



---

## **Terminal Evaluation of the Reclassification and Effective Management of the National Protected Areas System Project**

---

# **FINAL EVALUATION REPORT**

BY

Dr.CHISELEBWE NG'ANDWE

AND

MONICA CHUNDAMA

December, 2012

# Table of Contents

<b>ACRONYMS .....</b>	<b>4</b>
<b>LIST OF TABLES .....</b>	<b>6</b>
<b>LIST OF FIGURES .....</b>	<b>6</b>
<b>1.0 EXECUTIVE SUMMARY .....</b>	<b>7</b>
<b>2.0 INTRODUCTION AND BACKGROUND .....</b>	<b>13</b>
2.1 THE PROJECT .....	13
2.1.1 <i>Project setting and justification</i> .....	13
2.1.2 <i>Project objective, outcomes and outputs</i> .....	14
2.1.3 <i>Key stakeholders and roles</i> .....	14
2.1.4 <i>Expected project results</i> .....	16
2.2 THE EVALUATION.....	16
2.2.1 <i>The UNDP/GEF Evaluation Guidelines</i> .....	17
2.2.2 <i>Evaluation objectives and Terms of Reference</i> .....	17
2.2.3 <i>Evaluation Activities and assignment time line</i> .....	18
2.3 METHODOLOGY AND APPROACH .....	18
2.3.1 <i>Evaluation limitations</i> .....	19
2.3.2 <i>The approach adopted</i> .....	19
2.3.3 <i>Literature Review</i> .....	20
2.3.4 <i>Field Consultations</i> .....	20
2.3.6 <i>Rating of project achievements</i> .....	20
2.3.7 <i>Structure of the Evaluation Report</i> .....	21
<b>3.0 FINDINGS: PROJECT CONCEPT, DESIGN AND RELEVANCE .....</b>	<b>21</b>
3.1 PROJECT CONCEPT AND THE PROBLEMS IT SEEKS TO ADDRESS .....	21
3.2 PROJECT DESIGN.....	22
3.3 RELEVANCE OF PROJECT.....	22
<b>4.0 FINDINGS: PROJECT IMPLEMENTATION AND MANAGEMENT EFFICIENCY .....</b>	<b>24</b>
4.1 PROJECT GOVERNANCE .....	24
4.1.1 <i>Implementation Framework</i> .....	24
4.1.2 <i>Project Steering and Oversight</i> .....	27
4.1.3 <i>The role of the Government as Implementing Partners</i> .....	27
4.1.4 <i>The role of UNDP as the GEF Implementing Partner</i> .....	27
4.1.5 <i>Management efficiency</i> .....	28
4.2 FINANCIAL MANAGEMENT .....	28
4.3 STAKEHOLDER PARTICIPATION .....	30
4.4 PROJECT PARTNERSHIP STRATEGY.....	30
4.5 MONITORING AND EVALUATION .....	30
4.5.1 <i>The GEF M&amp;E requirements</i> .....	31
4.5.2 <i>The LogFrame Matrix, project monitoring and adaptive management</i> .....	31
4.5.3 <i>The Mid-Term Evaluation</i> .....	32
4.6 RISKS AND RISK MANAGEMENT.....	33
<b>5.0 FINDINGS: RESULTS AND IMPACTS.....</b>	<b>34</b>
5.1 RESULTS ACHIEVED .....	34
5.1.1 <i>The Objective</i> .....	34
5.1.2 <i>Achievement of project outcomes</i> .....	36
5.2 PROJECT IMPACTS .....	45
5.2.1 <i>Impacts at national and demonstration site levels</i> .....	45
5.2.2 <i>Global environmental impacts</i> .....	46
5.3 EFFECTIVENESS OF PROJECT EXECUTION .....	47

5.3.1 Policy and legislative reform.....	47
5.3.2 Coordination, partnership and ownership .....	47
5.3.3 Project monitoring .....	47
5.4 PUBLIC-PRIVATE PARTNERSHIP APPROACH TO PA MANAGEMENT .....	47
5.5 CROSS CUTTING ISSUES .....	50
<b>6.0 FINDINGS: SUSTAINABILITY.....</b>	<b>50</b>
6.1 ACHIEVEMENTS TO BE SUSTAINED .....	50
6.2 INSTITUTIONAL SUSTAINABILITY .....	51
6.3 POLICY AND LEGAL REFORMS.....	51
6.4 SUSTAINABILITY AND REPLICATION OF PUBLIC-PRIVATE PARTNERSHIP MODEL.....	51
6.5 FINANCIAL SUSTAINABILITY .....	52
6.6 PROSPECTS FOR UP-SCALING AND REPLICATING PROJECT RESULTS.....	52
6.7 ENVIRONMENTAL SUSTAINABILITY .....	52
<b>7.0 CONCLUSIONS AND RATINGS.....</b>	<b>53</b>
7.1 QUESTIONS ARISING FROM THE EVALUATION TORs .....	53
7.2 OVERALL CONCLUSIONS .....	54
7.3 OVERALL ASSESSMENT SUMMARY AND RATINGS .....	55
<b>8.0 RECOMMENDATIONS.....</b>	<b>58</b>
8.1 ISSUE: REPLICATION OF PPC PARTNERSHIP SYSTEM IN OTHER PAs. ....	58
8.2 ISSUE: MONITORING OF MANAGEMENT EFFECTIVENESS IN PAs .....	58
8.3 ISSUE: LEGAL AND POLICY REFORM.....	58
<b>9.0 LESSONS LEARNT.....</b>	<b>60</b>
<b>ANNEX 1: TERMS OF REFERENCE .....</b>	<b>62</b>
<b>ANNEX 2: LIST OF PERSONS INTERVIEWED .....</b>	<b>72</b>
<b>ANNEX 3: SUMMARY OF FIELD VISITS .....</b>	<b>76</b>
<b>ANNEX 4: LIST OF DOCUMENTS REVIEWED .....</b>	<b>80</b>
<b>ANNEX 5: DATA COLLECTION TOOLS USED .....</b>	<b>83</b>
<b>ANNEX 6: CO-FINANCING AND LEVERAGED RESOURCES.....</b>	<b>87</b>
<b>ANNEX 7: EVALUATION MATRIX.....</b>	<b>88</b>
<b>ANNEX 8: DEMONSTRATION SITE ACTIVITIES INDICATORS AND OUTPUTS AND PROGRESS ACHIEVED .....</b>	<b>91</b>

## Acronyms

AIDS	Acquired Immune Deficiency Syndrome
AP	African Parks Network
BWMB	Bangweulu Wetlands Management Board
CBNRM	Community Based Natural Resources Management
CCA	Community Conservation Area
CLA	Chiawa Leaseholders Association
CLZ	Conservation Lower Zambezi
CP	Cooperating Partner
CRB	Community Resource Board
CSO	Civil Society Organisation
DSWG	Demonstration Site Working Group
ECZ	Environmental Council of Zambia
GEF	Global Environment Facility
GMA	Game Management Area
GMP	General Management Plan
GRZ	Government of the Republic of Zambia
HIV	Human Immuno DeficiencyVirus
HQ	Headquarters
HRH	Her/His Royal Highness
HS	Highly Satisfactory
KTL	Kasanka Trust Limited
LogFrame	Logical Framework
LZCT	Lower Zambezi Conservation Trust
METT	Monitoring and Evaluation Tracking Tool
METTPAZ	Monitoring and Evaluation Tracking Tool of Zambia
MLNREP	Ministry of Lands Natural Resources and Environmental Protection
MTENR	Ministry of Tourism Environment and Natural Resources
MU	Marginally Unsatisfactory
NGO	Non-Governmental Organisation
NHCC	National Heritage and Conservation Commission
NP	National Park
NRCF	Natural Resources Consultative Forum
NRM	Natural Resources Management
PA	Protected Area
PD	Project Document
PF	Patriotic Front
PIU	Project Implementation Unit
PTC	Project Technical Coordination
REMNPAS	Reclassification and Effective Management of National Protected Areas System
S	Satisfactory
SC	Steering Committee
TAG	Technical Advisory Group
ToRs	Terms of Reference
U	Unsatisfactory
UNDP	United Nations Development Programme
WWF	World Wide Fund for Nature
ZAWA	Zambia Wildlife Authority

ZEMA	Zambia Environmental Management Agency
ZTB	Zambia Tourist Board

## List of Tables

Table 1: Key stakeholders and roles .....	14
Table 2: Key evaluation questions .....	17
Table 3: Evaluation rating scales .....	20
Table 4: Barriers to effective PA management .....	23
Table 6: Co-financing and leveraged resources .....	29
Table 7: Risks and Mitigation Measures .....	33
Table 8: Assessment of progress towards project objective .....	35
Table 9: METT/METTPAZ rankings .....	35
Table 10: Assessment of Outcome 1 key performance indicators .....	36
Table 11: Assessment of Outcome 2 key performance indicators .....	39
Table 12: Answers to key questions posed in the TORs .....	53
Table 13: Assessment summary and ratings .....	55

## List of Figures

Figure 1: Organogram at start of project .....	25
Figure 2: Project Organogram after 2007 .....	26

# 1.0 Executive Summary

## 1.1 Introduction

The GEF funded Reclassification and Effective Management of the National Protected Areas Project (REMNPAS) aimed to set up a national Protected Areas (PA) system that not only comprised a representative sample of Zambia's ecosystems but that was also effectively managed and contributing to tourism development.

The project document was signed in August 2005, started operations in February, 2006 and was to run until December 2011. The project was extended initially to 31st March, 2012, and finally to 31st December, 2012. The focus of the project has been on policy reforms and institutional strengthening at the national level and piloting innovative management options at two demonstration sites i.e. Chiawa and Bangweulu Game Management Areas at the micro-level for effective management of protected areas in Zambia. With Germany funding a third demonstration site was added under the overall REMNPAS project to focus on the evergreen forests of West Lunga.

The project budget was US\$ 44.7 million, of which US\$ 6.0 million was contribution from the Global Environment Facility (GEF), US\$ 2.0m from the United Nations Development Programme (UNDP). Additional funding and support came from the Government of Zambia and the Ministry of Environment and Nuclear Safety of the German Federal Government for the West Lunga National Park component of the project.

The designated project management institution was the Department of Environment and Natural Resources Management (DENRM) previously under the Ministry of Tourism, Environment and Natural Resources (MTENR), but which later moved to the Ministry of Lands, Natural Resources and Environment Protection (MLNREP). The Zambia Wildlife Authority (ZAWA) was responsible for project execution. Several partners in the public, private and civil society sectors participated in project implementation.

## 1.2 Project objective, outcomes and outputs

According to the project log frame, the project had a goal, immediate objective and three outcomes with key performance indicators as follows:

**Project goal**-*Making Zambia a tourism destination of choice through a national protected areas system that comprises a representative sample of Zambia's ecosystems and is effectively safeguarded from human –induced pressures through effective management partnerships.*

**Project objective** -*To strengthen enabling frameworks and capacities for managing the system of PAs that have biodiversity conservation as a major objective.*

The three outcomes were -1) appropriate policy, regulatory and governance frameworks are in place providing new tools for public/community/private/civil society PA management partnerships; 2) institutional capacities for PA system management strengthened including enhanced capacities for PA representation, monitoring and evaluation, business and investment planning and PA system planning; 3) PA management options expanded through development and field testing of innovative private – public-community management partnerships for new categories of PA

### 1.3 Context and purpose of evaluation

This report is the Terminal Evaluation (TE) of the six-year project. The evaluation was undertaken as a requirement under UNDP's Monitoring and Evaluation Policy and as a specific requirement for GEF funded, UNDP supported projects. Its primary interest is an independent assessment of the project's performance towards achieving its goal and objectives; and to draw lessons that can inform future replication and scale up efforts on protection of biodiversity through innovative protected areas management approaches in Zambia

### 1.4 Methodology

The evaluation was based on a participatory approach and involved collection of views and observations from all key stakeholders and key informants. Tools for data and information collection were: 1) literature review/desk research that provided secondary information 2) key informant interviews and focus group discussions that provided primary data. Key inputs and views were collected through consultations with key project players and stakeholders in Lusaka, Chirundu/Chiawa and in Bangweulu (including Kasanka), using research instruments designed for open ended discussions. Focus group discussions were held with the Community Resource Boards and with groups of community members in the field sites.

Information collected from one source e.g. from project reports was triangulated through other sources such as the key informant interviews or the focus group discussions. Opinions expressed were also corroborated by posing the same questions to more than one informant.

### 1.5 Key Findings and Conclusions

The consultants are of the view that the project objective was very relevant to Zambia. The project appeared fully owned by the Government. It was generally well governed and aspects of its co-financing were robust and the project seemed well managed. The project design however did not appreciate the lengthy processes involved in policy/legislation development/revision, and may have been ambitious with regard to the objective of strengthening enabling policy and legal frameworks. Even with the project extension of 16 months the policy legislative objectives remained elusive. This meant that the project objective was only partially achieved

In terms of strengthening management effectiveness the provision of training to senior managers and training of field staff have to some extent improved field capacities. Investments in infrastructure developments, communication and transportation better supported law enforcement effort. However law enforcement effort still needs to improve. The Management Effectiveness Tracking Tool (METT) has proved useful in monitoring management effectiveness, while also providing PA managers with information on the threats to PAs which need addressing.

In Bangweulu a PPC partnership management system is in place and this will provide useful practical lessons for replicating the partnership approach to other PAs.

By and large, the project has been effective in achieving the intermediate results that it targeted. The overall rating is Satisfactory (S), with Project Formulation (HS); Relevance (R); Implementation (S) and the Project Results: Outcome 1 (MS); Outcome 2 (HS); and Outcome 3 (S).

### 1.6 Recommendations



### 1.6.1 Issue: Replication of PPC partnership system in other PAs.

Of the two demonstration sites only Bangweulu has a partnership arrangement in place under the Bangweulu Wetlands Board. Unfortunately the partnership is threatened by serious conflict and tensions among partners, and cannot be used as a model for replication. There is need for interventions to save this initial PPC partnership from collapse and perhaps transform it into a model PPC partnership system for replication.

#### Recommendations:

1.6.1.1 ZAWA should develop a follow up project to strengthening the partnership model to inform future replication effort. The project scope should include independent legal review of partnership agreements and articles of association in Chiawa and Bangweulu to ensure that they conform to the basic corporate governance principles. These may also entail recommendations on the composition of the Boards. It should also include development of guidelines on partnership agreements, articles of association and minimum corporate governance articles for PPC partnerships.

1.6.1.2 In these partnership agreements, ZAWA's role should be confined to that of the regulator. ZAWA should not be an active partner. The regulatory responsibilities of ZAWA should include provision and monitoring of guidelines on partnership agreements, articles of association, minimum corporate governance articles and Board composition with power to approve members of the Board of Directors.

### 1.6.2 Issue: Monitoring of management effectiveness in PAs

The project has led to the adaptation of the WWF/ World Bank management effectiveness tool to METT PAZ which suit local conditions. So far, METTPAZ has been successfully employed for assessment of management effectiveness in national parks and GMAs. Unfortunately, METTPAZ training was not extended to forestry, fisheries and natural heritage conservation staff which has led to underutilisation of this critical tool.

#### Recommendation

1.6.2.1 METTPAZ should be extended to other sectors of natural resources. This will entail training on METTPAZ for staff in forestry, fisheries and national heritage conservation.

### 1.6.3 Issue: Legal and policy reform

The project had -perhaps rather optimistically- anticipated legal and policy reforms which did not materialise during the project period. However, the project has created some undercurrents if not momentum for legal and policy reforms which need to be maintained.

#### Recommendation

1.6.3.1 UNDP and ZAWA should continue to actively engage Government on legal and policy reforms. Follow up activities could be considered under a new project.

### 1.6.4 Issue: Team building strategies are essential for all partners in PPC management systems

Partners for PPC management systems will be selected mainly on their natural resources conservation skills/experience and resource mobilisation capacity. They should not be assumed to be conversant with corporate governance principles or community based/driven natural resources management systems. Partnerships are business arrangements which should be guided by equitable rules that protect all the players. It is generally accepted that communities are technically weak and may therefore need to be protected. Corporate governance is the system of principles and rules for protecting all participants in business arrangements. The partners' effectiveness can therefore be enhanced through training workshops in the areas of corporate governance and community based management systems.

#### Recommendation

1.6.4.1 Whenever there is a partnership agreement for a PA, ZAWA as the regulator should promote PPC management structures with team building strategies, including training in corporate governance and community based management systems. These training should be given jointly to Board members, management, CRBs and other key stakeholders.

#### 1.6.5 Issue: Project governance organs

The specified Government rank (s) for membership of project governance organs must be realistic enough to ensure regular and effective participation at meetings, and practical operationalization of the governance structures during the entire project cycle. For instance, the a project Steering Committee (comprising Permanent Secretaries) for policy issues did not function well due to poor attendance by Permanent Secretaries, while the TAG which comprised technical representatives was not operationalized. This led to weaknesses in the project governance system as the project management did not access the anticipated technical guidance. The SC is only useful and justifiable as a legitimate project governance organ if Permanent Secretaries are able to attend Steering Committee meetings on a regular basis.

#### Recommendation

1.6.5.1 A technical level coordinating organ has more realistic chances of meeting regularly, and this organ should be given priority consideration in project design to ensure effective monitoring and guidance of project implementation

#### 1.6.6 Issue: Revenue sharing

Revenue sharing at the GMA level continues to be problematic with communities insisting on a mechanism that is transparent with clear basis for calculated shares. Improved revenue sharing mechanisms are critical to effective implementation of the partnership arrangements for PAs.

#### Recommendation

1.6.6.1 ZAWA should develop and implement a credible and transparent revenue sharing system that can inspire confidence in the partnerships systems among communities and private sector partners

### 1.7 Lessons Learnt

Significant lessons learnt are tabulated below:

Lesson 1: Government procedures for policy and legal reforms are very complex

The complexity of Government procedures for policy and legal reforms should not be underestimated or assumed to be within the time frame of a project. Project objectives related to policy and legal reforms should not be gauged on adoption of policies or new laws, but are more realistically gauged in terms of intermediate stages of policy and legal reforms that can realistically be placed within the scope of a project

Lesson 2: Project oversight organs established from the very start of the project must stay operational to give guidance to project management until the end the project.

The apparent failure to operationalize the TAG and the practical transformation of the Steering Committee into a lower level committee that was not competent to deal authoritatively with policy issues constituted a significant departure from the project governance framework that was originally designed. This created gaps in the project governance system.

Lesson 3: In conservation projects, coordination arrangements should reflect the multiplicity of sectors

Since conservation projects involve several sectors; wildlife, fisheries forestry etc., the coordination organs should have representatives from all targeted sectors. The coordination function should be harmonized with general oversight responsibilities. Effective broad based representation could have been assured if the TAG had been operationalised.

Lesson 4: The profit motive should be recognized as a legitimate driver of long term sustainable environment

In the protection of the primary profit motive, the private investor whose business prosperity depends on natural resources can be driven by commercial interest to play an active role in the management of sustainable environment. The Chiawa partnership model involves profit making organisations whose financial contribution is not an act of charity but pure business investment in prudent management of wildlife on which their business and commercial profitability depend. Thus profit oriented enterprises should be seen as legitimate partners in partnership management arrangements for PAs.

Lesson 5: Alternative livelihood strategies for communities are important means of leveraging core conservation strategies of partnership arrangements.

Communities in the demonstration sites have historically depended on illegal harvest of animals, fish and forest resources for their livelihood. They will need alternative means of livelihood to reduce or forego their dependence on the unsustainable harvesting of natural resources. The partnerships with communities should emphasise alternative livelihood strategies for communities to enhance human development, while reducing dependence on unsustainable consumptive practices, and fortify positive community attitudes towards conservation of natural resources.

Lesson 6: ZAWA can do more as an Independent Regulator in promoting sustainability of PPC Partnership arrangements in PAs than it can by being directly involved as a partner.

The Bangweulu partnership in which ZAWA is a partner is threatened by serious conflicts and tensions that reflect lack of conformity to corporate governance principles- mainly equitable representation of key stakeholders in governance organs; effective governance organs such as annual general meeting to ensure proper oversight; transparency and effective information sharing. Because of

its direct involvement as a partner in the Bangweulu PPC partnership, ZAWA cannot guide the other parties as an independent regulator.

## **2.0 Introduction and Background**

### **2.1 The Project**

#### **2.1.1 Project setting and justification**

The Reclassification and Effective Management of the National Protected Areas Project (REMNPAS) was a national project intended to improve the functioning of protected areas and the conservation of biodiversity. The aim of the project was to set up a national Protected Areas (PA) system that not only comprised a representative sample of Zambia's ecosystems but that was also effectively managed and contributing to tourism development. This six-year project had three components putting in place appropriate policy, regulatory and governance frameworks which would provide new tools for public/community/private/civil society PA management partnerships; b) strengthening institutional capacities for PA system management including enhanced capacities for PA representation, monitoring and evaluation, business and investment planning and PA system planning; and c) expanding PA management options through development and field-testing of innovative private-public-community management partnerships for new categories of PA.

This report is the Terminal Evaluation (TE) of the six-year project. The evaluation was undertaken as a requirement under UNDP's Monitoring and Evaluation Policy and as a specific requirement for Global Environmental Facility (GEF) funded, United Nations Development Programme (UNDP) supported projects. Its primary interest is an independent assessment of the project's performance towards achieving its goal and objectives; and to draw lessons that can inform future replication and scale up efforts on protection of biodiversity through innovative protected areas management approaches in Zambia.

The GEF funded REMNPAS project was signed in August, 2005, and was originally scheduled to end in August, 2011. The project started operations in February, 2006. The project life was extended initially to 31st March, 2012, and finally to 31st December, 2012. The focus of the GEF funded project has been on policy reforms and institutional strengthening at the national level and piloting innovative management options at two demonstration sites i.e. Chiawa and Bangweulu Game Management Areas, at the micro-level for effective management of protected areas in Zambia.

The project implementation commenced with a total budget of US \$ 44.7million, of which US\$ 6.0 million was contribution from the Global Environment Facility (GEF), US\$ 2.0m from the United Nations Development Programme (UNDP). Additional funding and support came from the Government of Zambia and the Ministry of Environment and Nuclear Safety of the German Federal Government for the West Lunga National Park component of the project.

The West Lunga Project was the third demonstration site introduced in December, 2009 as an autonomous component of the overall REMNPAS project. This component ended in December, 2010, and its terminal evaluation was conducted in February, 2011.

The designated project management institution was the Department of Environment and Natural Resources Management (DENRM) previously under the Ministry of Tourism, Environment and Natural Resources (MTENR), but which later moved to the Ministry of Lands, Natural Resources and Environment Protection (MLNREP). The Zambia Wildlife Authority (ZAWA) was responsible for

project execution. Several partners in the public, private and civil society sectors participated in project implementation.

### 2.1.2 Project objective, outcomes and outputs

According to the project LogFrame, the project had a goal, immediate objective and three outcomes with key performance indicators.

The **project goal** was - *Making Zambia a tourism destination of choice through a national protected areas system that comprises a representative sample of Zambia's ecosystems and is effectively safeguarded from human –induced pressures through effective management partnerships.*

The **project objective** was - *to strengthen enabling frameworks and capacities for managing the system of PAs that have biodiversity conservation as a major objective.*

The **three outcomes** were -1) *appropriate policy, regulatory and governance frameworks are in place providing new tools for public/community/private/civil society PA management partnerships;* 2) *institutional capacities for PA system management strengthened including enhanced capacities for PA representation, monitoring and evaluation, business and investment planning and PA system planning;* 3) *PA management options expanded through development and field testing of innovative private – public-community management partnerships for new categories of PA.*

Five (5) **outputs** were targeted to achieve Outcome 1; four (4) to achieve Outcome 2, and Fifteen (15) to achieve the Outcome 3 which focused on the project demonstration sites of Bangweulu and Chiawa. Each of the Outcomes was associated with a cluster of activities. Reference is made to the official UNDP/GRZ/GEF Project Document PIMS 1937 (ProDoc) for details.

### 2.1.3 Key stakeholders and roles

Review of the ProDoc and relevant documents identified key project stakeholders shown in Table 1. Consultations were therefore targeted at these stakeholders in recognition of their role on the project.

**Table 1: Key stakeholders and roles**

Stakeholders	Role in Project
Department of Environment and Natural Resources (MTNER)	Coordination, oversight and monitoring on behalf of GRZ
Department of Forestry	Implementing partner
Department of Fisheries	Implementing partner
Zambia Wildlife Authority (HQ, Mpika and Chiriundu Offices)	Project implementation and management; delivery of inputs and outputs; coordination of activities of implementing agencies
United Nations Development Programme	Resource disbursement and monitoring
National Heritage Conservation Commission	Implementing partner
Kasanka Trust Limited	Lead Field Partner for Bangweulu Demonstration Site; on the ground implementation and support to communities in Bangweulu GMA
World Wide Fund for Nature Zambia Country Office	Provision of key technical support to field demonstration sites
Conservation Lower Zambezi	Lead Field Partner for Chiawa/Lower Zambezi; on the ground implementation and support to communities in Chiawa GMA

Traditional Leaders (Bangweulu and Chiawa)	land owners and partners in PPC management system
Community Resource Board	Community representatives
United States Peace Corp	Provision of volunteers to the Demonstration Sites
Natural Resources Consultative Forum	Provision of a mechanism for civil society input to project on issues concerning protected areas

A brief outline of the key stakeholders encountered during the evaluation is given below:

#### *Ministries/Departments responsible*

The project was initiated and managed under the Ministry of Tourism, Environment and Natural Resources (MTENR) as the principal implementing partner. While MTENR had overall implementation responsibility, the key beneficiaries and implementing partners were the Zambia Wildlife Authority (ZAWA), Forestry Department, Fisheries Department and the National Heritage Conservation Commission (NHCC).

The Ministry experienced high turnover of Cabinet Ministers and permanent secretaries. This instability at critical policy level was not conducive to steady progress in policy formulation and legal reforms, and appears to be the most significant factor in the rather slow pace of policy and legal reforms at the Ministry.

After the general elections of September, 2011, there was a change in Government involving a new ruling party, the Patriotic front (PF) and a new President. Since then there have been some realignments of portfolios. The department of Environment and Natural Resources which is the project director was under two portfolios/ ministries before being brought under the Ministry of Lands, Natural Resources and Environment Protection, while ZAWA which provides the project's secretariat is under the Ministry of Tourism and Art. At the time of this evaluation, the two ministries were yet to agree on who will take a leadership role in developing wildlife policy. The portfolio realignments have posed more challenges for coordination of the natural resources conservation agencies and departments located in different ministries.

#### *Zambia Wildlife Authority*

Zambia Wildlife Authority (ZAWA) was established in 2000 as the regulatory authority for the national wildlife estate. ZAWA has consistently experienced serious financial constraints that have undermined its conservation capabilities resulting in severe decline in the integrity of the wildlife estate. Generous donor support has helped improve conservation capabilities in some national parks.

On pilot basis, ZAWA had already transferred management of a few national parks notably Liuwa and Kasanka to the private sector. With the positive outcomes of Liuwa and Kasanka, ZAWA is confident in promoting the strategy of partnerships in PAs.

#### *Other project implementing agencies*

Since the project design comprehensively covered all natural resources, the other public institutions recognized as project beneficiaries and key implementing agencies were the Forestry Department, Fisheries Department and the National Heritage Conservation Commission.

#### *Communities affected by conservation areas*

The communities have traditionally depended on wildlife (bush meat and fish) for protein supplementation, and on forests as source of energy and forest based consumption products, and cutting trees to expand their agricultural land. With rising populations the challenge of natural

resources conservation hinges on harmonizing the legitimate community needs with long term sustainability of the environment on which the communities depend so much.

The natural resources conservation strategy has recognized the communities as the principal direct beneficiaries from, and key players for a sustainable environment. The Community Resource Management Boards (CRBs) have been formed in all GMAs to institutionalize community participation in the sustainable management of the natural resources.

The CRBs have generally exhibited serious weaknesses in organizational and management capacities. Under the REMNPAS project, this problem was recognized, and capacity development of CRBs was a major objective of the project at community level in the demonstration sites.

The Chiawa community is under the traditional rule of one traditional leader, Chieftainness Chiawa. Unlike the Chiawa PA, the Bangweulu Wetlands community traverses six (6) chiefdoms; 3 tribes (Bisa, Unga, and Lala); and 4 districts (Mpika, Sanfya, Serenje, and the newly created Lunga district). Thus the partnership approach to the management of Bangweulu PA is more complex as it requires effective primary partnerships between the diverse chiefdoms and tribes that jointly own the PA system and then the partnership between these communities and the private sector and other partners.

#### *Cooperating partners*

The cooperating partners have been very supportive of the national conservation efforts. With the increasing global approach to sustainable development, the CPs can be expected to be active in future conservation efforts.

The strategy of innovative partnership approaches to PA management is likely to appeal to many CPs as it offers good prospects of long term financial sustainability of effective PA management systems.

#### *Private sector and NGOs*

International NGOs such as WWF were recognized as key partners. At national level, the Natural Resources Consultative Forum was the principal representative of civil society and was actively engaged in the REMNPAS project formulation. The project was open to other NGOs.

#### **2.1.4 Expected project results**

The ProDoc forecasted the end-of-project state as improved management effectiveness in the national parks and game management areas resulting from strengthening of management capacities of PA institutions for the benefit of biodiversity and tourism development.

