africa”.

**Project purpose:** “CBNRM adopted as a mainstream strategy for rural development in Southern Africa”.

Activity	Status / Progress	Problems (P) / Opportunities (O)	Comments
<b>Output 1: Regional Forum for sharing best practices, information and carrying out peer reviews made operational and establishment/strengthening of Peer Review Fora supported at country level.</b>			
1.1 Facilitate establishment of in-country fora	Priority in Inception Phase was on Zambia, Mozambique, Malawi and South-Africa.		National CBNRM forums in one form or another already existed in Malawi and South Africa.  The Project has worked with existing initiatives to leverage resources for work in these countries
1.1.1 Identify and select focal partners (cf. criteria)	WWF country offices in Mozambique in Zambia, WWF-LIFE Project in Namibia, WWF-SARPO in Zimbabwe, IUCN country offices in Botswana and South Africa, COMPASS Project in Malawi.	O: Wildlife departments in Botswana, Zimbabwe, and Zambia that have traditionally promoted CBNRM were recognised by their respective national forums as key to continued development of CBNRM (see 3.1 below)	The Project works with key players such as IUCN and USAID funded projects where there is no WWF office.
1.1.2 Facilitate in-country fora to establish goals, members, activities, guidelines, operational plans and targets in Zambia, Mozambique, Malawi, South Africa	<u>Mozambique:</u> New forum facilitated <u>Zambia:</u> New forum facilitated <u>South-Africa:</u> CBNRM working group was already in place (under the Department of Environmental Affairs and Tourism), supported through partners. <u>Malawi:</u> CBNRM Forum / CBNRM working group was already in place (2000), supported	P: Things take time.  O: Enthusiasm in some of the fora. Partners provide opportunities for reaching out widely.	In Malawi the project has contact with organisations working on the development of a national working group/forum. The South African working group is strong and has resources. It should be encouraged to share lessons

Activity	Status / Progress	Problems (P) / Opportunities (O)	Comments
	through partners and linked to regional forum and process. Working group not in operation now, no national forum functioning. <u>Botswana</u> : National Forum already in place before the Project. <u>Namibia</u> : National Forum already in place before the Project. <u>Zimbabwe</u> : CBNRM Forum revived in 2004 together with the CAMPFIRE Association.		and approaches with the rest of the region. Seems to be a lot of enthusiasm in Mozambique. Botswana seems to be strong. Zambia has chosen a civil society registration path, and therefore still needs to get going fully as an independent entity. Namibia is strong but forum does not represent CBOs.
1.1.3 Agree performance criteria and monitoring framework for monitoring work of in-country forum	Initial meeting to develop standards held in 2004. Development of performance standards is a phased process requiring agreement on monitoring indicators and data formats, piloting, roll out, and final implementation across the region. Piloting of monitoring protocols starting in 2005 in Mumbwa (Zambia), Caprivi (Namibia) and at a site in Botswana.	P: Some see the system as being detailed and complicated. O:	This is an innovative approach for CBNRM in the region
1.1.4 Support CBO umbrella associations in building local capacity	Support will be provided by the fora in the future.	P: Only Botswana has a CBO umbrella association. If the Project chooses to supporting the development of such associations, it will require additional funding	
1.1.5 Facilitate regular peer evaluation, discussion, and recommendations for action to improve partner performance in delivery of CBNRM and policy recommendations	Has started under the performance standards umbrella, will continue and expand.	P:  O: There is interest among the stakeholders to improve the performance and learn from others.	Should as far as possible be demand driven rather than external evaluation.
1.2 Establish regional forum	Initial meeting to establish Regional Forum held in December 2004.	P: National Fora were to be established before Regional Forum. This would result in delays due to slow process at national level in some countries so the Project went ahead and is running the two	How strong is the link between the national fora and the regional forum? Implementation arrangements not defined for the regional forum.



Activity	Status / Progress	Problems (P) / Opportunities (O)	Comments
		processes in parallel.	
1.2.1 Identify key partners regionally (e.g. SADC), in-country and at site levels	In process. Regional Forum convened and discussed performance standards and other issues. Participants from government, coordinator in National Forums and representatives from support organisations / NGOs. Discussions held with SADC on MOU.		
1.2.2 Design and agree work programme (operational planning)	In process. A work programme was a result of the Regional Forum meeting held in 2004, with focus on performance standards testing in pilot sites.		
1.2.3 Develop common standards of best practice for CBNRM activities at community level	Performance standards (best practice guidelines for CBNRM) developed. Looked at key issues in CBNRM in the region (August 04 meeting), identified indicators and defined standards that are now being tested in two pilot sites at community level (Caprivi, Namibia; Mumbwa, Zambia) June–Sept./Oct. 2005. Botswana is also participating as a pilot site. Testing will show if this is realistic. Will review experience and refine.		
1.2.4 Develop guidelines for proposals from country fora	For the Inception Phase, the Project provided funding through country coordination offices. Proposals from country forums are envisaged during the implementation Phase		Design of next phase needs to define what the grants can be used for.
1.2.5 Facilitate regular peer evaluation of partner CBNRM activities	Envisaged for the Implementation Phase		Needs to be demand driven and not imposed on partners. Project needs to facilitate self evaluation.
1.2.6 Facilitate sharing of best practice methods and systems	Has started under performance standards (see 1.2.3). Exchange visits carried out. Policy review captures existing regional experiences on policy advocacy.		Need to disseminate existing project products and documents that contain lessons learned and best practice material
1.2.7 Establish physical and electronic library of	Under construction. SUPCAMP materials, Namibia CBNRM materials collected. Nothing	P: Sharing of materials needs commitment of all partners at the	

Activity	Status / Progress	Problems (P) / Opportunities (O)	Comments
information and improve regional web-site linkages	online yet.	country level.	
<b>Overall assessment of output</b>	National Fora established and functioning in most countries and Regional Forum under development.		Regional Forum should be a driving force only on behalf of the National Fora and not drive CBNRM on its own.
<b>Output 2: Appropriate CBNRM training supported in formal and non-formal institutions</b>			
2.1 Mainstreaming of CBNRM in the curricula of tertiary and higher education	Curricula reviewed and CBNRM materials developed for Southern Africa Wildlife College (South-Africa), Chimoio Agricultural College (Mozambique), Mushandike Natural Resources College (Zimbabwe), Nyamaluma College (Zambia), Bindura University (Zimbabwe). Curricula reviewed for University of Botswana and the Project is developing training materials. Gorongosa Wildlife Training College (Mozambique) assisted with accreditation and assessment. This enables institutions to deliver training that was not delivered before.		Most of the actual delivery of the training will start from 2006. These colleges will require further support, perhaps through the proposed training working group.
2.1.1 Establish a core working group	Initial meeting to discuss the concept of a regional training working group held in April 2005. Recommendations made for National Fora and Regional Forum to review.		
a) Draw medium to long term strategy to meet TRG needs	Draft training strategy done by PMU.	O: A lot of the initial work has already been done and development of a training strategy can be easily completed.	
b) Develop regional program exchange and internship and explore accreditation process for the CBNRM course(s)	Accreditation process (in country and SADC) discussed in April 2005 meeting (ref 2.1.1)		
c) Regional approval of	Not done yet, an implementation issues	P: working group needs to be	

