

# SADC TFCA Monitoring and Evaluation Framework

## *Workshop on the foundations of the Framework*

### Agenda for the SADC TFCA M&E System elements workshop

<b>Time/Hrs</b>	<b>Item</b>	<b>Responsible</b>
0830-1030	Opening speech by Chair country SADC TFCA M&E Framework: <ul style="list-style-type: none"> <li>• Presentation of the Consultancy and progress report;</li> <li>• Presentation of the Situation Analysis Report;</li> <li>• Identifying the key question(s) for the M&amp;E framework</li> </ul>	S. Maphalala C. Bocchino
<b>1030-1100</b>	<b>Tea Break</b>	
1100-1300	<ul style="list-style-type: none"> <li>• Presentation of the SADC M&amp;E framework and reporting system;</li> <li>• Discussion on incorporation of TFCA M&amp;E System <ul style="list-style-type: none"> <li>○ What needs to be reported on?</li> <li>○ How to avoid duplication?</li> </ul> </li> </ul>	A. Muradza; C. Bocchino
<b>1300-1400</b>	<b>Lunch Break</b>	
1400-1530	<ul style="list-style-type: none"> <li>• Monitoring TFCAs for SADC: <ul style="list-style-type: none"> <li>○ What is the end goal?</li> <li>○ What are the critical elements of SADC TFCAs</li> </ul> </li> </ul>	J. Gilbertson C. Bocchino
<b>1530-1600</b>	<b>Tea break</b>	
1600-1630	Agreements on critical elements: <ul style="list-style-type: none"> <li>• <i>Structure;</i></li> <li>• <i>Elements;</i></li> <li>• <i>Ownership;</i></li> <li>• <i>Responsibility</i></li> </ul> Closing: way forward and milestones	C. Bocchino
<b>1630-1645</b>	<b>Closing Remarks</b>	<b>Chair Country</b>

## INTRODUCTION TO THE CONSULTANCY AND PROGRESS

The representative of the SADC Chair Country, Seth Maphalala, (NTC, Swaziland) opened the day by addressing the participants towards the object of the workshop and the need to have a focussed group in order to arrive at all decisions, which are required for the second phase of the Monitoring and Evaluation consultancy.

The consultant, Dr. Clara Bocchino, introduced herself and began presenting the terms of the work, as well as progress so far. The objective of the work is to arrive at a framework composed of specific indicators able to capture:

- the essence of TFCAs,
- their added value to the region, and
- their ability to meet the SADC TFCA programme objectives.

The agree timeframe, as presented in Table 1, allows time until the end of August to present the final outputs, thus allowing time for piloting in volunteering TFCAs. It was noted by the Consultant that the deadline of a draft zero of the Situation Analysis Report had not been respected because of the amount of literature reviewed, and the need to finalise the field work location. The specific outputs of this processes are three, namely:

- The Inception Report
- The Situation Analysis Report;
- The SADC TFCAs M&E Framework

From a preliminary survey with the members of the Troika and the Focal Points, it was

Table 1: M&E Framework consultancy timeline

Activity	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug
Final inception report	✓							
Draft SAR	→	→	x					
Fieldwork		✓	→	✓				
Final SAR				→	✓			
Draft M&E Framework				→	→	✓		
Final documents for SADC approval						→	→	✓

noted that most regional TFCAs have an M&E based on either the Management Effectiveness Tracking Tool (METT) or the Spatial Monitoring and Reporting Tool (SMART), often in addition to the Peace Parks Foundation's Performance Assessment Tool (PAT). It was also noted that globally there is no M&E system specifically designed for TFCAs and implemented consistently throughout the region, as the one being

designed for SADC.

These notes introduced the presentation of the contents for the Situation Analysis Report (SAR), for which a zero draft will be circulated to the CoP by Friday 13 April 2017. The SAR is contextualised by a Legal Framework seeking to identify, from the Multilateral Environmental Agreements (MEA) relevant to the region, the reporting frameworks, tools and mechanisms, in order to address what is already applicable to TFCAs. This will then inform the

recommendation on how the M&E Framework and indicators can best inform a variety of reporting systems that the SADC TFCA Unit will be called to report on beside the SADC TFCA Programme. In this view, it is important to frame this study in the Common Property Principles, in order to understand the relevant scale of authority which is being addressed by the MEAs and the SADC TFCA Programme.