## **2.2 The evaluation**

This final REMNPAS project evaluation was conducted as a requirement under UNDP's Monitoring and Evaluation Policy and as a specific requirement for GEF funded, UNDP supported projects.

Its primary interest is an independent assessment of the project's performance towards achieving its goal and objectives; and to draw lessons that can inform future replication and scale up efforts on protection of biodiversity through innovative protected areas management approaches in Zambia.

The focus of this evaluation was on the GEF funded component of the overall REMNPAS project under which the Germany funded West Lunga component was also supervised (December, 2009-



December, 2010) by UNDP. However, the West Lunga component which had its terminal evaluation conducted in February, 2011 has been duly recognized in this evaluation.

### 2.2.1 The UNDP/GEF Evaluation Guidelines

The Evaluation team was guided by the following UNDP/GEF evaluation principles:

**Independence:** The team is independent and has not been engaged in project activities-in the design, implementation or supervision of the project

**Impartiality:** The team endeavored to provide comprehensive and balanced presentation of strengths and weaknesses of the project. The evaluation process was impartial and took into account all views received from stakeholders

**Transparency:** The team has attempted to convey in an open manner as possible the purpose of the evaluation, the criteria applied and the intended use of the findings. This report aims to provide transparent information on its sources, methodologies and approach

**Disclosure:** This report serves as a mechanism through which the findings and lessons identified are disseminated to policymakers, operations staff, beneficiaries, the general public and other stakeholders.

**Ethical:** The team has respected the right of institutions and individuals to provide information in confidence and the sources of specific information and opinions in this report are not disclosed except where necessary and only with the confirmation of the consultee.

**Competencies and capacities:** The team is capable and competent as required by the ToRs

**Credibility:** The evaluation has been based on data and observations which are considered reliable and dependable with reference to the quality of instruments, procedures and analysis used to collect and interpret information

**Utility:** The team strived to be as well informed as possible and this ensuing report is considered relevant, timely and as concise as possible

### 2.2.2 Evaluation objectives and Terms of Reference

The evaluation attempts to provide answers to the following questions:

**Table 2: Key evaluation questions**

Evaluation aspect	Key questions
Relevance	<ul style="list-style-type: none"><li>• Is the project the most appropriate solution to the problems of protected areas in Zambia</li><li>• Is the project design consistent with national aspirations as contained in the National Development Plans and pertinent policies?</li><li>• Is the project in line with the relevant GEF operational programme priorities /UNDP Assistance Framework for Zambia?</li></ul>
Effectiveness	<ul style="list-style-type: none"><li>• Did the project implementation across all its activities contribute to progress toward the stated outcomes and objectives?</li><li>• Were project indicators appropriately framed to be able to measure results and to enable evaluation of the project?</li><li>• What factors beyond the control of the executing and implementation agencies may have affected</li></ul>

	attainment of objectives?
Efficiency	<ul style="list-style-type: none"> <li>• Has the project been implemented within deadlines, costs estimates?</li> <li>• Have UNDP and its partners taken prompt actions to solve implementation issues?</li> <li>• Were the project resources focused on activities that were expected to produce significant results?</li> <li>• Were project effects being achieved at reasonable cost?</li> <li>• Were cost considerations significant in the procurement procedures?</li> </ul>
Impact	<ul style="list-style-type: none"> <li>• Were there any new policies or practices adopted as a result of the project?</li> <li>• Where there any positive or negative changes to the capacities of implementing partners?</li> <li>• Were there any positive changes in the status of diversity or natural resources in the pilot sites?</li> <li>• Were there any unintended results of the project?</li> </ul>
Sustainability	<ul style="list-style-type: none"> <li>• Were interventions designed to have sustainable results given the identifiable risks and did they include an exit strategy?</li> <li>• What issues emerged during implementation as a threat to sustainability?</li> <li>• What were the corrective measures that were adopted?</li> <li>• Has a plan for up-scaling of pilot initiatives, if successful, been prepared?</li> </ul>

Specifically the TE objectives (ToRs, Annex 1) were:

- i. To provide an in depth and independent assessment of progress, or lack of, towards achievement of stated objectives and results;
- ii. To determine the extent to which the project has succeeded in creating an enabling environment for public /private /community /civil society partnerships in management of protected areas;
- iii. To assess effectiveness of the Government's executing departments, Zambia Wildlife Authority (ZAWA); protected areas management structures and beneficiary communities in managing public/private/community/civil society partnerships; and
- iv. Draw and document lessons learnt and best practices from the project and make recommendations for future replication and scale up of project activities in management of protected areas.

### 2.2.3 Evaluation Activities and assignment time line

The evaluation was conducted by a two-person team which commenced work on 24<sup>th</sup> July 2012. Briefing sessions were held with both the Project Technical Coordinator and with UNDP and relevant project documents were provided by the project. Upon approval of the Inception Report, the scope of consultations for Lusaka and the field Demonstration sites was agreed upon. Field consultations were undertaken in Chirundu/Chiawa from 22<sup>nd</sup> - 24 August, while consultations in Bangweulu were undertaken from 26<sup>th</sup> August to 2<sup>nd</sup> September. Consultations were held with both beneficiaries and stakeholders to the project.

In accordance with the ToRs an Interim Evaluation Report was submitted. Following receipt of comments from stakeholders, a draft Evaluation Report was then prepared and presented for validation. The team reviewed the draft Report in the light of comments received after which the final report was prepared and submitted.

## 2.3 Methodology and Approach

The evaluation was based on a participatory approach and involved collection of views and observations from all key stakeholders and key informants. The methodology utilized for this evaluation was described in the Inception Report. The tools in the Inception Report evaluation matrix were used to guide the evaluation process.

Tools for data and information collection were: 1) literature review/desk research that provided secondary information; 2) key informant interviews and focus group discussions that provided primary data; and 3) a case study of demonstration sites. Key inputs and views were collected through consultations with key project players and stakeholders in Lusaka, Chirundu/Chiawa and in Bangweulu (including Kasanka), using research instruments designed for open ended discussions. Focus group discussions were held with the Community Resource Boards and with groups of community members in the field sites.

Information collected from one source e.g. from project reports was triangulated through other sources such as the key informant interviews or the focus group discussions. Opinions expressed were also corroborated by posing the same questions to more than one informant. The tools and methodologies used are shown in the evaluation matrix that was developed at the inception stage and appended here as Appendix 7

### **2.3.1 Evaluation limitations**

The main limitation was the time available for the field visits, especially for the Bangweulu. Though the Team managed to meet with most stakeholders and beneficiaries, it was not possible to visit some areas of the demonstration sites because of remoteness and difficulties in access (Bwalya Mponda and Nsamba). Nonetheless it is hoped that interviews held in Samfya with key informants from these localities are representative.

Another limitation was lack of current data for national level results/impact indicator. This is in relation to independently verified animal population estimates, status of fisheries and information on vegetation/habitat changes.

### **2.3.2 The approach adopted**

The evaluation process comprised three phases. The first stage entailed collection of secondary data and primary data and information in Lusaka prior to field site visits. It started with the review of relevant documentation made available electronically and in hard copy by UNDP and the Project. In addition relevant websites visited included the REMNPAS website. The aim was to capture as broad an array of views and opinions as possible within Lusaka before venturing to the field. This provided an opportunity for the Team to flag issues that required confirmation in the field, e.g. training sessions held for CRBs or equipment procured and infrastructure developed.

The second stage comprised analysis of data, drafting and preliminary discussions. This entailed presentation of an Interim Report to UNDP, DENRM and the PIU. Comments from that meeting were incorporated to produce draft Final Report. The third stage was the Power Point presentation of the Draft Final Report to the key stakeholders. Since most of the stakeholders would have been consulted individually, this was the forum for the stakeholders to validate the report.

The final stage of the evaluation entailed incorporation of stakeholders' observation for production of the final report.

The evaluation greatly benefited from guidance by UNDP, MTENR and the Project team, and the wide spectrum of views, opinions and advice received during the course of the evaluation. However, the views contained herein are the independent views of the evaluation Team.

### 2.3.3 Literature Review

The PIU and UNDP provided all the documentation requested by the Evaluation Team, and in time. Additional documents were obtained from some key stakeholders consulted. The complete list of documents reviewed, including websites visited is contained in Annex 4 of this report.

### 2.3.4 Field Consultations

Focal interviews were conducted at national level (Lusaka) and at regional level (Chirundu and Mpika). Site visits covered the two demonstration sites i.e. Bangweulu and Chiawa. Those interviewed included pertinent Government institutions, UNDP, PIU, NGOs, Traditional leaders, CRB members, community /associations, ordinary community members, women's associations, elected local authority representatives, partners in the public private community (PPC) pilots. Consultations with community members in Chiawa and Bangweulu demonstration sites were undertaken through focus group discussions. Where necessary the men and women were separated so that women were not hampered by cultural norms in expressing themselves.

At every meeting, the purpose of the mission and the role of independent consultants were explained together with the consultants' obligation for confidentiality. The consultees were given open latitude to share their views on the performance of the project and what they felt were positive lessons for future similar projects. The list of persons consulted is in Annex 2, and guiding questions at Annex 5

The Team consulted a total of 98 individuals. These ranged from the UNDP (including the GEF focal point), and project officials to various government officials and technical specialists dealing PA management and related issues to traditional leaders, community leaders (and community members).

### 2.3.5 The basis for the evaluation

The primary basis for the technical evaluation is the ProDoc signed in 2005. It is the signed contract for the delivery of agreed results, products and services. The signatories, the GRZ and UNDP are thus bound by and accountable to the provisions of the ProDoc. In particular the Logical Framework Matrix (LogFrame) contained in the ProDoc captures the essence of the project through the stated objectives, outcomes and outputs.

The project LogFrame was maintained as originally developed and used as the basis for developing the quarterly and annual work planning, budgeting and reporting. The Team used the LogFrame to guide assessment of the attainment of the project outputs, outcomes and immediate objectives.

### 2.3.6 Rating of project achievements

In accordance with the ToRs, the standard GEF rating requirements were applied. Accordingly, the following project aspects were an integral part of the analysis and rating.

**Table 3: Evaluation rating scales**

Rating Scales			
Outcomes, Effectiveness, Efficiency, M&E	Sustainability	Relevance	Impact Ratings:
<b>Highly Satisfactory (HS):</b> The project had no shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency	<b>Likely (L):</b> negligible risks to sustainability <b>Moderately Likely (ML):</b> moderate risks	<b>Relevant (R)</b> <b>Not relevant (NR)</b>	<b>Significant (S)</b> <b>Minimal (M)</b> <b>Negligible (N)</b>
<b>Satisfactory (S):</b>			

There were only minor shortcomings Moderately Satisfactory (MS): there were moderate shortcomings <b>Moderately Unsatisfactory (MU):</b> the project had significant shortcomings <b>Unsatisfactory (U):</b> there were major shortcomings in the achievement of project objectives in terms of relevance, effectiveness, or efficiency <b>Highly Unsatisfactory (HU):</b> The project had severe shortcomings	<b>Moderately Unlikely (MU):</b> significant risks <b>Unlikely (U):</b> severe risks		
--	---	--	--

According to GEF Guidance, in rating the project's outcome, relevance and effectiveness were treated as overriding criteria in that the overall outcomes rating of a project may not be higher than the lowest rating on relevance and effectiveness. Thus the highest rating given for outcomes must reflect that rating as minimum accorded to both relevance and effectiveness.

### 2.3.7 Structure of the Evaluation Report

The evaluation report is structured in accordance with ToRs. Section 1 covers the Executive Summary. Section 2 covers introductory issues - describes the project and its development context, purposes of evaluation and methodology. Subsequent sections focus on specific areas of findings with Section 3 focusing on Project Concept, Design and Relevance. Section 4 focuses on Project Implementation and Management Efficiency, while Section 5 covers Results and Impacts. Section 6 focuses on sustainability issues which mark the final area of special focus for the evaluation findings. Section 7 covers the conclusion with assessment summary and ratings. Section 8 presents key recommendations of the consultants while section 9 discusses some prominent lessons learnt from the implementation of this project. There are seven annexes that provide background information related to the evaluation process. The first six are stipulated in the ToRs while the 7th is our evaluation matrix, and the 8<sup>th</sup> annex provides details of achievements by anticipated outputs at the two demonstration sites i.e. Bangweulu and Chiawa.

## 3.0 Findings: Project Concept, Design and Relevance

### 3.1 Project Concept and the problems it seeks to address

Though Zambia has over 40% of land under national parks, GMAs, forest reserves and heritage sites, they are neither adequately protected nor managed effectively. It is widely acknowledged that many national parks for example are depleted while only a few of the Game Management Areas (GMAs) provide effective buffer protection to the core areas. The situation is not any better in the forest reserves. Biodiversity and tourism is threatened among other factors, by habitat alteration and loss, over-harvesting, over-hunting of wildlife, unsustainable exploitation of forest produce, and expanding agriculture. Ecologically sensitive areas and areas of special floral assemblage are continually degraded, while growth of animal populations is constrained by encroachment into wildlife corridors and dispersal areas.

The project concept therefore is clear in its intentions- to address those barriers to effective PA management. The ProDoc identifies ten (10) barriers to effective management and links their elimination to tackling policy and legal deficits, budgetary constraints and inadequate institutional and managerial capacities. The project sets about to address the following key problems:

- Weakness of national policies and legal framework to support reclassification initiatives and Innovative partnerships in PA management;
- Weak institutional capacities notably for business and investment planning, monitoring and evaluation, and PA representation;
- Limited management options and ineffective management of PA system; and
- Organizational and management weaknesses of communities who are envisaged to be key partners in innovative PA management partnerships

Overall rating for the project concept is Highly **Satisfactory (HS)**

### 3.2 Project design

Zambia's protected area system gives protection to natural resources in four subsectors -wildlife, forestry, heritage and fisheries. The project overall strategy was to provide core support to strengthening the national protected areas system and specifically to those protected areas with biodiversity conservation as a major objective. Though all types of PAs were targeted, inadequate information sharing and placement of the project office at ZAWA HQ alienated implementation partners to the extent that the project was perceived as one focusing only on improving management in national parks and game management areas.

The Project as presented is structured under 3 main Outcomes. The project design is set out to address the constraints to the optimal functioning of the PA system. Outcomes I and II were implemented at national level and were critical to providing enabling frameworks and capacities for improving management in the PA system. These two Outcomes anchored Outcome 3 implemented at PA level at the three demonstration sites Bangweulu and Chiawa/Lower Zambezi supported by GEF/UNDP. Bangweulu and Chiawa/Lower Zambezi demonstration sites were selected on the basis of criteria agreed during the project preparatory process.

The later site set up at West Lunga supported by the Government of the Federal Republic of Germany through the International Climate Initiative (ICI), UNDP and the Government of Zambia provided opportunity for improving the management PAs in the forestry sector. It was selected on the basis of a unique forest ecosystem requiring protection and representation in the national PA system and was evaluated at the end of the Germany funding in 2010<sup>1</sup>.

The Demonstration sites were set up for testing the efficacy of new protected areas before these could be legislated. This was a pragmatic way to proceed as the results of the field pilots would inform any plans for project replication whether in totality or in part.

Financial resources available to the project appear to have been adequate.

Overall rating for this project design is **Highly Satisfactory (HS)**

### 3.3 Relevance of Project

---

<sup>1</sup> See findings in a separate evaluation report for West Lunga

Relevance according to the UNDP/GEF<sup>2</sup> is a measure of the extent to which the project is best suited to local and national development priorities, organizational policies, and GEF operational strategic priorities and whether it remains appropriate over time

The REMNPAS goals, objectives and expected results are in accord with national development goals as stated in both the Fifth (2006-2010) and Sixth (2011-2015) National Development Plans in which it is acknowledged that the environment and natural resources are the basis for the development of the country and for poverty reduction, and must be well managed in the context of the rapid growth. The project is in harmony with the 2015 goal of the natural resources sector which seeks “to reduce deforestation, wildlife depletion and degradation of heritage sites, land and wetlands, in addition to the goal of the Tourism sector. Regarding biodiversity conservation, the project was born out of the National Biodiversity Strategy and Action Plan and concretises national actions aimed at protecting biodiversity in the PA estate. The project is equally in harmony with the National Policy on Environment whose thrust is to improve the quality of lives of people while promoting the protection and good management of natural resources. A visible strength of the project is its focus on biodiversity conservation and its intentions for improving the protection of biodiversity in the PA estate. In this regard poverty reduction, a stated goal in several GRZ development programmes including the Fifth and Sixth National Development Plans is a deliberate focus of the project through tourism. The project identifies the tourism potential of the PA system which has been promoted as a sustainable vehicle towards poverty reduction in Zambia in national development programmes.

The project is in harmony with the Decentralisation Policy, and implementation plan whose objective is local level empowerment through capacity building and mainstreaming of environment and natural resources, thereby enabling better management of protected areas and their contribution to local livelihoods.

The ProDoc situational analysis for PA management lists the following barriers to effective management country wide:

**Table 4: Barriers to effective PA management**

<ul style="list-style-type: none"><li>• Limited choice of categories of PA</li><li>• Poor ecosystem representation</li><li>• Inadequate definition of the optimal role of the state</li><li>• No policy frameworks for public/private/community partnerships</li><li>• Insufficient forms of management partnerships</li><li>• Insufficient incentives for community-based management</li><li>• Limited stakeholder participation</li><li>• Sustainable PA co-financing dependent on tourism development</li><li>• Business planning tools rarely applied to PA management</li><li>• Weak M&amp;E systems</li><li>• Lack of a comprehensive Conservation plan for the PA system</li></ul>
---

The project strategy is concerned with all these barriers and has incorporated specific objectives and targets in the project components to turn the situation around.

The project is in harmony with the United Nations Development Assistance Framework for (2007-10) in which environmentally sustainable development is a crosscutting priority, and also with the UNDAF 2011-2015 Outcome 4 where peoples vulnerability to environmental damage will be reduced

<sup>2</sup>UNDP/GEF Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-Financed projects, 2012, Box 3, p15

among other risks. Generally the project was expected to enhance the environmental sustainability of protected areas. This supports the realisation of the Millennium Development Goal (MDG) 7 directed at “*ensuring environmental sustainability*” at national and global level. The project is therefore relevant to the UNDP Zambia Country Programme.

The team finds that the project is consistent with Government and UNDPs strategies priorities and as such is **Relevant (R)**.

## **4.0 Findings: Project Implementation and Management Efficiency**

### **4.1 Project governance**

#### **4.1.1 Implementation Framework**

The initial project implementation framework was based on the project document, and is shown in Figure 1 below. As the executing agency UNDP worked closely with the MTENR the apex implementing partner. Other relevant ministries were involved mainly through the Steering Committee for policy issues and through the TAG for programmatic issues. UNDP was also a member of both the SC and the TAG.

The PIU had a central office in Lusaka and site management structures at the two demonstration sites. The PIU was headed by Project Technical Coordinator (PTC) who was supported by Project Accountant, Administrative Assistant and two drivers.

The structure at demonstration sites provided for local level supervision of project implementation by the Demonstration Site Working Group (DSWG). The DSWG included all key stakeholders notably Government agencies, communities and NGOs, and was competent to scrutinise and approve work plans for the site.

The project staff was headed by Site manager who was supported by Assistant Account; Administrative Assistant, and 4 conservation extensions officers. There was one driver at each site. The initial organisation structure of the project is shown in Figure 1.

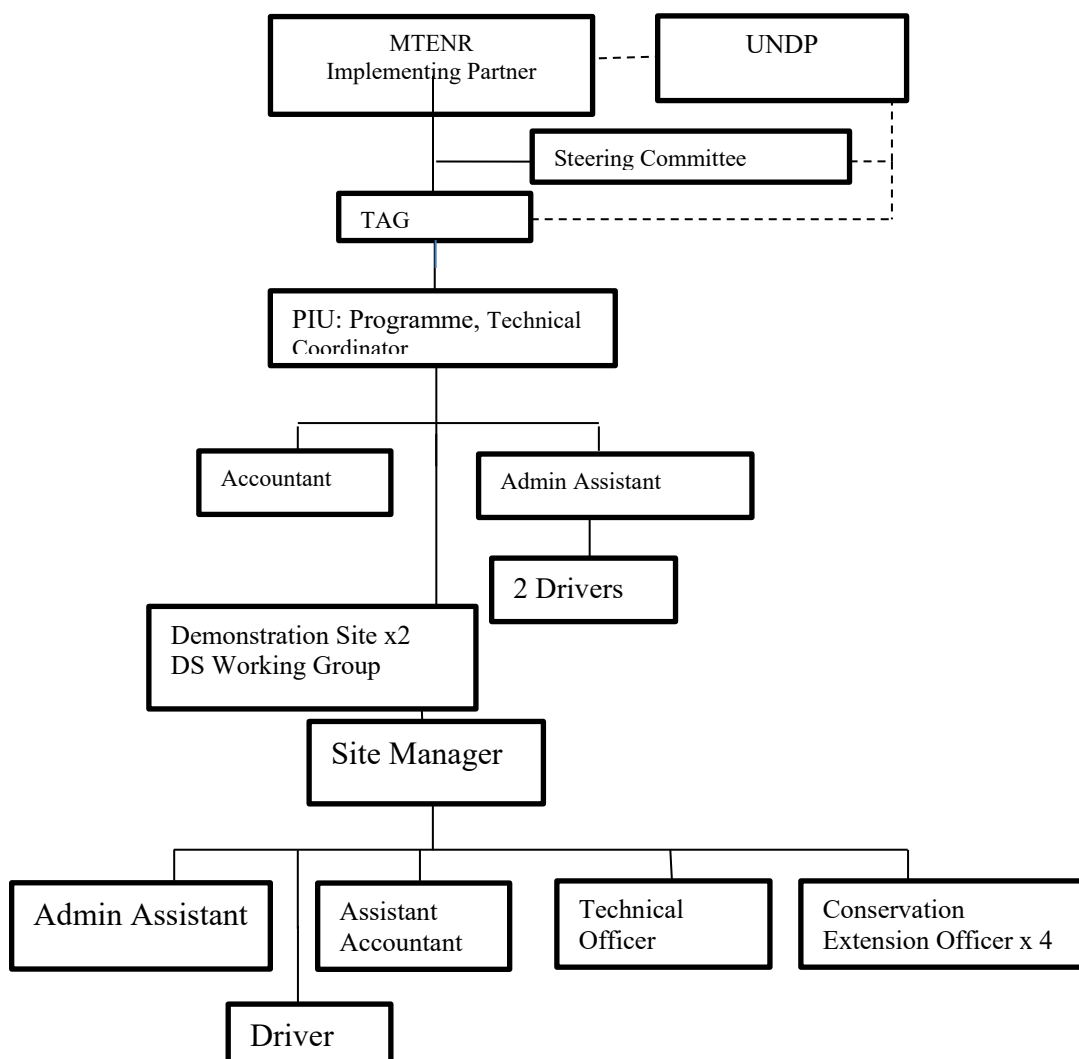
After 2007 when the project secretariat moved to ZAWA, the organization structure changed slightly. The TAG was no longer active. Day by day supervision of PIU was done through ZAWA, who reported to the MTENR. The PIU establishment at Chilanga was augmented with additional position of Communications and Partnership Development Office ( CPDO ) which was later changed to Communications Officer after the Mid Term report. The establishments at site level were now headed by Technical Officer. The finance and administration functions were merged into one position (Finance and Admin Assistant) and there were only 2 Conservation Extension Officers and one driver. The new structure is shown in Figure 2.

After the Bangweulu project site activities were transferred to the Bangweulu Wetlands Board, project staff were withdrawn from both Demonstration sites. In Chiawa project activities were done by ZAWA office in Chirundu.

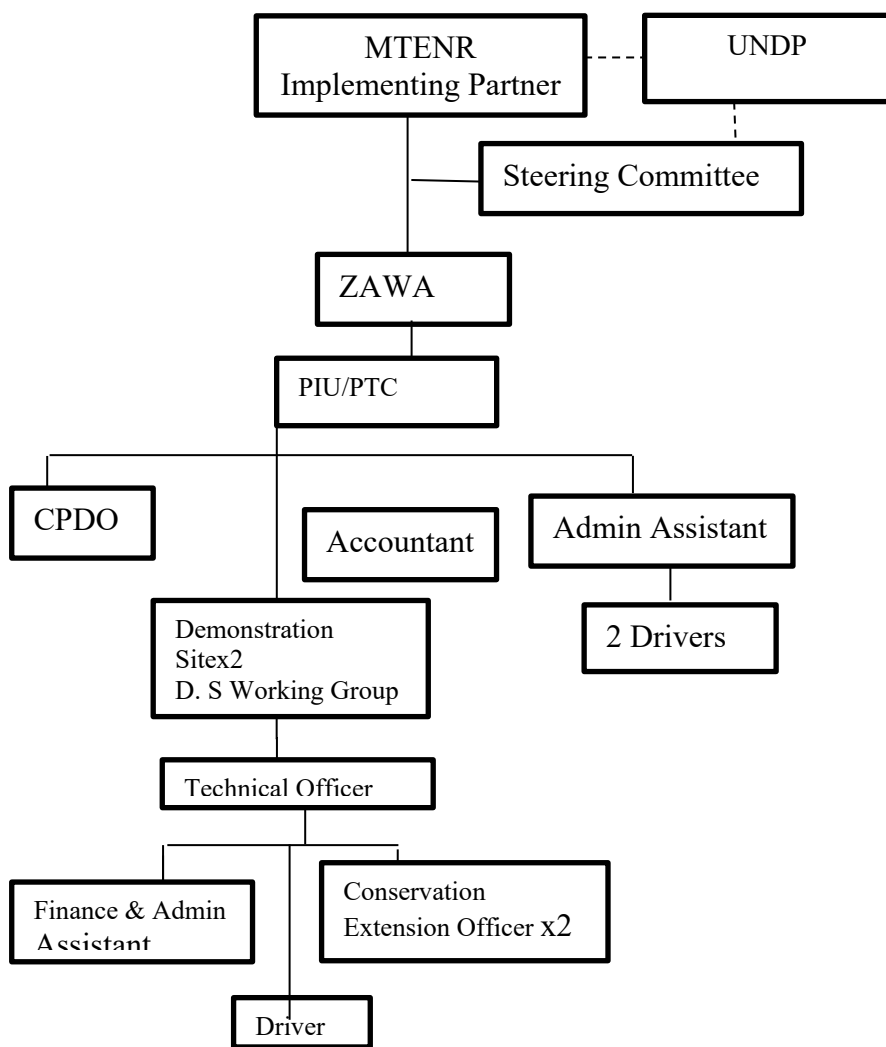
The project document was signed in August 2005, but commencement was delayed by 7 months due to delays in the recruitment of the Project Technical Coordinator and other staff.



**Figure 1: Organogram at start of project**



**Figure 2: Project Organogram after 2007**



#### **4.1.2 Project Steering and Oversight**

Project oversight was vested in the high level Project Steering Committee (SC) comprising Permanent Secretaries in relevant ministries and UNDP. The SC was to meet twice a year in the initial 2 years and once a year in subsequent years. The project also provided for a Technical Advisory Group (TAG), a 14 member Project Coordination Group that was to provide technical support to the project. The composition included project implementation agencies, line ministries, cooperating agencies, project implementation unit, private sector and civil society.

A review of the minutes of SC shows that at the 2<sup>nd</sup> SC meeting, there was only one permanent secretary (chair) one Director and four proxies while five (5) permanent secretaries were recorded as absent. The 4<sup>th</sup> meeting was chaired by a Director, while the 5<sup>th</sup> and 6<sup>th</sup> meetings were chaired and attended by officers below the rank of Director. UNDP representation was consistently at high level.

The TAG was the organ that was supposed to provide regular technical oversight over the PIU. The TAG met only twice (17<sup>th</sup> August, 2007 and 29<sup>th</sup> February, 2008) in the early stages of the project, after which it appears to have been out of existence. The SC appears to have assumed the role of TAG in addition to its high level policy guidance role. However, due to poor attendance of SC by the member permanent secretaries the impression created is that the intended SC core roles of policy guidance and effective oversight were not fully realised.

At any rate, the SC was not structured for the technical role anticipated from the TAG. The non-operationalization of the TAG may have been a significant factor in the modest sense of project ownership and perceptions of peripheral role in the project among ZAWA's public sector implementing partners i.e. the Forestry Department, National Heritage Conservation Commission and Fisheries Department.

Since the project moved to ZAWA in 2007, ZAWA management organs including the Board have provided oversight over the project, but there has been no active broad based oversight that was anticipated from TAG.

#### **4.1.3 The role of the Government as Implementing Partners**

The project was initiated and managed under the Ministry of Tourism, Environment and Natural Resources (MTENR) as the principal implementing partner. The key beneficiaries and implementing partners were the Zambia Wildlife Authority (ZAWA), Forestry Department, Fisheries Department and the National Heritage Conservation Commission (NHCC).

#### **4.1.4 The role of UNDP as the GEF Implementing Partner**

As implementing agency UNDP was responsible for the timely and efficient delivery of agreed project outcomes. It achieved this through smooth working relationships with the Government mainly through the MTENR (later MNLREP) which was the implementing partner. The UNDP Country Office worked closely with the Directorate of Environment and Natural Resources which served as Project Director.