Activity	Status / Progress	Problems (P) / Opportunities (O)	Comments
strategy		approved by the Regional Forum	
d) Regional approval of Proposed CBNRM curriculum	Not done yet, an implementation issue	O: On-going discussions about SADC accreditation	
e) Monitoring and Evaluation of graduates	Not done yet, an implementation issue		
2.1.2 Inventory of Institutions (tertiary)	Done for Zambia in 2003 for eight institutions (Natural Resource Programme, Geography Department, University of Zambia; African College of CBNRM, Nyamaluma;).	O: Stakeholders in Malawi have requested inclusion in the inventory process. This should bring to bear the work that is already on-going in various colleges	
a) Existing curricula and course	Done for Zambia, Botswana, Zimbabwe and Namibia in 2003.		Non-formal institutions are those that not are accredited by national or regional accreditation authorities. The Project is working with Nyamaluma college that is going through an accreditation process with the support of the regional project (see 2.2 below)
b) Existing programme and non-formal institution in CBNRM training			
c) Training materials inventory	Work in progress (related to 1.2.7)		
2.1.3 Demand survey			
a) Training needs assessment	Done for Botswana, Zambia, Mozambique and Zimbabwe.		
b) Identify ideal tertiary institutions for fast-track CBNRM course	Done for the Southern Africa Wildlife College, and Bindura University in Zimbabwe	O: Other institutions such as the University of Namibia, Rhodes University and the University of the Western Cape are already offering CBNRM courses that need to tie with the regional process	
2.2 Training: Non-formal	Nyamaluma moving from non-formal (not		

Activity	Status / Progress	Problems (P) / Opportunities (O)	Comments
institutions	accredited) to formal (accredited) institution.		
2.2.1 Identification of best practices training methodologies of CBNRM	Not done yet, an issue for the Implementation Phase		
2.2.2 Document best practices in form of locally adapted training materials i.e. computer, games, drama, audio-visual materials, manuals	Generic CBNRM manual developed, Generic HWC manual being adapted to Mozambique context. Quota setting manual adapted to Mozambique and Zambia contexts.		
2.2.3 Identify national training partners by theme i.e. NRM, Business Enterprises, Organisational development etc	Not done yet, an issue for the Implementation Phase		
2.2.4 Identify target groups – trainers, managers and training needs	Requested training needs for National Forums and focal institutions and training needs assessment done for Zambia, Zimbabwe, Botswana and Mozambique.		
2.2.5 Develop training course(s) outlines	<p>Four training manuals for regional and country specific application have been completed. These are Counting Wildlife (in Portuguese, for Mozambique); Quota Setting ( in Portuguese, for Mozambique); CBNRM generic module (translated into Portuguese); and National Quota Setting Manual for Zambia</p> <p>Counting Wildlife, Event Book System, Quota Setting, and Problem Animal Management training was provided in Mozambique, Zambia and Zimbabwe. The “Event Book System” is a Management Oriented Monitoring System (MOMS) developed in Namibia. A workshop was facilitated in Namibia for the Namibian Professional Hunters Association (NAPHA) as a</p>		

Activity	Status / Progress	Problems (P) / Opportunities (O)	Comments
	way of building the association's capacity in CBNRM issues.		
2.2.6 Develop training of trainers (of CBOs) program	Gorongosa Wildlife Management Training School (Mozambique) Training of Trainers programme developed and delivered. Work ongoing in Zambia.		
2.2.7 Selected National CBO's training best practices (demonstrations CBO)	To be initiated in Implementation Phase		
2.2.8 Provide technical assistance to national CBNRM training initiatives	CAMPFIRE Wildlife Management Manuals series are being adapted and translated into Portuguese (for Mozambique). Development and training of Quota setting systems for Mozambique and Zambia done.		
2.2.9 Get best practice materials and systems into formal training institutions	To be initiated in Implementation Phase		
2.2.10 Facilitate exchange visits between best practice initiatives	To be initiated in Implementation Phase		
2.2.11 Provide technical support to trainers	To be initiated in Implementation Phase		
2.2.12 Monitored evaluation should take place	To be initiated in Implementation Phase		
2.2.13 Award system / certification system	To be initiated in Implementation Phase		
<b>Overall assessment of output</b>	Good progress on curricula reviews and training needs assessments. Large needs and demands exist for training. Training carried out this far is done on a demand driven basis.	There is a limit to how much the Project can provide given the huge demands and needs compared to the resources of the Project.	Given the large demand, project needs to prioritise heavily in next phase.

Activity	Status / Progress	Problems (P) / Opportunities (O)	Comments
<b>Output 3: Strategic institutional capacity-building of focal organisations involved in CBNRM in the public, private sectors, civil society and community levels implemented in the partner countries</b>			
3.1 Identify focal institutions in each project partner country	<u>Zambia:</u> Zambia Wildlife Authority (ZAWA) <u>Mozambique:</u> DNFFB, DNAC <u>Zimbabwe:</u> Parks and Wildlife Authority (PWMA), CAMPFIRE Association <u>Botswana:</u> Department of Wildlife and National Parks (DWNP) <u>Malawi:</u> No focal institution identified, but worked through CBNRM Working Group. Now this groups in not operational anymore. <u>Namibia:</u> No focal institution identified, but work through the Namibia Association of CBNRM Support Organisations (NACSO). <u>South-Africa:</u> No focal institution identified, but work through Department of Environment and Tourism.		Focal institution is defined as the institution that is mandated to do CBNRM.
3.2 Identify capacity needs of focal institutions	<u>Zambia:</u> Done for Zambia Wildlife Authority (ZAWA) in terms of Nyamaluma and Quota setting. <u>Mozambique:</u> After exchange visit to Namibia by high-level government delegation DNAC requested review of curricula and prepare training programme for staff for Maputo Special Reserve and Chimoio Institute of Agriculture. <u>Zimbabwe:</u> Identified training needs for Parks and Wildlife Authority (PWMA) and CAMPFIRE Association. Developed strategic growth strategy for CA, secondment from PWMA to CA to work on the strategy. PWMA training for rangers in quota setting. <u>Botswana:</u> Training needs identified Department of Wildlife and National Parks (DWNP) and MOU under negotiation.	Refer to 2.2	
3.3 Facilitate learning and			<i>Not Inception Phase activity.</i>