<b>1. Introduction</b>	<ul style="list-style-type: none"> <li>• Objectives and goals</li> <li>• Contextualization (Legal framework and Common Property Principles)</li> <li>• Report outline</li> <li>• Note on literature and data collection</li> </ul>
<b>2. Legal framework for TFCAs</b>	<ul style="list-style-type: none"> <li>• A historical progression of TFCAs (MEAs and conflict resolution)</li> <li>• The Legal Framework for TFCAs, including reporting instruments</li> </ul>
<b>3. Monitoring and Evaluating TFCAs and TBNRM initiatives</b>	<ul style="list-style-type: none"> <li>• Setting the M&amp;E scene</li> <li>• The status of reporting for TFCAs</li> <li>• Lessons learnt</li> </ul>
<b>4. M&amp;E for SADC TFCAs</b>	<ul style="list-style-type: none"> <li>• Assessing the evolution of TFCAs in the region</li> <li>• Existing M&amp;E systems in the region</li> <li>• What are the critical indicators?</li> </ul>
<b>5. Recommendations for SADC M&amp;E Framework</b>	

Figure 1: Situation Analysis Report Table of Contents amended

The discussion following this first part of the presentation was very focussed on the aim of the exercise, and the contents of the document.

In particular, two questions raised became relevant notes for the exercise and the SADC TFCA programme:

1. An evaluation is required of the existing TFP/TFCA Memoranda of Understanding and Treaties in order to assess their alignment with the SADC TFCA programme and priorities;
2. The SADC TFCA Steering Committee seeks to play a stronger role in supporting the implementation of TFCAs in the region and all the processes required thereof, such as the development of the M&E framework.

The presentation of the Consultant continued with the discussion over the Fieldwork required. It was agreed that it would be more efficient to visit the countries agencies, whilst keeping an eye for those TFCAs, like KAZA, with an existing internal M&E system. The Consultant has already visited the KAZA Secretariat and has been in touch with several people

involved in the creation of the KAZA TFCA M&E System, which is unique in the region. The Consultant has also visited the three Mozambican institutions with a mandate for TFCAs: the Ministry of Land, Environment, and Rural Development (MITADER), the National Agency for Conservation Areas (ANAC) and the MozBio project coordinator. A visit was also paid to the National Trust Commission and its TFCA Coordinator, to discuss the status quo in the country's TFCAs.

In view of the discussions held, the Consultant proposes that two more trips should be undertaken to complete the sampled fieldwork by visiting the managing authority for Zimbabwe and for Zambia, with a potential trip to the Kgalagadi TFP as the oldest TFC project in the region with a park-to-park configuration. It is not excluded that, in relation to proximity, a meeting will be requested from the TFCA Unit of the South African Department of Environmental Affairs.

The introductory session was concluded by a discussion over the SADC TFCAs M&E Framework and the format proposed. It was agreed that the SADC TFCA Programme will inform the development of the indicators, but that these will be related to the SADC Protocol on Wildlife and Law Enforcement. The framework, in fact, serve the reporting purposed of the SADC TFCAs Unit and, in so doing, should address the regional needs for standardised reporting.

It is for this reason that, as agreed, the reporting will happen per TFCA and not by Country, unless there is no International Coordinator or Secretariat in place. In this case, reporting responsibility shall fall back on the country Focal Point.

Before the first morning break, the Consultant dedicated an extensive time to discuss the key question that the M&E system is seeking to address. This is a very important process because it sets the direction of the framework, and specifically of the indicators, objectives and outputs. The discussions on the question raised these important points on TFCAs and their objectives, which are relevant to this exercise as well as to the Programme:

- **The role of management:** a gap was evidenced by the discussion over what is management and should TFCAs be about management. It was agreed that this is a matter of semantic, because when one creates a space with an objective that space needs to intrinsically be managed to achieve the objective. Essentially, TFCAs are about managing the space which is a TFCA in a way that its multiple objectives are achieved. Any other element, such as appreciation of nature (as was mentioned) can only happen if the TFCA is managed to ensure that such element is achieved.
- **The country contributions:** the point was made several times that the framework needs to address the need for countries to contribute to their TFCA(s). It was decided not to make a specific point on this issue, but to include it in the expression "sustainable development" to be addressed as a sub-question.
- **The concept of sustainable development:** again a matter of content related to semantic, it seems that despite the existing MEAs, there is a variety of interpretation of what is sustainable development, and how does it relate to

TFCAs. This may be an issue to address in the SADC TFCA programme and protocols to ensure that there is regional consensus.