The UNDP country office in Lusaka had legal responsibility for effective utilization of GEF funds and provided regular reports to the UNDP/GEF Regional Coordination Office that has overall coordination responsibility over UNDP/GEF projects in the region. The regional office worked closely with the country office.

The role of UNDP extended to coordinating and partnership arrangements. The UNDP contribution to this project was proposed as \$2million, but was raised to \$2.4million. The total co financing and leverage resources disbursed was \$38.7 million. The country office participated in project governance, oversight organs and worked closely with Government in monitoring activities of PIU especially in the demonstration sites.

The rating for governance was **Satisfactory (S)**.

#### **4.1.5 Management efficiency**

The project was originally scheduled to end in December 2011, but was extended to December 2012 to enable the project complete its activities. This extension may be justified by delays in project start and also by delays experienced in government procedures related to policy and legislative reforms.

The project achievements were made within the original cost estimates which reflected cost-effectiveness in project implementation. However, it is observed that some anticipated outputs of Outcome 1 have not been achieved.

UNDP and the implementing partner were actively involved in regular monitoring of the project and timely decisions were taken to keep the project on course. For instance the organization structure for the project was modified in the light of the Mid-Term Review.

Infrastructure development and staff training were appropriate for optimal impact.

For these reasons management efficiency is rated **Satisfactory (S)**

### **4.2 Financial management**

Under the project documents, GEF's contribution to the project was \$6 million. Both GEF and UNDP/TRAC funds were to be administered by UNDP. The funds would be advanced for a 3 month period to PIU who should submit justification for expenses to renew the advance.

Of the GEF funding the full pledge of \$6 million was programmed to be disbursed by end of the project.

The independent annual external audit reports have consistently confirmed that project resources were properly managed. The financial resources appear to have been expended in a cost effective way when one looks at the infrastructure developments and capacity development. The procurements were based on ZAWA and Government procedures and were very transparent. The procurement procedures followed were significantly premised on cost effectiveness. Procurements were based on three quotations. The budgets for the three Outcomes were adequate and were effectively executed with budget utilisation rates of over 97% by June 2012, refer Table 5.

The rating for financial planning and management was **Highly Satisfactory (HS)**

**Table 5: Expenditure of GEF Funds by Project Outcomes for the period Sept 2005 to 30<sup>th</sup> June 2012 (USD)**

PROJECT OUTCOMES	ORIGINAL BUDGET	REVISED BUDGET	EXPENDITURE	VARIANCE	BUDGET UTILISATION RATE (%)
Outcome 1	458,218	350,000	342,080	7,920	97.7
Outcome 2	1,038,558	1,638,649	1,607,541	31,108	98.1
Outcome 3	4,503,224	4,011,351	3,911,767	99,584	97.5
Grand Total	6,000,000	6,000,000	5,861,388	138,612	97.7

**Source: PIU**

The GEF funding was well leveraged by robust co-financing arrangements. The co-financing and leverage resources amounted to \$44.8 million including \$2 million from UNDP/TRAC. A total of \$38.7 million co-financing was disbursed. The co-financing details are given in the Table 6 below.

The rating for co-financing was **Highly Satisfactory (HS)**

**Table 5: Co-financing and leveraged resources**

Co-financing (Type/Source)	IA own Financing (mill US\$)		Multilateral Agencies (Non-GEF) (mill US\$)		Bi-laterals Donors (mill US\$)		Central Government (mill US\$)		Local Government (mill US\$)		Private Sector (mill US\$)		NGOs (mill US\$)		Other Sources* (mill US\$)		Total Financing (mill US\$)		Total Disbursement (mill US\$)	
	Proposed	Actual	Proposed	Actual	Proposed	Actual	Proposed	Actual	Proposed	Actual	Proposed	Actual	Proposed	Actual	Proposed	Actual	Proposed	Actual	Proposed	Actual
Grant	2.0	2.37	5.76	7.32	13.14	13.45	12.31	9.77	-	-	-	3.33	1.88	.28	-	2.68	35.09	39.2	35.09	38.67
Credits																				
Loans																				
Equity																				
In-kind																				
Non-grant Instruments*																				
Other Types*																				
<b>TOTAL</b>																				

**Source: PIU**

**“Details of Other Sources of Co-financing”:**

- The Royal Norwegian Government and the Danish (Bilateral Donors) had disbursed US\$13.45million compared to the committed US\$13.14 million committed at Project Document endorsement.
- African Parks Network (APN) provided US\$3.33 million (at least US\$1.0 million annually for the past three years, 2009 to 2011) as co-financing to the Bangweulu Wetlands Management Board (BWMB). APN was engaged as a private partner for the BWMB, hence the low disbursement under the NGOs commitments.
- African Wildlife Foundation (NGO) had contributed US\$.28 million towards infrastructure development and other administrative costs in the Chiawa/ Lower Zambezi “Proposed” co-financing refers to co-financing proposed at CEO endorsement.
- Actual Implementing Agency ‘s (IA) own financing to the project increased from US\$2 million to approximately US\$ 2.4 million to facilitate the revision of Wildlife Policy and Act and securing of a private partner for West Lunga Demonstration Site.
- With regard to Multilateral Agencies support, the World Bank under the International Development Association (IDA) had disbursed more resources (US\$7.32 million) to support the Expansion and Economic Diversification (SEED) Project than committed in the project document (US\$5.76 million).
- Zambezi Demonstration Site
- The Government of the Federal Republic of Germany through the International Climate Initiative disbursed US\$2.67 million to the Sustainability of the Miombo Ecoregion through the Enlargement and Improved Management of Protected Areas (West Lunga)
- Government co-financing to the project included staff time and office space.

### 4.3 Stakeholder participation

The project was conceived as a comprehensive natural resources conservation project with focus on all the major natural resources notably wildlife, forestry, fisheries and natural heritage. Key institutions such as Fisheries Department, Forestry Department and ZAWA at national and district level confirmed full participation at the project formulation stage. This was the general view among other stakeholders such as communities and local authorities.

However, during the implementation stage, the general perception was that this was a ZAWA project, and participation by other agencies was not premised on any sense of full ownership of the project. Officers in the Department of Fisheries and Forestry Department at both Headquarters and district level felt that whenever they participated in project implementation they were merely supporting ZAWA's project. For instance, the Fisheries Department did not include its eligible human resource development requirements in the project planning simply because they did not realise their own role in the project. This was the perception also at the National Heritage Conservation Commission.

Project relocation to ZAWA, reinforced perceptions among other agencies that their roles were merely supportive and that the project belonged to ZAWA. This perception undermined the role of other agencies in project programming.

Stakeholder participation was **Highly Satisfactory (HS)** during project formulation, and was **Satisfactory (S)** during implementation.

### 4.4 Project Partnership Strategy

The project partnership strategy facilitated harmonization of other interventions with the project. The most significant achievement in this area was the design and accommodation as a component of the overall REMNPAS project, the Germany funded West Lunga project. Even where REMNPAS did not have formal structured linkages, the project created a momentum for policy and legal reforms which helped other interventions to have the desired outcomes. For instance the 2011 Fisheries Act was not a direct output of the REMNPAS project, but was significantly driven by the REMNPAS created momentum for legal reforms.

While the partnership strategy was thus a clear success, our considered observation is that with more effective coordination and participation of all implementing partners in project programme planning there could have been more systematic and structured synergies.

The partnership strategy was **Satisfactory (S)**.

### 4.5 Monitoring and evaluation

With the help of the project log frame and detailed annual work plans, the project personnel and UNDP were able to monitor project implementation. The Project Implementation Unit (PIU) produced quarterly and annual reports which were reviewed against project objectives and annual plan targets by ZAWA and responsible Government ministries, UNDP and the Steering Committee. The project sites were physically monitored by PIU, UNDP and the Department of Environment and Natural Resources.

Project implementation was facilitated by detailed annual work plans, and performance was reviewed and monitored through quarterly and annual reports. The quarterly and annual reports reviewed by consultants have shown good progress

An independent Mid- Term Evaluation was conducted in October, 2008, and this independent report represents the terminal evaluation

#### **4.5.1 The GEF M&E requirements**

The GEF requires that all projects must include a fully budgeted monitoring and evaluation plan for its supported projects. The requirements for the M&E plan are that it includes:

##### *SMART Indicators*

The indicators were basically SMART. The key performance indicators for Outcomes 2 and 3 appear SMART. However, considering that public policy development and legislation involve complex Government procedures, it was not very easy for performance indicators to be realistic for outcome 1: appropriate policy, regulatory and governance frameworks, and even the project objective.

The performance indicators would have been more realistic had focused on intermediate stages such as draft or proposed policies rather than adaptation of new policies and legislation that entail complex Government procedures that are beyond the practical scope of the project. The net effect of this indicator is to understate the achievement of the project in this area. From a general perspective policy and legislative reform projects are limited by time to push for results. Though framing results up to draft document stage may not be the best of options, it may provide opportunity to push for follow up phases that may build on the results of the earlier phase. It was the observation of the evaluation that environment policy related projects need more than a 5-6 year cycle to deliver concrete results.

Project implementation and monitoring were premised on the log frame and the indicators were used to assess progress.

##### *Baseline data*

Baseline data was available for all the three outcomes, and it was practical to assess the impact of the project.

##### *Budgetary Provisions for M&E*

There were budgetary provisions in annual plans for monitoring to support quarterly monitoring exercises that included demonstration site visits and quarterly meetings to analyze monitoring reports. In the last 2 years of the project the review meetings were reduced to two meetings a year. The review meetings played a significant role in keeping the project on course.

#### **4.5.2 The LogFrame Matrix, project monitoring and adaptive management**

A detailed log frame was developed in two tables. The first table presented the goals, project objectives and 3 outcomes with their key performance indicators, means of verification and critical assumptions for each objective. The second table showed Outputs, Output Indicators, Activities, Responsibility Centres and Annual Targets. The log frame provided a basis for monitoring and evaluation of the project. However the project did not develop a dedicated M&E plan to ensure

effective monitoring. Moreover for a project of this size one could have expected a dedicated M&E Officer.

#### **4.5.3 The Mid-Term Evaluation**

The Mid Term Evaluation (MTE) conducted in October, 2008 gave an overall rating of S while the achievement of objectives was rated HS. The MTE made seven recommendations:

The first recommendation aimed at addressing the perception of the project being wildlife rather than a broad natural resources conservation project. Since the relocation of the project to ZAWA had reinforced this perception, the MTE recommended that the PIU be relocated to MTENR. Alternatively efforts should be made to broaden project focus onto other sectors.

The project has remained housed at ZAWA. While efforts appear to have been made to cover other sectors in project activities, the perceptions of the project being primarily a ZAWA project have remained and have tended to compromise full participation of key implementing partners notably Fisheries Department, Forestry Department and National Heritage Conservation Commission.

The second recommendation sought to rationalize PIU reporting channels to ZAWA. The MTE recommended that instead of reporting directly to the ZAWA Director General, the PTC should report through a Project Management Team comprising the two ZAWA Division Directors to ensure effective harmonization of project implementation with ZAWA's operations. This is a ZAWA management issue; the PTC continued to report to the Director General.

The 3<sup>rd</sup> recommendation was that the newly created position of Communications and Partnership Development Officer at PIU should be held by a Zambian who will have better understanding of local conditions. This recommendation was adopted as a Zambian was appointed as Communications Officer at the end of the expatriate office holder's contract.

The 4<sup>th</sup> recommendation was for ZAWA to "let go control over the revenue sharing process and allow communities to manage this on themselves" The revenue sharing were determined on the basis of relative contributions by ZAWA and the communities. ZAWA did not appear to be persuaded by the consultant's justification which was "Expectations for realizing increased benefits are running high among community groups." The recommendation was not implemented. Stakeholder consultations indicated no consensus on this matter. ZAWA's position is that community capacities are not yet at a level where revenue sharing processes can be managed at this level.

The fifth recommendation was that the Director General should not sit on local boards. If there is need for ZAWA representation, ZAWA should be represented by Area Wardens. This was to ensure that local level initiatives are managed at the local level. This recommendation was accepted by ZAWA and arrangements are being made to implement it.

The 6<sup>th</sup> recommendation was made to address the consultant's observation of weak oversight arrangements to ensure effective guidance to PIU. This was in the light of inactivity of the Steering Committee in the early stages of the project. The futuristic recommendation was for establishment of oversight organs and to ensure that they met as scheduled. The Steering Committee did meet a few times after, but the TAG just died quietly.



The 7<sup>th</sup> recommendation was for ZAWA to institute a plan to ensure that the skills developed during the project are effectively used. ZAWA appears to have utilized new skills well. The best example is in the development of management plans in which skills from project sponsored training were used.

The rating for M&E was **Satisfactory (S)**.

## 4.6 Risks and risk management

The project document identified 8 major risks and provided for mitigation measures. These are listed below together with identified mitigation measures and Evaluation team's observations. The risk identification and management is rated **Satisfactory (S)**.

**Table 6: Risks and Mitigation Measures**

Risk	Mitigation measures	Evaluation Teams observations
External pressures on national parks and protected areas increase significantly	The strengthened M&E system would provide an early warning of increasing pressures, allowing ZAWA and its partners to intervene where pressures warrant	There was no serious increase in external pressures during the project period. However, the M&E system was improved through the adaption of the WWF/World Bank tool to management of Effectiveness Tracking Tool for Zambia (METTPAZ);
Continued over-harvesting of wildlife. Sustainability cannot be assured until populations recover	Anti-poaching methods are quite well tested and proven at other NPs. Recent innovations are bringing costs down substantially. The project will strengthen monitoring and enforcement at the community level. Trophy hunting will only be considered an option in areas where there are adequate wildlife populations. This issue will be addressed as part of the reclassification effort.	The project contributed to anti-poaching activities and animal population increased in project target areas;
Private sector/communities do not respond positively to improved policies/incentives	The new policy framework for public/community partnerships will clarify and codify the rights and responsibilities of each party. Sound business planning for PA will identify private sector investment opportunities.	The new policy framework is not yet developed for private /public/community partnerships, but there is positive attitude towards these;
Tourism does not develop as hoped and tourism levies do not cover most of the recurrent costs of PA management.	Integration of private sector investors into legal/policy reforms and planning processes builds confidence for investors. The development of multiple use management approaches on community-managed lands diminishes dependence on the single safari hunting sector.	There has been no dramatic improvements in tourism, but the anticipation of improved tourism appears to have positive impact on the attitudes of communities and private sector investors;
The approval/enactment of needed legal and regulatory framework is delayed.	Support to the Natural Resources Consultative Forum (NRCF) which brings civil society and donor pressure to bear on Government policy makers. The participatory process of policy formulation will minimize risk of delays.	The mitigation measures appear rather optimistic. Government procedures are complex and were not significantly influenced by Donor or civil society pressure;
Government does not effectively address documented cases of mal governance	Increased transparency and civil society input and oversight through the NRCF will greatly improve the visibility of mal governance, making it harder for GRZ to ignore.	The NRCFs operational problems during the latter part of the projects life curtailed CSO input to the project.
Adequate staffing profiles/numbers in ZAWA is not maintained relative to core PA management functions	The development of a clear business plan for ZAWA will provide GRZ and the donors providing core support to ZAWA a roadmap towards financial sustainability for many of ZAWA's functions	ZAWA staffing levels did not go down, but ZAWA's financial sustainability continued to be a challenge

Stakeholder conflicts cannot be successfully mediated	Participatory design process minimizes this risk and the participatory, transparent execution will also reduce risks of conflicts.	Conflicts among partners can threaten sustainability of partnership arrangements in PAs as exemplified the Bangweulu Pilot. Participatory design processes are not effective among partners with unequal management capacities. Similarly, African Parks management was not transparent in its execution of infrastructure development in Bangweulu.
---	--	--

## 5.0 Findings: Results and Impacts

### 5.1 Results achieved

#### 5.1.1 The Objective

The project objective was “*enabling frameworks and capacities for managing the system of protected areas that have biodiversity conservation as a major objective will be strengthened*”.

The four key performance indicators for the objective selected were:

- *A GRZ-approved Reclassification and Conservation Plan for the National System of PA is being implemented.*
- *Priority sites for reclassification have been identified as needed to achieve 10% coverage of each ecosystem/vegetation type ensuring the conservation of globally important ecosystem biodiversity*
- *New categories of PA providing effective biodiversity conservation have been created through new legislation*
- *The most appropriate category of PA and the most appropriate forms of public-private-community management partnerships have been identified for each priority site*

The baseline was:

- *of the 14 major ecosystems/vegetation types only 4 are adequately covered by NPs ;*
- *there was no overall monitoring of management effectiveness in place Nine (NPs were largely unmanaged and no other PA category ensured effective conservation*

The end- of-project targets were to be:

- *net movement of 25% of national parks and 20% of game management areas into a higher category management (intermediate ranking) under the METT categories*
  - *60-96 High*
  - *25-60 intermediate*
  - *Less than 25 low*
  - *All newly created PA to have at least an intermediate ranking*
- *5.7 million hectares of NP and GMA under effective management.*
- *At least 10% of each ecosystem/vegetation type brought under protection*

The project objective and its indicators were quite clear and baseline conditions were indicated upon which to assess progress.

**Table 7: Assessment of progress towards project objective**

<b>Project Objective:</b> <i>Enabling frameworks and capacities for managing the system of protected areas that have biodiversity conservation as a major objective will be strengthened.</i>			
<b>Key Performance indicators</b>	<b>Baseline</b>	<b>Targets</b>	<b>Results by EOP</b>
<ul style="list-style-type: none"> <li>• Approved Reclassification plan and Conservation Plan for the National System of PA being implemented</li> <li>• Priority sites for reclassification have been identified to achieve 10% coverage of each ecosystem/vegetation type ensuring the conservation of globally important ecosystem biodiversity</li> <li>• New categories of PA providing effective biodiversity conservation have been created through new legislation</li> <li>The most appropriate category of PA and the most appropriate forms of public-private-community management partnerships identified for each priority site</li> </ul>	<ul style="list-style-type: none"> <li>• No national conservation plan in place</li> <li>• of 14 major ecosystems/vegetation types only 4 are adequately covered by NPs</li> <li>• no overall monitoring of management effectiveness in place</li> <li>Nine NPs were largely unmanaged and no other PA category ensured effective conservation</li> <li>• Modified METT scores for 5 NP and 4 GMAs</li> </ul>	<ul style="list-style-type: none"> <li>• net movement of 25% of national parks and 20% of game management areas into a higher category management (intermediate ranking) under the METT categories               <ul style="list-style-type: none"> <li>• 60-96 High</li> <li>• 25-60 intermediate</li> <li>• Less than 25 low</li> <li>• All newly created PA to have at least an <i>intermediate</i> ranking</li> </ul> </li> <li>• 5.7 million hectares of NP and GMA under effective management.</li> <li>• At least 10% of each ecosystem/vegetation type brought under protection</li> </ul>	<ul style="list-style-type: none"> <li>• Draft Reclassification plan developed; completion awaiting Western Province consultations.</li> <li>• sites identified for ecosystem/vegetation types for at least 10% protection</li> <li>• New categories proposed but not gazetted by law</li> <li>• General net movement of 42% of national parks, 44% of game management areas and 67% of sanctuaries into a higher management category.</li> <li>• 353,260 ha of national parks and 1.01 million ha of GMA brought under effective management</li> <li>• PA categories identified; management partnerships tested at pilot sites.</li> </ul>

The ProDoc specially targeted 5 NPs and 4 GMAs for which rankings were expected to increase to “intermediate” or be maintained at the “intermediate” level. Movements in the rankings were as follows:

**Table 8: METT/METTPAZ rankings**

<b>National park/GMA</b>	<b>METT at project start</b>	<b>Modified METTPAZ 2007</b>	<b>METTPAZ 2011</b>
Kasanka	High	Intermediate	Intermediate
Mosi-oa-tunya	High	Intermediate	High Intermediate
Lower Zambezi	Intermediate	Intermediate	High Intermediate
Lavushi Manda	Low	Very Low	Very Low
Liuwa Plains	Intermediate	High	High
Chiawa	Intermediate	High Intermediate	High Intermediate
Bangweulu	Intermediate	Low	Intermediate
Kafinda	Low	Low Intermediate	Low Intermediate
West Zambezi	Low	Low	Intermediate

Of the targeted national parks and GMAs only Lavushi Manda and Kafinda did not perform to expectation respectively.

### 5.1.2 Achievement of project outcomes

According to the LogFrame, 3 Outcomes were anticipated:

- *Outcome 1: Appropriate policy, regulatory and governance frameworks are in place providing new tools for public/community/private/civil society PA management partnership.*
- *Outcome 2: Institutional capacities for PA management strengthened including enhanced capacities for improved PA representativeness, monitoring and evaluation, business and investment planning and PA system planning.*
- *Outcome 3: PA options expanded through development and field-testing of innovative public-private-community managed partnerships for new categories of PA*

#### Project Outcome 1

Under this Outcome, the project was to develop policy/legal frameworks in the wildlife sector and this process was to have been led by the MTENR, under the DENRM.

In order to assess progress towards Outcome 1 answers to the following questions were pursued:

- *Have new policies and legal frameworks to support reclassification been put in place/;*
- *Have new PA categories needed to ensure biodiversity conservation and adequate habitat coverage been created?*
- *Have policy frameworks for partnerships been developed?*
- *Have policy guidelines to clarify the rights and roles of traditional leaders and communities in PA management and CBNRM been developed?*
- *Have policies that allow a community to have, if they choose, a single structure for wildlife, forests, fisheries and other (non-agricultural) natural resources that occur within the lands that they manage or are to manage been developed?*
- *Was a platform/space provided for civil society on important NRM/PA sector issues?*
- *Were transparent mechanisms developed for sharing of revenues with the CRBs?*

The project LogFrame listed five indicators which are assessed below.

**Table 9: Assessment of Outcome 1 key performance indicators**

Key performance indicators	Comment on indicators
i) New policies for reclassification	Specific, measurable, can be attributed to the project and relevant to project results; <b>quantified target</b>
ii) New law for the creation of 2 new categories of PA (CCA and SHA)	This is specific, measurable, and attributable to the project, can be tracked and quantified.
iii) New policy framework for public/private/CSO/community partnerships NP, CCA, GMA and SHA	Specific, measurable, can be attributed to the project and relevant to the sustainability of new partnerships; can be tracked; quantifiable target
iv) New policy allowing for a single community level management structure for all traditional leaders in CBNRM	Specific, measurable, can be attributed to the project and relevant; can be tracked; quantifiable target
v) At least 2 CCA are created and supported by community private partnerships	Specific, measurable, can be attributed to the project and relevant to the sustainability results; can be tracked; quantifiable target

The indicators were found to be useful in measuring progress towards the Outcome. However two more indicators could have been devised to assess i) whether space was provided for civil society input

to policy and legal development as well as other important NRM/PA issues, and ii) whether mechanisms were developed for transparent benefit sharing with CRBs.

To start the policy and legislative reform process the project commissioned the appraisal of PA best practices and lessons learned in Zambia and elsewhere in the region to feed into the development of new policies and laws. Key products are mentioned below. Progress in relation to actual policy development/revision was as follows:

#### *Development of new policies and legislation reclassification*

The project was expected to develop new policies to cover priorities and procedures for reclassification, the definition of roles of government and non-governmental stakeholders, for effecting changes to the status of gazetted areas, for creating new areas and de-gazetting of existing ones. Though the project mainly focused on the wildlife sector, forestry fisheries and heritage sectors also received attention. In terms of approach the project proceeded to reform existing policy and legal frameworks in preference to the complexity presented by putting in place a discrete reclassification policy and law.

MTENR initiated review of the Wildlife Policy and Act in 2009, with collaborative support from a sister initiative the Environment and Natural Resources Management and Mainstreaming Programme (ENRMMP). The policy development process stalled thereafter, for a number of reasons that have included procedural problems, inertia at MTENR, and shifting ministerial portfolios and responsibilities for wildlife by the new administration. In reference to the latter, the implementing agency for Outcome 1 shifted from MTENR to the Ministry of Local Government, Housing and Environmental Protection (MLGHEP), then to Ministry of Mines and Natural Resources and is now located in the Ministry of Lands, Natural Resources and Environmental Protection (MLNREP). At the time of the evaluation, ZAWA, the implementing agency fell under the Ministry of Tourism and Arts (MTA) while the Project Directorship was under the MLNREP. The Project suggested a road map in September 2012 to MTA, to expedite the review of the existing policy and Act. The roadmap sets January 2013 as the target for submission of the draft policy document for approval before revision of the Wildlife Act can take effect. An *Addendum to the Zambia Wildlife Act of 1998, as amended, July 2010* was drafted by ZAWA, but will have to await development of the policy before it can be finalised.

In other natural resources sectors, the project supported policy reform processes for forestry and fisheries. The draft Forest Policy and Forest Bill of 2012, awaiting Parliamentary ratification, has integrated a new PA category specifically for the protection of forest biodiversity. Under the Fisheries Act, enacted in 2011, fish breeding areas are now protected under a new category, the Fisheries Management Area. Project momentum further stimulated a World Bank supported policy gap analysis for the wildlife sector which will provide useful input to policy development. No progress was registered regarding revision of the Heritage Policy and Heritage Conservation Act intended to support the new geo-park category.

#### *New categories of PAs for biodiversity conservation and adequate habitat coverage*

Under Outcome 1, new categories of priority PAs were to have been created with the passing of enabling legislation. Though five (5) new categories of PAs have been proposed which include - ZAWA managed (National Reserve, Partnership park, and Game reserve) Forests Department managed (Nature park) and National Heritage managed (Geo-Park), none so far have actually been legislated.

Proposals for the new PA categories took into account developments globally with a view to harmonizing the set of PAs with internationally recognized categories. In the review process existing PA categories were assigned, by management objectives, to the IUCN PA classification framework. This exercise revealed opportunities for not only expanding the PA system, but also the re-categorization of individual PAs.

#### *Policy frameworks for partnerships*

The project was to provide support to MTNER to complete the development of a clear policy framework for public/private/civil society/community partnerships for PA management. The project commissioned two key reviews to document experiences upon which new partnership policies could be based. These included i) Review of the private/public/civil society-community partnerships for protected areas in Zambia and in Southern Africa, ii) A public-private-civil society-community partnership review and draft policy development. Partnership policies are yet to be developed. The evaluation team had no appreciation when this would be concluded.

#### *Policy guidelines to clarify the rights and roles of traditional leaders and communities in PA management and CBNRM*

The project through MTNER was expected to develop policy guidelines to clarify the relative rights and roles of communities and traditional leaders in PA management and CBNRM. To date the project commissioned a “*Scenario analysis of the roles of traditional leaders and lessons in CBNRM in Zambia*”. No further steps were taken to develop the policy guidelines.

#### *Policy for a single community structure for wildlife, forests, fisheries and other (non-agricultural) natural resources management*

Regarding governance structures for CBNRM, the project anticipated the rationalization of existing structures which generally tend to duplicate local effort. The tendency in NRM has been to create community structures for specific natural resources sub sectors, which include CRBs for wildlife, Forest Trusts for forestry, Fisheries Management Committee for fishery, Water User Association for water etc. The problem is compounded by the limited authority of community structures created under sector legislation. The project commissioned a review – “*The Roles of Traditional Leaders and Community-Based Natural Resources Management in Zambia 2007*” in addition to an earlier “*Review and Synthesis of Lessons Learned concerning Optimum forms of community Management Structures for Multiple Resource Management in Zambia and Eastern and Southern Africa*”. These reviews were to provide background information and guidance for developing the unified policy. No further steps were taken to develop the policy.

#### *Platform/space provided for civil society on important NRM/PA sector issues*

Regarding civil society participation and knowledge management, the Natural Resources Consultative Forum (NRCF) was to have provided a platform for civil society input on important NRM/PA issues. Several thematic background studies were successfully commissioned under the NRCF. The Forum also provided quality control for the studies commissioned directly by the project in addition to the dissemination of study results, publications and facilitating stakeholder debate of key issues and policy options raised by the studies. The project supported the publication and dissemination of the NRCF newsletter. The NRCF’s ability to facilitate information sharing amongst civil society stakeholders, to

set up a reference library as well as to provide mechanisms for stakeholder input into the policy and legal reform was constrained by operational difficulties arising from inadequate funding to the Forum.

### *Developing transparent mechanisms for sharing of revenues with the CRBs*

The project was to have supported improved financial governance at the GMA and PA levels through the development of transparent mechanisms for sharing revenues with the CRBs, including the issuance of financial statements showing the calculated basis for revenue sharing. Though ZAWA has taken steps to reduce arrears to CRBs critical issues still remain to be addressed such as the development of transparent mechanisms for financial management at CRB, VAG level and constituencies.

Overall, of the new PA categories proposed, only the PA in the fisheries sector is supported by law. The Wildlife Policy and Act and the Forestry Policy and Bill of 2012 are at various stages of processing, while no progress is reported for the Heritage and Conservation Policy and Act. . No significant progress has been made in relation to developing and implementing policy frameworks for partnerships, policy guidelines to clarify the rights and roles of traditional leaders and communities in PA management and policy for a single community structure for wildlife, forests, fisheries and other (non-agricultural) natural resources management. For these reasons the progress towards Outcome 1 is rated as **Moderately Satisfactory (MS)**.

