



CONCEPT NOTE

TRANSFRONTIER CONSERVATION AREAS (TFCAs) WORKSHOPS JOHANNESBURG, SOUTH AFRICA 5-8 SEPTEMBER 2017

- 1. VALIDATION WORKSHOP OF THE DRAFT MONITORING AND EVALUATION FRAMEWORK FOR TFCAs IN THE SADC REGION:
5 – 6 SEPTEMBER 2017**
- 2. CONSULTATIVE WORKSHOP ON THE ESTABLISHMENT OF FINANCING MECHANISM FOR THE SADC TFCAs (*TFCA FINANCING FACILITY*): 7- 8 SEPTEMBER 2017**

July 2017

VALIDATION WORKSHOP FOR THE DRAFT MONITORING AND EVALUATION FRAMEWORK FOR TFCAs SADC IN THE SADC REGION

5 – 6 SEPTEMBER 2017

1. BACKGROUND

The Southern African Development Community (SADC) has several legal frameworks, strategies, policies, programmes and plans aimed at promoting sustainable utilization and conservation of natural resources as well as protection of the environment in the region. The SADC Treaty recognizes the importance of protection of the environment and sustainable utilization of natural resources in the region. Recognizing the fact that international boundaries were set without taking into consideration the ecosystem boundaries and that natural resources that straddle international borders are a shared asset, the SADC Protocol on Wildlife Conservation and Law Enforcement calls for Member States to promote the conservation of shared wildlife resources through the establishment of transfrontier conservation areas (TFCAs).

A TFCA is an area or component of a large ecological region that straddles the boundaries of two or more countries, encompassing one or more protected areas as well as multiple resource use areas. The main objective of SADC TFCAs is to foster international collaboration and cooperation between the Parties in order to facilitate effective management of transboundary ecosystems.

Development of TFCAs in SADC region started in 1999 with the establishment of Kgalagadi Transfrontier Park (Botswana and South Africa). Currently there are 18 TFCAs across SADC region that are in different stages of development namely six (6) recognized as being established and with international agreements in place; seven (7) recognized as emerging or in the process of being established; and five (5) in a conceptual stage. In order to operationalize the implementation of the Protocol on Wildlife with regard to TFCAs, SADC developed the “SADC Programme for Transfrontier Conservation Areas (TFCAs)” which was approved by Ministers responsible for Environment and Natural Resources in 2013. The overall goal of the programme is to support the development of an integrated network of cross-border key ecological areas to conserve biodiversity and ecosystem services, and foster economic and social development, tourism and regional integration for the benefit of those living within and around TFCAs and mankind at large. Specific objectives of the SADC TFCA Programme are to guide and coordinate the TFCA development process as well as to coordinate mobilization of financial and technical resource.

The TFCA Programme has seven components aimed at addressing some of the gaps identified by the SADC Member States in the establishment and development of TFCAs. They include policy harmonization and advocacy; establishment of financing mechanisms for TFCAs; capacity building for TFCA stakeholders; establishment of data and knowledge management systems; improvement of rural local livelihoods; reduction of vulnerability of ecosystems and people to the effects of climate change, as well as

development of TFCAs into marketable regional tourism products. Component four of the TFCAs Programme namely “establishment of data and knowledge management systems” calls for the establishment of a monitoring and evaluation framework for TFCAs development and management at both the TFCAs and regional levels in order to assess the progression of the SADC TFCAs programme.

TFCAs also complement the goal of the SADC Regional Indicative Strategic Development Plan (RISDP 2005-2020), which is to deepen regional integration in the SADC region. The RISDP provides strategic direction to SADC programmes, projects and activities. It lists conservation, management and use of natural resources as a major component of a key priority intervention area, “environment and sustainable development” and acknowledges that transboundary conservation of natural resources is an existing challenge for the realization of SADC policies and strategies on environment and land management. As such, TFCAs are considered a vehicle to ensure equitable and sustainable use of the environment and natural resources.