Activity	Status / Progress	Problems (P) / Opportunities (O)	Comments
<i>exchange visits between focal institutions (move towards regional CBO forum)</i>			
<i>3.4 Develop performance criteria with focal institutions against activities can be monitored</i>			<i>Not Inception Phase activity.</i>
<i>3.5 In conjunction with focal institutions, develop strategies for sustainability after project life</i>			<i>Not Inception Phase activity.</i>
<i>3.6 Provide technical assistance to focal institutions e.g. planning, management skills</i>			<i>Not Inception Phase activity. However, some this work has already started under the support provide for MOMS, quota setting and HWC training to ZAWA, DNAC, DWNP (Botswana) etc.</i>
<i>3.7 Source resources to fill identified capacity gaps</i>			<i>Not Inception Phase activity.</i>
<b>Overall assessment of output</b>	Focal institutions identified in all countries and training needs assessment done in four countries. Capacity building on quota setting, wildlife monitoring and human/wildlife conflict management has started.		<i>(Differences in various documents in terms of what output three consists of as some changes were made during panning meetings)</i>
<b>Output 4: Policy and legislation support provided at country level to promote and improve implementation of CBNRM with linkage to regional sectoral policies and transboundary initiatives</b>			
4.1 Review existing country CBNRM policies and identify gaps / overlaps and areas that need improvement	Policy review done for six countries (Zambia, Mozambique, Zimbabwe, Botswana, Malawi, Namibia).		
4.2 Facilitate development of national CBNRM policies	Technical input in revising of CBNRM policy in Botswana. Technical input and facilitation of		

Activity	Status / Progress	Problems (P) / Opportunities (O)	Comments
where they are absent	CBNRM policy in Zambia. Support to policy dialogue in Mozambique through national forum.		
<i>4.3 Secure funding for policy review and development</i>			<i>Not Inception Phase activity.</i>
<i>4.4 Initiate consultative process through the regional forum, the development of regional guiding principles for CBNRM</i>			<i>Not Inception Phase activity.</i>
<i>4.5 Regional CBNRM forum in collaboration with National CBNRM fora to lobby / advocate for governments to ratify SADC NRM protocols</i>			<i>Not Inception Phase activity. Need to identify which countries have in fact ratified already.</i>
<i>4.6 Regional Forum to raise awareness of the existence and content of the SADC NRM protocols.</i>			<i>Not Inception Phase activity.</i>
4.7 Identify common policy (priority) issues and provide necessary support	Policy review carried out covering six countries (see 4.1) and support provided to Zambia and Botswana (see 4.2). Concept for further support for regional work developed. Support provided for Zimbabwe in reviewing benefit sharing guidelines through CAMPFIRE Association and PWMA.		
<i>4.8 Compare policies / legal framework and analyse strengths / weaknesses in wildlife management and law enforcement, shared watercourses, tourism etc.</i>			<i>Not Inception Phase activity.</i>
<i>4.9 Carry out policy research and advocacy internationally and regionally in support of CBNRM and review implementation of</i>			<i>Not Inception Phase activity.</i>



Activity	Status / Progress	Problems (P) / Opportunities (O)	Comments
<i>international conventions and agreements such as the CBD, CCD, and the Plan of implementation from WSSD 2002.</i>			
<b>Overall assessment of output</b>	Most of the policy work takes place at the national rather than regional level and is carried out through the National Fora. Policy review provides a reference point for further policy action.		<i>(Differences in activities under the output in various project documents causes confusion. some changes have been made after project started. these changes need to be clearly documented and explained)</i>
<b>Output 5: Strategic interventions implemented (HIV/AIDS, crosscutting, emerging issues, gender issues etc.)</b>			
5.1 Undertake project co-ordination and management	Continuous activity. Project Management Unit operating from Harare, after a slightly late establishment with a Project Coordinator in place from December 2003. No second donor identified yet. Have entered into smaller funding and non-funding partnerships.	P: Departure of important staff from WWF SARPO, Harare that were involved in project design. Late recruitment of the Project Coordinator, WWF SARPO, Harare. This caused slow start and necessitated use of external consultants during 2003. Change in donor priorities has meant that a second major donor has not been identified yet.	
5.2 Arrange for signing of MOUs between focal institutions and project	MOUs signed between the Project and CASS/PLAAS, FRAME (non-project funded), IUCN (The World Conservation Union) Regional Office for Southern Africa (ROSA), DWNP (under negotiation), SADC (under negotiation). There are not specific MOUs where WWF has (country) office (Zambia, Mozambique and Namibia). There is no focal institution in Malawi and South-Africa.		FRAME funded stock taking in five countries. Nordeco (Nordic consulting company) interested in performance monitoring, will fundraise jointly. Sand Country Foundation provided funds for performance monitoring (USD 50,000).
5.3 Review suggested implementation strategy of	Done on a continuous basis through annual planning and coordination meeting. Evaluation		

Activity	Status / Progress	Problems (P) / Opportunities (O)	Comments
the Project and refine if necessary	planning and coordination meeting. Evaluation in June 2005.		
5.4 Form alliances / partnerships focusing on specific thematic issues with:			
5.4.1 Focal partners and technical organisations	See 5.2, IIED (assisting in getting CAMPFIRE documents on the web, starting to develop Participatory Learning and Action support of conservation development (PLA notes) with authors from the region and coordinated by the Project); Peace Parks Foundation (not project specific and non-project funded), Centre for Applied Social Sciences (CASS) (non-project funded), University of Zimbabwe and Programme for Land and Agrarian Studies (PLAAS), University of the Western Cape, South Africa; Africa Resources Trust / Resource Africa,		Collaborate in the development of Trans-Frontier Conservation Areas (TFCA) to include CBNRM under WWF SARPO MOU with Peace Parks Foundation.
5.4.2 Sister project relationships (Botswana-CBNRM, Namibia-LIFE, Zimbabwe-CAMPFIRE, Zambia-ZAWA / SLAMU)	LIFE (event book system), CAMPFIRE Association (wildlife management series), WWF Zambia Environment Education Programme (ZEEP) / Africa and Madagascar Programme EE network feeding materials and methodologies into the CBNRM project,		
5.4.3 HIV Aids awareness campaigners / programme implementers at regional and country levels	Workshop facilitated and proposal developed but not yet funded. Funding sought together with IUCN. Southern Africa AIDS Information Dissemination Service (SAfAIDS).		
5.5 Identify gender-specific CBNRM activities and mainstream gender and HIV / AIDS into CBNRM programmes	<i>No specific activities carried out this far but small gender / women in conservation workshop is being planned for 2005 for identify approach to mainstream gender.</i>		<i>Not Inception Phase activity.</i>
5.6 Facilitate / strengthen CBO involvement / contribution to			<i>Not Inception Phase activity.</i>

Activity	Status / Progress	Problems (P) / Opportunities (O)	Comments
<i>CBD implementation</i>			
<i>5.7 Review and research contribution of CBNRM to the 'Conservation and Development' paradigm</i>			<i>Not Inception Phase activity.</i>
<i>5.8 Facilitate emergency support to CBOs in the face of drought / flood / fire / other natural disasters</i>			<i>Not Inception Phase activity.</i>
<b>Overall assessment of output</b>	After slow start good progress on developing partnerships. Implementation strategy to be refined further based on evaluation findings		<i>(Also significant changes on activity level compared to original proposal)</i>