## **Project Outcome 2**

Under Outcome 2, the project was to have supported the development of a range of strategically identified capacities to overcome obstacles to biodiversity conservation. It was expected that identified interventions would significantly improve effective management of the national PA system. Capacity building was to focus on improving knowledge management for PA management culminating in the preparation of an overall reclassification and conservation plan. ZAWA was the lead implementing agency for Outcome 2 and also the principle beneficiary for the capacity building.

In order to assess progress towards Outcome 2, answers to the following questions were pursued:

- *Were priorities for reclassification identified?*
- *Were tools for improving PA business planning and management provided?*
- *Were capacities for improving PA monitoring and evaluation developed?*
- *Was a PA system Conservation Plan developed?*
- *Has an Investment Plan and Marketing Plan to complement the Conservation Plan been developed?*

The LogFrame listed 3 indicators for measuring Outcome 2 as shown in Table 11 below

**Table 10: Assessment of Outcome 2 key performance indicators**

Key performance indicators	Comment on indicators
i) ZAWA using business planning as a standard tool for PA management planning and;	Specific and measurable, can be attributed to the project and relevant to project results; Target expressed as means of verification.
ii) Cost-effectiveness of management partnerships is quantified and used in system planning	Specific, measurable, can be attributed to the project and relevant to project results; target quantified
iii) Reclassification and Conservation Plan developed/complementary investment and marketing	Specific, measurable, can be attributed to the project and relevant to project results; quantified target

The indicators were found to be generally useful in measuring progress towards the Outcome. However the indicator for measuring the monitoring and evaluation capacities developed was missing.

Regarding the evaluation questions raised above, the teams assessment found that:

#### *Identification of reclassification priorities*

Several national level bio-physical and socio-economic assessments were undertaken as part of priorities identification for reclassification both at national and site level. Key assessments included:

- *Review of the existing protected area category system for Zambia and suggested improvements and suggested changes*
- *Resource mapping for the Mweru-wa-Ntipa, Kafue and Kafue Flats, Bangweulu, West Lunga, Eastern Luangwa and West Zambezi ecosystems (including use of satellite imagery and vegetation maps;*
- *Gap analysis of the representativeness of the main vegetation types in the existing PAs*
- *National*
- *Site specific surveys (Bangweulu, Kafinda GMAs and Kasanka and Lavushi Manda NPs) for wildlife populations*
- *Review of important bird areas and PA coverage;*
- *Reconnaissance of heritage resources in Chiawa and Bangweulu;*
- *Gender and socio-economic assessment of the Chiawa and Bangweulu GMA.*
- *Assessment of financial viability of current national parks and game management areas in Zambia: A case for the year 2006;*
- *Financial viability assessment of existing national parks and game management areas as well as the interrogation of financial costs for different expenditure scenarios or effective management of protected areas managed by ZAWA.*
- *Financial costs review of different expenditure scenarios for effective management of protected areas managed by the Zambia Wildlife Authority.*

Utilizing these assessments, the project identified PA priorities based on bio-geographical representation of ecosystems/habitats/natural vegetation types, representation of large mammals and birds, representation of heritage sites and weaknesses in management effectiveness. Analysis of these criteria led to the identification of candidate national parks, GMA and forest reserve sites for reclassification and new management and governance regimes. Additional bio-physical and socio-economic assessments were undertaken for 5 sites (Bangweulu, Chiawa, Kafinda GMAs and Kasanka and Lavushi Manda National Parks), identified reclassification and management strengthening. The statuses of the habitats were evaluated, wildlife populations estimated in addition to the identification of the nature and severity of threats to the PAs. The PA priorities identification process fed into preparation of the Conservation Plan.

#### *Tools for improving PA business planning and management efficiency*

A requirement for improving business planning and management was that the project quantifies financial cost co-efficients for different forms of management partnerships for use in systems planning. The project prepared a background paper guidance paper- *“Financial Costs for Different Expenditure Scenarios for effective Management of Protected Areas Managed by Zambia Wildlife Authority 2009”* which estimated the current income and expenditure levels for each of the 19 National



Parks and 36 GMAs in addition to costs for effective management and cost saving measures. ZAWA is in the process of reviewing all its partnership arrangements with a view to re-focusing and redirecting its financial operations. Financial cost analysis grouped PAs into 4 distinct scenarios in respect of funding, income constraints and profit levels which include:

- PAs with funding and income constraints
- Those with funding constraints currently making profit
- Those that receive funding but running at a loss, and
- Those that receive funding and currently running at profit

The financial analysis further provided ZAWA with cost saving scenarios based on outsourcing of management costs through public-private partnerships to help ZAWA decision-making in partnership development. Suggested cost saving measures included:

- Concentration on profitable PAs only
- Pursuing implementation of the 1998 ZAWA Master Plan
- Management of national parks only and regulation of GMAs
- Maintenance of certain ecological and all other PAs put under management partnership
- All PAs under partnerships and ZAWA assumes regulatory roles and;
- ZAWA remains with management responsibility for only five profitable PAs

This knowledge is being utilized to better define ZAWA's role in PA management, but also in defining those PAs to be best managed by public-private-civil society–community partnerships.

Business planning and management efficiency, capacities' strengthening was augmented by training provided to individuals at national and PA levels, infrastructure development and implementation of new management arrangements in the demonstration sites. Training in general management, business planning and management, public private partnerships, transport management was provided to various staff. Six (6) ZAWA top management staff and one (1) from the Forestry Department attended a business planning course at Cape Town University. Further the Eastern and Southern African Management Institute (ESAMI) provided onsite training in management to all ZAWA management staff. The development of business plans as part of general management planning is now a ZAWA priority. The financial analyses reports provide a business plan framework for guidance for PA planning staff.

### *Monitoring and evaluation*

The project was expected to improve capacities for PA monitoring and evaluation. Priority was placed on adapting tools for monitoring PA management effectiveness. The WWF/World Bank Management Effectiveness Tracking Tool (METT) was adapted to Zambian specifications and named Management Effectiveness Tracking Tool for Zambia (METTPAZ) to suit local conditions. Implementing the METTPAZ has been very useful to ZAWA. In addition to the determination of levels and tracking of management effectiveness, ZAWA is able identify the most significant threats to each PA, as well as determine which areas need resources.

The METTPAZ was applied to 4 national parks<sup>3</sup> in 2005 and subsequently to all national parks and GMAs in 2007 and 2011. The progression of each PA in management effectiveness over the two

---

<sup>3</sup> Prioritized in the ProDoc

years, documented categories ranging from *Very Low (score of 0-30%)* to *Very High (score of 81-100%)*.

METTPAZ results show that management effectiveness improved to varying degrees in 8 parks-Blue Lagoon, Kafue, Lochinvar, Lower Zambezi, Luambe, Mos-oa-tunya, Mweru-wa-Ntipa, and North Luangwa. Management effectiveness for Kasanka, Liuwa Plain and South Luangwa remained “*high*” indicating stability in management effectiveness. At the low end were Insangano, Lavushi Manda, Lukuszi, Lusenga, Nyika, Sioma Ngwezi, Nsumbu and West Lunga. This group of parks continued to exhibit *low* levels of management effectiveness for both 2007 and 2011.

Similarly management effectiveness was assessed for all game management areas. The evaluation observed that management effectiveness in 16 GMAs improved to varying degrees as of 2011. Of those GMAs that showed improvement Bangweulu, Kasonso-Busanga Lunga-Luswishi, Mufunta, Mulobezi, Mumbwa Namwala, Nkala and Sichifulo recorded significant net movements into higher categories. Management effective for three (3) GMAs-Chiawa, Lupande, and Sandwe showed no change from 2007. Three (3) GMAs-Luano, Munyamazi and Rufunsa moved from a higher to a lower category signifying a weakening of management effectiveness. All GMAs falling under the Project achieved higher levels of management effectiveness by 2011, except for Chiawa which remained at the same level (“*intermediate*”).

The Evaluation Team observed that the METT was originally devised to track management effectiveness in the tropical forests at global level and therefore note the potential use of the METTPAZ the forestry, fisheries and natural heritage management.

Regarding monitoring of ecosystem health and biodiversity, data based on resource assessments for eight ecological systems (including Bangweulu, Kafue-Kafue Flats, Mweru-wa-Ntipa, Lower Zambezi, Luangwa, West Lunga, and Mosi-oa-tunya and Liuwa-West Zambezi) has been developed on the basis of the original ZAWA PAs. The resource assessment provided a useful input into the reclassification and conservation planning processes.

ZAWA has under resource constraints endeavored to undertake regular wildlife population surveys. The surveys have focused on the populations of elephants and other large mammals. In 2007 aerial survey of black Lechwe and other large wild herbivores was undertaken for the Bangweulu and Kafinda GMAs, and the Kasanka and Lavushi Manda NPs. A follow up aerial survey of the Bangweulu GMA was undertaken in 2009. Though perceptions are that populations of wildlife especially Lechwe have increased documented survey estimates of the flagship specie show a decrease in numbers. This may be as a result of differences in survey methodologies.

METTPAZ application has generated useful information on the most serious threats and pressures on protected areas. This is being used for monitoring ecosystem health and impacts on biodiversity in the PAs.

### *Protected Area System Conservation plan*

To the projects credit is the preparation of a *Reclassification and Conservation Plan for the National System of Protected Areas in Zambia*. The Plan was preceded by the review of lessons learned and best practices in Zambia and sub-region, review of policy and legal frameworks and new opportunities provided, the identification of biodiversity conservation and reclassification priorities and the analyses of PA management effectiveness and efficiencies and new M&E tools. Developing the Plan is a major project milestone and an expression of the ecological, managerial and financial priorities that

require addressing in the PAs systems in order to achieve effective biodiversity conservation. The Plan goal is to achieve 10% representation of each vegetation type in the PA system. Through the plan Government proposes to establish 5 new categories namely; Partnership Park, Nature park, National Reserve, Game Reserve and Geo-park. The draft plan was extensively discussed by stakeholders country-wide, except for Western Province where governance and land sensitivities have delayed stakeholder input. It is anticipated that the plan will be formally adopted once stakeholder consultations are concluded, and implemented following adoption of supporting policy and law.

### *Investment Plan and Marketing Plan*

It was anticipated that the PA Reclassification and Conservation would be complimented by the investment and marketing plans. It is understood from the ProDoc that separate investment and marketing plans would be developed for the priority sites which would benefit from a marketing plan developed by key stakeholders. ZAWA requirement that business plans now be a constituent part of all national park General Management Plans is a positive step in improving the financial management of protected areas.

In view of significant progress made towards strengthening institutional capacities and devising tools for priorities setting and conservation planning under Outcome 2 the rating is **Satisfactory (S)**.

### **Project Outcome 3**

*Under this Outcome, protected area management options were to be expanded through the development and field testing of innovative private-public partnerships for management of new categories of protected areas.*

Two field demonstration sites were to be used to apply new legal, policy and governance frameworks and to test and develop new tools for enhancing protected area management effectiveness. The Community Conservation Areas (CCA) and the Safari Hunting Areas (SHA) were to be set up as reclassification options. Responsibility for management of all the renewable resources was to fall under the CCA/CRB management structures. New policy guidelines were expected to define the roles of traditional Chiefs in CBNRM at the field sites. Partnerships developed between the CCA/Community management structures and local NGOs was expected to facilitate management. Business planning, community-based M&E systems were to be instituted to improve PAs management.

The initial two demonstration sites, Bangweulu and Chiawa, were selected in the pre-project phase on the basis of the *presence of biodiversity of global significance, opportunities for reclassification and opportunities for public-private-community partnership*. The third demonstration site, West Lunga was selected for the threatened dry evergreen forest ecosystem.

In an effort to determine whether the application of new policy, legal frameworks and new tools for enhancing protected area management have expanded management options, the Evaluation Team examined the activities and targets and outputs sought under the Bangweulu and Chiawa demonstration sites, in addition to the indicators selected. This assessment is summarized in Annexes 8A and 8B.

#### **5.1.3 Summary of Achievements of Activities and Outcome 3 Outputs**

##### *New protected area categories*

Under Outcome 3, two field demonstrations sites, at Bangweulu and Chiawa, were set up to apply the new policies, legislation and guidelines, and methodologies for reclassification. Two new PA categories, the Chikuni Community Partnership Park and Chiawa Community Partnership Park have been created from portions of the Bangweulu and Chiawa GMAs respectively through agreement between ZAWA and traditional leaders. Communities of the Bangweulu committed customary land for the establishment of the two partnership parks through the signature of a covenant with ZAWA. For Chiawa, HRH Chieftainness Chiawa formally committed land customary land for establishment of the partnership park. In view of the delays in policy and legislative reform discussed under Outcome 1, the parks are not yet legally gazetted. A key concern with communities during establishment of the community partnership parks was that customary land is not alienated to state land.

#### *Improved management effectiveness indices*

Application of the METPAZ to the Bangweulu and Chiawa GMAs in 2007 and 2011, showed management effectiveness for Bangweulu GMA, which encompasses Chikuni Park, progressed from “low” to “intermediate”. Management effectiveness for other PAs in the vicinity of Bangweulu has remained unchanged. Management effectiveness for Chiawa also remained unchanged at “intermediate”.

#### *Capacities strengthening*

General Management Plans have been developed for both the Bangweulu and Chiawa GMAs. The Bangweulu Plan is formally approved, while approval for the Chiawa GMP is pending.

Wildlife Police Officers and Village Scouts have received refresher training in basic operations and law enforcement and data collection respectively. However law enforcement still needs improvement especially in numbers of WPOs. For Bangweulu needs 120 officers by IUCN standards (1: 50 sq. km) but has only 66 in place. Chiawa establishment is within IUCN standard. Equally training was provided to CRBs in leadership and governance, and resource monitoring. Communities in Bangweulu also received sensitisation in gender, health (water and sanitation) issues, and HIV/AIDS.

In the initial phases the project was largely concerned with infrastructure developments which support NRM, law enforcement and enabling future tourism development. At Chiundaponde in the Bangweulu, a project headquarters complete with offices and stores/workshop, visitor facilities, accommodation for management and law enforcement staff was constructed. In addition rehabilitation of the road network has improved access within the GMA and to the Partnership Park. In Chiawa only 1x3 units block of semi-detached staff accommodation for WPOs has been built.

#### *Management effectiveness in the demonstration site PAs*

A legal entity the Bangweulu Wetlands Management Board, incorporated as Company Limited by Guarantee has assumed management responsibility for Chikuni Partnership Park. With regard to conservation the general view is that the project has helped improve the stocks of animal population. The other general view is that recent measures of reducing the numbers of law enforcement officers coupled with the centralisation of these officers in Kopa and Chiunda Ponde has left many areas rather vulnerable to illegal activities with high risk of reversing the population trend achieved during the project. The project is not associated with any impact on the fish.

The management agreement is still under discussion in Chiawa. Interactions with stakeholders raised issues with respect to balancing community and private sector expectations. For example while communities want to see new and concrete investments come to the area such as good access roads and other infrastructure. The leaseholders on the other hand lean more towards developments that will not compromise their tourism operations. Communities whether rightly or wrongly perceive this to be the reason why they do not have opportunity to invest in the prime locations on the river frontage.

It is the Evaluations Teams view that partnership issues at both sites need to be managed effectively and expectations limited to levels that are achievable if the models adopted are to be sustainable over the long term. In addition issues of communication and information flow need to be seriously addressed, especially with the CRBs and community members.

Though significant progress has been made towards setting up new PAs, strengthening staff capacities and infrastructure and setting management partnership, much of the progress is only in the Bangweulu, with the Bangweulu Wetlands Management Board being the only partnership arrangement in place. This new partnership is threatened by lapses in transparency and information sharing which is generating conflicts. For this reason the rating is **Moderately Satisfactory (MS)**.

## 5.2 Project Impacts

### 5.2.1 Impacts at national and demonstration site levels

At the national level the project has promoted effective conservation of biodiversity. It has built a case for addressing legal, policy and governance frameworks and introduced new tools for improving PA management effectiveness to the benefit of biodiversity. It has enhanced the capacities of key PA agents – ZAWA, community leaders and PA managers.

The team determined that the project has achieved a good number of its outputs which are leading to impacts at national and local levels.

Under Outcome 1, the most significant impact of the project is in relation to raising awareness levels of PA management in relation to the national benefits arising from partnerships for PA management. The policy and legislative reform process initiated by the project through the commissioning of appraisals of best practices and lessons learnt from Zambia and elsewhere in the sub-region, and the dissemination of the results facilitated by the NRCF raised awareness in PA management in respect of

- i) Better options for managing Zambian PAs including opportunities for using PPPs
- ii) The general appreciation for the creation of new PA categories
- iii) Knowledge coverage of PAs just beyond wildlife

The momentum created for policy change is expected to of benefit to all PAs in the long term. A concrete impact has been enactment of a new Fisheries Act of 2012 and a drafting of Forestry Policy and Bill of 2012, expected to be adopted in the not too distant future.

The completion of the draft Conservation Plan has led to the identification of representative ecosystems to be protected even before the plan is fully adopted. New categories brought under the PA system, while underrepresented ecosystems are now adequately represented with coverage increased to at least 10% of each ecosystem

Under Outcome 2, institutional capacities strengthening are likely to have the following impacts:

- i) Improved management is expected to result into reduced costs and increased profitability of many NPs. (reference to Chikuni in view of new management agreement)
- ii) Increased in numbers of tourists and tourist earnings and increases in animal populations..
- iii) Positive results from application of the Tracking Tool for management effectiveness, though subjective, has enabled ZAWA to pinpoint problematic parks.

Under Outcome 3, local level impacts include:

- i) Identification and agreement of reclassification priorities has led to the creation of two new community conservation parks on traditional land, the first of their kind in in Zambia. The two new community parks are established in ecosystems previously under-represented in the national PA system i.e. Chikuni in a flooded grassland and Chiawa in a mopane/thornbush vegetation type.
- ii) In support of resource management in the newly created community parks, local by-laws have been passed in Bangweulu to control harvesting of fish resources. This is expected to have positive impact on fish resources in the long term. In West Lunga similar by-laws are in place.
- iii) Improvements in strategic infrastructure-roads, bridges, airstrips have improved communication and connectivity.
- iv) The project created jobs through recruitment of village scouts and construction workers during the construction of project infrastructure.

## **5.2.2 Global environmental impacts**

The global and national impacts of the project are closely linked together such that benefits in the conservation of national biodiversity also benefit others, especially for globally recognised species such as Lechwe and Wattled Cranes and the Shoebill Stork for which the Bangweulu Wetlands are renowned.

The project addresses the GEF Biodiversity Strategy, GEF-5 whose goal is the conservation and sustainable use of biodiversity and the maintenance of ecosystem goods and services, the specific strategy relating to improving the sustainability of protected area systems. This strategy gives priority to capacity building at the national and local levels to support effective management of individual protected areas and protected area systems and the promotion of the participation and capacity building of local communities in the design, implementation, and management of protected area projects through established frameworks such as indigenous and community conserved areas (ICCAs).

The project has attempted to strengthen policy and regulatory frameworks, to address the barriers to PA management effectiveness, improve sustainable financing for the protected area system, and expand threatened species representation. These targets are within the outcomes and indicators for Objective 1 of the Biodiversity Results Framework. Thus, any benefits accruing from the project are global benefits.

## **5.3 Effectiveness of project execution**

### **5.3.1 Policy and legislative reform**

A critical project assumption was that policy and legislative reform would be undertaken rapidly enough to be able to support new PAs and other processes. The length of time and uncertainty surrounding policy and legislative reform has meant that project has been implemented with limited legal support. As a result new PA categories could not take effect. The implications of delayed review of policies means that new PA categories proposed would not be operationalized signifying partial attainment of the overall project objective. The opportunity to secure private finance for conservation would be missed thereby constraining already limited ZAWA resources, besides making community's empowerment through participation in viable and legitimate partnerships elusive notwithstanding implications on biodiversity and livelihoods. The Evaluation however noted that extension of the project beyond December 2011 was provided to address outstanding policy issues.

### **5.3.2 Coordination, partnership and ownership**

The high turnover of Cabinet Ministers and Permanent Secretaries at the Ministry for the duration of the project and the realignment of ministerial portfolios in the last twelve months has caused instability, uncertainty and serious delays in policy formulation and legal reforms.

The move to ZAWA distanced the project from the centre for coordination resulting in some stakeholders observing that ZAWA are now playing the dual role of shareholder and controller. This raised suspicions amongst stakeholders, especially key implementation agencies and the communities.

The project focus on ZAWA managed PAs, non-operationalisation of the TAG raised perceptions that some key implementation partners had no role on the project, further undermining programming input to the project.

### **5.3.3 Project monitoring**

The project established governance structures at national and demonstration site level-the SC, TAG and Demonstration site working groups. These bodies were to have met regularly, to provide overall project oversight and technical input respectively. Irregular meetings and non-attendance of designated members meant that the project could not adequately benefit from high level policy and technical guidance

Though policy development/revision is delayed, one sector has a new Act, and a road map has been put in place to conclude outstanding policy development/revision; project coordination and monitoring was satisfactory but could have been better. For these reasons project implementation is rated **Satisfactory (S)**.

## **5.4 Public-Private Partnership Approach to PA Management**

The project anticipated PPP model(s) for replication in future PA management systems. Two models emerged from the project. The Chiawa model was based on established (leaseholders) in the GMA coming together to partner communities for mutually beneficial long term natural resources conservation programme. The primary interest of the private sector is assumed to be profit which can

be enhanced or protected in the long run through prudent and sustainable management of the natural resources. Hence the incentive to participate in the management structures through PPP arrangements.

The Bangweulu model involved a partnership between an international conservation NGO and the communities and ZAWA. Since the Chiawa partnership is not yet operational, we cannot evaluate it. Therefore the challenges and opportunities of partnership are based on the Bangweulu Wetlands Board which has been operating since 2009.

Today communities in GMAs have accepted the need for sustainable management of natural resources and appear open to management systems based on creative partnership. There are good opportunities for credible partnership arrangements in which communities can realize long term sustainability of natural resources with short and long term human development objectives. Such partnerships must be founded on solid corporate governance principles to ensure that they are sustainable.

It is important that partnerships be premised on mutual respect for the contribution of each partner. As owners of the land, communities should be seen as the principal partner/stakeholders because they contribute the core resource on which the partnership is based. However, it is generally recognized that potential partners can take advantage of the technical and organizational weaknesses of communities in striking partnership deals.

This is apparent in the Bangweulu Wetlands where African Parks appears to be dictating terms of partnership that are at variance with basic corporate governance principles (See the case study below).

#### Case Study: Sustainability Challenges of pilot Bangweulu Partnership Arrangements

In Bangweulu, a partnership arrangement is in place with African Parks as the private sector partner. The identification and selection of a partner was a significant achievement for the project. However, the challenge is the long term sustainability of the partnership after the project ends which is threatened by serious conflicts and inability of ZAWA as regulator to mitigate these conflicts because of its dual role.

##### **1.0 Conflicts**

The evaluation noted the following conflicts:

##### **a) *Power imbalances among partners***

This refers to differentials in negotiating capabilities among the partners; The partnership agreement which was designed by AP provides for obligations and responsibilities of ZAWA and the communities, but no obligations and responsibilities of African Parks are tabulated in the agreement. AP without much spirit of negotiation, pushed for amendments of the articles of association that were rejected by the stakeholders meeting in 2011, and threatened to pull out if the amendments were not accepted by a subsequent January 2012 meeting of the chiefs. In order to save the project, the chiefs in attendance reluctantly accepted the amendments as interim arrangements for 3 years. One chief, HRH Chief Bwalya Mponda boycotted the January 2012 meeting, and has since refused to sign or recognise the new Articles of Association. Thus, the Chikuni Community Park and Bangweulu GMA had no legally enforceable partnership agreement at the time of this evaluation. AP has negotiated an equal representation on the Board as well as the Chairmanship in order to have effective



control of the Board and management.

A review of the partnership agreement and articles of association does not show much evidence of independent professional legal input in these documents. It is our considered view that the agreement and articles of association should have been scrutinized by independent legal experts and possibly by the Attorney General's chambers since they impinge on use of significant land mass over which Government has ultimate responsibility

*b) Lack of adherence to good corporate governance principles*

A fundamental principle of corporate governance is equitable representation of key stakeholders on the board of directors. African Parks have not only demanded equal representation on the Board as that of the principal stakeholders, but has also demanded chairmanship, and even the right to approve board members appointed by the communities. African Parks, as partnership managers, has even over ridden the Board's decisions e.g. by building all project funded village scouts in two chiefdoms instead of spreading the investment in four chiefdoms as approved by the Board and demanded by communities. Contrary to universal corporate governance principles, there is no provision for annual general meeting or other representative oversight organ of the stakeholders for monitoring the Board of Directors.

These are examples of dangerous departures from basic corporate governance principles that significantly contribute to the tensions that threaten the future of the Bangweulu Wetlands Board as a partnership. If PPP is to be adopted as a major management system for PAs in the light of Government adoption of SADC protocols on Corporate Governance there is need for more effective regulation of partnership agreements and articles of association to ensure they conform to basic corporate governance.

*c) Expectations related to distribution of benefits*

Local beneficiaries, the communities, have high expectations in terms of socio-economic development. Some Traditional leaders expect their benefits should be based on their relative contribution to the community park in terms of geographical area as well as the distribution of natural resources (wildlife and fish). On the other hand the partnership has been based on equal distribution of benefits amongst the chiefdoms.

*d) Conflicts in personalities*

The attitudes of key personnel such as the chiefs and CRB officials tend to affect relationships within CRBs and Chiefdoms, relationships with other chiefdoms and within the partnership.

## **2.0 Regulatory environment for the PPC**

A concern in the partnership agreement is the dual role of ZAWA as the regulator and a partner in the regulated partnership. ZAWA's active engagement in management of partnership arrangements of PAs appear to be in conflict with standard good governance principles of clear separation of regulator from the regulated. As seen from the Bangweulu pilot, the community/private partnership has serious challenges. The direct involvement of ZAWA in the partnership robs the partnership of an independent referee to steer the course of fair engagement among partners in order to achieve the partnership objectives. It is the

consultant's view that ZAWA can contribute relatively more to the effectiveness of partnership arrangements in PAs by concentrating on its regulatory responsibilities and moving away from direct partnership. This separation of roles will be particularly critical as partnership arrangements are replicated in more areas.

The role of ZAWA in these partnerships needs to be rationalized. The dual role of ZAWA as regulator and partner in Bangweulu Wetlands Board runs counter to sound governance principles of clear separation of functions between the regulator and the regulated.

Arguments in favour of ZAWA direct participation include:

- a) Need to protect the technically weak communities from exploitative private sector partners;
- b) As legal authority over wildlife, ZAWA needs to be involved in day to day activities; In PPC arrangements ZAWA is the competent agency to represent Government;
- c) Need for ZAWA to be active in order to get its share of revenue.

The Teams view is that the revenue sharing arrangements can be maintained even if ZAWA confined itself to its regulatory responsibility. Similarly the legal mandate over wildlife can be met by concentrating on regulatory functions. The concept of Public- Private- Community Partnership need not necessarily imply direct management role for a Government agency. The Government role can be articulated through appropriate regulatory arrangements in the partnership agreement. In view of the Decentralization policy that seeks to place natural resources control under local authorities, the local authorities may be better placed to represent Government in the management structures of PAs in their areas. At any rate corporate governance principles on equitable representation of stakeholders may require representation of local authorities at least on the Board of Directors

As a regulator, ZAWA can do more to protect the communities than it can by over extending itself in day to day operational matters. As a regulator ZAWA can develop guide lines for PPP in PAs, and even model partnership agreements and articles of association and ensure proper legal guidance for communities in the preparation of agreements and articles of association. It can also ensure corporate governance training and training on community based management approaches for all partnership board directors, CRBs, and members of the annual general meeting. All these can help to ensure effective and sustainable partnership arrangements in the PAs.

## **5.5 Cross Cutting Issues**

The major cross cutting issues adopted in the project were HIV and AIDS and gender development. In the project sites, the project has contributed to HIV/AIDS awareness and gender development. However there were no mechanisms developed by the project to systematically incorporate gender considerations in project implementation and to make use of the information generated from gender and socio-economic analyses undertaken for Bangweulu and Chiawa GMAs.

## **6.0 Findings: Sustainability**

### **6.1 Achievements to be sustained**

Although the anticipated policy and legal reforms were not achieved during the project life, the project has created a strong momentum for policy and legislative reforms. After the project closes, the challenge is to maintain this momentum to facilitate the development of policies and laws that are conducive to effective and sustainable management of natural resources.

The two demonstration sites reached different stages of implementation. The Bangweulu site had actually managed to establish a public-private community partnership. The immediate post-project challenge is how to sustain this partnership as a long term management system for Bangweulu Wetlands. The other challenge is how this model can be replicated in other GMAs to improve management systems in PAs.

The immediate challenge for Chiawa is to see how partnership agreements reached during the project can be operationalized into a sustainable management system for that area.

The project also developed human resource and institutional capacities in participating institutions. The challenge is for these capacities to be effectively used in sustainable management of natural resources.

## **6.2 Institutional sustainability**

The project worked reasonably well through established public institutions. It also provided training mainly to ZAWA and other implementing agencies. The skills obtained have already been put to good use by ZAWA in the preparation of management plans for PAs and in monitoring management effectiveness in PAs through METTPAZ. There are strong possibilities of extending METTPAZ to other categories of PAs in Zambia. The institutional capacities developed are likely to be maintained and institutionalized in the work culture. In this regard, the institutional sustainability is seen as **Highly Likely** (HL).

