

PD-ABP-504

***SARP***

***NATURAL RESOURCES***

***MANAGEMENT PROJECT***

***NAMIBIA COMPONENT***

***(690-0251.73)***

***LIVING IN A FINITE***

***ENVIRONMENT***

***(PP AMEND. 1)***

***SEPTEMBER 29, 1995***

 <p style="text-align: center;">U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT</p> <p style="text-align: center;"><b>PROJECT DATA SHEET</b></p>	<b>1. TRANSACTION CODE</b> A = Add                      Amendment Number x B = Change <u>10</u> C = Delete	<b>DOCUMENT CODE</b>  3
	<b>2. COUNTRY/ENTITY</b> Southern Africa Regional (Namibia Project Component)	<b>3. PROJECT NUMBER</b> [690-0251]
<b>4. BUREAU/OFFICE</b> AFRICA	<b>5. PROJECT TITLE (maximum 40 characters)</b> NATURAL RESOURCES MANAGEMENT	
<b>6. PROJECT ASSISTANCE COMPLETION DATE (PACD)</b> 08/18/1999	<b>7. ESTIMATED DATE OF OBLIGATION</b> (Under 'B.' below, enter 1,2,3, or 4) A. Initial FY 1989    B. Quarter 4    C. Final FY 1996	

**8. COSTS (\$000 OR EQUIVALENT \$1 = N\$3.5)**

A. FUNDING SOURCE	FIRST FY 92			LIFE OF PROJECT		
	B. FX	C. L/C	D. TOTAL	E. FX	F. L/C	G. TOTAL
AID Appropriated Total						
(Grant) REGIONAL			\$5,577,000	\$53,999,779		\$53,999,779
NAMIBIA						(\$14,356,000)
Other U.S.	1.					
	2.					
Host Country (Namibia only)						
Other Donor(s)						
<b>TOTALS =&gt;</b>		USAID ONLY	\$5,577,000		USAID ONLY	\$53,999,779

**9. SCHEDULE OF AID FUNDING (\$000)**

A. APPROPRIATION	B. OBLIGATIONS TO DATE		C. AMOUNT APPROVED THIS ACTION		D. LIFE OF PROJECT	
	1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan
(1) DFA/REGIONAL	\$50,143,729					
(2) DFA/NAMIBIA	\$10,500,000		\$3,856,000		\$14,356,000	
(3)						
(4)						
<b>TOTALS =&gt;</b>	\$50,143,729		\$3,856,000		\$53,999,779	

**10. PROJECT PURPOSE (maximum 480 characters) Overall Regional Purpose:** To improve the social and economic well-being of residents of targeted rural communities by implementing sustainable community-based wildlife conservation and utilization programs.

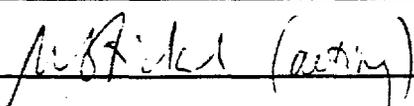
**Namibian Component Purpose:** Communities derive increased benefits in an equitable manner by gaining control over and sustainably managing natural resources in target areas.

11. SCHEDULED EVALUATIONS									12. SOURCE/ORIGIN OF GOODS AND SERVICES			
Interim	MM	YY	MM	YY	Final	MM	YY		000	941	Local	x Other (Specify) 935
	02	95				02	99					100%

**13. AMENDMENTS/NATURE OF CHANGE PROPOSED**

This amendment will add additional time, refine the goal and purpose; sharpen the target areas and increase funds to carry out the activities of the Namibian Component.

I have reviewed and concur with the methods of implementation and financing \_\_\_\_\_ Controller; \_\_\_\_\_ Date

<b>14. APPROVED BY</b>	Signature: Director, USAID Regional Center for Southern Africa	Date Signed MM DD YY	<b>15. DATE DOCUMENT RECEIVED IN USAID/W, OR FOR USAID/W DOCUMENTS, DATE OF DISTRIBUTION</b>
		019   2   95	MM DD YY 1   0   18 95

**NATURAL RESOURCE MANAGEMENT PROJECT/NAMIBIAN COMPONENT  
LIVING IN A FINITE ENVIRONMENT (LIFE) PROJECT  
(690-0251.73)**

**AMENDMENT**

**Table of Contents**

Project Data Face Sheet Amendment.....	i
Project Authorization.....	ii
Table of Contents.....	iv
List of Acronyms.....	vi
<b>LIFE Project Paper Supplement Amendment No. 1</b>	
Executive Summary.....	1
A. Purpose of the PPSA.....	1
B. Project Background.....	1
C. Project Implementation.....	5
D. LIFE Mid-Term Assessment and Results.....	6
E. Project Paper Supplement Amendments.....	8
F. GRN Concurrence.....	10
<b>I. LIFE Project Rationale.....</b>	<b>11</b>
A. Namibia's Development Challenge.....	11
1. Pre-Independence Philosophy on Natural Resources.....	12
2. MET's Efforts at Independence.....	12
B. Agency's Strategy for Sustainable Development.....	13
1. SARP Program.....	13
2. ISA.....	14
3. USAID/Namibia Mission Strategy.....	14
4. LIFE Project Amended to SARP.....	15
C. GRN Development Strategy.....	16
1. GRN Development Plan.....	16
2. MET CBNRM Policy.....	16
3. Other Donor Activities.....	17
<b>II. LIFE Project Description (Amended).....</b>	<b>18</b>
A. Justification for LIFE Amendment.....	18
B. Project Goal and Purpose.....	21
C. End of Project Status (EOPS).....	21
Purpose Level Indicators.....	21
D. Project Components.....	21
LIFE Project Subgrants .....	23
E. Project Results .....	25
F. Delineation of Target Areas.....	30

III. Implementation Strategies.....	32
A. Working within the MET's Program Efforts.....	32
B. Strengthening NGOs and CBOs.....	32
C. Working Directly with Community Members.....	34
D. Conservancies as the Cornerstone of the MET's CBNRM Program.....	35
E. Community-based Tourism.....	37
F. CBNRM Models in Target Areas.....	38
G. Training.....	39
IV. Networking.....	40
V. Sustainability Strategy.....	40
VI. Implementation Arrangements.....	43
A. Roles and Responsibilities of Partners.....	43
1. USAID.....	43
2. MET.....	44
3. WWF.....	44
4. LIFE Steering Committee.....	45
B. Procurement Plan.....	45
C. Implementation Schedule.....	47
VII. Monitoring and Evaluation Plans.....	49
VIII. Cost Estimates and Financial Plan.....	51
A. Budget.....	51
B. Host Country Contributions.....	52
C. Audits.....	52
IX. Conditions Precedent and Covenants.....	53
A. Condition Precedent to Disbursement for Wildlife/ Income-Generation Activities.....	53
B. New Conditionality.....	54
C. New Covenants under Policy Determination 20.....	54
X. Summary of Analyses.....	55
A. Technical Analysis.....	55
B. Social Soundness Analysis.....	56
C. Gender Analysis.....	58
D. Economic Analysis.....	59
E. Institutional Analysis .....	60

ANNEX A:	LIFE Project Logical Framework (Revised)
ANNEX B:	LIFE Project Budget
ANNEX C:	LIFE IEE (Amended)
ANNEX D:	MET Letters
ANNEX E:	Gray Amendment Certification
ANNEX F:	Statutory Checklist
ANNEX G:	LIFE Program Implementation Diagram