- **Quantity and quality:** when discussing measuring systems, the debate between qualitative and quantitative information is always present. In this case, however, it was particularly related to attaching a financial value to TFCAs and their processes. It was agreed that whereas the economic value is important when assessing country contributions, it would be not so for ecosystem goods and services at this stage of the M&E Framework, because the collection of data and reporting would be too cumbersome at present. Similarly, the question of value vs. synergies was discussed and it was agreed that the term “value” was a better representation of the vision. The same was agreed for the expression “opportunity costs”.

The final question was agreed, with the proviso that more sub-questions may be needed.

**How do TFCAs add value to the joint management of shared natural and cultural resources to support sustainable development, conservation and the promotion regional integration in SADC?**

It is important to note that a few issues discussed are not directly or sufficiently addressed by the SADC TFCAs programme, and these are:

- The definition of Sustainable Development in relation to SADC TFCAs;
- The question of management in TFCAs.

## INTEGRATING THE TFCA M&E WITH THE SADC M&E SYSTEM

This section was conducted over Skype by Mr. Alphonci Muradza, the SADC Information System Officer in charge of the SADC Monitoring and Evaluation Systems Portal. Mr. Muradza presented the system (see Attachment 1) and displayed the online server showing the participants its functionalities.

The presentation raised a number of question on the integration between the SADC TFCAs M&E and between the SADC TFCA Programme and the 1999 Wildlife and Law Enforcement Protocol. Through a facilitated discussion, agreements were reached over the 5 critical areas identified, as per Table 2.

The participants understood very clearly that the objective of the M&E system is to give the region a way to see how well member states are performing on the implementation of their protocols and program. In this respect, the main discussion revolved around the relation between the Wildlife and Law Enforcement Protocol and the SADC TFCA Programme. Whereas it was suggested that the Joint Management Plans and the Integrated Development Plans should be used as subsections to the protocol in the SADC M&E system, it was agreed that the protocol will directly inform the regional M&E system and that the indicators thereof Will be decided by the SADC TFCA unit. While the protocol remains the key informing

document for the TFCA M&E system, it is the program that will inform the definition all the components objectives and outputs. This will create a parallel reporting system: one for practical and another for the SADC TFCA programme.

*Table 2: Decisions for the TFCA M&E system*

<b>INFORMING DOCUMENTS</b>	WLE Protocol is the informing document. The Programme gives the detailed level, with related protocols.
<b>SYSTEM INTEGRATION: PARALLEL</b>	TFCA Programme is an individual component of the SADC M&E systems; the indicators usable to report on the Protocol will be taken from the M&E system.
<b>ACCESS TO SYSTEM FOR DATA INPUT</b>	TFCA can input data.
<b>ACCESS TO SYSTEM FOR DATA AND REPORTING</b>	Shared for TFCAs and SADC, for reporting.
<b>LINK TO SADC TFCA PORTAL</b>	Portal remains the mean for cooperation between parties and sharing reports generated on the SADC M&E System.

In order to allow reporting on the SADC M&E system for each TFCA, it was confirmed that each TFCA is treated as a member state. Therefore, each person responsible to report for a TFCA will be given access to the system to input the data concerning a specific TFCA, while being able to access the information inputs of other TFCAs. The SADC TFCA unit shall be able to input regional data, as indicated in the framework, and access the data input right all regional TFCAs.

Finally, only the finalised reports at both TFCA and regional levels shall be published on the current SADC TFCA portal.

This session was concluded by the presentation made by Jason Gilbertson of PPF on the Kavango-Zambezi TFCA M&E system (see Attachment 2), which has been developed all the past three years by consortium of donors and NGOs. In the discussions, it was highlighted that Progress has been made in the past two years to adapt the original system to do the current needs and capacity of the KAZA secretariat. Mr Gilbertson presented the system by describing both the framework structure and the indicator structure, in order to provide participants with an idea of the level of detail that a TFCA may require for internal reporting, as opposed to the reporting needs of a regional system.

The discussion on the SADC M&E system highlighted the importance of aligning the requirements of the protocol and those of the programme, in order to maximise the efficiency in both the implementation and reporting for SADC TFCAs.