## ANNEX 4 – RESULTS OF LOGICAL FRAMEWORK REVIEW CARRIED OUT ON JUNE 16<sup>TH</sup> 2005 (INCLUDING COMMENTS FROM THE WORKSHOP HELD ON JUNE 18-19<sup>TH</sup> 2005)

NARRATIVE SUMMARY	INDICATORS	COMMENTS AND RECOMMENDATIONS
<p><b>Goal (Development Objective)</b></p> <p>Contributing to poverty alleviation and sustainable livelihoods at rural household level from management of natural resources by communities in Southern Africa</p> <p><b>Recommendations</b></p> <p>1. <i>“Improved rural livelihoods at the household level through sustainable management of natural resources by communities in Southern Africa”</i></p> <p>2. <i>“Sustainable management of natural resources by communities in Southern Africa contribute to improved rural livelihoods”</i></p>	<p><b>Indicators for Goal:</b></p> <p><b><u>Five Years:</u></b></p> <ul style="list-style-type: none"> <li>- Annual pro-rated household benefits generated by participating CBOs in the target CBNRM areas increase between 20% - 50% in half or more of all participating CBOs in at least 5 of the 7 participating countries</li> <li>- Number, types and resource bases of CBNRM enterprises diversified in at least 50% of participating CBOs in at least 5 of the 7 participating countries as compared to year 1 after project start</li> </ul> <p><b><u>Within Ten Years:</u></b></p> <ul style="list-style-type: none"> <li>- Annual pro-rated household benefits generated by participating CBOs in the target CBNRM areas increase between 50% - 75% in 75% or more of all participating CBOs in at least 5 of the 7 participating countries;</li> <li>- Number, types and resource bases of CBNRM enterprises diversified in at least 70% of participating CBOs in all participating countries;</li> <li>- CBNRM Programmes in 5 of 7 participating countries commence development of second generation enterprises (non-natural resource base)</li> </ul>	<p>Is this the most appropriate goal (or goal formulation) for a conservation organization?</p> <p>Are indicators needed at this level when the Project is not expected to produce the goal; often indicators omitted at this level as not within the control of the Project?</p> <p>Attribution also becomes problematic</p> <p>How is the Project contributing to poverty alleviation/reduction?</p> <p>Are the present indicators appropriate and/or easily measurable?</p> <p>Are there better indicators for the goal, e.g. empowerment of local communities, improved governance for natural resource management, maintaining environmental safety nets for livelihoods, diversifying livelihoods / alternative land uses and enterprises)?</p> <p>Indicators must be possible and realistic to monitor and measure</p> <p>Consider leaving out indicator at this level</p> <p>Leave assumptions as are</p>

NARRATIVE SUMMARY	INDICATORS	COMMENTS AND RECOMMENDATIONS
<p><b>Purpose (Immediate Objective)</b></p> <p>CBNRM adopted as a mainstream strategy for rural development in Southern Africa</p> <p><b>Recommendations</b></p> <p><i>“CBNRM principles, policy and practice adopted as a mainstream strategy for rural development in southern Africa”</i></p>	<p><b>Indicators for Purpose:</b></p> <p><b>Five Years:</b></p> <ul style="list-style-type: none"> <li>- Governments of the five of the seven participating countries fund dedicated CBNRM support institutions Govt. and NGO);</li> <li>- CBNRM incorporated in National Development Plans of at least five of seven participating partner countries;</li> <li>- CBNRM CBOs are recognized by broader government ministries as stakeholders in local and regional integrated planning activities or relevant national level policy discussions in at least 5 of 7 participating partner countries.</li> </ul> <p><b>Ten Years:</b></p> <ul style="list-style-type: none"> <li>- All participating governments fund formal CBNRM support institutions;</li> <li>- Formal CBNRM policies/legislation present in all participating partner countries;</li> <li>- CBNRM incorporated in National Development Plans of all participating countries</li> <li>- CBNRM CBOs are recognized by broader government ministries as stakeholder in local and regional integrated planning activities or relevant national level policy discussions in all participating countries.</li> </ul>	<p>Indicators need to be more specific.</p> <p>Include indicator at regional level, for instance SADC. [But if we include an indicator at this level we need to do work at this level, which has budgetary and other implications]</p> <p>Need to go beyond the “CBNRM” phrase (a catch-all) to make it more specific, such as devolution of authority, e.g. “Increase in promotion of devolution of rights over land and natural resources to local communities in regional environment and development policies.”</p> <p>CBNRM needs more prominence or strengthening. Focus on incorporation where it was not before, and elevate to a strategy elsewhere. Mention PRSPs.</p> <p>For the 10 year goal, should be 7 out of 7 countries, the five year goal remains 5 out of 7 countries.</p> <p>Define which CBNRM institutions; funding should be measurable, i.e. increased funding. Also have to look at where current funding comes from; is it donor funding or government funding?</p> <p>Assumptions to include:</p> <ul style="list-style-type: none"> <li>...continues to be markets for natural resource products</li> <li>...sustainable use is widely accepted internationally</li> <li>...access and benefit sharing regimes in place</li> </ul>

NARRATIVE SUMMARY	INDICATORS	COMMENTS AND RECOMMENDATIONS
<p><b>Project Components Outputs)</b></p> <p>1. Regional Forum for sharing best practices, information and carrying out peer reviews made operational and establishment/strengthening of Peer Review For a supported at country level</p> <p><b>Change:</b> “peer review” to “performance review”, and “establishment/strengthening of national fora at country level”.</p>	<p><b>Indicators for Outputs</b></p> <p>Four new fora and focal organisations established in Zambia, Malawi, Mozambique and South Africa within 18 months of project start, and all seven fora meetings held regularly to review progress of support organisations and selected CBOs against agreed plans and criteria starting in year 2</p> <ul style="list-style-type: none"> <li>- Regional forum meets at least once in the first 18 months to test standards against at least three examples from each country and to modify and agree on guidelines for best practice.</li> <li>- Annual meetings of regional forum held to assess and discuss improvement of at least 4 projects from each country against guidelines for best practice and a report on status and progress of CBNRM in the region compiled and distributed within two months of the meeting</li> <li>- Within 6 months of project start technical sub-committees established to study and recommend best practice (in NRM, tourism and enterprise development, institutional development, proprietary and legal issues, institutional capacity building, training) and present findings to national and regional fora as and when required</li> </ul>	<p>Term “focal organisations” misnomer - was not realistic (nor intention?) to <i>establish</i> new “focal organisations” in these countries</p> <p>This indicator should be in two: 1 for establishing the forums and another for their meeting and functioning</p> <ul style="list-style-type: none"> <li>- Need quantitative and qualitative indicator for functioning of the national fora and regional forum</li> <li>- Project has supported new country fora in Mozambique, Zambia and Zimbabwe. Project is providing limited support to an emerging forum in Malawi and an existing forum in Botswana. Original focal countries needed revising due to changing circumstances</li> </ul> <p>In practice it was too ambitious to expect the forums to be reviewing progress against criteria in year two as it has taken several rounds of meetings to establish the new forums</p> <ul style="list-style-type: none"> <li>- Wording of indicators is too specific in regard to the reasons for the Regional Forum to meet. Regional Forum has met once, in December 2004, not to test standards but to agree first on the concept of having standards as well as other issues (e.g. working groups, modes of operation). These activities were needed before performance standards could be developed for testing</li> <li>- Need to define what is meant by a “project”, “4 projects” may be unrealistic.</li> </ul> <p><i>General comments:</i></p> <p>Wording of these indicators too narrowly defines the functions of the regional forum.</p> <p>Indicators must be realistic and allow measurement and monitoring. They should not specify too many things to be measured in one indicator</p> <p>Sources of verification for indicators should be developed by the Project Team before 1<sup>st</sup> October 2005</p> <p>Baseline data document should be in place within year one of Implementation Phase</p>