## LIST OF ACRONYMS

ADB	African Development Bank
AFR/DP	Africa/Development Planning
AID	Agency for International Development
AID/REP	AID Representative
AID/R&D	AID/Washington's Research and Development Office
AID/W	Agency for International Development/Washington
CA	Cooperative Agreement
CB	Community Based
CACA	Caprivi Arts Cultural Association
CARMS	Communal Area Resource Management Support
CBO	Community Based Organization
CBNRM	Community Based Natural Resource Management
COP	Chief of Party
CY	Calendar Year
DEA	Directorate of Environmental Affairs
DFA	Development Fund for Africa
DOA	Delegation of Authority
DRM	Directorate of Resource Management-
ECPR	Executive Committee Project Review
EOPS	End of Project Status
FINNIDA	Finland Agency for International Development
FSN	Foreign Service National
FY	Fiscal Year
GDO	General Development Office
GDP	Gross Domestic Product
GRN	Government of the Republic of Namibia
GTZ	German Agency for International Development
HIV/AIDS	Human Immunodeficiency Virus/Acquired Immune Deficiency Syndrome
HCC	Host Country Contribution
HDN	Historically Disadvantaged Namibian
IEE	Initial Environment Examination
IRDNC	Integrated Rural Development and Nature Conservation
ISA	Initiative for Southern Africa
LIFE	Living in a Finite Environment
LTTA	Long Term Technical Assistant
LOP	Life of Project
MAWRD	Ministry of Agriculture, Water and Rural Development
MBEC	Ministry of Basic Education and Culture
MET	Ministry of Environment and Tourism
NACOBTA	Namibia Association of Community Based Tourism
NDP1	National Development Plan 1
NGO	Non-governmental Organization
NORAD	Norwegian Agency for Development
NNDF	Nyae Nyae Development Foundation
NNF	Namibian Nature Foundation
NPC	National Planning Commission
NRM	Natural Resource Management
NRMP	Natural Resource Management Project
PACD	Project Assistance Completion Date
PCC	Project Coordinating Committee
PIR	Project Implementation Review

PP Project Paper  
 PPSA Project Paper Supplement Amendment  
 PIL Project Implementation Letter  
 PSC Personal Services Contractor  
 PSR Project Status Report  
 PVO Private Voluntary Organization  
 READ Reaching out with Education for Adults in Development  
 REDSO/ESA Regional Economic Development Services Office for East  
 and Southern Africa  
 RCO Regional Contracts Office  
 RCSA Regional Center for Southern Africa  
 RF Rössing Foundation  
 RIG/A Regional Inspector General/Audits  
 SAPIR Semi-Annual Project Implementation Report  
 SARP Southern Africa Regional Program  
 SC Steering Committee  
 SIDA Swedish International Development Agency  
 SO Strategic Objective  
 SOW Statement of Work  
 SSD Social Science Division  
 TDY Temporary Duty (Short Term Consultants)  
 UNDP United Nations Development Program  
 USAID United States Agency for International Development  
 Mission to Namibia  
 USG United States Government  
 WID Women in Development  
 WWF World Wildlife Fund  
 ZSSD Zoological Society of San Diego

## PROJECT AUTHORIZATION AMENDMENT NO. TEN (10)

Country: Southern Africa Regional  
Project Title: Natural Resources Management  
Project Number: 690.0251

Pursuant to the Foreign Assistance Act of 1961, as amended; the Foreign Operations, Export Financing and Related Activities Appropriations Acts of 1989 and subsequent years and Continuing Resolutions; and Africa Bureau Delegation of Authority 551, as amended, the Project Authorization of the regional Natural Resources Management Project dated August 19, 1989, as amended, is further amended as follows:

1. In Paragraph 1, delete the phrase "fifty million one hundred forty three thousand seven hundred seventy nine U.S. dollars (\$50,143,779)" and substitute "fifty three million nine hundred and ninety nine thousand seven hundred seventy nine U.S. dollars (\$53,999,779)."

2. To the Namibia Conditions Precedent, add the following new clause:

"Prior to the disbursement for wildlife consumptive activities of any funds provided by A.I.D. under Amendment Number 5 to this Agreement, or to the issuance by A.I.D. of documentation pursuant to which disbursement will be made, the Grantee will, except as the Parties may otherwise agree in writing, furnish to A.I.D., in form and substance satisfactory to A.I.D., evidence that legislation is in effect in the Republic of Namibia that permits establishment of conservancies and derivation of benefits, including income, by occupiers of communal lands and other community-based entities in communal areas, from the management and utilization of natural resources, including wildlife, on a sustainable basis."

3. To the Namibia Covenants, add the following new clauses:

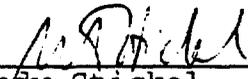
"Environmental Assessments. To ensure that any potential deleterious impact on the environment will be averted or mitigated, the parties agree that environmental assessments will be made prior to undertaking any new activity under this project.

Safeguarding U.S. Jobs. No funds or other support provided hereunder may be used in a project or activity reasonably likely to involve the relocation or expansion outside of the United States of an enterprise located in the United States if non-U.S. production in such relocation or expansion replaces some or all of the production of, and reduces the number of employees at, said enterprise in the United States.

Export Processing Zones. No funds or other support provided hereunder may be used in a project or activity the purpose of which is the establishment or development in a foreign country of any export processing zone or designated area where the labor, environmental, tax, tariff, and safety laws of the country would not apply, without the prior written approval of USAID.

Safeguarding Rights of Workers. No funds or other support provided hereunder may be used in an activity which contributes to the violation of internationally recognized rights of workers in the recipient country, including in any designated zone or area in that country."

Except as revised herein, the Project Authorization, as amended, remains in full force and effect.

  
\_\_\_\_\_  
Wendy Stickel  
Acting Director  
Regional Center for Southern Africa

Date: 9/29/95

Clearances:

B. Belding, GDO:	_____
J. Johnson, PROG:	_____
C. Culler, LIFE:	_____
J. Bell, RCO:	_____
C. Brooks, RCont:	_____
R. Kirk, PDO, REDSO, ESA:	_____
D. Stauffer, SPDO/RCSA:	_____
M. Stephens-Williams, PDIS, SARP:	_____
C. Scherrer-Palma, DD, SARP:	_____

*(attached)*

*MA 9/28*

drafted by M. Alexander, RLA (9/28) 

44. The Project Authorization, as amended, remains in full effect.

Valerie Dickinson-Horton  
Director, Regional Center for Southern Africa

Date: \_\_\_\_\_

**Clearances:**

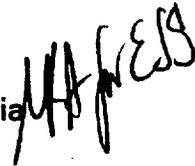
E. Spriggs, ADRSP: 9/23/95 (in draft)  
~~\_\_\_\_\_~~  
J. Johnson, PROG: 9/26/95 (in draft)  
L. Fuller, LIFE: 9/16/95 (in draft)  
C. Brooks, RCont: 9/22/95 (in draft)  
R. Kirk, PDO, REDSO, RSA: 9/16/95 (in draft)  
D. Stauffer, SPDO/RCSA: 9/18/95  
M. Stephens, PDIS, USAID/Zimbabwe: 9/22/95 (in draft)  
C. Scherrer-Palma, DD, USAID/Zimbabwe: 9/22/95 (in draft)

**drafted by M. Alexander, RLA (9/16 & 9/26)**

BEST AVAILABLE COPY

**ACTION MEMORANDUM FOR THE  
ACTING MISSION DIRECTOR, REGIONAL CENTER FOR SOUTHERN  
AFRICA**

**FROM:** Edward J. Spriggs, A.I.D. Representative, USAID/Namibia



**SUBJECT:** Project Amendment  
Regional Natural Resources Management Project  
Namibia Component, Living in a Finite Environment (LIFE)  
Project No. 690-0251.73

**DATE:** September 28, 1995

**I. PROBLEM**

Pursuant to the authority delegated to you by Africa Bureau Delegation of Authority 551, as amended April 27, 1995, you are asked to authorize an amendment to the regional Natural Resources Management Project (NRMP) in order to expand the Namibia component, Living in a Finite Environment (LIFE), as follows:

1. by increasing the NRMP life of project funding by \$3,856,000 to a new authorized funding level of \$ 53,999,779;

2. by approving NRM Project Paper Supplement Amendment No. 1 to the LIFE component, including the Face Sheet and the PPSA text, to reflect the addition of \$3,856,000, to extend the PACD to August 18, 1999 and to make changes as recommended by the LIFE Mid-Term Assessment and the ECPR held on this amendment in Harare on September 13, 1995 (HARARE 9800).