Furthermore, in 2015, SADC developed “SADC TFCAs Guidelines”, which serve to capture the variety of configurations possible within the TFCAs approach to collaborative cross-border natural resource management

2. JUSTIFICATION FOR DEVELOPMENT OF A SADC TFCAs M&E FRAMEWORK

Component four of the SADC TFCAs Programme on the “Establishment of Data and Knowledge Management Systems” calls for monitoring and evaluation of TFCAs at the individual TFCAs level in order to:

- (i) assess the progression of the SADC TFCAs programme and ensure that the articulated programme objectives are being achieved; and
- (ii) measure the overall contribution and impact of TFCAs on to the economic development of the SADC region.

The “SADC TFCAs Network”, at their inception workshop held in Johannesburg in September 2013, also recognised the importance of periodically measuring the value of TFCAs cooperation as well as the need to measure and assess the extent to which the objectives of individual SADC TFCAs are being met. This was further discussed at a recent meeting of the SADC TFCAs Network held in March 2016, at the Mopani Rest Camp in the Kruger National Park. The meeting established the need for monitoring and evaluation (M&E) of SADC TFCAs to enable the objective measurement of their conservation, social and economic performance, both as individual TFCAs and collectively as a regional programme, which requires further development, rationalization, and coordination.

Even though varying degrees of monitoring and evaluation does take place, it has been found that they tend to be focused at the individual protected area level, and at measuring the impact of conservation work, to the exclusion of social and economic aspects of TFCAs

development and implementation. Although there are local efforts to improve this situation, such as the development of an M&E framework for the Kavango-Zambezi (KAZA) TFCA, and the expressed desire by the South African National Parks to do the same for all six TFCAs crossing South African boundaries, the implications of the absence of an overall M&E framework at the SADC regional level is clear and requires urgent attention.

In this regard, an M&E Community of Practice (CoP) has been established and is comprised of a selection of volunteer members of the SADC TFCA Network, and other interested and experienced experts. The objective of the CoP is to contribute towards overall M&E of TFCAs in the SADC Region as well as to provide inputs into the development of a SADC TFCAs M&E Framework.

SADC has also developed a “SADC Policy on Strategy Development, Planning, Monitoring and Evaluation (2012)”. One of its objectives is to provide mechanisms for reporting progress towards and achievement of targeted results based on evidence at different levels (Secretariat, Member States, projects etc.).

It is against this background that SADC Secretariat hired an individual consultant and developed a draft “SADC TFCA M&E Framework” whose aim is to monitor the impact of TFCAs on the development of the SADC region. The consultant was hired through the GIZ supported SADC Project Transboundary Use and Protection of Natural Resources (TUPNR), which also provided technical and logistical support in the implementation of the consultancy.

In order to ensure alignment with the overarching SADC Results-based monitoring System, the consultant participated in the training workshop on the use of the SADC online result based monitoring and evaluation system that was held in Kasane, Botswana, 1-10 February 2017. Further, the SADC M&E Unit has been consulted in the process of developing the M&E Framework for TFCAs and provided input required as well as guidance.

3. OBJECTIVES OF THE VALIDATION WORKSHOP

The overall objectives of the validation workshop are to:

- (i) bring together Member States as well as other relevant TFCA stakeholders to interrogate the draft “SADC TFCA M&E Framework” document and provide suggestions and inputs for its improvement; and
- (ii) Member States to adopt the document and recommend it for submission to the Technical Committee on Wildlife.

4. EXPECTED DELIVERABLES

- 4.1 A workshop proceedings report
- 4.2 A validated final draft “SADC TFCA M&E Framework” document for submission to the Technical Committee on Wildlife.

5. PARTICIPANTS

Sponsored through GIZ Budget

- 15 x National TFCA Focal Points or representative from Each Member State
- 15 x M&E Official from each Member State
- 7 x Stakeholders
- 5 x GIZ Staff

Sponsored through SADC budget

- 5 x SADC Secretariat Staff representing FANR, M&E Unit and IT

Self-Sponsored

- 10 x Stakeholders

6. BUDGET

GIZ, through the SADC Project Transboundary Use and Protection of Natural Resources (TUPNR), will support participants from Member States and other relevant stakeholders with air tickets, accommodation and meals only. Member States are invited to supplement travel costs including allowances for their delegates.