## **6.3 Policy and Legal Reforms**

Although the objective of policy and legislative reforms was not achieved, significant intermediate targets were achieved in terms of awareness and clarity of direction of these reforms. The complexity of Government procedures related to new policies and legislation will continue to be a major challenge to policy and legal reforms. However, the momentum created by this project for these reforms is likely to be sustained.

Sustainability of policy and legal reform attitude is seen as **Likely** (L).

## **6.4 Sustainability and Replication of Public-Private Partnership Model**

The Bangweulu PPC partnership arrangement has serious internal conflicts that are not conducive to long term sustainability of the partnership as a framework for managing the Bangweulu GMA. Full details of the conflicts and tensions are outlined in the case study (see Section 5.4).

On the basis of the Bangweulu partnership agreement and its protracted conflicts, the model is not ideal for immediate replication.

In the light of the unresolved conflicts, the sustainability of Bangweulu Wetlands Board is seen as **moderately unlikely** (MU). However, if there are credible measures to address the conflicts and an effective independent regulatory regime, the long term sustainability prospects would be **likely** (L).

## 6.5 Financial sustainability

The challenges of financial sustainability arise for PAs that are turned to PPP system of management. The basic sustainability strategy is premised on a partner that can mobilize resources in the medium term (5years) for effective management of the PA. In the long run, the PA is expected to be self-sustaining through trophy hunting revenue and photographic tourism.

In both Bangweulu and Chiawa the business plans developed by the partners indicate financial sustainability. The partners appear capable of organizing resources in the medium term, and long term tourism potential looks good in both areas.

If the partnership wrangles can be resolved in Bangweulu and the partnership operationalized in Chiawa, financial sustainability is seen as **likely** (L).

## 6.6 Prospects for up-scaling and replicating project results

The highly likely institutional sustainability and the likely financial sustainability are counteracted by the moderately unlikely sustainability of the Bangweulu Model of PPC management system. Replication of the PPC model will require elimination of structural conflicts that are mainly caused by lack of conformity to sound corporate governance principles. This may require ZAWA assuming a more independent regulatory role that would inter alia, include provision of guidelines on corporate governance and Board composition in PPC management arrangements.

It is assumed that lessons from this project will be used to minimize structural conflicts in future PPC partnership arrangements. This will enable ZAWA and other stakeholders to promote PPC partnership arrangements with more confidence. The partnership approach is also nationally reinforced by government policy on PPP which is promoted and implemented by a PPP Unit in the Ministry of Finance.

On the assumption that a framework is established for resolving conflicts such as those in the Bangweulu, the prospects of replicating partnership management arrangements in PAs are seen as **Likely** (L).

## 6.7 Environmental sustainability

The projects objective is to improve the functioning of PAs and preservation of biodiversity. At national level improved priority setting, conservation planning and PA monitoring has potentially raised the possibility for achieving environmental sustainability in ZAWA managed PAs. Specifically environmental sustainability was promoted through a) broadening of mandate which brought biodiversity rich areas in the forest estate under new classes of protection in West Lunga b) application of training in business planning and management for improved general management planning for national parks; c) application of METTPAZ monitoring tool, which allowed better tracking of management effectiveness.

A comparison of 2007 and 2011 METTPAZ indices show a positive net movement of in management effectiveness 42% of national parks and 44% of GMAs. As a result 1.01 million ha in the PA estate were brought under effective management. With continued improved PA management environmental sustainability is likely to increase further. At site level, management effectiveness for the Bangweulu (including the new CCP at Chikuni) increased from “low” to “intermediate”.

The illegal harvest of wildlife and the seemingly unmanaged fisheries are problems widely acknowledged which threaten environmental sustainability. These obstinate problems need to be reduced if not eliminated. Simply strengthening law enforcement in the past has not registered any significant successes as natural resource harvesting is the basis for rural livelihoods whether done legally or illegally. The solution lies in promoting innovative sustainable alternative sources of livelihoods or implementing effective sustainable use strategies.

Climate change is a threat to ecological systems and to biodiversity. This global issue was not acknowledged nor adequately addressed through the 3 outcomes. Strategies are needed to overcome the negative impacts of climate change on the PAs.

For the reasons detailed above, achieving environmental sustainability under the project is seen as **moderately likely (ML)**.

## 7.0 Conclusions and ratings

### 7.1 Questions arising from the evaluation ToRs

**Table 11: Answers to key questions posed in the TORs**

Key Questions (from the TORs)	Answers and Results Achieved
<b>Relevance</b>	
Is the project the most appropriate solution to the problems of protected areas in Zambia?	In addition to addressing primary causes of biodiversity loss in protected areas the project also focuses on overcoming the numerous barriers to effective conservation of biodiversity in these areas, whose removal would significantly enhance biodiversity and benefit the tourism industry
Is the project design consistent with national aspirations as contained in the National Development Plans and pertinent policies?	The goals, objectives and expected results were developed in line with the FNDP, SNDP, other national development strategies and conservation policies of the GRZ. A deliberate focus of the project is poverty alleviation.
Is the project in line with the relevant GEF operational programme priorities /UNDP Assistance Framework for Zambia	The project has elements that will contribute to the Millennium Development Goal on Environmental Conservation (MDG number 7), the GEF Biodiversity Strategy (GEF 5) and the Zambia UNDAF
<b>Effectiveness</b>	
Did the project implementation across all its activities contribute to progress toward the stated outcomes and objectives?	Project implementation did contribute towards progress outcomes and objectives to varying degrees-Outcome 2 and 3 exhibited the most progress, while Outcome 1 has lagged behind
Were project indicators appropriately framed to be able to measure results and to enable evaluation of the project.	Indicators were appropriately framed-generally they were specific, measurable, attributable to the project and targeted. Only in a few instances were additional indicators required.
What factors beyond the control of the executing and implementation agencies may have affected attainment of objectives	Some aspects of policy and legal reform were beyond the project control. Changes in the political arena which heralded in a new administration effected changes to the NRM sector which were beyond project control but which affected project operations.

<b>Efficiency</b>	
Has the project been implemented within deadlines, costs estimates?	Project implementation was originally expected to close December 2011 but was extend into 2012 to enable the conclusion of outstanding project activities. The project was implemented within cost estimates.
Have UNDP and its partners taken prompt actions to solve implementation issues?	
Were the project resources focused on activities that were expected to produce significant results?	Infrastructure development and staff training were appropriate for optimal impact;
Were project effects being achieved at reasonable cost? Were cost considerations significant in the procurement procedures?	The procurement procedures followed were significantly premised on cost effectiveness. Procurements were based on three quotations.
<b>Impact</b>	
Were there any new policies or practices adopted as a result of the project?	No new policies and laws have been formally adopted. However business planning, monitoring and evaluation tools had been adopted at national and PA level. Notable are the METTPAZ application of business planning tools and improved conservation planning.
Where there any positive or negative changes to the capacities of implementing partners?	
Were there any positive changes in the status of biodiversity or natural resources in the pilot sites?	The are registered positive institutional and individual capacity changes at national and PA level-new partnership arrangements for PA management; ZAWA better able to monitor PA management
Were there any unintended results of the project?	Population estimates in the pilot sites show increases in animal numbers and sightings of species previously not commonly seen. The reliability of these results can only be proven with longer term monitoring linking this to monitoring of ecosystem health The level of conflicts among chiefdoms and with partner in Bangweulu were not anticipated.
<b>Sustainability</b>	
Were interventions designed to have sustainable results given the identifiable risks and did they include an exit strategy?	The project design linked the three outcomes to mutually support each other to ensure sustainability of results. Partnership arrangements were designed around filed experience.
What issues emerged during implementation as a threat to sustainability?	
What were the corrective measures that were adopted?	Though legal and policy reform were intended to give formal support to new management arrangements were not concluded during project phase. This has serious implications on implementation of PA proposals and PA operations in the pilot areas and the gains made so far. Corrective measures have been devised to address delays in policy and legal reform.
Has a plan for up-scaling of pilot initiatives, if successful, been prepared?	A project exit strategy was not elaborated and no plans or up-scaling project pilot initiatives were put in place if successful.

## 7.2 Overall conclusions

The project concentrated on providing core strategic support strengthening the national protected areas system. The evaluation finds the project objective very relevant to biodiversity conservation in Zambia.

The evaluation noted that while project focus was on all PAs, project implementation was biased towards wildlife. Project implementation focused mainly on effective management of national parks with Game Management Areas being used as sites for piloting to facilitate the creation of public/private partnerships. The third pilot site, West Lunga was premised on the conservation of the evergreen forests.

The project appeared fully owned by the Government. It was generally well governed and aspects of its co-financing were robust and the project seemed well managed. The project design however did not appreciate the lengthy processes involved in policy/legislation development/revision, resulting only in the partial achievement of this Outcome. This meant that the overall project objective was only partially achieved.

In terms of strengthening management effectiveness the provision of training to senior managers and training of field staff have to some extent improved field capacities. Investments in infrastructure developments, communication and transportation better support law enforcement effort. However law enforcement effort still needs to improve in the new PAs. The management tracking tool has proved useful in monitoring management effectiveness, while also providing PA managers with information on the threats to PAs which need addressing.

By and large, the project has been effective in achieving some of the intermediate results that it targeted.

### 7.3 Overall assessment summary and ratings

**Table 12: Assessment summary and ratings**

CRITERION	SUMMARY COMMENTS	RATING
<b>Project formulation</b>		
Project concept and design	The project concept originated from the national Biodiversity Plan of Action and underwent a very wide-ranging, in depth and robust analysis of the status of PA management in Zambia. Formulation identified the barriers and constraints to effective management. Each of the three outcomes makes a direct contribution to the objective	<b>Highly satisfactory (HS)</b>
Relevance	The project goals, objectives and expected results were very relevant to the conservation priorities of the country and focused on biodiversity conservation in PAs. The project is in harmony with national development plans as well as very relevant to the national needs of Zambia, especially the communities in the Bangweulu and Chiawa.	<b>Relevant (R)</b>
Stakeholder participation in formulation	Stakeholders are reported to have been involved meaningfully in project formulation and the Evaluation was able to confirm this position through consultations.	<b>Highly Satisfactory</b>
<b>Project implementation</b>		
Project Governance	Project Governance was provided by the Project Steering Committee, Technical Advisory Group and Demonstration Site Working Group. Irregular meetings precluded timely addressing of issues and clear guidance to the Project Technical Coordinator	<b>Satisfactory</b>
Project Administration	The project implementation framework generally worked well and has delivered to varying degrees	<b>Satisfactory (S)</b>

CRITERION	SUMMARY COMMENTS	RATING
<b>Implementation approach</b>		
Stakeholder participation in implementation	Stakeholder involvement in project activities has been moderate. Key implementing agents- Forestry, Fisheries and NHCC were not fully involved in the project worse still at district level. Traditional leaders and Community Resource Boards in the pilot sites have not only identified themselves to the project, but have made progressive commitments for the benefit of the project.	<b>Satisfactory (S)</b>
Efficiency	Project implementation period was extended by 1 year. The project was implemented within cost estimates. UNDP and implementing partner took timely remedial measures.	<b>Satisfactory (S)</b>
Risk management	Risk identification and mitigation in the ProDoc were strong, and sufficiently managed during project implementation	<b>Satisfactory (S)</b>
<b>Project finances</b>		
Financial planning and management	Effective financial management systems in place with satisfactory audit reports	<b>Highly Satisfactory (HS)</b>
Co-financing	GEF funding was well leveraged with other resources	<b>Highly Satisfactory (HS)</b>
<b>Monitoring and Evaluation</b>		
M&E Design, Plan and Budget	While the project did carry out some monitoring activities, the project did not devise a dedicated M&E Plan; Monitoring was therefore not structured	<b>Satisfactory (S)</b>
Use of LogFrame and Adaptive Management	There is strong evidence of systematic use of the LogFrame and derivatives of the Logframe, the activity based work/plan, in quarterly and annual reporting leading to adaptive management.	<b>Satisfactory (S)</b>
<b>PROJECT RESULTS : Attainment of Outcomes with reference to the Indicators</b>		
Project Outcome 1: Appropriate policy, regulatory and governance frameworks capable of providing new tools for public/community/private/civil society PA management strategies.	Limited progress achieved in putting in place enabling policy, legal and guidance frameworks. Fisheries Act passed; Forest Policy awaiting Cabinet approval and Forest Bill awaiting enactment. No Wildlife policy adopted, no wildlife Act revised and no Heritage Policy adopted and Act revised.	<b>Moderately Satisfactory (MS)</b>
<b>Project Outcome 2:</b> Institutional capacities for PA system management including enhanced capacities for PA representation, monitoring and evaluation, business and investment planning and PA system planning.	Some training provided; Too early to know whether training is having impact. Investments in infrastructure. Management effectiveness tracking tool introduced- management effectiveness being monitored	<b>Satisfactory (S)</b>
<b>Project Outcome 3:</b> PA management options expanded through development and field testing of innovative partnerships for new categories of PA.	Significant progress has been made towards setting up new PAs and management partnership. Only Bangweulu Wetlands Management Board in place, but with serious conflicts.	<b>Moderately Satisfactory (MS)</b>
<b>Sustainability</b>		
Institutional sustainability	The project worked reasonably well through	<b>Likely (L)</b>



CRITERION	SUMMARY COMMENTS	RATING
	<p>established public institutions. It also provided training mainly to ZAWA and other implementing agencies. The skills obtained are being put to good use by ZAWA in the preparation of management plans for PAs and in monitoring management effectiveness in PAs through METTPAZ. In addition communities have put in place by-laws to support conservation. Village scouts and strengthened CRBs have strengthened organisational capacities in the community parks</p> <p>The project has created a strong momentum for policy and legislative reforms</p>	
Financial sustainability	<p>The challenges of financial sustainability arise for PAs that are turned to PPP system of management. The basic sustainability strategy is premised on a partner that can mobilize resources in the medium term (5years) for effective management of the PA. In the long run, the PA is expected to be self-sustaining through trophy hunting revenue and photographic tourism.</p> <p>In both Bangweulu and Chiawa, business plans developed by the partners indicate financial sustainability.</p>	<b>Likely (L)</b>
Environmental sustainability	<p>Improved skills and improved tools (METTPAZ) for monitoring; new PAs covering under-represented ecosystems will all promote environmental sustainability</p>	<b>Likely (L)</b>
<b>Overall Project Rating</b>	<p>The evaluation finds the project objective very relevant to biodiversity conservation in Zambia. The project concentrated on providing core strategic support for strengthening the national protected areas system. According to the outcomes it has been achieved providing enabling policy and legal frameworks, institutional capacities strengthening and field testing of the policy/legal and new institutional and management arrangements.</p> <p>The project appeared fully owned by the Government. It was generally well governed and aspects of its co-financing were robust and the project seemed well managed. The project design however did not appreciate the lengthy processes involved in policy/legislation development/revision, resulting in the inability to strengthen enabling policy and legal frameworks. This meant that the project objective was only partially achieved.</p>	<b>Satisfactory (S)</b>

## **8.0 Recommendations**

### **8.1 Issue: Replication of PPC partnership system in other PAs.**

Of the two demonstration sites only Bangweulu has a partnership arrangement in place under the Bangweulu Wetlands Board. Unfortunately the partnership is threatened by serious conflict and tensions among partners, and the Evaluation hesitates to recommend the model for immediate replication in its present form. There is need for interventions to save this initial PPC partnership from collapse and perhaps transform it into a model PPC partnership system for replication.

#### **Recommendations:**

8.1.1 ZAWA should develop a follow up project to strengthening the partnership model to inform future replication effort. The project scope should include independent legal review of partnership agreements and articles of association in Chiawa and Bangweulu to ensure that they conform to the basic corporate governance principles. These may also entail recommendations on the composition of the Boards. It should also include development of guidelines on partnership agreements, articles of association and minimum corporate governance articles for PPC partnerships.

8.1.2 In these partnership agreements, ZAWA's role should be confined to that of the regulator rather than be an active partner. The regulatory responsibilities of ZAWA should include provision and monitoring of guidelines on partnership agreements, articles of association, minimum corporate governance articles and Board composition with power to approve members of the Board of Directors.

### **8.2 Issue: Monitoring of management effectiveness in PAs**

The project has led to the adaptation of the WWF/ World Bank management effectiveness tool to METT PAZ which suit local conditions. So far, METTPAZ has been successfully employed for assessment of management effectiveness in national parks and GMAs. Unfortunately, METTPAZ training was not extended to forestry, fisheries and natural heritage conservation staff which has led to underutilisation of this critical tool.

#### **Recommendation**

8.2.1 METTPAZ should be extended to other sectors of natural resources. This will entail training on METTPAZ for staff in forestry, fisheries and national heritage conservation.

### **8.3 Issue: Legal and policy reform**

The project had -perhaps rather optimistically- anticipated legal and policy reforms which did not materialise during the project period. However, the project has created some undercurrents if not momentum for legal and policy reforms which need to be maintained.

#### **Recommendation**

8.3.1 UNDP and ZAWA should continue to actively engage Government on legal and policy reforms. Follow up activities could be considered under a new project.

## **8.4 Issue: Team building strategies are essential for all partners in PPC management systems**

Partners for PPC management systems will be selected mainly on their natural resources conservation skills/experience and resource mobilisation capacity. They should not be assumed to be conversant with corporate governance principles or community based/driven natural resources management systems. Partnerships are business arrangements which should be guided by equitable rules that protect all the players. It is generally accepted that communities are technically weak and may therefore need to be protected. Corporate governance is the system of principles and rules for protecting all participants in business arrangements. The partners' effectiveness can therefore be enhanced through training workshops in the areas of corporate governance and community based management systems.

### **Recommendation**

8.4.1 Whenever there is a partnership agreement for a PA, ZAWA as the regulator should promote PPC management structures with team building strategies, including training in corporate governance and community based management systems. The training should be given jointly to Board members, management, CRBs and other key stakeholders.

## **8.5 Issue: Project governance organs**

The specified Government rank (s) for membership of project governance organs must be realistic enough to ensure regular and effective participation at meetings, and practical operationalization of the governance structures during the entire project cycle. For instance, the project Steering Committee (comprising Permanent Secretaries) for policy issues did not function well due to poor attendance by Permanent Secretaries, while the TAG which comprised technical representatives was not operationalized. This led to weaknesses in the project governance system as the project management did not access the anticipated technical guidance. The SC is only useful and justifiable as a legitimate project governance organ if Permanent Secretaries are able to attend Steering Committee meetings on a regular basis.

### **Recommendation**

8.5.1 A technical level coordinating organ has more realistic chances of meeting regularly, and this organ should be given priority consideration in project design to ensure effective monitoring and guidance of project implementation

## **8.6 Issue: Revenue sharing**

Revenue sharing at the GMA level continues to be problematic with communities insisting on a mechanism that is transparent with clear basis for calculated shares. Improved revenue sharing mechanisms are critical to effective implementation of the partnership arrangements for PAs.

### **Recommendation**

8.6.1 ZAWA should develop and implement a credible and transparent revenue sharing system that can inspire confidence in the partnerships systems among communities and private sector partners

## 9.0 Lessons Learnt

Significant lessons learnt are tabulated below:

**Lesson 1:** Government procedures for policy and legal reforms are very complex

The complexity of Government procedures for policy and legal reforms should not be underestimated or assumed to be within the time frame of a project. Project objectives related to policy and legal reforms should not be gauged on adoption of policies or new laws, but more realistically in terms of intermediate stages of policy and legal reforms that can realistically be placed within the scope of a project

**Lesson 2:** Project oversight organs established from the very start of the project must stay operational to give guidance to project management until the end the project.

The apparent failure to operationalize the TAG and the practical transformation of the Steering Committee into a lower level committee that was not competent to deal authoritatively with policy issues constituted a significant departure from the project governance framework that was originally designed. This created gaps in the project governance system.

**Lesson 3:** In conservation projects, coordination arrangements should reflect the multiplicity of sectors

Since conservation projects involve several sectors; wildlife, fisheries forestry etc., the coordination organs should have representatives from all targeted sectors. The coordination function should be harmonized with general oversight responsibilities. Effective broad based representation could have been assured if the TAG had been operationalised.

**Lesson 4:** The profit motive should be recognized as a legitimate driver of long term sustainable environment

In the protection of the primary profit motive, the private investor whose business prosperity depends on natural resources can be driven by commercial interest to play an active role in the management of sustainable environment. The Chiawa partnership model involves profit making organisations whose financial contribution is not an act of charity but pure business investment in prudent management of wildlife on which their business and commercial profitability depend. Thus profit oriented enterprises should be seen as legitimate partners in partnership management arrangements for PAs.

**Lesson 5:** Alternative livelihood strategies for communities are important means of leveraging core conservation strategies of partnership arrangements.

Communities in the demonstration sites have historically depended on illegal harvest of animals, fishing and forest resources for their livelihood. They will need alternative means of livelihood to reduce or forego their dependence on the unsustainable harvesting of natural resources. The partnerships with communities should emphasise alternative livelihood strategies for communities to enhance human development while reducing dependence on unsustainable consumptive practices, and fortify positive community attitudes towards conservation of natural resources.

**Lesson 6:** ZAWA can do more as an Independent Regulator in promoting sustainability of PPC Partnership arrangements in PAs than it can by being directly involved as a partner.

The Bangweulu partnership in which ZAWA is a partner is threatened by serious conflicts and tensions that reflect lack of conformity to corporate governance principles- mainly equitable representation of key stakeholders in governance organs; effective governance organs such as annual general meeting to ensure proper oversight; transparency and effective information sharing. Because of its direct involvement as a partner in the Bangweulu PPC partnership, ZAWA cannot objectively guide the other parties as an independent regulator.

.

# Annex 1: Terms of Reference



REPUBLIC OF ZAMBIA



Global  
Environment  
Facility



ZAMBIA

---

## Terms of Reference for the Terminal Evaluation of the Reclassification and Effective Management of the National Protected Areas System Project

---

### 1.0 Background and Context

Zambia's Protected Area system has always been considerably larger than the global mean and is mainly composed of 20 National Parks (NP), 36 Game Management Areas (GMA), 1 Bird Sanctuary and 2 Wildlife Sanctuaries – together they cover approximately 30% of the territory of Zambia. The National Parks and GMAs together provide exceptionally large bio-geographical complexes with the potential, if well managed, to conserve viable populations of even those species that occur naturally at low densities.

In 2006, the Government of the Republic of Zambia through the Ministry of Tourism, Environment and Natural Resources (MTENR), with support from the Global Environment Facility (GEF) and the United Nations Development Programme (UNDP), initiated the Reclassification and Effective Management of the National Protected Areas System (REMNPAS) Project. This six (6) year project was commissioned with US\$6 Million GEF, US\$2 Million UNDP, US\$12 Million National and over US\$30 Million of other co-funds.

The main aim of the project was to establish a national Protected Areas (PA) system that comprises a representative sample of Zambia's ecosystems which is effectively safe-guarded from human induced pressures through effective management partnerships and serves to make Zambia a tourist destination of choice. This is expected to be achieved through the following three (3) complementary outcomes:

- I. Appropriate policy, regulatory and governance frameworks are in place providing new tools for public/community/private/civil society PA management partnerships.
- II. Institutional capacities for PA system management strengthened including enhanced capacities for PA representation, monitoring and evaluation, business and investment planning and PA system planning.
- III. PA management options expanded through development and field-testing of innovative private-public-community management partnerships for new categories of PA.

Outcomes I and II have been implemented at National Level while outcome III has been implemented at three (3) demonstration sites. Two (2) of these sites (Bangweulu and Chiawa/Lower Zambezi) have been supported by GEF, UNDP and other stakeholders while the third demonstration site (West Lunga) has been supported by the Government of the Federal Republic of Germany through the International Climate Initiative (ICI), UNDP and the Government of the Republic of Zambia including other stakeholders. The West Lunga Demonstration Site was evaluated at the end of the Germany funding in December 2010 but activities have continued with support from the Zambian Government, UNDP and local stakeholders.

The REMNPAS project document can be downloaded at <http://www.gefonline.org/projectDetailsSQL.cfm?projID=1268>

In order to learn from the Project to inform the replication and scale-up efforts of future Protected Areas interventions, and meet both GEF and UNDP accountability and learning requirements for results and resources, a terminal evaluation of the REMNPAS project has been commissioned.

## **2.0 Purpose, Objectives and Target Audience**

### **2.1 Purpose**

The purpose of the Terminal Evaluation is to examine the performance of the project, from its inception, towards achievements of its goal and objectives and make recommendations for future replication and scale-up efforts on protection of biodiversity through effective protected areas management approaches. The evaluation is also aimed at providing stakeholders at international, national and local levels with independent views of the Project's performance and lessons.

### **2.2 Objectives of the Terminal Evaluation**

The specific objectives contributing to the overall purpose of the evaluation are:

1. To provide an in-depth and independent assessment of progress, or lack of, towards the achievements of stated objectives and results;
2. To determine the extent to which the project has succeeded in creating an enabling environment for public/private/community/civil society partnerships in management of protected areas;
3. To assess effectiveness of the government's executing departments under the Ministry of Tourism, Environment and Natural Resources (MTENR), Zambia Wildlife Authority, Protected Areas Management Teams and beneficiary communities in managing public/private/community/civil society partnerships; and
4. Draw and document lessons learnt and best practices from the project and make recommendations for future replication and scale-up of project activities in management of protected areas.

### **2.3 Target Audience**

The findings of the evaluations are targeted at all stakeholders of the Project. The primary targets include the Government of the Republic of Zambia (GRZ), namely Ministry of Finance and National Planning, MTENR, the Zambia Wildlife Authority (ZAWA), UNDP, GEF, participating Private Sector and Civil Society Organizations and communities living near or in protected areas. Secondary targets include supporting/donor organizations and cooperating partners focusing on natural resources management, especially those that focus on protection of biodiversity. In line with GEF's support for Global Public Goods, the findings of this evaluation will also appeal to many international organization and other governments.

## **3.0 Scope of the Evaluation**

The Terminal Evaluation will focus on the entire duration of the project. It will compare planned against actual results at Impact, Outcome and Output levels in conformity to international, GEF and UNEP/UNDP evaluation standards. It will cover the achievement of goals and objectives and their associated results at National, Sector and Local levels. At the Demonstration Site level, it will focus on the two sites funded by GEF (Bangweulu and Chiawa/Lower Zambezi).

The evaluation will also use available data and information to assess the extent of improvement in management capacities and management effectiveness of the national executing bodies, ZAWA, Protected Areas Management Boards and communities involved in protection of natural resources.

The evaluation will extract lessons learned, document best practices, address key cross-cutting themes and how they have been integrated into the Project, diagnose and analyze issues to formulate actionable recommendations to inform future policy, legal and programme scale-up activities.

The evaluation will follow international, GEF and UNEG/UNDP guidelines and procedures by at a minimum, addressing the following aspects:

**Effectiveness:** The extent to which the project achieved satisfactory progress towards its stated goal, objectives and results. This assessment should be extended to the appropriateness, evaluability and measurability of the results framework and its associated indicators. It should outline factors beyond the control of executing and implementing agencies that may have affected the attainment of results.

**Efficiency:** An assessment of whether the effects are being achieved at an acceptable cost, compared with alternative approaches of accomplishing the same objectives. It should include an assessment of appropriateness and effectiveness of the design and institutional arrangements of the project, and value for money in relation to attained results.

**Relevance:** An assessment of whether: the project is the appropriate solution to the problem; the project objectives were relevant and the value of the project to sector priorities and needs. The evaluation is also expected to assess the relevance of the project within the local, national, regional and global context.

**Impact:** An assessment of the difference the project has made to beneficiaries who include the Zambian Government, ZAWA, Protected Areas management bodies, communities and households/individuals. Focus should also be placed on medium to long-term intended or unintended; positive and negative; micro or macro transformational changes and results in institutions and communities. This focus should also be on the state of bio-diversity and natural resources in supported pilot sites and the extent to which project benefits have been experienced outside the context of project design and the multiplier effects.

**Sustainability:** An assessment of whether the activities initiated by the project are likely to continue after the funding provided by GEF and UNDP comes to end. This should include an assessment of the acceptance and ownership of the Project by beneficiary institutions and communities. On the management bodies of the pilot sites and ZAWA, there is need to assess if they are viable and self-sufficient without external funding.

Within the above criteria and as appropriate, the evaluation is also expected to cover the following;

- An assessment of the adequacy of the project institutional and management arrangements within the context of the project relocating to ZAWA from former MTENR and the restructuring exercise that was undertaken in 2007;
- As assessment of whether project's partnership strategy was appropriate and effective including the range and quality of partnerships and collaboration developed with government, civil society, donors, the private sector and whether these contributed to improved project delivery. The degree of stakeholder and partner involvement in the various processes related to the outputs and outcome. How synergies could have been built with other projects within the sector;
- An assessment of whether gender , HIV/AIDS and other key cross cutting themes were adequately addressed in the interventions (as per scope) and capture the differentiated effects of these themes on implementation and results;
- An assessment of the application of the Management Effectiveness Tracking Tool (METT, for GEF III) and the Management Effectiveness Tracking Tool for Protected Areas in Zambia (METTPAZ);



- An assessment of the oversight, monitoring and evaluation capacity of MTENR, ZAWA and the (local) communities in managing public/private partnerships with a view to drawing lessons for future support; and
- Determine the ways in which lessons and experiences coming out of the project are to be replicated or scaled up in the design and implementation of other projects, policies and legal frameworks.