**II. BACKGROUND**

**A. Project Summary**

In August of 1989 USAID authorized the Southern Africa Regional Program (SARP) Natural Resource Management Project (690-0251). This regional project provided funds to NRMP components in Zimbabwe, Zambia, Malawi and Botswana. Initially authorized under the SARP, the NRMP is now being integrated with the Initiative for Southern Africa to be run by USAID's new Regional Center for Southern Africa (RCSA) in Botswana. Pending transfer to RCSA, the program is currently managed by USAID/Zimbabwe. The multi-country goal of the Regional NRMP is "to increase

incomes and enhance capability to meet basic human needs through sustainable utilization and conservation of natural ecosystems." There is also a regional subgoal: "promoting sustainable development of communities through appropriate land use practices on lands that are marginally suitable for agriculture."

To make Namibia a direct and contributing partner in the regional project, on September 3, 1992, a \$10.5 million 5 year natural resource management component was authorized as Amendment 3 to the SARP Regional NRM Project. The initial obligation was \$3 million.

The Namibia component of the Southern Africa Regional Program Natural Resource Management Project, known as the Living in a Finite Environment (LIFE) Project Paper Supplement (690-0251.73) was designed to support the Namibian Government's Community-Based Natural Resources Management Program (CBNRM). Targeting the Caprivi strip, Eastern Bushmanland and Uukwaluudhi, the LIFE Project develops replicable models of CBNRM, assisting rural communities to organize around activities that will use and preserve wildlife and other natural resources so as to generate economic benefits and foster responsible custodianship of those resources. In addition, the project focuses on improvement of the policy and regulatory environment with a view to establishing the rights of communities to exploit their resources and retain the income.

Implementation of the LIFE Project commenced in July, 1993 when the LIFE Project Team field-staff took up residence in Namibia. Once the project got underway, it became evident that the project needed some fine tuning related to purpose, outputs/results and EOPS. Over the next year and a half, four separate teams reviewed the project. Ultimately they concluded that the Project was, in general, making excellent progress towards its purpose, but made several recommendations for strengthening the Project. Of major impact on the Project were the recommendations to extend the PACD and to increase resources. In discussion with the RCSA and AFR/DP, \$3,856,000 was identified from a combination of ISA funds and AID/W as "fall-out" funds for this proposed extension which would bring the LOP funding for the LIFE Project to \$ 14,356,000.

### **III. DISCUSSION**

#### **A. Project Paper Supplement Amendment**

The rationale for changing the goal and purpose of the Namibia component was to focus the project to ensure that benefits to its customers could be obtained during the LOP and to confirm that all partners agreed to the changes from the original Project Paper. The new goal specifies more directly where the project is headed. The project will attempt not only to enhance capabilities of people, but to improve the quality of

life. Both the new goal and the new purpose are fully compatible with the overall NRMP regional goal and purpose. The old and new goals are listed in the table below:

Old LIFE Goal	New LIFE Goal
Enhance capabilities to meet the basic human needs through sustainable management of natural resources.	Improved quality of life for rural Namibians through sustainable natural resource management.

At the Purpose level, the three original purposes were deemed to be unfocused and not at the Purpose level but more at the Output level. Therefore, one new Project Purpose was selected as noted in the table below:

Old LIFE Purpose	New LIFE Purpose
<ol style="list-style-type: none"> <li>1. Increase social and economic well-being in poor rural communities and/or in buffer zones to protected areas, through community-based natural resource management.</li> <li>2. Improve community-based groups capabilities to manage natural resources in a sustainable fashion, through strengthening local, regional and national institutions which provide services to communities.</li> <li>3. Develop strategies and methodologies for community management of natural resources.</li> </ol>	Communities derive increased benefits in an equitable manner by gaining control over and sustainably managing natural resources in target areas.

Besides the changes in the Goal and Purpose, changes were made in the EOPS, and the Results which are reflected in the Logical Framework. These changes also assisted in focusing the project.

The purpose of the Project Paper Supplement Amendment (PPSA) is to align all documents based on recommendations from the Mid-Term Assessment, to document changes in implementation arrangements, to represent discussions with the Regional Center for Southern Africa, and to include an addition of funds and an extension of the PACD. This amendment does not alter the essential elements of the project. The community-based activities, and networking initiatives are unchanged. The additional \$3.856 million will increase the level of activities, expand the training component to include the MET, and allow enough time for the community based activities to become sustainable. In summary, this amendment rationalizes the Namibia component's

analytical framework; it refines the goal, purpose and results statements while augmenting time and finances to ensure sustainability of results. The PPSA Goal and Purpose remain consistent with the Regional Project's Goal and Purpose.

A central feature of the LIFE Project approach is its commitment to the sustainability of the CBNRM program after the LIFE Project is over. There are five components to sustainability for the LIFE Project: a) ecological, b) economic, c) institutional, d) human resource and e) policy. The LIFE Project is exploring the establishment of several structures that will ensure the sustainability of these five components. It is essential that the LIFE Project encourage and support, though not necessarily with significant funding, sustainability structures during the LOP, in order to continue the efforts started by the LIFE Project and assist the MET in replicating lessons learned in the target areas throughout the rest of the country. The proposed structures are the Collaborative Group, the Conservancy Association and the Communal Areas Resource Management Support Institute of Namibia (CARMS).

The sustainability strategy is to build institutional capacity to monitor and maintain the natural resource base; strengthen the development of local and regional expertise in CBNRM; assist the participating NGOs, CBOs and communities to develop plans for shifting the financing of recurrent costs to the income generated by the community-based activities; and work out strategies whereby program efforts can increase the well-being of people over the long term.

#### **IV. ISSUES**

##### **A. Initial Environmental Assessment**

The issue of the IEE and Environmental Review requirements was raised during the seven month Mid-Term Assessment process. It became apparent during the External Assessment process that LIFE Project Activities to date had not undergone Environmental Assessments. To this end, WWF is contracting a person to carry out Environmental Assessments within the next 4 months. From now on, the IEE will become part of the sub-grantees' (NGOs and CBOs) responsibility and they will receive funding to carry it out. The original IEE was reviewed and a new ruling sought from REDSO/ESA. They decided that 1. a categorical exclusion is justified for LIFE components three (training) and four (national/regional networking ), the portion of Component 2 ( applied research or studies) that deals exclusively with social science research, economic assessments, market surveys or other activities that have no physical intervention, and the portion of Component One (community-based natural resource management activities) that exclusively involves strengthening of institutional capacity and technical assistance per 22 CFR 216.2 (c)(1)(i) and 216.2(c)(2)(1), (iii) and (v), and 2. a negative determination with conditions is justified for Component One (community-based natural resource management activity) for sub-grants for on-the-ground activities and creation and development of income-generating enterprises and resource management systems pursuant to Section 216.3(a)(1) and (2) of the Agency's Environmental Procedures, 22 CFR 216. The Conditions relate to

how the subgrants and associated mitigation actions will be identified and reviewed on an individual basis after project authorization in accordance with Regulation 16, Section 216.3 (a)(2). A specific set of steps is outlined to ensure adequate review, including capacity building elements. The amended IEE, as approved by REDSO/ESA and USAID/W is attached. In addition, a covenant has been added to the Grant Agreement requiring an environmental assessment before each new activity commences.