NARRATIVE SUMMARY	INDICATORS	COMMENTS AND RECOMMENDATIONS
<p>2. Appropriate CBNRM training supported in formal and non-formal institutions</p>	<ul style="list-style-type: none"> <li>- Within 18 months, each project partner country identifies at least one course in a formal institution designed to include CBNRM</li> <li>- Within 18 months, one local institution in each of the partner country is providing informal training to 2 CBOs in NRM, financial admin and organisation</li> <li>- By year 4, after project start at least 3 institutions (e.g. SAWC, University of Stellenbosch, Polytechnic of Namibia, INARA etc.) offer accredited and certified CBNRM courses at degree, diploma or certificate level.</li> <li>- Within 5 years at least 2 institutions in each of the partner countries is providing informal training to 4 CBOs in NRM, financial management and organisational planning to standards agreed at regional forum</li> <li>- By year 5, at least five CBNRM courses conducted in each targeted institution</li> </ul>	<ul style="list-style-type: none"> <li>- There were already local institutions providing informal training; not a very meaningful indicator.</li> <li>Accessibility and affordability of SAWC is an issue.</li> <li>- This is an implementation phase indicator</li> <li>- This is an implementation phase indicator</li> <li>- <i>General comments:</i> Need specific indicator on informal training (e.g. no. of CBO facilitators trained / ToT training); more on what the Project has contributed to (i.e. what can be directly attributed to the Project) compared to an overall desired state that others have also contributed to; good to capture innovative training (e.g. MOMS; Event Book System; Quota Setting).</li> </ul>
<p>3. Strategic institutional capacity-building of focal organisations involved in CBNRM in the public, private sectors, civil society and community levels implemented in the partner countries</p>	<ul style="list-style-type: none"> <li>- Within 18 months after project start, at least 3 organisations identified in each of following countries: Zambia, Mozambique, Malawi, and South Africa and needs assessment completed and capacity building strategy developed</li> <li>- By the end of year 5, at least 21 organisations (3 in each of the 7 countries) are able to fully support (e.g. Training,</li> </ul>	<p>“Focal organisations” in output needs some closer definition</p> <p>The indicator needs revising. Do we want to work in all these countries? What about current status in relation to what new things project will do?</p>

NARRATIVE SUMMARY	INDICATORS	COMMENTS AND RECOMMENDATIONS
	<p>Technical and financial advice, conflict resolution and fund raising, advocacy) CBOs to implement CBNRM Programmes and engage in National and Regional Policy fora in each of the partner countries</p>	
<p>4. Policy and legislation support provided at country level to promote and improve implementation of CBNRM with linkage to regional sectoral policies and transboundary initiatives</p>	<ul style="list-style-type: none"> <li>- Within 18 months, 5 countries have identified critical areas in existing policies hindering CBNRM implementation and proposals for improvement recommended</li> <li>- At least 3 countries have amended legislation to create / improve environment for CBNRM by year 5</li> <li>- Country CBNRM policies harmonized with SADC NRM protocols by end of year 8</li> <li>- All countries in sub-region ratify SADC NRM protocols by year 8</li> <li>- Sectoral policies revised in 5 countries to clearly articulate CBNRM by year 8</li> </ul>	<ul style="list-style-type: none"> <li>- Botswana, Mozambique, Zambia, Zimbabwe and Malawi, and Namibia have identified policy constraints but not all necessarily with project inputs. Project support has assisted in four countries including development of a CBNRM draft policy in Zambia.</li> <li>- Currently no CBNRM amendments approved but policy and legislative processes in most countries could lead to this.</li> <li>- Needs to be indicator on harmonisation across countries, in particular for TFCAs and transboundary ecosystems</li> <li>- Check if relevant, have they not ratified already?</li> <li>- Specify in terms of sectors and what is defined as CBNRM, in the policy, institutional or legal framework</li> <li>- For output 4 there should be indicator that measures the Project's support or achievements or impact</li> </ul>
<p>5. Strategic interventions implemented (HIV/AIDS, crosscutting, emerging issues, gender issues etc</p>	<ul style="list-style-type: none"> <li>- Within 2 months, Project Coordinator, Project Coordination Unit and Project Board established in selected country</li> </ul>	<p>The output does not reflect project management aspects and needs to be better defined (e.g. drop "etc"). Further, HIV/AIDS and gender issues might be better as topics for developing Best Practice guidelines from regional experience rather than as project interventions</p> <ul style="list-style-type: none"> <li>- Was not achieved, there was a delay in recruiting the Project coordinator</li> </ul>



NARRATIVE SUMMARY	INDICATORS	COMMENTS AND RECOMMENDATIONS
	<ul style="list-style-type: none"> <li>- Within 12 months, Unit functioning effectively, i.e. grant management and disbursement procedures finalised, timely dissemination of information, dealing with problem areas associated with project start-up and team-building; effectively dealing with partner country fora and SADC counterpart organisation and planning strategic interventions.</li> <li>- Additional donor partners identified within 6 months of project start and agreement in principle for co-funding within 10 months</li> <li>- By end of year 2, strategic partnerships with HIV/AIDS and gender awareness campaigns established, and gender-specific CBNRM activities implemented in partner countries</li> <li>- By year 5, sustainable funding source established (endowment-trust fund) for CBNRM activities after phasing out of project</li> </ul>	<p>- All these aspects were not achieved within 12 months. There are no grants, but are subgrant agreements for activities at national level. Timely dissemination of information face challenges in Harare and could have done more in terms of communication. Have dealt with partner country fora and SADC (FANR).</p> <p>- No major donor identified and no commitment. Small partners are involved</p> <p>- Workshop done and proposal developed on HIV/Aids. Gender specific issues not prominent. Gender specific CBNRM activities are implemented in partner countries but not specifically by the Project. Indirectly involved in gender activities. No gender awareness campaigns established. Indicator should be revised to capture what happens indirectly and what the Project can build on strategically</p> <p>By year 5 may be difficult. Consider whether at national and/or regional levels</p>

## ANNEX 5

### LIST OF DOCUMENTS AND MATERIALS PRODUCED BY THE PROJECT AS OF JUNE 2005

#### **Output 1: Regional Forum for Sharing Best Practices, Information and Establishment / strengthening of national Fora**

1. Report on the Proceedings of the Zambia CBNRM Forum Formulation Meeting, held from 29<sup>th</sup> to 30<sup>th</sup> July 2004 at Chrismar Hotel, Lusaka.
2. Report on the Proceedings of the First Meeting on the Formation of a National CBNRM Forum in Zimbabwe, held on 15<sup>th</sup> July 2004, Mandel Training Centre, Harare.
3. Proceedings of the Second Meeting held to Launch the National CBNRM for Zimbabwe, held on 25<sup>th</sup> April 2005, at St. Lucia Park, Harare.
4. Report on the Development of Self Administered Performance Review for CBNRM Initiatives, Brian Child, August 2004.
5. Report on the Proceedings of the Initial meeting on the Formation of a Regional CBNRM Forum, held on 9 – 10 December, 2004; Grand palm hotel, Gaborone, Botswana.