Within the context of the above evaluation criteria and in conformity to GEF guidelines, the evaluation team is also required to rate the achievement of objectives and key results according to the GEF's criteria (Highly Satisfactory (HS), Satisfactory (S), Marginally Satisfactory (MS), Marginally Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU).)

#### **4.0 Evaluation Methodology**

The evaluation will be expected to apply appropriate and scientifically compelling approaches to increase the validity of the findings. This will build on an existing pool of policy, programme development and monitoring information that has accumulated through-out the life of the project. The evaluation methods will include, but will not be limited to the following provided they are agreed at the inception phase:

- Desk review of existing documents and materials; (see Annex 1)
- Interviews with staff and representatives of key stakeholders including other cooperating partners, CSOs and private organizations in the sector, execution and implementing agencies/institutions (UNDP, MTENR & ZAWA), and beneficiary institutions, organizations, communities and individuals;
- Focus group discussions and widely adaptable group meeting strategies such as stakeholder meetings and workshops whenever applicable and acceptable;
- Field visits to selected Project sites which should be as representative of the Projects scope as possible; and
- Case studies for comprehensive examination and cross comparison of cases to obtain in-depth information.

The evaluation also has a substantive focus on the management effectiveness, viability and self-sufficiency of ZAWA and supported protected areas management bodies. In this regard, applicable business analysis tools may also be used.

The review will be carried out in accordance with the both GEF and UNEG/UNDP evaluation principles that together emphasize the need for: Independence, Credibility, Utility, Impartiality, Transparency, Disclosure, Ethics, and Participation.

The GEF and UNEG evaluation Guidelines can be accessed and down loaded at:

[www.uneval.org/normsandstandards](http://www.uneval.org/normsandstandards)  
[www.thegef.org](http://www.thegef.org)

#### **5.0 Deliverables of the Evaluation**

The main products of the evaluation should include, at a minimum, the following:

- 1. Inception Report:** The evaluators will be expected to produce an inception report that will provide details of the proposed methodology and tools, and a plan of activities to be conducted along with their costs.

2. **Interim Evaluation Report:** The evaluators will be expected to produce an Interim report which will be shared with the Ministry of Local Government, Housing, Early Child Education and Environmental Protection (MLGHECEEP), Ministry of Mines, Minerals Development and Natural Resources (MMDNR), ZAWA, UNDP and representatives of the Technical Advisory Group for review.
3. **Draft Evaluation Report and a PowerPoint presentation:** The evaluators will produce and present a draft Evaluation Report to a validation meeting. In this draft report, the evaluators will be expected to present the key findings of the evaluation and receive comments, corrections and other submissions from stakeholders present during the validation meeting for consideration in the finalization of the report.

From time to time during the course of the assignment, the evaluators may be requested to submit preliminary reports to the quality assurance team that will be set up to support the Programme Manager with reviewing the methodology, tools and products. This is a useful mechanism to ensure that the evaluators are closely guided throughout the evaluation and provide oversight support to the Programme Manager to uphold the ethical requirements of evaluations.

4. **Final Evaluation Report:** After incorporating comments from the reviews and validation meetings, the evaluators will be expected to submit five (5) original copies and final Microsoft Word and PDF versions of the final report. Any other applications used to analyze the data and products associated with the assignment such as datasets, analysis plans, transcripts, collation and aggregation tables, e.t.c. will also be expected to be submitted in soft copy.

The evaluation report should be logically structured, contain evidence-based findings, conclusions, lessons and actionable recommendations. At a minimum, the report should follow the outline in Annex 2 but evaluators are encouraged to be creative.

## 6.0 Evaluation Team Composition

The evaluation team will consist of two members: an International Consultant (Team Leader) and a National Protected Areas Planning and Management Specialist. The Team Leader will be responsible for overall quality of the report and management of the national consultant. The national consultant will be responsible for the technical assessments on protected areas planning and management and any other responsibilities assigned by the team leader based on the agreed evaluation plan with the quality assurance team. Both the team leader and national consultant will be involved throughout the entire duration of the evaluation. The specific academic, skills and experiential requirements of the evaluation team members are as follows:

**Team Leader:** An international consultant with vast international experiences of conducting evaluations for nature-based tourism and protected areas management projects and programmes:

- S/he should be in possession of an M.Sc. (a higher qualification will be an added advantage) in Natural Resources Management or related fields such as biology, anthropology or development studies with over 10 years work experience in Southern Africa on protected areas management; economic use of natural resources, integrated planning and project monitoring and evaluation;
- At least three years experience working at policy level on natural resources management or completion of three assignments providing inputs into policy dialogue on natural resource management and nature based tourism
- At least three years experience working in Protected Areas planning or completion of at least three assignments providing inputs into above plans.
- At least five (5) years experience in international development evaluation or completion of at least 10 evaluation assignments as a team leader.
- Experience with GEF and UN supported programmes/projects will be an added advantage.

- Excellent analytical and writing skills
- Fluency in English is essential

**National Consultant:** The Protected Area Planning and Management Specialist will be expected to be well versed with policies, reclassification and conservation plans, management of natural resources, and biodiversity in particular, business planning involving tourism development, and nature-based tourism in particular; wildlife research and monitoring. S/he is expected to have the following specific skills and experiences:

- MSc degree in natural resources management, business management, business administration or related social sciences such as resource economics;
- At least seven (7) years in-country work experience on natural resources management (experiences on protected areas management will be an added advantage);
- At least five (5) years of Protected Areas management experience or four (4) years of participation in advisory bodies or management boards on Protected Areas (regional experiences in protected areas management will be an added advantage);
- Good understanding of METTPAZ and monitoring systems for natural resources management, biodiversity management and nature-based tourism;
- Experience with Public-Private-Community and Civil Society Partnerships in management of natural resources;
- Good understanding of Zambia's economic and social characteristics
- Must be a Zambian national and
- Fluency in English is essential

## **7.0 Management Arrangements**

The Programme Manager at UNDP will be responsible for the day to day management of the evaluation and in collaboration with the Project Manager at ZAWA, they will be responsible for putting in place all the logistics for the evaluation. These will include setting up meetings and interviews with stakeholders, and putting in place travel logistics.

The above programme management staff will be supported by quality assurance team comprising of evaluation and natural resource management experts in key stakeholder organisations. The quality assurance team will guide the consultants during the entry meeting, review and approve the inception report, interim, draft and final evaluation reports. Quality assurance in this regard also extends to upholding both GEF and UNDP evaluation principles.

The lead consultant is expected in the country only during the data collection and pre-analysis phase after which some of the functions may be performed by the national consultant. This entails that much of the communication before the data collection phase will be through emails and teleconferences. However, the National Consultant may be requested to attend such functions in person.

The Programme Managers and the Quality Assurance Teams will also be supported by UNDP's and GEF's regional natural resource management and evaluation teams.

## **8.0 Timeline**

The evaluation is scheduled to start in January 2012 and continue for a period of 30 days spread over a period of One and Half Months. A detailed schedule of the proposed timeline has been provided in Annex 3.

## **9.0 Remuneration**

The daily rate for consultancy fees will depend on the level of education and experience of each individual evaluator. Consultants are expected to explicitly indicate their daily rates when applying for this evaluation. Payments will be made in US\$ for the international consultant and in local currency at prevailing UN exchange rates for the National Consultant. The evaluators will receive the payments in the following installments:

- 20% upon presentation and acceptance of Inception Report;
- 50% upon presentation of draft Report to a stakeholder Validation Meeting and
- 30% upon submission and acceptance of final report based on GEF and UNEG/UNDP standards.

## **10. Annexes**

Annex 1: Documents to be reviewed

Annex 2: Evaluation Report Format

Annex 3: Co-Financing and Leveraged Resources

Annex 4: Proposed schedule of activities and consultancy days

## **DOCUMENTS TO BE REVIEWED**

- Project Document;
- Project implementation reports (PIRs) for years 2007 - 2010;
- Management Effectiveness Tracking Tools (2005, 2007);
- Project quarterly progress reports;
- NEX project audit reports;
- Minutes of Steering Committee meetings;
- Combined Delivery Reports;
- Annual Workplans (2006 - 2011);
- REMNPAS Project Mid –term review Report
- Consultancy reports.
- MTENR progress Reports
- National Development Plan progress reports
- 2011 METTPAZ report

## **SAMPLE OUTLINE OF EVALUATION REPORT**

Table of Contents

Acronyms

### **Executive summary (4 Pages Maximum)**

- Brief description of project
- Context and purpose of the evaluation
- Findings, conclusions, recommendations and lessons learned

### **Introduction**

- Purpose of the evaluation
- Key issues addressed
- Methodology of the evaluation
- Structure of the evaluation report

### **The Project and its development context**

- Project start and its duration
- Problems that the project seek to address
- Goal and objectives of the project
- Main Stakeholders

- Expected Results

## **Findings and Conclusions**

Findings of the evaluation organised along the lines of the evaluation criteria and utilising GEFs rating system. Key areas to be reported on are as follows:

### **Project formulation**

Implementation approach, Country ownership, Stakeholder participation, Replication approach, Cost-effectiveness, UNDP comparative advantage, Linkages between project and other interventions within the sector, Results framework and indicators, and Management arrangements

### **Implementation**

Financial Planning, Monitoring and evaluation, Execution and implementation modalities, Management by the UNDP country office, Coordination and operational issues, and Rating of project implementation (using the UNDP/GEF six-point rating scale).

### **Results**

Attainment of objectives (including a summary table with overall rating of progress towards objective and each of the outcomes), using the UNDP/GEF six-point rating scale). Sustainability (with rating) and contribution to upgrading systems and skills in beneficiary institutions at all levels

### **Recommendations**

- Corrective actions for the design, implementation, monitoring and evaluation of future related projects
- Actions to follow up or reinforce initial benefits from the project
- Proposals for future directions in reclassification and conservation plans, and policies

### **Lessons learned**

- Best and worst practices in addressing issues relating to relevance, performance and success

### **Annexes**

- i) ToR
- ii) List of persons interviewed
- iii) Summary of field visits
- iv) List of documents reviewed
- v) Data Collection Tools used during the evaluation
- vi) Co-financing and Leveraged Resources (as per attached table)

## CO-FINANCING AND LEVERAGED RESOURCES

### A. CO-FINANCING

Co financing (Type/ Source)	IA own Financing (mill US\$)		Multilatéral Agencies (Non-GEF) (mill US\$)		Bi-laterals Donors (mill US\$)		Central Government (mill US\$)		Local Government (mill US\$)		Private Sector (mill US\$)		NGOs (mill US\$)		Other Sources* (mill US\$)		Total Financing (mill US\$)		Total Disbursement (mill US\$)	
	Pro posed	Act ual	Pro posed	Actu al	Prop osed	Actu al	Prop osed	Actu al	Prop osed	Actu al	Propo sed	Actua l	Propo sed	Actu al	Prop osed	Actua l	Prop osed	Actua l	Propo sed	Actual
Grant																				
Credits																				
Loans																				
Equity																				
In-kind																				
Non-grant Instruments*																				
Other Types*																				
<b>TOTAL</b>																				

- “Proposed” co-financing refers to co-financing proposed at CEO endorsement.

- Please describe “Non-grant Instruments” (such as guarantees, contingent grants, etc):

---

- Please explain “Other Types of Co-financing”:

---

- Please explain “Other Sources of Co-financing”:

---

Projects that have not realized expected co-financing levels must provide explanations. Please describe in 50 words the resources the project has leveraged since inception and indicate how these resources are contributing to the project’s global environmental objective.

## PROPOSED SCHEDULE OF ACTIVITIES AND CONSULTANCY DAYS

S/N	Evaluation Activity	Consultancy Days		Deadline	February, 2012				March, 2012				April, 2012				May, 2012	
		Internati onal	Local		Wk1	Wk2	Wk3	Wk4	Wk1	Wk2	Wk3	Wk4	Wk1	Wk2	Wk3	Wk4	Wk1	Wk2
1	Literature Review & Preparation of Inception Report (Including development of data collection tools & field checklists)	3 Days	3 Days	30 <sup>th</sup> Mar, 2012														
2	Presentation and submission of Inception Report	-	-	2 <sup>nd</sup> April, 2012														
3	Finalisation & submission of Inception Report based on review comments	1 Day	1 Day	6 <sup>th</sup> Apr, 2012														
4	Field Data Collection (UNDP & Government/ ZAWA HQ)	3 Days	3 Days	11 <sup>th</sup> Apr, 2012														
5	Field visits to demonstration sites (Bangweulu & Chiawa)	9 Days	9 Days	21 <sup>st</sup> Apr, 2012														
6	Data Analysis & Interpretation & Preparation of the Draft Report and distribution to stakeholders (with a meeting to discuss the preliminary report with the Quality Assurance Team)	9 Days	9 Days	6 <sup>th</sup> May, 2012														
7	Stakeholder Validation Meeting	1 Day	1 Day	11 <sup>th</sup> May, 2012														
8	Finalisation & submission of the final report	3 Days	2 Days	17 <sup>th</sup> May, 2012														
<b>Total: Consultancy period 29 days</b>		<b>29 Days</b>	<b>28 Days</b>															

## **Annex 2: List of persons interviewed**

### **UNDP**

Winnie Musonda, Ass. Resident Representative and Environment Advisor  
Andson Nsune, Monitoring and Evaluation Officer

### **Project Implementation Unit (PIU)**

Flavian Mupemo, Project Technical Coordinator  
Steve Mwansa, Project Accountant  
Pamela Kanyendo, Project Driver

### **Ministry of Lands, Natural Resources and Environmental Protection Department of Environment and Natural Resources**

Godwin Fishani Gondwe, Chief Environment Management Officer and Acting Director  
Ignatius Makumba, Chief Natural Resources Management Officer (chaired 3 of 6 Steering Committee meetings)  
Ackim Mwape, Natural Resources Management Officer and REMNPAS Focal Point

### **Forestry Department**

Mrs. Anna M. C Masinja, Director  
Sitwala Wamunyima, Project Officer Forest Inventory and Mapping  
Deutoronomy Kasalo, National REDD+ Coordinator  
Davies Kashole, Extension Officer and REMNPAS technical liaison officer

### **Fisheries Department**

Patrick Ngalande, Director  
Chisata Mubanga, Fisheries Officer

### **National Heritage and Conservation Commission**

Kagosi Mwamulowe, Regional Director, East and Central

### **ZAWA**

Edwin Matokwani	Director General
Liwen Sitali	Project Coordinator
Chansa Chomba	Ag. Director Research and Planning

### **NGOs**

Prof. Patrick Matakala, Country Director, WWF Zambia Country Office

### **Chiawa/Chirundu**

Maxwell Siamalimba, ChirunduDC and Representative of HRH Chiawa on the Board of C

### **ZAWA**

Solomon Chidunuka, Area Warden  
Shachili Silumezi, Ranger  
Betty Msimuko, Extension Officer  
Ballard Namwanga, Accountant  
Brian Somili, Accounts Clerk  
Obrien Hamonga, Community Assistant Extension Officer

### **H.R.H. Chieftainess Chiawa**



**Chiawa CRB**

Jackson Zindoga, Chairperson  
 Lackson Kabona, Secretary  
 Ekele Kapesa, Resource Management Committee Vice Chair  
 Iwell Funga, Community Development Committee Chair  
 Boneface Chiawa, Finance Management Committee Chair  
 Mike Chipanda, Board Member Chiawa CommunityPartnership Park

**Focus Group (Men) Community**

Clifford Chipungu, Kandoko Village  
 Samuel Kazunga, Kalipanyo Village  
 Matthew Chiewshe, Muchingmiri Village  
 Ackson Banda, Kalipanyo Village  
 George Mulinganiza, Chiawa Village  
 Lenton Mpilipili, Kandoko Village  
 Gibson Phiri, Chiawa Village  
 Blackson Zulu Nengo, Vag Scretary , Maunde Village  
 Jackson Mvula, Vag, Chilimanga Village  
 Brighton Zindoga, Kabusadu Village

**Focus Group (women) Community**

Miriamimba  
 Prisca Mugusa

**Bangweulu Wetlands****Bangweulu Wetlands Project/Chikuni Community Park**

Graig Reid, Park Manager  
 Jonathan Chisaka, Community Coordinator

**ZAWA**

Patrick Nyirenda, Area Warden  
 Kennedy Chipepa, Assistant Investigations Officer, Chiunda Ponde  
 Geoffrey Sichali, Senior Wildlife Police Officer, Kopa Subsector in charge

**Mpika District Administration**

Moses Katebe, District Commission  
 Edwin Kikamba, District Fisheries Officer  
 Precious Miti, District Community Development Officer  
 Francis Mutale, District Forestry Officer

**Chiunda Ponde Area**

H.R.H Chief Chiunda Ponde  
 Edward Chola, Advisor to H.R.H  
 Councillor Humphrey Katemba, Lulimala Ward  
 Francis Sampa, Chiunda Ponde CRB Community Development Committee Chair

**Chiunda Ponde Community Focus Group**

Mwape Chembe, Chiunda Ponde Village  
 Lameck Chulu “ “  
 Emmanuel Mulenga “ “  
 Grace Kasoma “ “  
 Clara Kabinda “ “

**KopaArea**

H.R.H Kopa

**Kopa CRB**

Benson Mwila, Chair

Joseph Muma, FMC Secretary

David Chakulimba, CRB Secretary

Augustine Kaluba, member

Tamara Lombe, Bookkeeper

**Twime Tubombeshe (women) Club**

Grace Lombe, Chair

Teresa Chilekwa, Secretary

Elizabeth Bwalya, Treasurer

Ellen Muma, Member

Teresa Mulenga. Member

**Natweshe (women) Club**

Rabecca Matambo, Treasurer

Rosemary Mwape, Trustee

Febby Shine, Member

**Kabinga Area**

H.R.H Kabinga

Councillor Kellys Nsofwa, Lulinga Ward

**Kabinga CRB**

Sidney Mwaba, Chair

Major Chibamba, Secretary

Aaron Mwaluba, Resource Management Committee Chair

Boars Chota, Community Development Committee Secretary

Lameck Malama, Community Development Committee Chair

Dickson Mwaba, Headmen Representative

Obed Chabu, Bookkeeper.

**Chitambo Area**

H.R.H Chief Chitambo

**Chitambo CRB**

Landson Chitambe, Chair

Emmanuel Mulenga, Vice Chair and Secretary

Jude Chilambe, FMC Chair

Timothy Kapolo, member

Weston Nkandu Ngombe, Chief's Representative

**Nsamba Area**

H.R.H Chief Nsamba

Emmanuel Musenge, CRB Chair

**Bwalya Mponda Area**

H.R.H Chief Bwalya Mponda

Lucas Mwansa, CRB Chair, former Board Member

**Wildlife Conservation Society**  
Dr Dale Lewis

**Bangweulu Wetlands Management Board Community Representatives**  
Mwape Sichilongo

## **Annex 3: Summary of field visits**

### **Maxwell Siamalimba, Chirundu DC and representative of Chieftainess Chiawa on Board of CCPP**

Biggest risk to the CCPP was the apparent dominance of the business partners especially in the light of modest education of the community representatives.

The current tour operators want to operate the CCPP as a closed club to protect their own business with attitude of preventing fresh investor's e.g. strong opposition to Protea and other new investors

Community representatives should have good education.

### **HRH Chieftainess Chiawa**

Major risks to CCPP

- Fear of competition by tour operators
- Community representatives not well educated not effective representatives

Need for effective monitoring of the Board by the community

- Current Chair is often out of Zambia and this makes it difficult to hold Board meetings.
- ZAWA should react promptly to cases of damage by animals
- ZAWA should issue special license to chiefs for special traditional events.

### **Mike Chipamba, member Chiawa CCPP Board**

Not fully understood the business plan prepared by the Board

Need to focus on major community needs and challenges. For instance the area's food insecurity is mainly caused by crop damage by animals. Many people refrain from agricultural activities because of fear of wasting their efforts in the light of rampaging wild animals.

### **Mpika**

**Edwin Kikambe: District Fisheries Officer**

**Precious Miti: District Community Development Officer**

**Francis Mutale: District Forestry Officer**

Fully involved during the project identification, and initial implementation stage. After shift of the project to ZAWA, all felt it was ZAWA project.

### **HRH Chief Kopa**

Project failed completely on fishery side, and did not do much on forestry

Proposal of Kopa- Chiunda Ponde road and Lwitikila Bridge to draw people away from animal corridors was not taken by project. This failure will complicate relocation and settlement of people currently in animal corridors. Emphasis on residential houses at expense of strategic road and bridge was misplaced priority.

Conservation strategies should also emphasize alternative livelihoods in swamps where poaching is rampant.

Need bangweulu ( Chikuni) Park Board to be answerable to the community and chiefs through annual general meeting of stakeholders.

### **Kopa CRB**

The new Chikuni Board member has been in consultation with CRB. The CRB reports quarterly to stakeholders. The Chikuni Board should also report annually to the stakeholders'

For families who are to be resettled from animal corridors, there should be emphasis on livelihood strategies.

**Twime tubombeshe (women ) Club**

Grateful for loan of K1.5 m, but feel that a 20 member group can do better with a higher loan amount.

**HRH Chief Chiunda Ponde**

In view of the wide expanse of the wildlife estate, there was need for more law enforcement officers. The reduction in law enforcement officers was bound to compromise conservation strategy.

**Chiunda Ponde Community Focus Group**

REMNPAS project has created some jobs, but women have been excluded from those jobs. Community empowerment should include vocational skills training for women

**Councillor Humphrey Katemba, Mpika**

Community ownership of the wildlife estate and development agenda can be assured through:

- a) Need for structured consultations between Board members communities to reflect community needs. Board members should have structured quarterly consultations with CRBs and these should be synchronised with Board meetings
- b) Just like in the corporate world, the Board should not operate as the supreme organ. The Board's performance should be reviewed by annual general meeting of the principal stakeholders.

**Capacity Development**

Community capacity development should adopt a long term view and stress sensitization of school pupils with appropriate curriculum on sustainable environment for primary and secondary schools.

Capacity development should be extended to foreign staff members of partner institutions in form of structured basic introduction to local language and basic cultural values of communities in which they will operate.

Conservation strategies should include rehabilitation strategies for (wildlife) ex convicts to discourage them from going back to their old habits

**Chief Kabinga**

Project not consulting community on major issues, new park manager who assumed office in 2011 has not even visited Chief Kabinga and presumably other chiefdoms.

Centralization of law enforcement officers has tended to deprive this area of security.

**Councillor Kellys Nsofwa, Chief Kabinga area**

Project has improved wildlife stock, but with the recent reduction in law enforcement staff, there is high risk of reversing this trend.

The stakeholders rejected change of articles of association for the Bangweulu partnership Park, but partner changed the articles using chiefs in isolation of communities.

Bypassing community views in this way can make it difficult for the partnership to enjoy the confidence and support of the community that is absolutely necessary for long term sustainability of the partnership strategy.

**H.R.H Nsamba (formerly ZAWA Officer)**

Project was supported by chiefs and communities on the basis of two expectations:

1. Sustainable conservation of wildlife

The shifting of scouts from some chiefdoms has made those areas vulnerable to poaching. The conservation objective has been compromised.

There are no development programmes in my area. Project was supposed to build scouts houses in each chiefdom, but only two chiefdoms had houses built. A big boat bought by the project has remained packed at Nkondo instead of its being commissioned.

African Parks has adopted high handed approach to management. Community views are routinely disregarded e.g. communities rejected the proposal of shifting scouts from some areas. 25 Jan 2012, AP threatened to pull out if we (chiefs) did not accept their proposed changes to the articles of association which had earlier been rejected by stakeholders meeting. In spite of strong reservations, the chiefs accepted the changes in order to save the project, and gave AP 3 years to prove they are reliable partners. The articles will be reviewed after 3 years. Chiefs' views were that chairman will be elected from Board members representing communities.

The Board should subject itself to an annual general meeting of stakeholders.

The chiefs agreed to the idea of high calibre Board members who may not necessarily be resident in Bangweulu Wetlands, but they should consult regularly with communities so that they are effective representative.

### **H.R H Bwalya Mponda**

Our commitment to conservation dates back to 1943 when my ancestor Senior Chief Kalimankonde the 12<sup>th</sup> Chalwe Mwansa passed decrees on conservation of wild animals and fish.

Our ancestral boundaries of 1940 should be respected by Government and every body else, and should not be disturbed by any management arrangements.

Chikuni area is under my jurisdiction, but I accepted to work with other chiefs in the spirit of conserving the Bangweulu ecosystem. But our experiences so far can not justify our continued relationship.

African Parks has not contributed anything to this partnership, and has transferred UNDP financed houses intended for my area to other chiefdoms.

In 2011, the communities and I rejected AP's proposals for changes to the articles of association and I have rejected further dealings with A.P. Thus I boycotted the AP chiefs meeting held in Lusaka in January 2012 and I have refused to sign the purported new articles of association. I am considering a separate conservatory for my chiefdom, rather than work in a partnership which clearly has no benefit for my people.

### **Lucas Mwansa, Bwalya Mponda CRB Chair and former Bangweulu Wetland Project Board member**

The AP has tried to impose its will even against categorical Board decisions. For instance for 2009-2011 the Board accepted UNDP resources and budget for scouts houses in four chiefdoms, Kopa, Chiunda Ponde, Nsamba and Bwalya Mponda, and all the four chiefs provided land for that, but the AP led management systematically frustrated that Board decision and built all houses in Kopa and Chiunda Ponde. The Park Manager was not reporting Board decisions to other managers to promote implementation of Board decisions.

The AP appointed chair had never been to Bangweulu to interact with chiefs or communities.

While Board emphasized community liaison, AP management, against Board views and community views removed community facilitators from chiefdoms. Unlike the old Board, there is no interaction between new Board members and communities.

There is need for regular consultations between Board members and the communities they represent.

Above all there is need for the Board and management to meet with stakeholders twice a year.

### **Professor Patrick Matakala – Country Director, WWF Zambia Office, Lusaka**

REMNPAS was an important project, but PA categories e.g. forests not benefited from project. Processes were donor driven, forests left out because of this; Project had ownership problems. FD, private sector –felt project was too driven by ZAWA; Gap analysis not entirely clear-did not include other categories e.g. wetlands and wetlands policy not considered in the project.

Premise for REMNPAS not clear, no link to national strategic framework; drive for REMNPAS viewed as partnership parks, especially for wildlife

Not right time to stop UNDP support; project needs time to consolidate functioning of partnerships and livelihoods perhaps next 2-3 years, and to explore development of income from wildlife and fisheries and honey production; Also need to transform village scouts to extension; law enforcement should be domain of government. GRZ/ZAWA should play regulatory role

**Mwape Sichilongo – Bangweulu Wetlands Project Board member representing Chiundaponde and Chitambo**

Project is good, but expresses too much vision of the Government and UNDP and not communities ; Crisis in community expectations on project-quite high and needs managing; perhaps raised by announcements of funding levels to the project raised expectation; need to heighten community engagement ;

Partnerships for livelihood improvements need to be engaged-WWF Miombo Ecoregion project on such opportunity. African Parks vision needs to be informed by what is happening in the communities; Communities need to feel they are in control-otherwise they distance themselves from the project. Major decision should consider input of communities –e.g. decision to make AP as main partner.

Community capacity building needs real attention; Project Board will need to address-partnerships with other entities that could assist. African Parks needs to appreciate the aspect of community engagement. Need for the CDFs to help Community Coordinator for effective engagement. Consultation with communities at twice a year, other special meetings could also be considered

Dual role of ZAWA perhaps necessary in the transition phase; may not be ideal, stronger regulatory role may have to develop later

## **Annex 4: List of Documents Reviewed**

2011 Management Effectiveness Assessment of Protected Areas managed by the Zambia Wildlife Authority, Summary Report, REMNPAS Project Report, Zambia Wildlife Authority.

A brief on the REMPAS submitted to the Permanent Secretary (Ministry of Lands Natural Resources and Environmental Protection) and Chairman of the Project National Steering Committee, Part 1 of 2; REMNPAS Project Report April 2012, Zambia Wildlife Authority

A Country Wide Survey of Large Mammals (2008) – Zambia, GRZ/AWF

A Preliminary Examination of Public Private Partnerships in National Park Management in Zambia, 2006, Whydah Consulting Ltd

Aerial Survey of Black Lechwe and Other Large Herbivores in the Bangweulu and Kafinda Game Management Areas and Kasanka and Lavushi Manda National Parks, Zambia, REMNPAS Project Report 2007

Amended Articles for the Articles of Association of Bangweulu Wetlands Management Board April 2012

Bangweulu Game Management Area General Management Plan 2010-2020

Bangweulu Wetlands Management Project, 5-Year Business Plan 2012-2016

Bangweulu Wetlands Project 2011 Annual Report

Bangweulu Wetlands Project August Monthly Report 2012

Bangweulu Wetlands Zambia, Aerial Wildlife Survey, Bangweulu Wetlands Management Board, 2009

Cabinet Memorandum to amend the Zambia Wildlife Act No10 of 1998

Chiawa Demonstration Site Heritage Reconnaissance Survey Report, REMNPAS Project Report, 2007, National Heritage Conservation Commission

Chiawa Game Management Area General Management Plan 2010-2020, Zambia Wildlife Authority

Draft Agreement between the Zambia Wildlife Authority and Her Royal Highness Chieftainness Chiyaba and the Chiawa Community Resource Board and the Lower Zambezi Conservation Trust relating to the Management of the Chiawa Partnership Park

Draft Chiawa Partnership Park, A 5-Year Strategic Business Plan (2010-2014) for the Management of the Chiawa Partnership Park

Draft legislation for Game Reserves

Draft legislation for Partnership Parks (*Addendum to the Zambia Wildlife Act of 1998 as amended, July 2010*).