## **B. Conditions and Covenants**

### **1. Condition Precedent to Disbursement for Wildlife/Income Generation Activities**

Since its inception, the LIFE Project has operated under a condition precedent (CP) that prohibits funding of activities in support of income generation from wildlife in the communal areas (e.g., trophy hunting) until the passage of legislation authorizing communal area residents to retain the revenues from such activities. Due to inaction by the Government of the Republic of Namibia (GRN), this CP has remained unfulfilled and the consumptive use of wildlife activities planned under the project have not been implemented. Both common sense and the Foreign Assistance Act require that the amendment designers reconsider at this juncture whether "such legislative actions may reasonably be anticipated to be completed in time to permit the orderly accomplishment" of the Project. FAA, section 611 (a)(2).

Very recent events allow positive judgement on the likelihood of timely legislative action. Changes in the management of the Ministry of Environment and Tourism (MET) have revitalized this policy and legislative process. The first result of new MET leadership was the MET's sponsorship of a policy statement, adopted by the Cabinet in March, which constitutes broad support for the changes that are not only required by the Project but greatly desired by the Government. The policy propounds the necessity of establishing community-based nature conservancies as legal entities whose members are the inhabitants of the communal areas. A central component of the policy is the devolution to the conservancies of authority over wildlife in their boundaries with the right to sell, and retain the income from, such natural resources. The rights and responsibilities of the communal conservancies will parallel those provided to private commercial farmers before independence.

By calling for the enactment of enabling legislation, the policy goes a long way toward assuring adoption of the enabling legislation since the Cabinet is composed largely of SWAPO party ministers and SWAPO has the overwhelming majority of seats in Parliament. Equally promising is the active championship of the Minister of Environment and Tourism himself. He is personally coordinating activities to ensure that the statutory language is drafted, that other pending legislation is harmonized with the communal areas' new rights, that the Cabinet's legal advisors clear the bill, and that procedural requirements are completed to place the proposed legislation before parliament during the new session that opens on October 17, 1995. The Minister expressed confidence that the bill will pass unanimously or, failing unanimity,

that the ruling party's votes will be more than sufficient to enact the measure. In a separate meeting with MET and LIFE project advisors, Mission personnel were advised that enactment can be expected by early CY 1996, if not sooner.

On this basis, the Regional Legal Advisor concludes that the FAA's requirement of "reasonable anticipation" is met. Nevertheless, the Mission finds it prudent to establish a terminal date of August 31, 1996 at which time funds will be redeployed if the legislation is not enacted.

## **2. New Conditionality**

In support of the primary CP discussed above, the most recent (June, 1995) grant amendment conditioned disbursement of all of the fourth tranche funds upon enactment of the above-mentioned legislation. The Harare ECPR did not deem it necessary to condition disbursement of all new funds on the passage of this legislation. Rather wildlife consumption activities remain subject to the Condition Precedent of legislative enactment. This will fulfill the Mission's desire to maintain pressure for the legislation, and also expresses the Ministry's independent view that national policy urgently needs the enabling statutory amendments. Moreover, if the CP discussed in Section IX. A. in the PPSA has not been satisfied by August 31, 1996 or such date as the Parties may agree to in writing, A.I.D., at its option, may terminate the Project Agreement by written notice to the Grantee.

## **3. New Covenants under Policy Determination 20.**

**As required by Section 545 of the Foreign Affairs Appropriations Act for FY 1995 and by Policy Determination (PD) 20, this Project Grant Agreement Amendment will incorporate the standard covenants designed to protect U.S. jobs against corporate relocation overseas, prohibit financing of export processing zones, and protect internationally recognized workers' rights.**

## **C. Congressional Notification and Full Project Funding**

A TN for \$ 3.3 million was submitted on September 11, 1995. It expired without objection on September 27, 1995, per L. Keays e-mail and fax confirmation on September 28. These Washington "fall-out" funds plus ISA funds, totalling approximately \$.5 million that were previously notified, make up the balance of funds available for obligation for this amendment. However, USAID/Namibia and its partners in the LIFE Project had planned for an amendment totalling \$4.5 million in additional funding, in order to fully fund needed technical assistance through the new PACD, August 18, 1999. Accordingly, USAID/Namibia may request a minor amendment during the next several years, subject to availability of bilateral, regional or AID/W funds, to add the funding (\$644,000) needed to meet informal commitments to the LIFE Project partners.

## **D. Waivers**

No waivers are required to implement this component.

## **E. Project Review Issues**

Significant resolutions emanating from the review of the LIFE Project in Harare as detailed in the attached cable, 95 HARARE 9800.:

1. Verifiable measures of achievement of the revised project purpose, with particular attention to the concept of "equitable" benefit to communities, will be developed in conjunction with cooperating partners by March 31, 1996.
2. A terminal date of August 31, 1996 will be established for meeting the CP discussed above and alternative plans and budgets will be developed by March 31, 1996 to indicate required actions if the CP is not met.
3. A full and comprehensive economic analysis for the LIFE project will be completed by March 31, 1996.
4. The amended logical framework will be reviewed by USAID/Namibia and cooperating partners to ensure that objectively verifiable indicators appropriately measure project results and outcomes. This process will be completed and documented by March 31, 1996 through an Action Memorandum for USAID official files and through a PIL to the GRN.

## **V. AUTHORITY**

Pursuant to Section 4A of Delegation of Authority No. 551 (revised as of April 27, 1995), the Director or Acting Director, Regional Center for Southern Africa, has authority to amend regional projects up to a funding level of \$100,000,000 and a life of 10 years provided there are no waivers or policy issues that must be resolved in Washington. In addition, DOA 551, Section 6E permits redelegation of project implementation authorities to Mission Directors within the region. The redelegation of implementation authorities to the A.I.D. Representation/Namibia was signed by the RCSA Director on September 25, 1995. (DOA is attached.)

## **VI. RECOMMENDATIONS**

It is recommended that you approve the proposed amendments and modifications to the NRMP and the Namibia LIFE Project Component, (690-0251.73) by signing:

1. Project Authorization Amendment No. 10 to add \$ 3,856,000 to the authorized funding, raising the NRMP's total authorized level to \$53,999,779;

2. Project Paper Supplement Amendment No. 1 to the Namibia LIFE component, including the face sheet and the PPSA text, to reflect the addition of US\$ 3,856,000 raising the LIFE component's total funding to \$14,356,000, extending the PACD to August 18, 1999 and making changes recommended by the Mid-Term Assessment and Harare ECPR.