Table 1: Indicative Budget

Budget item	Unit cost (USD)	Participants	Quantity	Frequency	Total (USD)
Conference Package	35	60	2	1	4 200
Accommodation	120	42	2	1	10 080
Participants Airfares	1200	42	1	1	50 400
Airport shuttle service	50	42	2	1	4 200
TOTAL					68 80

CONSULTATIVE WORKSHOP ON THE ESTABLISHMENT OF FINANCING MECHANISM FOR THE SADC TFCAs (*TFCA FINANCING FACILITY*)

7- 8 SEPTEMBER 2017

1. BACKGROUND

1.1 Transfrontier Conservation Areas (TFCAs) are recognized as a mechanism that is appropriate for delivery on a number of SADC Protocols and Strategies that relate to the conservation and sustainable utilization of natural resources. They include the Protocol on Wildlife Conservation and Law Enforcement (1999), the Protocol on Fisheries (2001), Protocol on Forestry (2002), Protocol on Shared Water Courses (2002) and the Regional Biodiversity Strategy (2006). The revised SADC Regional Indicative Strategic Development Plan (RISDP) has identified sustainable development, conservation of wildlife and transboundary natural resources as a priority for SADC.

In 2013, SADC Ministers responsible for Environment and Natural Resources approved the SADC TFCA Programme. The overall goal of the programme is to support the development of an integrated network of cross-border key ecological areas to conserve biodiversity and ecosystem services, and foster economic and social development, regional integration and stability in SADC region. Specific objectives of the SADC TFCA Programme are to guide and coordinate the TFCA development process as well as to coordinate mobilization of financial and technical resource. The German Government is providing technical and financial resources required to facilitate the implementation of the SADC TFCA Programme.

1.2 The concept of establishing the regional Financing Facility for TFCAs (commonly referred to as TFCA Facility) was introduced in the German-SADC inter-governmental negotiations of 2014 as a solution to addressing key challenges hindering the successful implementation of the SADC TFCA programme. They include the following:

- (i) High transaction costs and the time required to conclude the contractual framework between KfW and the SADC Secretariat.
- (ii) The complexity of TFCAs necessitates a broad range of intervention measures and a high diversity of stakeholders. This in turn requires adaptive management approaches for which the current programme set-up is not conducive.
- (iii) Country based budget allocations do not provide sufficient flexibility to achieve progress in themes that are relevant across borders.

Both delegations agreed that future support should focus on establishing the SADC TFCA Facility as a flexible and innovative approach to support TFCAs and other transboundary eco-systems in the region.

1.3 The overall purpose of the TFCA Facility is to be a financing facility designed to fast track the implementation of transboundary measures towards conservation and management of biodiversity and ecosystems and promote socio-economic development in the SADC region in close cooperation with relevant stakeholders from governmental and non-governmental organizations. The TFCA Facility is meant to promote the implementation of identified crucial interventions for transboundary conservation management by:

- (i) Providing a financial rapid response mechanism for urgent and important needs in implementation of ongoing transboundary development initiatives; and
- (ii) Addressing development challenges that are critical for the success and integrity of a TFCA.

The expected outcomes include the following:

- (i) Land uses are harmonized to secure habitat for key species (elephant, wild dog, zebra, wildebeest and antelope)
- (ii) Local tourism attractions are connected to regional tourism routes
- (iii) The capacity for management of Protected Areas critical for cross-border movements of wildlife, is enhanced
- (iv) Human Wildlife Conflict resulting from cross-border movement of wildlife populations is managed and mitigated

1.4 The TFCA Facility is expected to represent a standardized financing mechanism through which SADC can channel contributions from the German Development Cooperation. The funds are intended to support the implementation of existing plans as much as possible and thereby contribute to the overall attainment of strategic goals. The initial funding, that has been by the German Government (BMZ through KfW), is €12 million over to cover a short-term period of about six years. The intention is to leverage additional funds from for like-minded sources and programmes to reach a total volume of approximately €100 million in the medium to long term. In addition to its role as a financing programme and distribution mechanism, the TFCA Facility will foster exchange of information and good practice to strengthen strategic alliances and inform policy and decision makers.