## MONITORING FOR SADC TFCAs: RESULT-BASED INDICATORS

Having concluded all discussions on the regional and the TFCAs M&E systems being developed, the session after lunch was exclusively dedicated to a brainstorming on priority indicators to be extracted from the objectives of the SADC TFCA programme (see Table 3). The consultant reminded the group of the key question and of the article 4.2(F) after wildlife and law enforcement protocol which sets the mandate for the establishment our regional transfrontier conservation areas. The participants chose how to distribute themselves in the seven groups, each representing an objective of the SADC TFCA programme. The results of the working groups session were presented in plenary after in the afternoon break, but were not discussed as it was very clear that duplication of indicators was already present, and a level of analysis was needed before finalising them (see Table 4).

*Table 3: SADC TFCAs Programme objectives and session working groups*

<b>Group 1</b>	Advocacy and Harmonization
<b>Group 2</b>	Enhancement of financing mechanisms
<b>Group 3</b>	Capacity building for TFCA stakeholders
<b>Group 4</b>	Establishment of data and knowledge management systems
<b>Group 5</b>	Enhancement of local livelihoods
<b>Group 6</b>	Reducing vulnerability of ecosystems and people to the effects of climate change
<b>Group 7</b>	Development of TFCAs into marketable regional tourism products

Duplication of priorities is particularly evident in four main areas (see Table 4), namely: (1) member states and regional expenditure for TFCAs, that is translated into direct and indirect investment particularly in the area of training; (2) joint management of shared resources with a special focus on law-enforcement; (3) direct involvement of local communities in tourism and decision-making processes; (4) facilitation of tourist access to the TFCA and freedom of movement within the transboundary area. The M&E framework will need to assess this thematic grouping and ensure that indicators created fall in the correct category based on the programme objectives.

## FINAL AGREEMENTS FOR M&E FRAMEWORK

This final session was introduced by a outlook of proposed framework and it infrastructure it was agreed that:

1. The overarching structure responding to the program will be formed by components, objectives and outputs;
2. The baseline for data input would be 2017;
3. The indicators will use a mix of qualitative and quantitative data collection accordingly;
4. The data input responsibility will fall under the international coordinator or the secretariat respectively, but in the absence of either it will fall under the responsibility of the country focal point.

Today was close by D chair country represented by Mr Seth Maphalala, who commended the participants for good and productive day and encouraged the consultant in the finalisation of work for the benefit of SADC TFCAs.

Table 4: Summary of indicators by working group

Group 1	Group 2	Group 3	Group 4	Group 5	Group 6	Group 7
Number of MS with laws relating to TFCAS in the areas of:	% of a country annual budget into a TFCA country component	1. Increased budget investment for TFCA joint training	TFCA: Does the TFCA have an M&E Framework in place?	1. Number of Communities empowered and participating in the TFCA decision making processes;	# of TFCA adaptation strategies to facilitate development of the strategies that are integrated in the Joint Management Plans and adopted for implementation	<b>Volume of tourists</b> - Nr of tourists visiting 1 country - Nr. of tourists visiting more than 1 country
regional dimension (KAZA, Malawi-Zambia...) such as delineating geographic boundaries reflected in national laws	% co-financing leverage of government spend per a TFCA country component	1. No of education and awareness activities (meetings; workshop)	TFCA: Have you participated in or shared information via the portal or SADC TCFA network event?	1. Number of women participating in the TFCA decision making processes at all levels	Increase in uptake of small scale alternative energy technologies at community level	<b>Value of tourism</b> - Amount spent in the TFCA - Amount of resources leveraged for tourism in TFCA
tourism alignment of tariff & Visa regulation)	Natural Capital accounting system developed and implemented for a TFCA country component <sup>1</sup>	2. No of individuals in formal education training (short course, diploma degree)	TFCA: Does the TFAC M&E Framework help answer the TFCA program sheet questions?	1. Number of youth participating in the TFCA decision making processes at all levels	Increase in capacity and response to adaptation strategies to extreme events at community level. This is to measure increase in number of people or HH responded to the projected	- Nr of nights spend in TFCA - Tourism partnerships - Amount of private establishments - Total nr of tourism staff

<sup>1</sup> This indicator is composed of three data sets: 1) \$ raised from tourism levies for innovative community based ecosystem services (2) numbers of rare and/or endangered species tourist sighting; (3) hectares of corridors/habitat allocated to biodiversity conservation).