#### **Output 2: Appropriate CBNRM Training in formal and non-formal institutions supported**

6. CBNRM Materials and Database (with Strategy document and user Manual).
7. Sup CAMP and NRMP II Documents Master List.
8. Revised Curriculum of the Mushandike Natural Resources College, Zimbabwe.
9. Participatory Technology Development Poster (in collaboration with IIED, Action, and Campfire Association).
10. Managing Human-Wildlife Conflict in a Community conservation Environment.
11. Série Sobre a Gestão da Fauna Bravia: Manual Sobre a Contagem da Fauna Bravia (Mozambique Wildlife Management Series: Counting Wildlife Manual).
12. Wildlife Management Series, South Luangwa: Project Planning Manual.
13. Zambia Wildlife Authority Wildlife Management Guides: Quota Setting and Monitoring of Hunting Manual.
14. Community Based Natural Resource Management (CBNRM) Manual.
15. Activity report on Mainstreaming of CBNRM in the Curricula of Tertiary and Higher Education Institutions and Training in non-formal Institutions, Karen Nott, June 2003.
16. Curriculum of the Community Liaison Officer Course at Nyamaluma College for CBNRM.
17. Training Needs Assessment for Botswana, Karen Nott, October 2004.
18. Training Needs Assessment of Wildlife and forest Management Sectors in Mozambique, Karen Nott, June 2004.
19. Report on the CBNRM Capacity Building Activities in Namibia, Karen Nott, February 2004.
20. Recommendations for Support to the African College for CBNRM at Nyamaluma in Zambia by the CBNRM Capacity Building Project of WWF-SARPO, Karen Nott, September 2004.

21. Human-Wildlife Conflict Management Training Course, 26 – 30 April 2004, held at Gorongosa Wildlife Training School, Mozambique, Lillian Goredema, April 2004.
22. Zambia Wildlife Authority, Report on the Quota Setting Training of Trainers Workshop held from 21<sup>st</sup> to 23<sup>rd</sup> September 2004 at Mumbwa Motel, Mumbwa, Zambia. Norman Rigava and Melody Zeko-Simwanza, September 2004.
23. Presentation on the Discussions, Conclusions, and Recommendations of the Quota Setting Workshop for Mozambique, Russell Taylor, April 2005.
24. Zambia Wildlife Authority, Report on the Training of Trainers Workshop on the Hunting Monitoring and Quota Setting held from 17<sup>th</sup> to 20<sup>th</sup> August 2004, at Andrews Motel, Lusaka, by Melody Zeko-Simwanza, August 2004.
25. Minutes of the Meeting held with WWF-SARPO on Quota Setting on 19<sup>th</sup> March 2004, Melody Zeko-Simwanza.
26. Minutes of the ZAWA/WWF Quota Setting Manual process Held from 14<sup>th</sup> to 15<sup>th</sup> April 2004 at Pamodzi Hotel, Melody Zeko-Simwanza.
27. Community Based Natural Resource Management Support Programme for Zambia, Document Presented at a Workshop Towards the Development of an NGO Support Network to CBNRM in Zambia, held at Pamodzi hotel 18<sup>th</sup> and 19<sup>th</sup> August 2003, IUCN Zambia.
28. Trip Report, environmental Coordination Meeting, Blantyre, Malawi, Lillian Goredema, May 2005.
29. Concept Note on Environmental Education and CBNRM Linkages, Lillian Goredema, February 2005.

**Output 3: Strategic Institutional capacity building in public, private, civil society and community sectors implemented in partners countries.**

30. Development of MOMS For Natural Resources Management In Target Protected Areas in Botswana, Greg C. Stuart-Hill, October 2004.
31. Status Report on Regional Natural Resource Support to Sister Sites, in Botswana, Mozambique and Zambia, Greg C. Stuart-Hill, 28 April 2005.
32. Progress Report on Piloting Management Oriented Monitoring System at Four sites in Mozambique, Michelle Souto, October 2004.
33. Annual Progress Report Piloting Management Orientated Monitoring Systems In Mozambique, Zambia, Botswana And Namibia, May 2004 to April 2005, Greg Stuart-Hill.
34. Piloting Management Orientated Monitoring Systems in Mozambique and Zambia, Greg Stuart-Hill, February 2004.
35. (See also all reports on Quota Setting ToTs, and training needs assessments under Output 2)

**Output 4: Policy and Legislation Support Provided at Partner Country Level to Promote and Improve CBNRM implementation**

36. Summary Report: Lessons Learned and Best Practices for CBNRM Policy and Legislation in Botswana, Malawi, Mozambique, Namibia, Zambia and Zimbabwe. By Brian T. B. Jones, 30th March 2004.
37. CBNRM in southern Africa and its links to Regional Sectoral Policies and Protocols and to Trans Frontier Conservation Initiatives. Brian T. B. Jones, 30<sup>th</sup> March, 2004.
38. Synthesis of the current status of CBNRM Policy and Legislation in Botswana, Malawi, Mozambique, Namibia, Zambia and Zimbabwe, Brian T. B. Jones, 30<sup>th</sup> March, 2004.
39. Ministry of Tourism, Environment and Natural Resources, Zambia Wildlife Authority, National Community Based Natural Resources Management Policy Game Management Areas. (draft)
40. Proceedings of the Consultative Meeting on the Draft CBNRM Policy for Game Management Areas and Open Area, Zambia Wildlife Authority, 28 -29 October 2004.