1.5 The establishment of the TFCA Facility and its implementation modalities are subject to consensus by Member States and approval by SADC structures.

2. RATIONALE FOR THE CONSULTATIVE WORKSHOP

The German Government has supported initiatives for consultation, planning and appraisal of the proposed TFCA Facility in order to inform the project design process and to enable orderly preparation of the project. Notable ones include the pre-feasibility and a full feasibility studies in 2015 and 2016 respectively. A number of issues regarding the operationalization of the proposed facility have been identified including the following:

2.1 Hosting of the TFCA Facility

Since TFCA Facility is expected to be a financing mechanism operationalized through an appropriate grant mechanism, various possible options for grant schemes were considered based on examples of various existing international funding facilities such as Global Fund for fighting AIDS, Tuberculosis and Malaria; Mangroves for the Future Initiative; and Integrated Tiger Habitat Conservation Fund managed by IUCN, with funding from KfW.

Four options for hosting the TFCA Facility were considered:

- i. **SADC Secretariat through FANR:** This option was found not to be suitable because due to its mandate, the SADC Secretariat structures are not designed for implementation and operational processes. SADC role is planning, coordination, monitoring and capacity building
- ii. **Member state/host government:** This option was found to be cumbersome because of how and by whom the host would be selected. In addition, the risk attached to this option is that priority could be given to interventions within the country rather than those encompassing cross-border issues. Further, there are no clear mechanisms for one country to decide on funding proposals concerning other Member States.
- iii. **Independent/neutral Organization with international mandate:** This option was found to be the most ideal due the fact there are some reputable international organizations that are managing similar financing facilities. If this option is selected, the approval of proposals and grant allocation would have to be made by a representative body. Furthermore, all proposals will have to be endorsed by the respective Member States for them to be eligible for funding.
- iv. **Hosting the facility as a bank account:** The question was if this option is selected who will provide technical support and strategic guidance to ensure compliance and custodian of the account

From the analysis of the four options mentioned above, option three was found to be favourable and was recommended for adoption.

2.2 Management of the TFCA Facility

The TFCA Facility will be managed by a **Project Executing Agency (PEA)** who will be in charge of the overall management and implementation of the facility. Major tasks should comprise the preparation and circulation of calls for proposals, the screening and evaluation of proposals, concluding implementation agreements with successful applicants of project proposals, financial management, submit progress reports as well as monitoring. Funds will be accessed through a competitive grant-making process and an endorsement by government of respective Member State will be a pre-requisite for all concepts and proposals submitted. Proposed activities will also be required to align with local and national government environmental and socio-economic policies as well as relevant SADC policies and strategies.

2.3 Selection of Project Executing Agency (PEA)

Based on the preparatory studies, consultation process and documentation provided, KfW proposed that the International Union for the Conservation of Nature (IUCN) should be selected as the PEA of TFCA Facility. This is due to their experience in managing the Integrated Tiger Habitat Conservation Programme, funded through KfW, on behalf of nine Tiger-priority countries. IUCN is also an implementing agency for the Global Environmental Facility (GEF) and the Green Climate Fund. IUCN have therefore ample experience in financial compliance and management of multi-country conservation programmes. The pre-feasibility study recommended that a decision on which organization should be selected as a host and/or implementing agency for the TFCA Facility has to be made in close consultation with SADC Member States. Further, the recent Government negotiations reiterated the fact the establishment of the TFCA Facility and its implementation modalities are subject to approval by SADC Structures and that alternative implementation modalities could be considered.

2.4 Governance of the TFCA Facility

The TFCA Facility will be governed by the following structures:

- (i) **Programme Council/Board** comprised of representatives from the current donors, SADC Secretariat, representation from the SADC Member States (e.g. the Troika) and the PEA. The council will be responsible for providing strategic guidance and policy direction. The Programme Council will also approve the criteria and/or guidelines for proposal selection and grant allocation and selected portfolio of grant projects. The Programme Council will meet at least twice a year.
- (ii) **Programme Council/Board** comprised of representatives from the current donors, SADC Secretariat, representation from the SADC Member States (e.g. the Troika) and the PEA. The council is responsible for providing strategic guidance and policy direction. The Programme Council will also approve the

criteria and/or guidelines for proposal selection and grant allocation and selected portfolio of grant projects. The Programme Council will meet at least twice a year.