					ramifications of climate change	
law enforcement (prosecution, Standardization and recognition of processes and CSI results, alignment of punishments, extradition arrangements, hot pursuits)	Regional fund: operationalise, sustained and managed to achieve average x% growth rate	2. No. of formal community governance structures that are formed (legal persona)	SADC: Is there an overall M&E System	2. Number and type of public and private investments projects	Increase in hectares of areas responded to climate change in the TFCAs. This could be restoration or new areas etc	- Amount of community-owned establishments per country - Amount of community-partnership establishments per country
alignment of SOP for Rangers und border control personnel, Law enforcement	Annual average expenditure does not exceed x% growth rate	2. No. of active environmental clubs in TFCA (children, mentors, schools)	SADC: Is there a central database?	3. Number of Communities projects implemented	The extent to which TFCA capacity to sequester and stock carbon. Measuring in carbon stock	- Nr of community members in junior positions - Nr of community members in senior positions - Nr of local suppliers used
joint strategies developed on shared resources	Cross-border shared-cost activities agreed and implemented (economies of scale)	2. No. of youth exchange programmes facilitated	SADC: Are the data collection methods harmonised between countries?	3. Number of people employed	The extent to which TFCA capacity to measure whether phenomenon enhanced	<b>Marketing</b> - Nr of cross-border events - Nr of cross-border products
budget allocations to TFCA		2. Strengthening of key stakeholders group	SADC: Is the data being used for adaptive management?	3. Number of women employed		- Nr of cross-border itineraries - Nr of tourism products
		No. of MoU/A or partnerships signed		3. Number of youth employed		- Joint marketing strategy

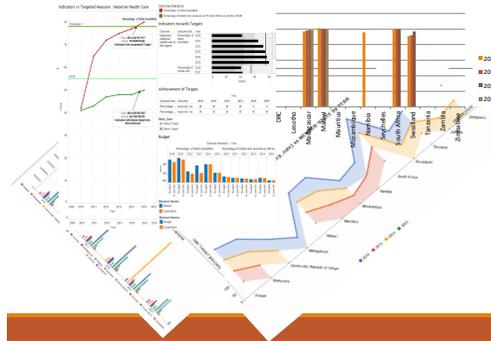
		between training institutions				(Branding of TFCA; website, logo present)
		No. of training programmes mainstreaming TFCA training needs		3. % of change in Social and Economic level of Communities		- Nr of fairs/trade shows attended by TFCA
		No. of courses with TFCA practitioners for content delivery		3. Number and type of trade barriers harmonized to ease trade across borders		<b>Ease of cross-border movement</b> <i>Measured on SADC level</i> - Nr of tourist access facilities
		\$ from levies set aside for training.		4. Number of female involved in TFCA development		- Nr of UniVisa/single visa arrangements in place
		Staff retention in TFCA: permanence of key experience personnel		4. Number of male involved in TFCA development		- One-stop border post established
		Mobilisation of training funds		4. Number of HIV/AIDS Action Plan integrated into TFCA management plans		<b>Measured on TFCA level</b> - Border post working in TFCA
				4. % reducing of the new infections		
				4. Number awareness campaigns conducted on HIV/AIDS		

# ATTACHMENT 1: SADC M&E PRESENTATION (A. MURADZA)



## SADC Online M & E System

SADC ONLINE MONITORING AND EVALUATIONS SYSTEM (M & E)  
 SADC TFCA M&E WORKSHOP  
 JOHANNESBURG  
 23 MARCH 2017



## Agenda

- Objectives of M & E Systems
- Focus of the M & E System
- Components of the Systems
- System Presentation

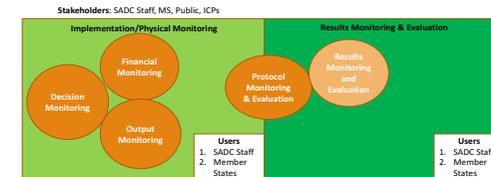
## Objectives of M & E Systems

- To determine progress towards achieving planned results at the output, outcome and impact level
- To inform decision-making thereby providing for more effective annual work plans of projects and programmes
- To improve a project's performance and development impact;
- To support sound resource allocation and decisions
- To mitigate the risks to the achievement of results.
- Increase transparency and accountability to citizens

## FOCUS OF THE M&E SYSTEM

- Revised RISDP
- SIPO
- Protocols
- Industrialization Strategy and Action Plan
- Policies, Programmes and Strategies
- Projects
- Decisions