**Output 5: Strategic Interventions Implemented to include cross-cutting and emerging issues such as HIV/AIDS, gender, and environment.**

41. Memorandum of Understanding Between CASS/PLAAS
42. Memorandum of Agreement Between FRAME and WWF-SARPO Regional CBNRM Project, April 2004.
43. Agreement Between the Southern African development Community and WWF-SARPO. (draft under negotiation).
44. Workshop report on Mainstreaming HIV/AIDS into CBNRM Activities.
45. Memorandum of Understanding Between IUCN, SAfAIDS and WWF-SARPO (on HIV/AIDS mainstreaming).
46. Memorandum of Understanding between WWF-SARPO and IUCN (to support the activities of the national CBNRM Forum in Botswana).
47. Project Proposal on mainstreaming HIV/AIDS into Natural Resource Management in Southern Africa.
48. Brochure of the Regional CBNRM Project.
49. Communications Strategy for the Regional CBNRM Project.
50. Memorandum of Understanding Between WWF-SARPO and Mushandike Natural resources College (to support CBNRM mainstreaming into the college curriculum).
51. WWF Technical Progress Report, June 2003.
52. WWF Technical Progress Report, December 2003.
53. Annual Report for NORAD, December 2003.
54. NORAD Annual Workplan 2004.
55. WWF Technical Progress Report, June 2004.
56. WWF Technical Progress Report, December 2004.
57. NORAD Annual Workplan, 2005.

## ANNEX 6

### TERMS OF REFERENCE

#### WWF-SARPO/WWF-NORWAY

#### REGIONAL CBNRM CAPACITY BUILDING AND TRAINING PROJECT

#### INCEPTION PHASE EVALUATION

#### TERMS OF REFERENCE AND SCOPE OF WORK

##### 1. What is being evaluated?

Progress on all activities planned for the Inception Phase (not necessarily an impact evaluation, in terms of five- and ten-year targets: increased income at household level from participation in natural resource management, enterprise diversification). The Purpose and Scope of the evaluation are spelt in sections 3 and 4 below

##### 2. Project Background

2.1 Community Based Natural Resource Management in southern Africa is an approach to conservation and development that recognises the rights of local people to manage and benefit from their own resources, ultimately to the benefit of the conservation of these resources. This entails devolving control and management of natural resources to local people. It necessitates building the technical, organisational and institutional capacity of community based organizations to enable them to assume these new responsibilities.

Over the past fifteen years, WWF and other government and non-government partners have collaborated to put in place supportive policy and legal instruments that promote co-management, recognition of legal rights of CBOs, benefit sharing mechanisms, establishment of CBO umbrella organizations and national CBNRM fora. Some of the key impacts include increased revenue generated from wildlife management, recovery of wildlife populations, and increased employment opportunities from tourism and other nature based enterprises.

During this period, NORAD and WWF have collaborated to support some of the more successful CBNRM programmes in southern Africa. These programmes include the CAMPFIRE Programme in Zimbabwe and the South Luangwa Management Unit (SLAMU) in Zambia. Another major investor in CBNRM in the region, USAID, has been an important supporter of the LIFE Programme in Namibia.

These programmes have produced a wealth of knowledge in natural resource management, community organization, revenue management, and policy development. The next step is to disseminate these lessons to other upcoming CBNRM programmes across the region, and to mainstream CBNRM as a rural development strategy in the Southern Africa Development Community (SADC) as well as in the countries' development plans in order to consolidate the ecological, economic, social, and governance benefits. Thus the target group is made up of national and regional level CBNRM practitioners and policy makers, who are mandated by policy and legislation, to promote CBNRM in southern Africa.

## 2.2 *Justification*

A significant number of constraints remain at country and regional levels. In particular, devolution of management responsibility to CBOs needs to be deepened and completed. Secondly, there is need to continue building the capacity of CBOs to enable them manage a wider range of natural resources, and improve their organizational effectiveness. The regional CBNRM project aims to address these constraints by helping to effect change in the facilitation and delivery of CBNRM at policy and institutional level. By undertaking the project, it is intended that the following results will be accomplished:

- Promotion of CBNRM as an approach to natural resource management and poverty reduction embedded in regional and multilateral instruments;
- Improved implementation of enabling policies and legislation for CBNRM at national levels;
- A number of public and private sector institutions (including civil societies) in selected countries of the SADC region able to support on their own CBNRM initiatives, particularly at grassroots level;
- Clear set of performance standards and criteria applied to measure and compare success of CBNRM programmes/projects;
- Measurable improvements in CBNRM delivery by selected partners by project end as compared to project start, using performance standards defined, and comparisons undertaken on annual basis through peer reviews;
- Multiplication effect of CBNRM delivery by partner institutions increased as evidenced by coverage in quality training;
- Project partners able to continue with CBNRM support in their national context beyond life of project
- Mainstreaming of CBNRM concepts in tertiary and vocational educational institutions; and
- Network of CBNRM professional implementers including fora for exchange of information and experience established at national and regional levels.

The regional CBNRM Project will ultimately benefit the rural communities involved in the management of natural resources. After more than a decade of supporting communities directly, experience shows that the main obstacles to further development of CBNRM are to be found at policy and institutional levels. In order to deliver development impact, the project therefore works with the following stakeholders:

- Grant receiving organisations (e.g. training institutions, implementing institutions from public, private and NGO sector);
- Individual resource managers and trainers;
- Policy-makers, sector managers in public and private sector;
- CBOs and CBO associations;
- Southern Africa Development Community (SADC), regional bodies and national governments;
- Public and private sector institutions involved in field implementation of CBNRM;
- Vocational and tertiary training institutions;
- NGO and CBO associations involved in CBNRM; and
- Donors.

The CBNRM Project contributes to Norwegian objectives for development assistance in Southern Africa through regional cooperation and capacity-building, natural resource management and poverty reduction.

The Regional CBNRM Project was designed in September 2002 and has been implemented since January 2003. The Inception Phase is scheduled to run for three years up to December 2005. The purpose of the Inception Phase is to assess the demand for CBNRM services at a regional scale, establish regional level

implementation arrangements, and institute activities to improve the implementation of CBNRM in southern Africa.

### 2.3 *Goal and Purpose*

The overall goal of the Regional CBNRM project is to “contribute to poverty alleviation and sustainable livelihoods at rural household level from management of natural resources by communities in southern Africa.” The goal provides the justification for the project as a long-term effect and encompasses the poverty reduction paradigm shift (towards decentralisation and participatory approaches to development) at national, bilateral and multilateral levels of effort. It is expected by the end of the first 5 years, that measurable impact can be seen in the participating countries.

The project purpose is “CBNRM adopted as a mainstream strategy for rural development in southern Africa.” The project purpose represents the medium term impact of the project and is the main focus for investments, i.e. a complementary support to bilateral efforts at a regional scale.

### 2.4 *Outputs*

In order to achieve the project purpose, the following outputs or project components are deemed necessary:

- Regional Forum for sharing best practices, information and carrying out peer reviews made operational, and establishment/strengthening of Peer Review Fora supported at country level;
- Appropriate CBNRM training supported in formal and non-formal institutions;
- Strategic institutional capacity-building of focal organisations involved in CBNRM in the public, private sectors, civil society and community levels implemented in the partner countries;
- Policy and legislation support provided at country level to promote and improve implementation of CBNRM with linkage to regional sectoral policies and transboundary initiatives; and,
- Strategic interventions implemented (crosscutting/emerging issues: HIV/AIDS, gender, regional conflict, refugees, and migration).