(iii) Programme Management/Implementation Unit executes the TFCA Financing Facility programme according to the strategic decisions of the Programme Council.

(iv) The Programme Advisory Committee (PAC) has the purpose to expand the capacities of the Programme Management for the evaluation of grant project proposals through the integration of a multi-disciplinary expertise. The PAC should support decisions making in an objective, independent, and transparent manner creating a fair process by which projects are selected. Financial accountability remains the responsibility of the grantees.

2.5 SADC Secretariat's role in programme execution

The TFCA Facility is a financing instrument to contribute towards the implementation of the SADC TFCA programme. In line with its core functions, the SADC Secretariat should provide strategic advice, policy guidance and coordination to ensure that grant projects are in line with regional strategies. Further, the Secretariat should develop mechanisms to mobilize additional resources from other interested parties in order to expand the facility.

2.6 The issues above and proposals require further analysis and interrogation by technical experts from Member States. The outcome of this consultative process will be a succinct project document containing recommendations that will be presented for consideration and approval by SADC structures including the Committee of Ministers responsible for Environment and Natural Resources.

3. CONSULTATION ROAD MAP

3.1 The outcomes of preparatory studies have been presented to the TFCA Focal Points and other TFCA stakeholders in the region in the TFCA Symposium held in July 2016 and the in the TFCA Network meeting held on March 2017.

3.2 The project document, detailing project implementation modalities of the envisaged TFCA Facility, is being prepared in consultation with Member States. The drafting team comprising of TFCA Focal Points from seven Member States (Angola, Botswana, Mozambique, Namibia, South Africa, Zambia and Zimbabwe) together with SADC Technical Advisor TFCA and KfW has been constituted. The team is expected to consult widely and consultations are underway.

3.2 In view of the need for Member States to fully appreciate potential benefits of the TFCA Facility and reach consensus on its structure and implementation modalities,

a facilitated workshop is proposed. Suggested/targeted participants are Directors of Wildlife/Conservation, TFCA contact points and the SADC TFCA Network. The workshop will interrogate the proposals mentioned above, refine the draft project document and identify issues for further discussion by the technical committee on wildlife from which recommendations to Ministers of Environment and Natural Resources meeting, scheduled for November 2017, will be made. NGO representatives and other relevant organizations in the region such as the Peace Parks Foundation and World Wide Fund for Nature, will be invited to attend at their cost.

- 3.3 Presentation of the project document containing recommendations on the envisaged TFCA Facility and its implementation modalities for consideration, endorsement and approval by SADC structures (Technical Committee on Wildlife in October 2017 and Committee of Ministers Responsible for Environment and Natural Resources November 2017).

4. OBJECTIVES OF THE CONSULTATIVE WORKSHOP

The proposed consultative workshop will:

- (i) Analyze the revised TFCA Facility draft project document
- (ii) Interrogate and consider the proposals regarding hosting of the TFCA Facility, Project Implementing Agency of the facility and governance structure
- (iii) Provide recommendations on preferred implementation modalities of the TFCA Facility with justification.

The workshop will be held in Johannesburg, South Africa from 7th to 8th September 2017.

5. DELIVERABLES

- (i) A workshop proceedings report
- (ii) A succinct project document containing recommendations on the structure and implementation modalities of the TFCA Financing Facility for submission to the Technical Committee on Wildlife.

6. BUDGET

The workshop will supported as follows:

(i) SADC Secretariat Budget

FANR, through the ICP budget allocation “*Support to SADC Programme on TFCA’s and Climate Change resilience*” will pay for the venue (conference package), accommodation for Member States representatives and TFCA international coordinators, interpretation services and SADC Secretariat’s staff participation.

(ii) SADC/GIZ Project on Transboundary Use and Protection of Natural Resources (TUPNR)

TUPNR project will pay for air tickets for two Member States representatives and TFCA international coordinators to participate in the validation workshop for the SADC Monitoring and Evaluation Framework. Since the two workshops will be held back to back and the participants are the same, the tickets will cover participation to both workshops.