## Components of M & E System

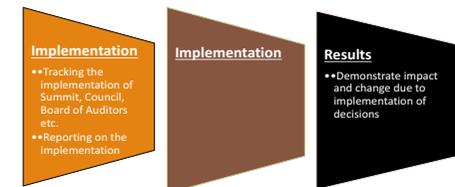


## System Presentation

## Implementation/Physical Monitoring



## Decisions Monitoring



## Protocol Monitoring

### Compliance

- Signature
- Ratification
- Domestication

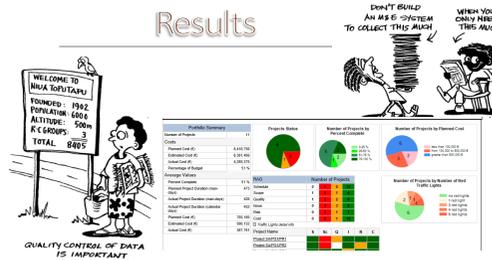
### Implementation

- Implementation of Protocol Articles
- MS provide feedback on the achievement of outputs within articles

### Results

- Demonstrate impact and change for the benefit of citizens through data collection on Results and Process Indicators
- Reporting

## Results



## Results Monitoring

### Data Collection

- Indicator definition(SADC specific, SDGs), key indicators that measure progress on regional agenda
- A dynamic data collection platform
- Qualitative and quantitative data collection

### Data Analysis

- A data analysis component to allow users to view, analyse and extrapolate data on indicators

### Reporting

- Produce reports and share with stakeholders
- User-based configurable dashboard
- Information dissemination and usage

## Others

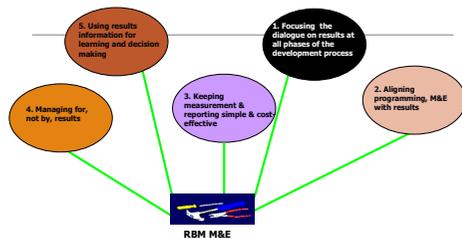
- oExpert Registration
- oDocument Repository
- oSecurity :- The system uses a RBAC to manage access to system modules, grant rights to data access and manipulation
- oCommunication : Email notification on assigned Decisions, outputs , due review , reports etc.



## Evaluation



## RMB Principles used by the System



## Way Forward



WE THANK YOU

## ATTACHMENT 2: KAZA M&E PRESENTATION (J. GILBERTSON)



### KAVANGO-ZAMBEZI (KAZA) MONITORING AND EVALUATION

Jason Kane Gilbertson

SADC TFCA Network Meeting  
(22-24 March 2017)

## Indicator Framework

- Stored as a MS Word Doc on PPF serves.
- Serves as the base structure for M&E in the KAZA Region.
- Currently has 58 indicators.
- An indicator is something that is used to show the health state of KAZA, be it social, economic, environmental etc.
- Updated regularly based on educated and professional input. Will remain dynamic and evolve over time.

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## Introduction (General)

- Focused on KAZA countries:
  - Angola
  - Botswana
  - Namibia
  - Zambia
  - Zimbabwe
- In the process of developing a framework/document to structure all data collection
- Acquire data: Remotely, electronically, and in-situ.

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## KAZA Region



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## Framework Structure

- Divided in 5 categories:
  - 1) Species
  - 2) Impact
  - 3) Outcome
  - 4) Enabling
  - 5) Management
- Each Category contains a number of relevant indicators.
- Each indicator has a predefined structure to make sorting and organising efficient (*On Next Slide*).



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## Indicator Structure

- Code. Indicator name:** (Descriptor Code and Name)
- Theme:** (species, impact, outcome, enabling conditions, management)
- Indicator Description:** (General Description of what is collected)
- Method of collection:** (How data can be obtained)
- Baseline Year:** (Earliest Possible data collection)
- Data Frequency:** (How often data can be obtained)
- Target:** (Goal for the specific achievement)
- Units and data format:** (Geo-Spatial Data Description - Raster/Vector/Non-Spatial)
- Collection Area:** (The Geographic Scope - Country, Protected Area, Conservancy Etc.)
- Data Source or Point of Contact:** (How data will be collected)
- Party responsible for collection:** (Party to collect data)

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## Contributing Parties

- Many Data sources for all indicators. Wide detailed network has to be developed in order to consistently update database. A few current contributors include:



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## Examples

- 1) Google Sheets (Update System)
- 2) KAZA by Numbers
- 3) Fire Mapping.
- 4) Elephants (Namibian Components).

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## Concluding Remarks

- Difficulties with Angolan Collection.
- Data Collection is on Track.
- System show a lot of promise.

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