Approved: Wendy Stickel  
Wendy Stickel  
Acting Director, Regional Center for Southern Africa

Disapproved: \_\_\_\_\_  
Wendy Stickel  
Acting Director, Regional Center for Southern Africa

Date: 9/29/95

**Attachments:**

Regional NRM Project Authorization No. 10  
Project Paper Supplement Amendment No. 1  
ECPR Review Cable, 95 HARARE 9800  
DOA to USAID Representative, dated 9/25/95

**Clearances:**

- B. Belding, GDO: 9/16/95 (in draft)
- J. Johnson, PROG: 9/26/95 (in draft)
- M. Alexander, RLA: MBT 9/28/95
- C. Brooks, RCont: 9/22/95 (in draft)
- R. Kirk, PDO, REDSO,ESA: 9/16/95 (in draft)
- D. Stauffer, SPDO/RCSA: DD (draft) 9/28/95
- M. Williams, PDIS, USAID/Zimbabwe: 9/22/95 (in draft)
- C. Scherrer-Palma, AD, USAID/Zimbabwe: 9/22/95 (in draft)

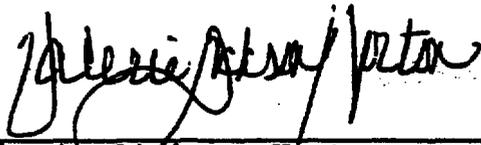
NATURAL RESOURCES MANAGEMENT PROJECT, NO. 690-0251  
REDELEGATION OF AUTHORITY

Pursuant to Delegation of Authority 551, as amended April 27, 1995 (DOA 551), Section 6E, the Director, Regional Center for Southern Africa (RCSA) may redelegate the authorities set forth in DOA 551, Section 5 to other principal field officers in southern Africa so that they may implement elements of regional projects within their countries.

Subject to the conditions stated below and to the requirements of DOA 551, all Section 5 implementation authorities are hereby re delegated to the A.I.D. Representative, USAID/Namibia, or to a person acting in that capacity, for purposes of implementing the Namibia component of the regional Natural Resources Management Project (NRMP), that is the Living in a Finite Environment (LIFE) component, No. 690-0251.73. The Director, RCSA, retains implementation authority concurrent with that of the A.I.D. Representative/Namibia, and all authorization authorities under Section 4 of DOA 551.

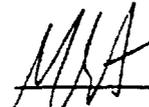
This re delegation is made on condition that the A.I.D. Representative/Namibia consult with the Director, RCSA, on major policy questions, major decisions affecting implementation of the project and major revisions to the Amplified Project Description attached to the Project Grant Agreement.

A further condition is that any decision or action that may affect future authorizations of, or amendments to, regional projects in southern Africa will be referred to the Director, RCSA, for consultation and concurrence. Such future authorizations or amendments will be executed by the Director, RCSA.



Valerie Dickson-Horton  
Director, Regional Center  
for Southern Africa

Date: 25<sup>th</sup> September 1995

Draft: MAlexander, RLA 

Clearances: DStaufer, SPDO   
WStickel, DE 

BEST AVAILABLE COPY

18

ACTION: AID-0  
INFO: DCM-0 POLE-0 AMB-0

DISTRIBUTION: AID  
CHARGE: AID

VEZCCOR0154  
PP RUEHOR  
DE RUEHSB #9800/01 2641349  
ZNR UUUUU ZZH  
P 211349Z SEP 95  
FM AMEMBASSY HARARE  
TO RUEHC/SECSTATE WASHDC PRIORITY 0712  
RUEHOR/AMEMBASSY GABORONE PRIORITY 0162  
RUEHWD/AMEMBASSY WINDHOEK PRIORITY 0301  
INFO RUEHLG/AMEMBASSY LILONGWE 0109  
BT  
UNCLAS SECTION 01 OF 06 HARARE 009800

AIDAC

AFR/SA FOR MEREDITH SCOVILL; LYNN KEEYS; BILL MARTIN  
AFR/DP FOR GLENN CAUVIN  
GABORONE FOR RCSA

E.O. 12356: N/A  
SUBJECT: REVIEW OF NATURAL RESOURCES MANAGEMENT -  
(NAMIBIA COMPONENT) PROJECT PAPER SUPPLEMENT AMENDMENT  
(690-0251.73)

1. SUMMARY: THE EXECUTIVE COMMITTEE FOR PROJECT REVIEW (ECPR) MET IN HARARE ON SEPTEMBER 13, 1995 TO REVIEW THE PROJECT PAPER SUPPLEMENT AMENDMENT NO. 1 FOR THE NAMIBIA COMPONENT OF THE REGIONAL NATURAL RESOURCES MANAGEMENT PROJECT (690-0251.73). THE REVIEW HAS CHAIRED BY STEVE NORTON, USAID/ZIMBABWE AND HAS ATTENDED BY REPRESENTATIVES FROM USAID/NAMIBIA, REDSO/ESA, THE REGIONAL CENTER FOR SOUTHERN AFRICA (RCSA) AND USAID/ZIMBABWE. THE PROPOSED AMENDMENT WILL INCREASE LIFE OF PROJECT FUNDING FOR THE NAMIBIAN COMPONENT BY \$3.856 MILLION, FROM \$10,500,000 TO \$14,356,000 IN DFA PROJECT ASSISTANCE. BASED ON THE REVIEW, THE DISCUSSION PRESENTED BELOW, AND THE EXPECTED RESOLUTION OF ISSUES AND MODIFICATIONS TO THE DOCUMENT, THE ECPR RECOMMENDED APPROVAL OF THE AMENDMENT. UPON REVIEW OF FINAL DOCUMENTATION AND CLEARANCE, USAID/ZIMRABWE WILL NOTIFY THE RCSA AND USAID/NAMIBIA SO THAT THEY MAY PROCEED WITH AMENDMENT APPROVAL AND AUTHORIZATION, AND OBLIGATION OF FUNDS IN ACCORDANCE WITH THEIR RESPECTIVE DELEGATED AUTHORITIES. END SUMMARY.

2. (A) THE ECPR BEGAN WITH A DISCUSSION BY

UN C

USAID NAMIBIA OF THE BACKGROUND AND CONTEXT OF THE NAMIBIA COMPONENT OF THE NATURAL RESOURCES MANAGEMENT (NRM) PROJECT WHICH WAS INITIATED IN 1992. THE MISSION DESCRIBED THE LESSONS LEARNED TO DATE, THE CONTINUING EVOLUTION OF INSTITUTIONAL ARRANGEMENTS IN NEWLY-INDEPENDENT NAMIBIA, THE RELEVANCE OF ORIGINAL ASSUMPTIONS, AND THE NEED FOR MODIFICATION IN THE PROJECT IMPLEMENTATION APPROACH AS A RESULT OF CHANGES IN THE NAMIBIAN CONTEXT. THE NAMIBIAN COMPONENT OF THE PROJECT SUPPORTS COMMUNITY BASED NATURAL RESOURCE MANAGEMENT (CBNRM), SUCH THAT BY THE END OF THE PROJECT THE PURPOSE OF "COMMUNITIES DERIVE INCREASED BENEFITS IN AN EQUITABLE MANNER BY GAINING CONTROL OVER AND SUSTAINABLY MANAGING NATURAL RESOURCES IN TARGET AREAS" WILL BE ACHIEVED.

(B) THE CURRENT LOP FUNDING FOR THIS COMPONENT OF THE OVERALL REGIONAL PROJECT IS \$10.5 MILLION. THE AMENDMENT PROPOSES AN ADDITIONAL \$3.856 MILLION TO EXTEND ACTIVITIES UNTIL AUGUST 1999.

3. THE FOLLOWING ISSUES WERE DISCUSSED AND RESOLVED AS INDICATED FOR THE AMENDMENT TO THE NAMIBIA COMPONENT OF THE NATURAL RESOURCES MANAGEMENT PROJECT (690-0251.73)

A. ISSUE: PROPOSED CHANGE IN PROJECT PURPOSE.

DISCUSSION: THE AMENDMENT PROPOSES TO REVISE THE COUNTRY-SPECIFIC PURPOSE STATEMENT. THE NEED FOR SUCH A CHANGE, AND CONFORMANCE WITH OVERALL REGIONAL PROJECT OBJECTIVES WAS DISCUSSED. FURTHER DISCUSSION ENSUED RELATED TO THE WORDING, INTENT, AND MEASURABILITY OF THE REVISED PURPOSE STATEMENT, ESPECIALLY WITH REGARD TO THE CONCEPT OF "EQUITABLE" AS STATED IN THE REVISED PROJECT PURPOSE.