Financial Costs for Different Expenditure Scenarios for Effective Management of Protected Areas Managed by the Zambia Wildlife Authority, REMNPAS Project Report 2009

Financial Sustainability Scorecard: For West Lunga Demonstration Site (West Lunga National Park, Lukwakwa and Chibwika-Ntambu GMAs managed as one Protected Area) 2009-2011  
Financial viability of current national parks and game management areas in Zambia: A case for 2006, REMNPAS Project Report 2006

Fisheries in Zambia: An undervalued contributor to poverty reduction, Policy Brief-1913, 2009, World Bank/World Fish Center

Gap Analysis of the Representation of the different vegetation types in Protected Areas Designated for the Conservation of Biodiversity, REMNPAS Project Report Ministry of Tourism, Environment and Natural Resources

Identification of Heritage in the Chiundaponde Chiefdom, 2006, REMNPAS Project Report, MTENR/NHCC/GEF/UNDP

Issue in Natural Resources Management, Northwestern Province, Zambia, July 2012, Mulungushi University Students Report

Law Enforcement Plan for Chikuni Community Partnership Park and the Bangweulu Game Management Areas, REMNPAS Project Report, Ministry of Tourism, Environment and Natural Resources

Letter to Senior Chief Kopa and Chiefs Chiundaponde, Bwalya Mponda, Nsamba, Kabinga and Chitambo from African Parks of 02 January 2012 re: African Parks position regarding further participation in the Bangweulu Wetlands Project.

Letter to Senior Chief Kopa and Chiefs Chiundaponde, Bwalya Mponda, Nsamba, Kabinga and Chitambo from African Parks of 15<sup>th</sup> May 2012 re: The Board Meeting and successful completion repositioning process

Management Effectiveness Assessment for Protected Areas Managed By the Zambia Wildlife Authority 2007, GRZ/GEF/UNDP

Synthesis of completed Management Effectiveness Tracking Tool for Protected Areas managed by the Zambia Wildlife Authority for the year 2007 Prepared by Henry Kankomba Mwima for The Ministry of Tourism, Environment and Natural Resources

Management Effectiveness Tracking Tool for Protected Areas Managed by the Zambia Wildlife Authority 2007, prepared by Henry Kankomba Mwima, ZAWA

Minutes of the Meeting with Chiefs and Community Representatives on inviting African Parks to Partner in the Management of Chikuni Partnership Park and the Bangweulu Game Management Area, 25<sup>th</sup> February 2007 Wilmo Guest House, Mpika

Mid-term Evaluation Final Report Report for the Reclassification and Effective Management of the National Protected Areas System Project Project ID:10/0043458 PIMS Number: 1937, Prepared by Oliver Chapeyama And David Mulolani

Minutes of the Meeting with Chiefs and Community Representatives on the Creation of New Protected Areas Category in the Bangweulu, 12<sup>th</sup> September 2007, Mazingo Motel, Mpika

Minutes of the Meeting with Chiefs, Local Community Representatives and Key Stakeholders on the Creation of a Game Reserve as a New Protected Area Category in the West Lunga Ecosystem, 18 August 2009, Roman Catholic Hall Mwinilunga,

Minutes of the Meeting with Zambian Government Representatives, NGO, Chiefs and Local Community Representatives on the Creation of Chikuni Community Partnership in the Bangweulu, 29<sup>th</sup> October Andrews Motel, Lusaka

Minutes of the Meeting with Zambian Government Representatives, NGOs, Chiefs and Local Community Representatives on the Creation of West Lunga Game Reserve in Northwestern Province, 15<sup>th</sup> October 2009, Andrews Motel, Lusaka

Minutes of the Project Steering Committee- 2<sup>nd</sup> meeting (23<sup>rd</sup> December 2008); 3<sup>rd</sup> meeting (10<sup>th</sup> June 2009); 4<sup>th</sup> meeting (19<sup>th</sup> February 2010); 5<sup>th</sup> meeting (21<sup>st</sup> July 2011); 6<sup>th</sup> meeting (18<sup>th</sup> August 2011).

Natural Resources Consultative Forum, Newsletter, Vol 1, Issue 1.

Project Technical Report under Outcome 3, January-March 2007, REMNPAS Project, WWF Zambia Coordination Office

Public- Private- Civil Society Community Partnership Review and Draft Policy Development, REMNPAS Project Report

Public-Private-Partnerships in Protected Areas Management involving Customary Land in Zambia, REMNPAS Project Report 2010, MTENR

Reassessment and Repositioning of the Bangweulu Wetlands Project, Discussion Paper, March 2011, African Parks

Reclassification and Conservation Plan for the National System of Protected Areas in Zambia 2010, MTENR

Reclassification and Effective Management of the National Protected Areas System Project Document

Reclassification and Effective Management of the National Protected Areas System, Project Brochure, MTENR/ZAWA/GEF/UNDP

REMNPAS Annual Project Reports, 2009, 2010, 2011

REMNPAS Quarterly Project Report 2009-June 2012

Review and Synthesis of Lessons Learned Concerning Optimum structures for Multiple Resource Management in Zambia and Southern and Eastern Africa, REMNPAS Project Report 2008

Roadmap for the Revision of the National Parks and Wildlife Policy for Zambia

Socio-economic and Gender Analyses for Lower Zambezi (Chiawa GMA) and Bangweulu Basin), Final Report REMNPAS Project Report, WWF Zambia Coordination Office/Miombo Eco-region Conservation Programme

Summary of Study Done on Important Bird Areas in Zambia, REMNPAS Project Report MTENR/GEF.UNDP

Summary of the proposed process for the Review of the Zambia Wildlife Policy  
Testing New Protected Area Categories in Zambia: The Process of Establishing the Chikuni Community Partnership Park, 2009 REMNPAS Project Report, MTENR/ZAWA

The Elephant Survey-A country Report 2009, Government of the Republic of Zambia, Zambia Wildlife Authority, African Wildlife Foundation

The Protected Area Category System of the Republic of Zambia and Suggested Improvements, REMNPAS Project Report, MTENR/GEF/UNDP

The Roles of Traditional Leadership and Communities in Community-Based Natural Resources Management in Zambia, REMNPAS Project Report 2007  
Project level evaluation- Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed projects 2012, United Nations Development Programme.

Wet Season Survey of Large African Elephant and Other Large Mammals in Selected Areas of the Luangwa Valley, Zambia Wildlife Authority/WWF, 2011

## **Annex 5: Data collection tools used**

### **5a. Generic Question Guide**

---

#### **A. Overall relevance and compatibility of the Project**

1. What is your assessment of the overall relevance of the project within the local, national, regional and global contexts?
2. Is the project the most appropriate solution to the protected area problems of Zambia?
3. Have the project objectives been of relevance and of value to the sector?
4. Is the project consistent with national policies, in particular with regard to the alignment with the national environmental policy, decentralisation, policy on public private partnerships and the national development plans?
5. How does the project respond to the main priorities of the implementing agencies incl. strategic plans?

#### **B. Efficiency of implementation and monitoring of activities**

##### *Institutional arrangements*

6. Was the project appropriately designed to achieve the goals and objectives?
7. Was the project strategy adopted appropriate for achieving the goals and objectives; if not what could have been done better?
8. Are the project institutional arrangements appropriately structured to efficiently achieve project goal and objectives?
9. Was ZAWA the most appropriate location for the project?

10. What could have been done differently in the institutional arrangements to complete the project more effectively?

#### *Enabling policy and legal framework*

11. What steps have been taken by the project to put in place a supporting policy and legal framework to improve effective management of protected areas?
12. What new categories of protected areas have been proposed or adopted? What is the rationale for the proposals? Are they in line with the overall goal and objectives of the project? If not, why?
13. How were final categories selected?
14. What enabling policies or legal frameworks have been put in place to support the proposed categories?
15. What challenges have been encountered in developing and instituting the new policies and laws? How will these challenges be overcome in future?

#### *Planning and budgeting*

16. During project implementation have work plans been developed according to the original project document? What modifications have been made for the project to work better? Why were the changes made?
17. Are project activities part of annual work plans and budgets and do they contribute to any performance expectations/plans for the institutions concerned?
18. Are the budgets for the proposed activities realistic and acceptable? Are milestones or indicators identified?
19. To what extent were the work plans implemented? Were there clear documented guidelines for planning, budgeting, financial management, procurement, and activity implementation?

#### *Quality aspects*

20. Have the activities led to the desired outputs/results?
21. Is the quality of consultancies, ToRs, workshops and trainings of acceptable standards? Are there adequate quality control mechanisms in place?

#### *Value for money*

22. Are project inputs used in a cost-effective manner? If yes how?

#### *Reporting and monitoring*

23. Is project implementation efficiently monitored? Are reporting and accounting guidelines in place and of sufficient quality?
24. Are financial and technical progress reports produced timely and are they of acceptable quality?
25. Are monitoring results used to improve the efficiency and effectiveness of the project?

### **C. Project Impact**

26. To what extent has the project goal been attained? Has the project met the needs that led to this project? Do those needs still exist?
27. Are there any other related needs that have arisen that the project has not addressed?
28. What have been the positive effects of the project on the project beneficiaries (Zambian Government, ZAWA, Protected Areas Management bodies, communities and households/individuals)
29. What changes have been experienced as a result of the project? (Medium/long term intended or unintended; positive and negative; micro or macro transformational changes and results in institutions and communities)

30. What changes positive or negative have been experienced on the state of biodiversity and natural resources in the supported pilot sites?
31. To what extent have project benefits been experienced outside the context of project design and the multiplier effects?
32. What outcomes should be considered for the future if pilot activities are to be scaled up?

#### **D. Project Partnership Strategy**

33. Was the adopted project partnership strategy appropriate and effective for attaining project results?
34. Was the range of partners of and quality of partnerships adequate for project delivery?
35. To what extent did the collaboration between government agencies civil society, donors and the private sector contribute to improved project delivery?
36. To what extent were the oversight, monitoring and evaluation capacities of MTENR, ZAWA and the communities in managing public/private partnerships
37. What lessons have been learnt for future support?
38. To what degree has the project complimented other environmental programmes with MTENR e.g. environmental management and mainstreaming, UN-REDD programme. Climate Change Programme and Integrated Land Use Assessment? And what are the factors that have strengthened or hampered this?

#### **E. Cross cutting issues**

39. How were gender issues addressed by the project?
40. How has the project addressed the challenges of HIV/AIDS in the project area?
41. In what way has the project contributed to reducing poverty levels in th demonstration sites?

#### **F. Application of the METT/METTPAZ**

42. Is the purpose of the tracking tool understood and appreciated by project staff?
43. Have the project staff received training for the implementation of the tool?
44. How often has the tool been used? How have the results been used to increase effectiveness of management of the protected areas?
45. Is it consistent with existing reporting systems?
46. Is the tracking tool an adequate management tool? What have been the strengths ad weaknesses of the tracking tool?
47. How can the tool be further improved for the effective management of protected areas in Zambia?

## **Annex 5b: Key Questions for CRBs/management boards in the Pilot Demonstration Sites**

---

### **G. Overall relevance and compatibility of the Project**

- 48. What is your assessment of the overall relevance of the project to your area?
- 49. Is the project the most appropriate solution to the protected area problems in your area?
- 50. Are the project objectives of relevance and of value to the community?
- 51. How does the project respond to the main priorities of the community groups involved in implementation?

### **H. Project Design and Institutional Arrangement**

- 52. In your view was the project appropriately designed to achieve the goals and objectives? Were the project goal and objectives discussed with the Traditional leaders/CRBs/Community before commencement?
- 53. Is the project strategy adopted in the demonstration site appropriate for achieving the goals and objectives; if not what could have been done better?
- 54. Are the project institutional arrangements in the demonstration site appropriately structured to efficiently achieve project goal and objectives?
- 55. What could have been done differently in the institutional arrangements to complete the project more effectively?

### **I. Development of Community Capacities**

- 56. What steps has project taken to raise awareness amongst traditional leaders/CRBs/PA management boards of the project and its objectives in the demonstration site?
- 57. What steps has the project taken to improve community capacities for conservation? Has any training been provided? What materials have been developed and made available for use?
- 58. What steps has the project taken to improve transparency and the flow of information between national executing bodies, ZAWA, Management Boards and communities? What have been the main challenges and how can they be overcome?
- 59. What steps have been taken to improve accountability for financial management of the CRBs/Management Boards? What training has been received?
- 60. What steps have been taken to improve work planning and budget capacities for the CRBs/Management Board? What type of training has been provided by the project?
- 61. To what extent were the CRB/management board work plans implemented? Are there clearly documented guidelines for planning, budgeting, financial management, procurement, and activity implementation?
- 62. Are monitoring and reporting guidelines in the CRBs/management boards in place? Are they helpful? Are financial and technical progress reports produced timely?
- 63. How have the monitoring results been used to improve the management capacities of the CRBs/management boards?

### **J. Project Impact**

- 64. To what extent has the project goal/ objectives been attained in the demonstration site? Has the project meet the needs that led to this project? Do those needs still exist?
- 65. Are there any other related needs that have arisen that the demonstration site that have not been has not addressed? Please mention these.
- 66. What have been the positive effects of the project on the beneficiaries (Zambian Government, ZAWA, Protected Areas Management bodies, communities and households/individuals
- 67. What changes have been experienced as a result of the project? Positive or negative?
- 68. What changes positive or negative have been experienced on the state of biodiversity and natural resources in the supported pilot sites?

69. To what extent have project benefits been experienced outside the demonstration site?
70. What outcomes should be considered for the future if pilot activities are to be scaled up

## K. Project Partnership Strategy

71. Was the adopted project partnership strategy appropriate and effective for attaining project results?
72. Was the range of partners and quality of partnerships adequate for project delivery? Who else should have been included and why?
73. To what extent has the collaboration between government agencies, management board and the private sector contributed to improved project delivery in the demonstration site?
74. To what extent have the oversight, monitoring and evaluation capacities of MTNER been effective in managing public/private partnership in the demonstration site
75. What lessons have been learnt for future support?

## L. Cross cutting issues

76. How have gender issues addressed by the project to the benefit of the CRBs/management boards?
77. How has the project addressed the challenges of HIV/AIDS in the demonstration site?
78. In your view, in what way has the project contributed to reducing poverty levels in the demonstration site?

## M. Application of the METT/METTPAZ

79. Is the purpose of the tracking tool understood and appreciated by CRBs/management board?
80. Has the CRBs/management board participated in the application of the tracking tool?
81. Have the CRBs/management board received any training for the implementation of the tool?
82. How often has the tool been used? How have the results been used to improve effectiveness of management of the protected areas?
83. Is it consistent with current CRB/management board reporting systems/cycles
84. Is the tracking tool an adequate management tool? What are the positive and negative aspects?
85. How can the tool be further improved for the effective management of protected areas in demonstration site?

# Annex 6: co-financing and leveraged resources

## A. CO-FINANCING

Co financing (Type/ Source)	IA own Financing (mill US\$)		Multilateral Agencies (Non- GEF) (mill US\$)		Bi-laterals Donors (mill US\$)		Central Governm ent (mill US\$)		Local Go vern ment (mi ll US \$)		Privat e Sector (mill US\$)		NGOs (mill US\$)		Other Sourc es* (mill US\$)		Total Financing (mill US\$)		Total Disbursement (mill US\$)	
	Prop osed	Act ual	Prop osed	Act ual	Prop osed	Act ual	Prop osed	Act ual	Prop osed	Act ual	Prop osed	Act ual	Prop osed	Act ual	Prop osed	Act ual	Prop osed	Act ual	Prop osed	Actual
Grant	2.0	2.37	5.76	7.32	13.14	13.45	12.31	9.77	-	-	-	3.33	1.88	.2	-	2.68	35.09	39.46	35.09	38.67

														8					
Credits																			
Loans																			
Equity																			
In-kind																			
Non-grant Instruments *																			
Other Types*																			
<b>TOTAL</b>																			

- “Proposed” co-financing refers to co-financing proposed at CEO endorsement.

#### **Details of Other Sources of Co-financing”:**

- Actual Implementing Agency ‘s (IA) own financing to the project increased from US\$2 million to approximately US\$ 2.4 million to facilitate the revision of Wildlife Policy and Act and securing of a private partner for West Lunga Demonstration Site.
- With regard to Multilateral Agencies support, the World Bank under the International Development Association (IDA) had disbursed more resources (US\$7.32 million) to support the Expansion and Economic Diversification (SEED) Project than committed in the project document (US\$5.76 million).
- The Royal Norwegian Government and the Danish (Bilateral Donors) had disbursed US\$13.45million compared to the committed US\$13.14 million committed at Project Document endorsement.
- African Parks Network (APN) provided US\$3.33 million (at least US\$1.0 million annually for the past three years, 2009 to 2011) as co-financing to the Bangweulu Wetlands Management Board (BWMB). APN was engaged as a private partner for the BWMB, hence the low disbursement under the NGOs commitments.
- 
- African Wildlife Foundation( NGO) had contributed US\$.28 million towards infrastructure development and other administrative costs in the Chiawa/ Lower Zambezi Demonstration Site
- The Government of the Federal Republic of Germany through the International Climate Initiative disbursed US\$2.67 million to the Sustainability of the Miombo Ecoregion through the Enlargement and Improved Management of Protected Areas (West Lunga).

## **Annex 7: Evaluation Matrix**

<b>Term of Reference</b>	<b>Method</b>	<b>Expected Result</b>
<b><i>Project Coordination and institutional arrangements</i></b>		
TOR1: Adequacy of the project institutional and management arrangements within the context of project relocating to ZAWA from the MTENR and structuring of 2007	Literature review; Key informant interviews with the project key players notably ZAWA, Forest Department, Fisheries Department, and the Heritage and National Conservation Commission.	Improved and effective coordination systems and participation of these key players in the project implementation.
<b><i>Project Partnership Strategy</i></b>		
TOR2: Appropriateness and effectiveness of the project partnership strategy	Literature review; Key informant interviews with identified project’s partners;Secondary information will focus on these questions to determine effectiveness of the partnership strategy; focus group discussions; direct observations.	Listing of current project partners. MoUs signed; range, quality of, and involvement and contribution of partners; specific roles of partners and appropriateness of the partnership development strategy, Specific synergies built or collaborative effort with other projects either at national or local levels. Documentation of improved



		community organisation capacities to participate effectively in innovative partnerships.
<b><i>Enabling environment for public/private /community/ civil society partnerships in the management of protected areas.</i></b>		
TOR3:Conduciveness of environment for broad based partnerships in the management of protected areas,	Literature review; key informant interviews; focus group discussions	Documentation of steps taken to promote a legal framework that is conducive to the innovative partnerships in the protected areas; level of awareness and interest raised by the project among the potential partners especially the communities and civil society.
<b><i>Effectiveness of key players in managing Public/ private/community/civil society partnerships</i></b>		
TOR4: Adequacy of capacities of Government executing departments ZAWA ad PA Teams and beneficiaries for managing innovative partnerships	Key informant interviews; focus group discussions	Identification of key strengths and major weaknesses of departments, PA Teams and communities; identification of exogenous factors that bear on partnerships; documentation of how coordination arrangements impact on effective participation of all players; documentation of lessons for future, drawing from challenges and risks associated with high turn-over of Cabinet Ministers and the restructuring of Cabinet portfolios responsible for executing departments and ZAWA
<b><i>Cross-cutting issues</i></b>		
TOR5: Whether gender and HIV/AIDSs, other cross-cutting themes were adequately addressed in the interventions (as per scope) and captured the differentiated effects on implementation.	Key informant interviews, Review of relevant project documents and works plans.	Extent of gender/HIV/AIDSs mainstreaming; recommendations on shortfalls
<b><i>Strengthening Management Effectiveness for Protected Areas</i></b>		
TOR6: Application of the METT/METTPAZ	Literature review, key informant interviews; observations	Narration of how the METTPAZ has been applied and how it contributed to the overall management effectiveness and efficiency of the demonstration sites and in PA's in general.
<b><i>Monitoring and Evaluation Capacities</i></b>		
TOR7: Adequacy of MTENR, ZAWA and local communities capacity in managing public/private partnerships	consultations and literature review,	Determination of technical capacities developed in MTENR, ZAWA and local communities for oversight, monitoring and evaluation; documentation of lessons for future support
<b><i>Replication and Scaling up of project lessons and experiences</i></b>		
TOR8: How can project lessons and experiences best be replicated or scaled up in the design and implementation of other projects, policies and legal frameworks?	Consultations and analysis of replication models	Identification of major factors that contributed positively to project implementation and see how these could be factored into new projects; Identification of key factors that tend to hinder project

		implementation and how new initiatives may be shielded from such factors or how negative factors can be mitigated
--	--	---

## Annex 8: Demonstration Site activities indicators and outputs and progress achieved

### Annex 8A: Analysis of Bangweulu Demonstration Site activities, indicators and outputs, and progress achieved

Outputs from Logframe	Performance Indicator	Comment on indicator and relevance	Activity	Results as reported by Project	Evaluation Team Comments
<b>Output 3.1 Awareness raising and two way dialogue with stakeholders on the Bangweulu field demonstration site objectives and participatory approach</b>	High level of awareness amongst community in project area and bordering areas of the projects objectives methods and goals. Active participation from all sectors with all parties sharing knowledge and lessons learned. <b>Baseline:</b> Traditional leaders, CRB, selected community representatives and local officials/technical services are informed and support the project objectives.	Indicator is relevant and targeted, but not quantifiable; it can be tracked  Second part of indicator is an activity.	3.1.1 Identify and develop profiles of all stakeholders ZAWA, KTL Stakeholder profiles established	<ul style="list-style-type: none"> <li>Preliminary stakeholder profiles develop as part of Capacity Assessment of Key Partners during project development phase ;</li> </ul>	<p>The Output lookedfor raised community awareness.</p> <p>The Team notes that meetings and other sensitisation events held are not the properly reported results for this output. The results of raised awareness could have been documented through a proper survey of stakeholders</p> <p>More current detailed stakeholder profiles were unavailable;</p> <p>Awareness of project at confined to those associated with either the CRB or VAG. Limited awareness in wider community members; Information flow beyond VAG constrained</p> <p>For instance perceptions were that project was a CBNRM project and not biodiversity conservation project</p>
			3.1.2 Meet with traditional leaders, CRB and community representatives, government authorities, technical services, NGOs, others to fully discuss project objectives, targets, outcomes and participatory approaches to be used.	<ul style="list-style-type: none"> <li>Community meetings facilitated by WWF; 4 Chiefdoms covered;</li> <li>Community concerns raised include: delay over commencement of project implementation; difficulties in project conceptualisation (no translation to local language); concerns with KTL participation; controversy over fish resources; need for new CRB members as project commences; increased scout numbers; need for chiefs forum to discuss NRM issues.</li> </ul>	
			3.1.3. Conduct awareness raising and develop 2-way dialogue with all project area communities by project extension officers with public meetings, written materials, video and drama presentations	<ul style="list-style-type: none"> <li>Awareness conducted down to the VAGs. Thirty (30) VAGs covered.</li> <li>CRB representation on Management Board to facilitate communication;</li> <li>Regular project/Board/community meetings held</li> <li>Extension Coordinator in place including community facilitators placed in the six chiefdoms.</li> </ul>	

<b>Output 3.2: Strategic infrastructure established</b>	Essential infrastructure for functioning of the project is in place. <b>Baseline:</b> KTL and ZAWA Chikuni post have radio communications. Almost no road maintenance in area.	Indicator is specific, relevant and targeted; no quantities specified	3.2.1 Establish telecommunications network for CRB/communities in project area for communications amongst themselves and with ZAWA, KTL, PC and UNV.	<ul style="list-style-type: none"> <li>Radio communications system set up including installation at 6 ranger posts with repeater station on Lavushi Manda Hill;</li> <li>V-Sat installed at Chikuni Field HQ;</li> </ul>	<p>The Output is seeking to strengthen the means of communication and mobility for effective PA management.</p> <p>The evaluation team confirms:</p> <ul style="list-style-type: none"> <li>Establishment of the telecommunications network; repair and maintenance of access roads and the landing strips; allowing all season access between the headquarters and operational areas</li> <li>bridge across the Lukulu River was constructed to allow access to the hunting area and Makanga Hunting Camp</li> <li>An entrance gate has also been constructed.</li> <li>directional signage installation</li> <li>Construction of new project office at Nkondo and Staff houses at Kopa, Bwalya Mponda and Chiundaponde; None at Kabinga, Bwalya Mponda and Nsamba; Staff houses rehabilitated at Chiundaponde'</li> <li>Operations office constructed at Kopa</li> <li>Equipment purchased and delivered</li> <li>Hunting camp operational</li> </ul> <p><b>However:</b></p> <p>Construction of airplane hangar dropped</p> <p>Construction of ablution block cancelled</p> <p>No water provided to new staff housing at Kopa and Chiundaponde sources of water not improved</p> <p>Construction of bridge over Lwitikila river suspended</p> <p>Construction of road from Kopa to Chiundaponde suspended.</p>
			3.2.2 Repair/open strategic access roads and landing strips KTL Maintenance and upgrading of strategic access	<ul style="list-style-type: none"> <li>Access roads maintained regularly;</li> <li>Lukulu and Lwitikila river bridges constructed;</li> <li>Access roads to Chikuni park ,hunting camp and Chitambo upgraded/maintained/constructed respectively;</li> </ul>	
			3.2.3. Build/rehabilitate and equip offices/facilities/lodging for project needs	<ul style="list-style-type: none"> <li>New project office at HQ (Nkondo) and visitor facilities and kitchen, and office block/stores at Kopa...staff houses have been constructed; Kopa (9); 17 Houses rehabilitated at Chiundaponde (9);</li> <li>220.240v generator procured and delivered to Chiundaponde;</li> <li>Central workshop constructed; ;</li> <li>Management tents procured in Bangweulu and equipped with relevant facilities and communication;</li> <li>Hunting camp set and fully functional; was ready to receive clients in 3rdQ of 2011</li> </ul>	
<b>Output 3.3: Cost-effective protection/enforcement established for wildlife and other natural resources in project area based on consultations with communities</b>	Planned, managed and supported cost efficient protection measures in place to conserve resources as appropriate in each PA. Cooperation between government agencies and community managers across wildlife, fisheries and forestry. <b>Baseline:</b> ZAWA, CRBs and	Indicator is specific, relevant and targeted; no quantities specified	3.3.1 Evaluate the strengths, weaknesses and effectiveness of the present enforcement systems (ZAWA wildlife police officers (WPO), CRB community scouts and KTL scouts), review lessons learned from other PA managers in Zambia and	<ul style="list-style-type: none"> <li>A total review of the law enforcement effort was carried out and numerous structural and tactical changes have been implemented</li> <li>Strengths and weaknesses identified of present enforcement system and</li> </ul>	<p>This output seeks to establish effective law enforcement in the demonstration site.</p> <p>The team verified these and other achievements for this output from various reporting documents and from the site visit.</p>

	KTL have scouts but ZAWA units and CRB are not well managed or supported so have limited effectiveness and operational scope. Few if any Fisheries and Forestry Officers are working in the Project Area		develop an integrated, cost-effective, incentive based enforcement plan for the GMAs, Lavushi Manda NP and Kasanka NP.	integrated into an Enforcement plan for Chikuni Partnership Park and Bangweulu GMA	<p>Team had no information regarding law enforcement effort in Lavushi Manda and Kasanka</p> <p>Training focused on operational staff</p> <p>Training for certification in Wildlife Management was postponed</p> <p>Law enforcement personnel could have also benefitted from training in CBRNRM to improve communication with the wider community.</p>
			3.3.2 Recruit/redeploy and equip community scouts/WPO (including transport, equipment and accommodation, management support and incentives.) and implement enforcement plan	<ul style="list-style-type: none"> <li>• Wildlife scout equipment procured</li> <li>• Law enforcement operations undertaken-marked improvement in the efficiency and frequency of anti-poaching patrols reported ;</li> <li>• Purchase of outboard and engines;</li> <li>• Procurement of staff bicycles, rations for patrolling and continued replacement of ammunition through ZAWA;</li> <li>• on-going provision of WPO/Scout incentives;</li> <li>• on-going provision of airplane running costs for aerial surveys,</li> <li>• transport , equipment and communication running costs;</li> <li>• purchase and allocation of WPO/Scout uniforms.</li> </ul>	
			3.3.3 Provide training to community scouts and WPOs	<ul style="list-style-type: none"> <li>• Provision of refresher training course for all law enforcement personnel (Scouts ad WPOs) in ballistics, field tactics, corruption, discipline, firearms and tactics etc) at Chiundapone; Lavushi Manda</li> <li>• 23 Village scouts trained at Nyamaluma in law enforcement;</li> <li>•</li> <li>• Training for the Coxswain and newly recruited village scouts;</li> <li>•</li> </ul>	
			3.3.4 Provide training for PA managers directly responsible for managing enforcement officers/scouts.	<ul style="list-style-type: none"> <li>• Training provided for village scouts</li> </ul>	