The following activities were planned for implementation during Inception Phase (January 2003 to December 2005):

- Set up project co-ordination office, recruit Project Executant and explore partnerships and signing of MoUs at national and regional levels;
- Facilitate in-country fora to establish goals, membership, activities, guidelines, operational plans and targets;
- Conduct an inventory of formal and non-formal tertiary training institutions for existing curricula and courses that include CBNRM in selected countries;
- Conduct an inventory of existing training materials;
- Facilitate training needs assessments and identify appropriate institutions for fast tracking CBNRM training;
- Assist with training materials development and where required provide training of trainers courses;
- Identify focal CBNRM support institutions in each project partner country;
- Identify capacity needs of focal institutions;
- Review existing country CBNRM policies and identify gaps, overlaps, and areas needing improvement;
- Review suggested implementation strategy of the project and refine if necessary; and,
- Hold a workshop on linkages between HIV/AIDS and natural resource uses and management.

## 2.5 *Project Management*

The Project remains located within WWF-SARPO, pending on-going negotiations with SADC on how SARPO will support overall regional integration. The Project Management Unit (PMU) comprises the Project Coordinator, Assistant Project Coordinator, Training Materials Database Manager, and Monitoring & Evaluation Specialist. The SARPO Programme Director, Finance & Administration Director and the Communications Officer are also directly involved in project implementation.

The Project Management Unit coordinates work closely with WWF Country Coordination Offices in Mozambique and Zambia; the LIFE Programme office in Namibia; the IUCN Offices in Botswana and South Africa, and the USAID funded COMPASS II project in Malawi. The expanded team meets once a year to plan, budget and coordinate implementation. This arrangement ensures full ownership accountability for project results at the country level, while at the same time allowing for tremendous synergy and value addition.

## 3. Purpose of the Evaluation

The purpose of this evaluation is to review progress under the Inception Phase and assess prospects for achieving five- and ten year targets. Based on the project document indicators, and the project M&E plan, the review will determine the extent to which the planned outputs were achieved. In so doing, the project will assess relevance and appropriateness, i.e. are the project interventions the right responses to the problem, challenges and opportunities. Results of the evaluation will help inform NORAD and other partners regarding choices for long-term investments in CBNRM. Results will be needed by August 2005 to fit into the annual planning framework for NORAD.

## 4. Scope of the Evaluation

The evaluation will focus on the following aspects of the performance of the Project:

### 4.1 *Value Added to national Level Efforts*

Assess the performance of the Project to date with respect to the stated targets and objectives for the Inception Phase by identifying the extent to which the regional project is adding value to country level efforts. Country level efforts include operation of national CBNRM fora and development of CBNRM performance standards, training, support to focal CBNRM institutions, policy implementation and other interventions. The following will discuss value added by the regional Project by describing the status of CBNRM implementation before and after the project interventions:

- umbrella organizations,
- training institutions,
- policy development, and
- work of focal institutions.

### 4.2 *Progress to Date*

Review the activities that have taken place to date and assess what national level participants see as the priorities for the further development of CBNRM in the region specifying policy implementation, technical skills, networks and partnerships, and funding needs. The review will:

- Assess the effectiveness and efficiency of WWF's approach and implementation, document successes and failures, and identify the factors behind these.
- Critically examine the Project LogFrame (including indicators and assumptions) to check for consistency and explain any deviations
- Critically review the current exit strategy for the project.



### *4.3 Implementation Strategy*

Review the project implementation strategy with respect to regional impact, including relationships with SADC Secretariat, other regional organisations of relevance to the project goal and purpose, and the location of the project management unit. This part will include:

- An assessment of the relevance and effectiveness of partnerships (NGO, govt. and others) in helping reach the project goal and purpose
- An assessment of the project organisation; internal routines and relationships to stakeholders, timeliness and quality of technical inputs.
- An assessment of the adequacy and appropriateness of budget (level of funding and financial administrative mechanisms) in relation to the project goal and purpose.

### *4.4 Lessons Learned*

Define clearly the lessons learned from the experience to date and provide recommendations on whether to proceed to another phase, and if so, the strategy and organizational framework to be employed in the design of the Implementation Phase, together with a definition of possible exit strategies.

## **5. Implementation**

### *5.1 Evaluation Team*

The evaluation will be carried out by a small team consisting of one independent consultant (who is also the team leader) assisted by three members of WWF – one WWF Norway, two from WWF SARPO. In this way WWF will be contributing to its own internal review and M&E process as well as building hands-on skills in project evaluation. The evaluation team will have extensive knowledge of the Logical Framework Approach (LFA) and its application to project implementation.

### *5.2 Workshop*

Following consultations and field site visits it is intended to hold a facilitated workshop with country coordination offices. The purpose of this workshop is to provide feedback on the evaluation and to seek responses to its findings. This will provide guidance to a revised implementation strategy and accompanying set of actions.

The attached evaluation plan and schedule provides travel details, date and timings for activities, persons and or institutions involved and supporting comments.

## **6. Deliverables & Reporting Requirements**

The independent consultant will be responsible for undertaking separate consultations as appropriate and for producing the evaluation report, which will include inputs from the review team as a whole, the workshop documentation and a set of recommendations. These will reflect both the on-site findings and those arising from the workshop. WWF representatives will provide insights into project administration processes and the necessary documentation required to respond to the issues raised in the scope of work. WWF SARPO will provide the necessary logistical arrangements for the evaluation to be completed effectively.

The consultant will endeavour to carry out the interviews by email, fax, and telephone as much as possible to minimize travel costs. Data will be collected from the following organizations:

- o National CBNRM fora contact points in Botswana, Malawi, Mozambique, Namibia, South Africa, Zambia, and Zimbabwe,

- training institutions (Gorongosa Training Institute in Mozambique, the Southern Africa Wildlife College, the University of Namibia, Nyamaluma CBNRM College, Mushandike Natural Resources College);
- focal CBNRM institutions: the Department of Wildlife and National Parks (Botswana), Zambia Wildlife Authority, Parks and Wildlife Management Authority (Zimbabwe), Direcção Nacional de Areas de Conservação, Mozambique (DNAC) / Direcção Nacional de Florestas e Fauna Bravia, Mozambique (DNFFB), Mozambique;
- strategic partners (Centre for Applied Social Science / Programme for Land and Agrarian Studies, International Resources Group FRAME Programme, Southern Africa AIDS Information Dissemination Service (SAfAIDS), Zimbabwe, the World Conservation Union Southern Africa Regional Programme Office (IUCN/ROSA), Southern Africa Development Community (SADC) Secretariat, and the French Agricultural Centre for International Development (CIRAD) Zimbabwe;
- SARPO staff (PMU, Russell, Harrison); and
- WWF Country Coordinators (Mozambique, Zambia, LIFE Project, IUCN Botswana, WWF South Africa).

## **7. Level of Effort**

It is anticipated that the consultations will take place over a period of 25 days commencing on 5th June, 2005. The review workshop will be held on 18 and 19<sup>th</sup> June 2005, and the final report by the end of June.