RESPONSE: THE ECPR DETERMINED THAT A PURPOSE STATEMENT FOR THE NATIONAL LEVEL COMPONENT WHICH DIFFERS FROM THE OVERALL REGIONAL PURPOSE STATEMENT IS ACCEPTABLE, AND INDEED IS THE CASE FOR EACH BILATERAL COMPONENT.

GUIDANCE: VERIFIABLE MEASURES OF ACHIEVEMENT OF THE REVISED PROJECT PURPOSE WILL BE DEVELOPED IN CONJUNCTION WITH COOPERATING PARTNERS BY MARCH 31, 1996, AND WILL BE INCORPORATED INTO FORMAL DOCUMENTATION THROUGH A PIL

UN C

AMENDING THE AMPLIFIED PROJECT DESCRIPTION. THE AMENDMENT WILL BE MODIFIED TO INCLUDE A DISCUSSION ON THIS POINT. ALSO, THE COOPERATIVE AGREEMENT RECIPIENT'S (WWF) SOW WILL BE REVISED ACCORDINGLY.

RESPONSE: USAID/NAMIBIA REITERATED THAT: 1) THERE IS EVERY REASON TO BELIEVE THE LEGISLATION WILL BE ENACTED IN TIMELY FASHION, BUT THAT 2) CONDITIONALITY HAS BEEN INCLUDED TO REQUIRE ENACTMENT AND THAT THE TECHNICAL MINISTRY AT THE HIGHEST LEVELS IS FULLY IN AGREEMENT WITH THIS CONDITION.

GUIDANCE: BASED ON THIS DISCUSSION, IT WAS DETERMINED THAT A TERMINAL DATE OF AUGUST 31, 1996 WILL BE ESTABLISHED FOR MEETING THIS CP. THE PP SUPPLEMENT WILL BE MODIFIED ACCORDINGLY TO INDICATE THAT ALTERNATIVE PLANS AND BUDGETS WILL BE DEVELOPED AT THE APPROPRIATE TIME TO INDICATE REQUIRED ACTIONS IF CP IS NOT MET, AND THE REGIONAL LEGAL ADVISOR WILL WORK WITH USAID/NAMIBIA REPRESENTATIVES TO INCORPORATE APPROPRIATE LANGUAGE IN THE PROJECT AUTHORIZATION AND AGREEMENT AMENDMENTS.

D. ISSUE: RELATIONSHIPS WITH REGIONAL COORDINATION COMPONENT AND THE REGIONAL CENTER FOR SOUTHERN AFRICA:

DISCUSSION: THE ECPR DISCUSSED THE ROLE OF THE REGIONAL COORDINATION COMPONENT OF THE NRM PROJECT WHICH IS TO BE INVOLVED IN THE EVALUATION OF ALL COUNTRY-SPECIFIC COMPONENTS, AS WELL AS TO FACILITATE REGIONAL NETWORKING AND LINKAGES. USAID/NAMIBIA REPORTED THAT TO DATE INTERACTION WITH THE SADC/TCU MALAWI-BASED UNIT HAS BEEN IRREGULAR. THE RCSA REPRESENTATIVE STATED THAT WITH THE AWARD OF A COOPERATIVE AGREEMENT FOR IMPLEMENTATION OF THE REGIONAL COORDINATION COMPONENT OF THE PROJECT IT WAS ANTICIPATED THAT THERE WOULD BE SIGNIFICANTLY INCREASED CONTACT WITH BILATERAL MISSIONS. IN ADDITION, THE RECENT PP SUPPLEMENT FOR THE MALAWI COMPONENT OF THE PROJECT INCLUDES FUNDING FOR AN NRM PROJECT SPECIALIST

TO BE BASED IN BOTSWANA WHO WILL HAVE RESPONSIBILITY FOR MONITORING AND LIAISON FUNCTIONS.

RESPONSE: WITH THE RE-ACTIVATION OF THE REGIONAL COORDINATION COMPONENT, IT WAS DETERMINED THAT THE REGIONAL COMPONENT WOULD CARRY OUT A FINAL MACRO EVALUATION OF ALL THE COUNTRY SPECIFIC COMPONENTS WHICH WOULD BE DONE IN CONJUNCTION WITH THE NAMIBIA FINAL EVALUATION AND THAT FINANCING FOR THIS ACTIVITY WOULD BE AVAILABLE FROM THE REGIONAL COORDINATION COMPONENT.

GUIDANCE: THE AMENDMENT WILL BE MODIFIED TO INCLUDE A

DISCUSSION ON THE ROLE OF THE REGIONAL COORDINATION COMPONENT IN PROJECT IMPLEMENTATION AND WITH REGARD TO

## THE FINAL EVALUATION.

## E. ISSUE: SUSTAINABILITY.

DISCUSSION: THE ECPR DISCUSSED THE NEED FOR SUSTAINABLE PROGRAMS AND THE REQUIREMENT FOR MORE TIME AND RESOURCES TO ACHIEVE SUSTAINABILITY OF COMMUNITY-BASED PROGRAMS UNDER THE NAMIBIA COMPONENT. PARTICIPANTS IDENTIFIED THE NEED FOR SPECIFIC PROPOSALS FOR INCREASING SUSTAINABILITY OF THE COMMUNITY-BASED PROGRAMS AND DISCUSSED THE IMPACT ON PROGRAM SUSTAINABILITY OF RELIANCE ON EXPATRIATE STAFF TO IMPLEMENT FIELD LEVEL ACTIVITIES.

USAID/NAMIBIA REPRESENTATIVES EXPLAINED THAT SUSTAINABILITY WILL BE REQUIRED AT SEVERAL LEVELS FOR ACHIEVEMENT OF PROJECT OBJECTIVES, (I.E. ECOLOGICAL, ECONOMIC, INSTITUTIONAL AND HUMAN RESOURCE) AND THAT THESE VARIOUS ASPECTS OF SUSTAINABILITY ARE INTERLINKED. IN ADDITION, IT WAS NOTED THAT ORIGINAL ASSUMPTIONS REGARDING CAPACITY AT THE NON GOVERNMENTAL ORGANIZATION (NGO) OR COMMUNITY BASED ORGANIZATION (CBO) LEVEL IN 1991/92 WHEN THE PROJECT WAS AUTHORIZED HAVE PROVED UNFOUNDED, AND THAT THERE IS LITTLE CAPACITY AT THE PRESENT TIME. THEREFORE, ADDITIONAL EFFORTS IN ALL OF THESE AREAS WILL BE REQUIRED TO ACHIEVE SUSTAINABLE PROGRAMS. IT WAS NOTED THAT ATTAINMENT OF SUSTAINABLE OPERATIONS WITHIN THE 4 PLANNED TARGET CONSERVANCIES DURING THE LOP IS DIRECTLY LINKED TO THE TIMELY PASSAGE OF THE ENABLING LEGISLATION.

RESPONSE: USAID/NAMIBIA REPRESENTATIVES UNDERLINED THE DEARTH OF LOCAL INDIGENOUS NAMIBIANS WHO, AT THE PRESENT TIME, COULD ASSUME MANY OF THE FUNCTIONS BEING CARRIED OUT BY THE EXPATRIATE TEAM. USAID/NAMIBIA EXPLAINED WHY EXPATRIATE ADVISORS WOULD BE MORE DIRECTLY INVOLVED AT THE FIELD LEVEL AS RECOMMENDED BY THE MID-TERM ASSESSMENT AND CLARIFIED THAT NGOS, COUNTERPARTS, AND NAMIBIANS WILL BE INVOLVED IN THE PROVISION OF TECHNICAL ASSISTANCE OR TRAINING TO THE GREATEST DEGREE POSSIBLE.