<b>Output 3.4: Increased capacity for community managers for planning, governance, record keeping, financial management, business skills, gender empowerment and HIV/AIDS awareness and prevention</b>	<p>Community PA managers have the capacities needed to sustainably manage the natural resources of the PA, including capacities for good governance, business management and planning, NR management and adaptive management. Traditional leaders, ZAWA, local government and technical service staff and NGO understand critical needs for CBNRM support and monitoring. Raised awareness amongst wider community means leaders and representatives enjoy the informed support of community at large.</p> <p><b>Baseline:</b> Indications are that the communities have a strong desire to be involved in planning, decision-making and implementation of resource management but lack the technical and governance skills needed to be effective</p>	<p>The indicator is relevant and targeted, but <b>not quantified</b>; no focus on the preparatory activity which is capacity building. Definition of “community” seems not made clear.</p>	<p>3.4.1. Conduct village-level workshops on strategic capacities needed during reclassification planning, e.g. participatory planning processes, good governance principles of transparency, accountability, equity, involvement of women and minority groups, systems of checks and balances, etc.</p>	<p>No reported results by project regarding village-level strategic capacities needed for reclassification planning</p>	<p>The output sought to build capacities for community managers for effective PA management</p> <p>The Team confirmed that no training was held specifically at village level for improving capacities for reclassification planning</p> <p>The Team confirms trainings and sensitisation sessions being held for financial management community representative at KOPA CRB; Leadership training at KOPA and Kabinga; Good governance training for Chitambo</p> <p>Team found no evidence of a conservation awareness plan being put in place in conjunction with schools, leaders and the broader community</p> <p>While various training were held for CRBs and other the team found no evidence deliberate effort a training of trainers programme to continue the work after the end of the project period, under supervision of CRB and other community groups</p>
			<p>3.4.2. Conduct training workshops for CRB/CCA managers, community leaders, ZAWA and local government staff in financial management, resource management, community development, business skills, management skills including adaptive management, democratic processes, gender empowerment leadership and HIV/AIDS awareness and its links to environment/community development</p>	<ul style="list-style-type: none"> <li>• Workshop held for targeted CRB members in financial management community representatives; sensitisation meetings on bad fishing methods held by Fisheries Dept;</li> <li>• Gender, health and HIV/AIDS awareness meetings conducted in all six chiefdoms</li> </ul>	
			<p>3.4.3 Organize exchange visits with other community PA management/CBNRM pilot projects in Zambia and sub-region</p>	<p>Six Bangweulu Chief taken on field visit to Botswana.</p>	
			<p>3.4.4 Develop and implement conservation awareness education program with schools, leaders and broader community. Project extension officers liaise closely and regularly with schools and adult groups using printed materials, video, drama and educational visits to wildlife areas</p>	<p>No report tendered on this activity</p>	

			3.4.5 Training of trainers to build up a corps of in-community trainers to continue the work after the end of the project period, under supervision of CRB and other community groups.	<ul style="list-style-type: none"> <li>• Training in Leadership and governance and financial management provided to CRBs and Community Development Facilitators and community leaders;</li> <li>• Gender , Health (water and sanitation) HIV/Aids awareness and sensitisation conducted in the communities; Addressing gender violence, advocating for the girl-child and gender equity;</li> <li>• Training for CDFs in data collection and participatory development management skills;</li> <li>• Training in business joint ventures conducted for all six CRBs;</li> </ul>	
<b>Output 3.5: Reclassification options identified based on biophysical and socioeconomic studies completed</b>	Comprehensive sociological and biodiversity/ecological database and maps exist for Project Area.  <b>Baseline:</b> Kasanka NP and Kafinda GMA are quite well surveyed but other areas only very partially. There is no clear picture of the status or distribution of resources and their interaction with the community.	The indicator is relevant and achievable, but misses the target in respect of tracking whether the reclassification options were actually identified	3.5.1. Compile and analyze all existing spatial information on ecosystem/habitat/vegetation types, species occurrences and range, presence of critical species (threatened and endangered), limits of gazetted areas (NP, GMA, FR, RAMSAR site, other), settlements, road networks, etc.	<ul style="list-style-type: none"> <li>• Resource mapping for Bangweulu Ecosystem undertaken and details-biophysical and other geographical features, conservation status, landuse types, land tenure, business and tourism development, infrastructure developments;</li> <li>• Eastern boundary of Chikuni park marked with participation of adjacent communities</li> </ul>	This output seeks to identify reclassification options and the results reported by the project are confirmed.  There was need for an indicator to assess whether the reclassification options were actually identified  However in spite of the wanting indicator reclassification options were identified with the establishment of a community partnership park.
			3.5.2 Acquire and analyse satellite imagery of field demo sites to assess ecosystem/habitat/vegetation types, extent of agriculture, settlements, roads and other man-made features, signs of habitat degradation, possibilities for establishing corridors etc.	<ul style="list-style-type: none"> <li>• Topographic and satellite imagery of Bangweulu GMA acquired and used as main base for locational and geographic characteristic identification as input into the resource mapping</li> </ul>	
			3.5.3. Conduct aerial survey of project area to complement image analysis, assess wildlife populations, vegetation types and human	<ul style="list-style-type: none"> <li>• Aerial survey (dry and wets season) of black lechwe and other large wild herbivores in Bangweulu and Kafinda GMA and Kasanka and</li> </ul>	

			activities.	Lavushi Manda National Parks undertaken for 2007 and 2009, 2011	
			3.5.4 Conduct biological ground surveys to determine presence and ranges of rare, threatened, endangered species and to complement aerial analyses of wildlife populations (using line transect for wildlife counts)	<ul style="list-style-type: none"> <li>• Applied research undertaken in the Chikuni Partnership Park</li> <li>• Baseline socio-economic survey for Bangweulu facilitated by WWF and report available</li> </ul>	
			3.5.5 Conduct technical and participatory surveys of fishery resources and current fishing practices and develop management recommendations	<ul style="list-style-type: none"> <li>• Law enforcement plan for Chikuni developed</li> <li>• Fisheries research undertaken in conjunction with Fisheries Department</li> </ul>	
			Activity 3.5.6. Conduct a survey of the field demonstration site to identify national heritage sites and develop recommendations for integrating them into PA management and community development activities	<ul style="list-style-type: none"> <li>• Surveys of heritage in Bangweulu demonstration sites undertaken and recommendations proposed for conservation and protection</li> </ul>	
			3.5.7 Conduct community survey of entire project area using participatory techniques to evaluate economic activities and production systems, resource utilization and dependence, commercial and non-commercial biodiversity products, attitudes to resources and biodiversity, resource and land tenure systems, nutrition, access to social services, social structures, concerns and aspirations, systems of governance.	<ul style="list-style-type: none"> <li>• Socio-economic and gender analyses for the Bangweulu basin undertaken. Focus was on Chiundaponde, Kabinga, Kopa and Chitambo Chiefdoms;</li> <li>• Report details access to education services and resources, existing skills, livelihoods capital, assets, food security and risks and coping strategies.</li> </ul>	



<b>Output 3.6: Plan for Reclassification of Protected Areas (including creation of new types) and for land use zoning within PA and of open areas is developed with strong stakeholder participation.</b>	Reclassification and zoning plan prepared for PA and natural areas within the project area. Area re-zoned for new or reclassified PA using both existing and new PA categories in line with new national policies and legislation. Land use zoning agreed within PA as part of an overall conservation and land use strategy for the project area. <b>Baseline:</b> The present designation and classification of PA within the project area is seen as unsatisfactory by all parties. GMA, There is no land use planning or zoning of GMA and other areas to ensure corridors or other conservation goals despite the area's critical biodiversity of global importance.	The indicator is specific, measurable and relevant and targeted. It can be attributed to the project. It	3.6.1 Village-level workshops to present reclassification options and to facilitate analysis and debate of the relative advantages and disadvantages of each (choice of types of PAs/zoning, roles and responsibilities, negotiation of new PA/zoning boundaries, alternative forms of community management structures).	<ul style="list-style-type: none"> <li>• Aerial survey of large wildlife for Chikuni partnership park and Bangweulu GMA undertaken in October 2009;</li> <li>• GIS data base for Chikuni developed with input from resource mapping</li> <li>• Draft Zone Plan prepared;</li> <li>• Confirm adoption of draft Zone Plan</li> </ul>	This output seeks to implement options identified on the basis of biophysical and socio-economic assessments and other surveys  The Team confirms the results report. The key note results were the agreements reached between stakeholders for the establishment of the new PA category and the signature of the management agreement for the new PA  The Team were not availed of a spate reclassification plan for the demonstration site, though specific results suggest the creation of the new PA and the existence of a draft Zone Plan for area  Information on the new PA and draft Zone Plan is not as wide spread in the community as reported by the project
			3.6.2 Higher level workshops involving representatives of all local stakeholder groups including communities, traditional leaders, government agencies, NGO's, local investors to analyze/debate reclassification and land use options. (Liaison with Project activities under sections 1 and 2 of log frame to co-ordinate local findings with developments at national level on the creation of new PA types (CCA and SHA)	<ul style="list-style-type: none"> <li>• Key note workshop/meetings held on 12th September 2007, Mpika and 29th October, Lusaka for Zambian Government Representatives, NGOs, Chiefs and local community representatives on the creation of the new PA category in the Bangweulu;</li> <li>• Bangweulu Wetlands Management Board incorporated 21<sup>st</sup> August 2008;</li> <li>• Management Agreement signed September 2008.</li> </ul>	
			3.6.3 Conduct financial feasibility analyses of reclassification options	No results reported	
			3.6.4 Central workshop with representatives of all stakeholders to agree creation/reclassification of PA, redefinition of existing PAs and land use zoning of all land in project area.	<ul style="list-style-type: none"> <li>• Community sensitisation materials developed and meetings held in the six chiefdoms on new PA category, on the share of benefits in the Bangweulu and to establish common approach to managing the Chikuni partnership park and Bangweulu GMA</li> </ul>	
			3.6.5 Prepare and distribute draft Reclassification/Land Use Zoning Plan including the agreed land use restrictions and resource management		

			policies for the each type of area, and invite further consultation for any adjustments.		
			3.6.6 Final central workshop with representatives of all stakeholders to make final amendments to the Reclassification/Land Use Zoning Plan.	<ul style="list-style-type: none"> <li>No results reported</li> </ul>	
<b>Output 3.7: Creation/ reclassification of PA completed.</b>	New and reclassified PA are legally gazetted  <b>Baseline:</b> Agreement in principle on reclassification process	The indicator is specific, measurable highly attributable to the project trackable.	3.7.1 Apply the legal procedures specified under the new legislation and policies on reclassification (Outcome 1) and new categories of PA for the CCA/PA to be reclassified.	<ul style="list-style-type: none"> <li>Stakeholder agreement reached on creation of the Chikuni Community Partnership Park PA categories;</li> <li>Supporting policy and legislation not passed</li> </ul>	The output seeks to formally create the new PA  Team observed that new PA is not 'community-managed' as suggested in several project documents, but rather managed by the partnership
			3.7.2 Modify and register community-management structures as appropriate for CCA/GMA	<ul style="list-style-type: none"> <li>Bangweulu Wetlands Management Board registered; Functioning Board in place with community representation Regular Board meetings held</li> <li>Private partner in place.</li> </ul>	
<b>Output 3.8: Sustainable natural resource management systems are developed for community managed PA</b>	Adaptive management systems are functional for the wildlife, fisheries and other natural resources of the CCA(s)/GMAs. The CCA/GMA M&E systems shows that the populations of large herbivores in the CCA have increased by 50% since the beginning of the project. <b>Baseline:</b> Large parts of Kafinda GMA have good habitat but almost no large wildlife. There is little enforcement in the three GMA except around the Chikuni Post. The wetlands fisheries are an open access resource that is heavily overfished. Most resources of commercial value are heavily exploited but not managed	The indicator s are specific, relevant, trackable and can be attributed to the project  The second indicator is better quantified	3.8.1 Identify, analyze and prioritize the natural resource-based products and market chains for the current and potential economic uses of natural resources in the GMA/project area.	<ul style="list-style-type: none"> <li>NRM assessments priorities, wildlife (tourism, hunting), and honey (beekeeping) production and fish identified for economic uses</li> </ul>	This Output is looking for enhancement of sustainable natural resource management in the new PA.  Comprehensive market chain analysis of identified products not available  Development and implementation of a plan for the development of natural resource-based revenue generating activities (including opportunities for improved processing, storage, transport and marketing of products) is closely linked to market chain analysis.
			3.8.2 Identify all the user groups and actors associated with the existing market chains, their tradition access and tenure rights, their traditional NR management systems/techniques, their organizational structures and their capacities.	Users identified, and integrated into the Bangweulu General Management Plan	
			3.8.3. Develop management plans for testing a mix of traditional and modern techniques for adaptively managing wildlife, fisheries and other natural resources for priority products/uses identified in 3.2.1	<ul style="list-style-type: none"> <li>Bangweulu GMA GMP developed and approved by all six Chiefs and community representative;</li> </ul>	

			3.8.4 Develop and implement a plan for the development of natural resource-based revenue generating activities (including opportunities for improved processing, storage, transport and marketing of products)	No results reported	
			3.8.5 Develop and implement community-managed natural resource management funds that are fed by revenues from trophy, hunting, tourism joint ventures, fishing, forest products etc.	<ul style="list-style-type: none"> <li>• Community development funds provided by project-Bangweulu Board agreed to share available USD 60,000 amongst the six chiefdoms;</li> <li>• Support provided for CRBs and Chiefs administration need including - stationery, communication, transport and fuel, traditional ceremonies and other competitions ;</li> <li>• Provision of travel and accommodation for community staff and support for CDF office accommodation</li> </ul>	
			3.8.6 In collaboration with the national PIU, test and develop community-based monitoring systems for the monitoring of wildlife for science-based quota-setting, of partnerships/joint ventures by community managers and for the monitoring of governance practices of community managers by community members.	No results reported	
			3.8.7 Develop business plans for each community management structure for covering enforcement, monitoring and other NR management costs, generating profits and making investments in new ventures.	Bangweulu Game Management Areas General Management Plan (2010-2020) developed ( includes 5-Year Strategic Business Plan costing.	
			3.8.8 Each community structure holds annual adaptive management reviews with all		

			partners/technical services to distil lessons learned and to modify management plans/interventions in each sector.		
Overall Comments on the achievements at the Bangweulu Demonstration Field site is <b>Satisfactory</b> . There are signs that the 8 Outputs for the Site contributed to achievement of the targets of the Outcome 3 and the overall Project Objective					

## Annex 8B: Analysis of Chiawa Demonstration Site activities, indicators and outputs, and progress achieved

Chiawa/Lower Zambezi Field Demonstration Site					
Outputs from Logframe	Performance Indicator	Comment on indicator and relevance	Activity	Results as reported by Project	Evaluation Team Comments
<b>Output 3.9: Awareness raising and two-way dialogue with stakeholders on the Chiawa/Lower Zambezi field demonstration site objectives and participatory approach</b>	High level of awareness amongst community in project area and bordering areas of the projects objectives methods and goals. Active participation from all sectors with all parties sharing knowledge and lessons learned. <i>Baseline:</i> Traditional leaders, CRB, selected community representatives and local officials/technical services are informed and support the project objectives.	Indicator is relevant and targeted, but not quantifiable; it can be tracked  Second part of indicator is an activity.	3.9.1 Identify and develop profiles of all stakeholders	<ul style="list-style-type: none"> <li>Preliminary stakeholder profiles developed as part of Capacity Assessment of Key Partners during project development phase</li> </ul>	<p>The Output looked for raised community awareness on the project.</p> <p>The Team notes that meetings and other sensitisation events held are not the properly reported results for this output. The results of raised awareness could have been documented through a proper survey of stakeholders</p> <p>More current detailed stakeholder profiles were unavailable;</p> <p>Awareness of project at confined to those associated with either the CRB or VAG. Limited awareness in wider community members; Information flow beyond VAG constrained; also limited awareness of the partnership will operate.</p>
			3.9.2 Meet with traditional leaders, CRB and community representatives, government authorities, technical services, lodge owners, trophy hunting lease holder, NGOs, others to fully discuss project objectives, targets, outcomes and participatory approaches to be used.	<ul style="list-style-type: none"> <li>Awareness meetings facilitated by WWF in the chiefdom-community concerns documented-HWC; alienation of traditional land; how the community-CLZ and ZAWA partnership would work; development of project infrastructure; equity o distribution of project benefits</li> </ul>	
			3.9.3. Conduct awareness-raising and develop 2-way dialogue with all project area communities by project extension officers to build solid foundation of local, contextual knowledge.	<ul style="list-style-type: none"> <li>See above; Sensitisation meetings held at VAG level;</li> <li>Dialogue facilitated through CRB and VAG arrangements;</li> </ul>	

<b>Output 3.10: Strategic infrastructure established</b>	Essential infrastructure for functioning of the project is in place.  <b>Baseline:</b> CLZ, ZAWA Chirundu post and many lodge owners have radio communication but not the CRB/communities. Little road maintenance in area for community access.	Indicator is specific, relevant trackable, attributable but has not been quantified	3.10.1 Establish telecommunications network for CRB/communities, chieftainness and project staff for communications amongst themselves and with ZAWA and project staff.	Five (5) base stations put up in Chiawa;	The Output is seeking to strengthen the means of communication and mobility for effective PA management  The team generally found that there was limited infrastructure established ; communication and operational problems in the site had not be reduced.
			3.10.2 Repair/open strategic access roads and landing strips	.No results reported regarding road maintenance, new roads construction, or existing roads, airstrips, bridges maintained	
			3.10.3 Build/rehabilitate and equip offices/facilities/lodging for project needs	1X3 Semi-detached flats/block completed for Village scouts at Malilansolo	
<b>Output 3.11: Background surveys completed for reclassification planning</b>	Comprehensive biodiversity/ecological and sociological database and maps exist for Project Area. <b>Baseline:</b> LZNP is moderately well surveyed but other areas only very partially. There is no clear picture of the status or distribution of resources and their interaction with the community.	The indicator is specific, measurable and trackable. It can be attributed to the project	3.11.1 Compile existing data and conduct biological/ecological surveys/analyses to determine presence and ranges of rare, threatened, endangered species needed as inputs for identifying reclassification options including boundaries, zoning and corridors for the proposed CCA and for the creation of a SHA in LZNP.	Fisheries surveys, ground population surveys, vegetation coverage survey undertaken and fed into reclassification process	This output seeks to provide relevant information for reclassification decision-making  The Team found that basic information was provided to feed into the process;  Aerial survey activity was inadequate
			3.11.2 Acquire and analyse satellite imagery of field demo site to assess ecosystem/habitat/vegetation types, extent of agriculture, settlements, roads and other man-made disturbances/impacts, signs of habitat degradation, possibilities for establishing corridors, etc	<ul style="list-style-type: none"> <li>Resource mapping using maps and satellite imagery undertaken for the Lower Zambezi ecosystem- inclusive of biophysical and other geographical features, conservation status, land-use types, land tenure, business and tourism development, infrastructure developments</li> </ul>	
			3.11.3. Conduct aerial survey of project area to complement image analysis, assess wildlife populations, vegetation types and human activities.	<ul style="list-style-type: none"> <li>Aerial surveys conducted in 2008.</li> </ul>	
			3.11.4 Survey the field demonstration site to identify national heritage sites and develop recommendations	<ul style="list-style-type: none"> <li>Field survey of heritage sites in Chiawa demonstration site undertaken in 2007 and recommendation for</li> </ul>	

			for integrating them into PA management and CCA/tourism development activities	integration into PA system proposed.	
			<p>3.11.5 Conduct community survey in and around Chiawa GMA using participatory techniques to evaluate economic activities and production systems, resource utilization and dependence, commercial and non-commercial biodiversity products, attitudes to resources and biodiversity, resource and land tenure systems, access to social services, social structures, concerns and aspirations, systems of governance.</p> <p>3.11.6 Synthesize and analyse all studies conducted to develop a preliminary set of reclassification and zoning options for Chiawa GMA and LZNP</p>	<ul style="list-style-type: none"> <li>Socio-economic and gender analyses undertaken for Lower Zambezi/Chiawa GMA; Focus was on- access to health facilities, markets, fishery and forest resources, agriculture inputs, education and participation in development groups.</li> <li>Reclassification options proposed as part of draft Reclassification and Conservation Plan- Chiawa Partnership Park proposed</li> </ul>	
<b>Output 3.12: One (or more) new community-managed conservation areas (CCA) are established on the basis of public/ private partnerships, to provide effective conservation of ecosystems with species of global importance.</b>	<p>The CCA is legally gazetted. Its management structure is legally registered under the new CCA law. The boundaries of the CCA provide wildlife with access to the Zambezi River during the dry season.</p> <p><b>Baseline:</b> Rapid development along the Zambezi risks cutting off all corridors to the river. Local populations have marginal incentives to conserve the area and its biodiversity.</p>	<p>The indicators are specific, measurable attributable to the project, relevant and targeted</p>	<p>3.12.1 Village-level workshops to present reclassification options and to facilitate analysis and debate of the relative advantages and disadvantages of each (creation of new CCA, zoning, roles and responsibilities, negotiation of new PA/zoning boundaries, alternative forms of community management structures).</p>	<p>Sensitisation meetings for 6 VAGs in Chiawa on CCP undertaken once per quarter;</p>	<p>This output sought to establish a community-managed conservation area</p> <p>The team notes that while negotiations for the establishment of the community-managed conservation proceed without constraint in Bangweulu; policy inadequacies constrained progress in Chiawa.</p>
			<p>3.12.2 Higher level workshops involving representatives of all local stakeholder groups including communities, traditional leaders, government agencies, NGO's, local investors to analyse/debate reclassification</p>	<p>Chiawa Partnership Park concept agreed November 2007;</p>	

			and land use options.		
			3.12.3 Facilitate the negotiation of CCA borders and zoning including possible inclusion of adjoining open areas, establishment of permanent wildlife corridors to access the Zambezi River and exclusion of areas zoned for agriculture.	Definition of Partnership parks borders in the Chiawa GMA completed	
			3.12.4 Review lessons learned in Zambia and the sub-region on appropriate forms of community management structures (with particular emphasis on the principle of subsidiarity) and create or modify the community management structure or structures for the new CCA.	No results reported	
			3.12.5 Apply the legal procedures for gazetting of the new CCA and registration of the CCA management structure(s) as specified under the new legislation and policies on reclassification and new categories of PA	Gazetting new PA awaiting conclusion of legal processes	
			3.12.6 Organize formal inauguration ceremonies for the new/reclassified PA	Formal inauguration ceremony awaiting conclusion of legal processes	
			3.12.7 Assist/support the negotiation of formal partnerships in support of PA managers (CCA&CLZ&ZAWA? & trophy hunting company?)	Negotiations for over Chiawa Partnership Park have not been concluded; Lower Zambezi Conservation Trust proposed as management entity ; management agreement under negotiation.	
<b>Output 3.13: Sustainable natural resource management systems are developed for the new CCA</b>	Adaptive management systems are functional for the wildlife and other natural resources of the CCA(s). The CCA M&E systems show that the populations of large herbivores in the CCA have increased by 40% since the beginning of the project. <b>Baseline:</b> Wildlife populations	The indicator s are specific, relevant, trackable and can be attributed to the project  The second indicator is better quantified	3.13.1 Evaluate the strengths, weaknesses and effectiveness of the present PA enforcement system using ZAWA WPO and CRB community scouts, review lessons learned from other PA managers in Zambia and develop a cost-effective, incentive-based enforcement	Law enforcement operations evaluated; operations undertaken	The output sought to improve sustainable natural management of the PA.  The team note that while patrol effort improved and the PA was fully policed ; policing of other natural resources dis not receive similar effort

	are in excellent in the vicinity of the CLZ camp in eastern Chiawa. Although generally depleted in the rest of the GMA, but they support trophy hunting. The CRB has recently participated in quota setting for the first time. Most resources of commercial value are heavily exploited by but not sustainably managed.		plan for Chiawa GMA that is integrated with LZNP enforcement.		
			3.13.2 Recruit/redeploy and equip additional community and WPO scouts as needed (including transport, equipment and accommodation, management support and incentives.) and implement enforcement plan	<ul style="list-style-type: none"> <li>• 16 WPOs and Scouts recruited a deployed</li> <li>• Tractor, vehicle and boat and outboard motor procured</li> </ul>	
			3.13.4 Implement enforcement plan	<ul style="list-style-type: none"> <li>• law enforcement operations (gathering intelligence information, prosecution and provision of monthly patrol rations from the law enforcement team</li> <li>• Fuel and equipment support provided</li> <li>• Results showing positive trends in terms of arrests and sightings of game.</li> </ul>	
			3.13.5 Identify game management/investment options, conduct economic/financial analyses to determine the viability and profitability, and develop a wildlife management and investment plan for the new CCA including establishment of zones for photo safaris and trophy hunting.	Draft Business Plan developed to establish profitability/financial viability of Chiawa Partnership Park; implementation pending	
			3.13.6 Identify, analyze and prioritize other biodiversity products and markets chains for the current and potential economic uses of the CCA. o Identify user groups, their organizational structures and their capacities;	No results reported	



			<ul style="list-style-type: none"> <li>o Analyse the traditional resource access rights;</li> <li>o Analyse the sustainability of current uses;</li> <li>o Identify value-added opportunities through better storage, processing, transport, respect for market standards, etc.</li> <li>o Identify priority products and market chains for development</li> </ul>		
			<p>3.13.7 Develop adaptive management systems for testing and developing natural resource management techniques for the priority biodiversity products and for their integration with the wildlife management of the CCA.</p> <ul style="list-style-type: none"> <li>o Select traditional/modern NRM techniques for testing;</li> <li>o Apply the techniques, monitor periodically evaluate the results and modify local code/rules/systems for NR management accordingly</li> </ul>	No results reported	
			<p>3.13.8 Develop and implement a plan for the development of natural resource-based revenue generating activities (including opportunities for improved processing, storage, transport and marketing of products)</p>	<p>Chiawa GMP ratified</p> <p>Draft Chiawa Partnership Park 5-year Strategic Business Plan (2010-2014) developed awaiting approval</p>	
<b>Output 3.14: The needed capacities for sustainable management of the new CCA are developed</b>	A portion of the revenues from all commercial NRbased products are reinvested in a natural resource management fund. The CCA managers have mastered basic bookkeeping and record	The indicator s are specific, relevant, trackable and can be attributed to the project	3.14.1 Conduct village-level workshops on strategic capacities needed during reclassification planning, e.g. participatory planning processes, good governance principles of transparency,	No results reported	The Output sought to strengthen the capacity of PA managers

	keeping skills. Accounts and records are openly accessible to all CCA members. Trophy hunting quotas are based on the CCA's wild life monitoring system. The CCA is reinvesting some of their income in ways specified by the their business plan. <b>Baseline:</b> The CRB has no M&E capacity and no business plan. It has no management und. Basic administrative and financial management capacities are very low.		accountability, equity, involvement of women and minority groups, systems of checks and balances, etc.		
		3.14.2. Develop administrative and financial management capacities of the CCA managers (including management structures at village and CCA levels) Accounting & bookkeeping skills Record keeping General management skills including adaptive management Business management	No results reported		
		Activity 3.14.3 Development of capacities for good governance (transparency, representation, inclusion of women and minority/disadvantaged groups, financial safeguards, etc.) for managers and community members	<ul style="list-style-type: none"> <li>• Training provided to CRBs in financial management, natural resources management</li> </ul>		
		3.14.4 Develop self-financing mechanism(s) (management funds fed by a portion of revenues derived from NR use) for CCA/natural resource management	No results reported		
		3.14.5 Develop and implement a business plan for the management of the CCA and village including plans for joint ventures, reinvesting profits into profitable activities, etc	Draft Business Plan developed to establish profitability/financial viability of Chiawa Partnership Park; implementation pending		
		3.14.6 Develop community capacities for monitoring and evaluation of: <ul style="list-style-type: none"> <li>o biodiversity, fisheries, wildlife</li> <li>o management structure(s)</li> </ul>	Training provided to Scouts in monitoring, quota setting, GPS reading, and anti-snaring campaign		

			o partnerships and joint ventures		
			3.14.7 Develop an HIV/AIDS awareness and prevention program and understanding of links to environmental degradation for CCA managers, scouts and members	No results reported	
Output 3.15: Opportunity to create ZAWA managed Safari Hunting Area out of the mountainous portion of LZN assessed.	None		3.15.1 Conduct a SHA options workshop including stakeholders from national level and Lower Zambezi area to provide stakeholder inputs on the options for creation of a SHA in LZNP.	Establishment of Safari Hunting Areas not pursued	
			3.15.2 Undertake the formal gazetting/reclassification of LZNP/SHA in lines with the new legislation/policies on reclassification and creation of SHA	No results reported	
			3.15.3 Develop and implement modified enforcement plans specific to the needs of the new SHA ZAWA CLZ Plan developed	No results reported	
			3.15.4 Establish wildlife monitoring system for science-based setting of hunting quotas.	No results reported	
Overall Comments on the achievements at the Bangweulu Demonstration Field site is <b>Moderately Satisfactory (MS)</b> . Several planned activities intended to contribute to achievement of outputs and subsequently Outcome 3 and the overall Project Objective were not implemented.					