GUIDANCE: CONSIDERATION SHOULD BE GIVEN TO INCREASING, IF RESOURCES PERMIT, THE COUNTERPART STAFF SO AS TO COPE WITH LIKELY LOSS OF SOME STAFF GIVEN SAID DEARTH OF NAMIBIANS. ALSO, THE AMENDMENT AND THE COOPERATIVE AGREEMENT WITH WWF SHOULD BE MODIFIED TO RECOGNIZE THE IMPORTANCE OF EXPATRIATE STAFF STEPPING BACK FROM THE "FRONT LINES" IN THE LATER YEARS OF THE PROJECT AND, CONVERSELY, EXPANDING THEIR COUNTERPARTS' ROLES.

F. ISSUE: CHANGES FROM COMPONENT AS ORIGINALLY DESIGNED.

DISCUSSION: USAID/NAMIBIA MADE A THOROUGH INTRODUCTORY OVERVIEW OF THE CURRENT NAMIBIAN COMPONENT AT THE OUTSET OF THE ECPR. ELEMENTS OF THIS BACKGROUND WERE HELPFUL IN PROVIDING PARTICIPANTS AN UNDERSTANDING OF PREVIOUS PROJECT INTERVENTIONS AND APPROACHES USED IN EARLY IMPLEMENTATION OF THE PROJECT. PARTICIPANTS AT THE ECPR INDICATED THAT INCLUSION OF SOME OF THE HISTORICAL PERSPECTIVE OF THE PROJECT IN THE AMENDMENT WOULD BE USEFUL TO INFORM THE READER. IN ADDITION, THE AMENDMENT SHOULD SET FORTH PROJECT RESULTS TO DATE, ESPECIALLY WITH REGARD TO COMMUNITY BENEFITS DERIVED FROM PROJECT ACTIVITIES.

GUIDANCE: A "THEN AND NOW" SECTION SHOULD BE ADDED AT THE BEGINNING OF THE AMENDMENT WHICH LAYS OUT FOR THE READER WHAT THE ORIGINAL PROJECT INTENDED TO ACCOMPLISH AND THE APPROACH IT INTENDED TO USE AS WELL AS THE REVISED APPROACH. THE DOCUMENT WILL ALSO INCLUDE A SECTION ON PROJECT RESULTS TO DATE.

3. ISSUE: ADEQUACY OF ANALYSIS INCLUDED IN THE AMENDMENT

DISCUSSION: THE ECPR REVIEWED THE ANALYTIC BACKGROUND PROVIDED IN THE AMENDMENT, AND NOTED THAT ORIGINAL ANALYSES WERE NOT AVAILABLE AT THE TIME OF REVIEW TO ASSIST PARTICIPANTS IN ASCERTAINING THE APPROPRIATENESS OF THE SUMMARY UPDATE ANALYSES INCLUDED IN THE DOCUMENT. IT WAS NOTED THAT THE LESSONS LEARNED TO DATE AND RECORDED IN THE MID-TERM ASSESSMENT, PROJECT DOCUMENTS,

AND MISSION RECORDS WOULD PROVIDE A BASIS FOR THE ANALYTICAL UNDERPINNINGS NECESSARY TO SUPPORT THE PROPOSED AMENDMENT TO THE PROJECT.

RESPONSE: USAID/NAMIBIA NOTED THAT SUBSTANTIAL ANALYTICAL BACKGROUND AND SUPPORTING DOCUMENTATION IS AVAILABLE, BOTH FROM THE ORIGINAL PROJECT DESIGN AND BASED ON INFORMATION MADE AVAILABLE DURING THE LIFE OF THE PROJECT.

GUIDANCE: THE SUMMARY ANALYSES IN THE AMENDMENT ANNEX SHOULD BE INCLUDED IN THE BODY OF THE DOCUMENT AND ADDITIONAL INFORMATION, ESPECIALLY WITH REGARD TO THE SOCIAL AND TECHNICAL ANALYSIS, WILL BE INCLUDED FROM THE MID-TERM ASSESSMENT DOCUMENTS. INFORMATION REGARDING ECONOMIC BENEFITS TO DATE WILL ALSO BE INCLUDED, AND THE FULL ECONOMIC ANALYSIS WILL BE UPDATED BY MARCH 31, 1996.

**H. ISSUE: FINANCIAL AND IMPLEMENTATION INFORMATION**

**DISCUSSION:** THE AMENDMENT CONTAINS ONLY A SUMMARY BUDGET, AND THE ECPR DISCUSSED THE NEED FOR ADDITIONAL FINANCIAL INFORMATION RELATED TO THE PROJECTED INCREASE IN FUNDING. IT WAS NOTED THAT, IN ACCORDANCE WITH USAID GUIDELINES, A SUMMARY BUDGET, A DETAILED FIRST YEAR BUDGET FOR EACH LINE ITEM AND PROJECTED EXPENDITURES SHOULD BE INCLUDED. THE ECPR ALSO DISCUSSED THE NEED FOR A PROCUREMENT PLAN DEVELOPED BY USAID PRIOR TO AUTHORIZATION OF THE AMENDMENT.

**GUIDANCE:** THE AMENDMENT'S FINANCIAL PLAN WILL BE EXPANDED. THE USAID/ZIMBABWE CONTROLLER WILL PROVIDE SPECIFIC INFORMATION TO USAID/NAMIBIA REGARDING ADDITIONAL FINANCIAL REQUIREMENTS. IN ADDITION, A PROCUREMENT PLAN WILL BE INCLUDED IN THE DOCUMENT AND A DISCUSSION REGARDING THE PROPOSED METHODS OF IMPLEMENTATION AND FINANCING. THE AMENDMENT WILL ALSO CONTAIN ADDITIONAL INFORMATION ON HOW COMPONENTS WILL BE IMPLEMENTED, E.G. SUBGRANTS UNDER WORLD WILDLIFE FUND (WWF), TRAINING PROGRAMS, ETC.

**I. ISSUE: MONITORING AND EVALUATION**

**DISCUSSION:** THE AMENDMENT STATES THAT THE MONITORING AND EVALUATION PLAN UNDER THE ORIGINAL DESIGN WILL BE CARRIED OUT DURING THE REMAINDER OF THE PROJECT. THE ECPR NOTED THAT THE AMENDMENT AS REVIEWED DID NOT INCLUDE A CLEAR, CONCISE DESCRIPTION OF THAT PLAN.

**RESPONSE:** THE USAID/NAMIBIA TEAM PROVIDED A COPY OF THE CURRENT MONITORING AND EVALUATION PLAN, WHICH INCLUDES BASELINE INFORMATION, RESULTS TO DATE AND OTHER ASSESSMENT TOOLS.

**GUIDANCE:** THE AMENDMENT WILL BE REVISED TO INCLUDE KEY ELEMENTS OF THE MONITORING AND EVALUATION PLAN, AND THE TEXT WILL BE CLARIFIED TO INDICATE THAT THE IMPLEMENTATION OF THE MONITORING AND EVALUATION FUNCTION FALLS WITHIN THE COOPERATIVE AGREEMENT WITH WWF.

**J. ISSUE: DELEGATIONS OF AUTHORITY**

**DISCUSSION:** THE RLA WAS ASKED TO CLARIFY THE PROCEDURE WHICH WOULD BE ANTICIPATED TO BE FOLLOWED WITH REGARD TO AUTHORIZATION OF THE DOCUMENT.

**RESPONSE:** USAID/ZIMBABWE WILL REVIEW/CLEAR THE REVISED AMENDMENT AND ENSURE THAT CHANGES HAVE BEEN MADE AS RECOMMENDED BY THE ECPR; THE RCSA DIRECTOR OR ACTING DIRECTOR WILL APPROVE AMENDMENT AND SIGN PROJECT

24

AUTHORIZATION AMENDMENT. USAID/NAMIBIA WILL BE DELEGATED IMPLEMENTATION AUTHORITY INCLUDING AUTHORITY TO OBLIGATE FUNDS THROUGH AN AMENDMENT TO THE BILATERAL PROJECT GRANT AGREEMENT.

**GUIDANCE:** DOCUMENTATION SHOULD BE PREPARED IN ACCORDANCE WITH THE RESPONSE ABOVE: RCSA DIRECTOR APPROVE AMENDMENT VIA ACTION MEMO AND SIGN PROJECT DATA SHEET AND PROJECT AUTHORIZATION AMENDMENT; AND USAID/NAMIBI A REPRESENTATIVE WILL EXECUTE PROJECT GRANT AGREEMENT AMENDMENT, OBLIGATING FUNDS.

TO SUMMARIZE, USAID/ZIMBABWE DIRECTOR SENDS CABLE INDICATING ECPR-RECOMMENDED APPROVAL OF PROPOSED

AMENDMENT AS REVISED. DIRECTOR, RCSA APPROVES AMENDMENT BY SIGNING THE ACTION MEMO AND PROJECT DATA SHEET AND AUTHORIZES THE NEW LOP LEVEL, CP AND COVENANTS BY SIGNING AMENDMENT 10 TO NRMP AUTHORIZATION. USAID/NAMIBIA OBLIGATES FUNDS BY SIGNING BILATERAL PROJECT GRANT AMENDMENT NO 5.

**K. CLARIFICATION: TRAINING**

**DISCUSSION:** THE ECPR DISCUSSED THE PROPOSED ADDITIONAL TRAINING UNDER THE AMENDMENT WHICH HAS BEEN IDENTIFIED AS THE ONLY MAJOR EXPANSION OF A COMPONENT UNDER THE AMENDED PROJECT.

**GUIDANCE:** THE AMENDMENT SHALL BE MODIFIED TO INCLUDE AN EXPANDED DISCUSSION ON THE TYPE OF TRAINING AND PARTICIPANTS THAT ARE ANTICIPATED, AND THE DETAILED PROJECT BUDGETS NOTED IN ISSUE H ABOVE SHALL PROVIDE INFORMATION ON THE COSTS OF SUCH TRAINING.

**L. ISSUE: INDICATORS**

**DISCUSSION:** THE ECPR REVIEWED THE INDICATORS INCLUDED IN THE REVISED LOGICAL FRAMEWORK AND NOTED THAT SOME OF THE INDICATORS OF THE RESULTS STATEMENTS APPEAR TO MEASURE ONLY THE DELIVERY OF INPUTS, RATHER THAN AN OUTCOME OF PROJECT ACTIVITIES. FOR EXAMPLE, RESULT 5 INDICATOR "NUMBER OF COMMUNITY MEMBERS TRAINED IN PARTICIPATORY AND TECHNICAL NRM AND ENTERPRISE MANAGEMENT" ONLY MEASURES THAT TRAINING WAS DONE. IT WAS SUGGESTED THAT IT WOULD BE MORE USEFUL TO HAVE INDICATORS THAT MEASURE THE EFFECT OF THE TRAINING SUCH AS "# OF ENTERPRISES WITH INCREASED INCOME/EMPLOYMENT/ OR OTHER MEASURE SIX MONTHS AFTER RECEIVING ENTERPRISE TRAINING."

25

RESPONSE: USAID/NAMIBIA AGREED TO REVIEW INDICATORS AND MODIFY AS NECESSARY; HOWEVER, BECAUSE OF THE COLLABORATIVE PROCESS REQUIRED FOR THESE MODIFICATIONS, IT IS NOT ANTICIPATED THAT THE CHANGES WILL BE MADE PRIOR TO AUTHORIZATION OF THE AMENDMENT.

**GUIDANCE:** THE AMENDED LOGICAL FRAMEWORK WILL BE REVIEWED TO ENSURE INDICATORS RELATE TO PROJECT OUTCOMES. THIS PROCESS WILL BE COMPLETED AND DOCUMENTED BY MARCH 31, 1996 THROUGH AN ACTION MEMORANDUM FOR USAID OFFICIAL FILES, AND THROUGH A PIL TO THE GRN WHICH MODIFIES THE AMPLIFIED PROJECT DESCRIPTION. THE AMENDMENT WILL BE MODIFIED TO INCLUDE A DISCUSSION ON THIS POINT. THE WWF COOPERATIVE AGREEMENT WILL BE AMENDED ACCORDINGLY.

**M. CLARIFICATION: SUPPORT FOR HUMAN RESOURCES DEVELOPMENT UNIT**

**DISCUSSION:** THE AMENDMENT CONTAINS REFERENCES TO SUPPORT FOR ESTABLISHING A HUMAN RESOURCES DEVELOPMENT UNIT AT THE MINISTRY OF ENVIRONMENT AND TOURISM. THE ECPR REQUESTED CLARIFICATION AS TO HOW THIS UNIT WOULD BE SUSTAINED AFTER THE PROJECT ENDS?

**RESPONSE:** USAID/NAMIBIA EXPLAINED THAT CREATION AND SOLE SUPPORT FOR THE HUMAN RESOURCES DEVELOPMENT UNIT IS NOT INCLUDED IN THE AMENDMENT. USAID WILL ONLY SUPPORT TA AND COMMODITIES FOR CBNRM TRAINING AND COMMUNITY DEVELOPMENT.

**GUIDANCE:** REFERENCES THAT MAY IMPLY MAJOR USAID SUPPORT TO THIS UNIT WILL BE REMOVED FROM THE DOCUMENT.

**N. CLARIFICATION: NATIONAL ENVIRONMENTAL TRUST FUND**

**DISCUSSION:** THE AMENDMENT MAKES REFERENCE TO A NATIONAL ENVIRONMENTAL TRUST FUND. THE ECPR REQUESTED CLARIFICATION ON WHAT THIS TRUST FUND WOULD ENCOMPASS, AND ON USAID'S ROLE, IF ANY, IN THE CREATION OR SUPPORT FOR THIS ORGANIZATION.

**RESPONSE:** USAID/NAMIBIA INDICATED THAT THE NATIONAL ENVIRONMENTAL INVESTMENT FUND IS NOT A USAID INITIATIVE, THAT WWF HAS PROVIDED SOME TECHNICAL ASSISTANCE THROUGH MATCHING FUNDS TO DATE, BUT THAT THERE IS NO MAJOR FUNDING FOR THIS ACTIVITY PLANNED UNDER THIS AMENDMENT. THIS IS A SEPARATE ACTION OF THE MISSION UNDER ITS STRATEGIC OBJECTIVE 2 ACTIVITIES.

**GUIDANCE:** REFERENCE TO THE NATIONAL ENVIRONMENTAL INVESTMENT FUND IN THE AMENDMENT WILL BE CLARIFIED TO

INDICATE THAT NO MAJOR FUNDING FROM THIS PROJECT WILL SUPPORT THAT ACTIVITY.

4.  
SCHEDULE FOR COMPLETION OF ACTIVITIES.

BELOW IS THE PROPOSED SCHEDULE FOR TIMELY COMPLETION OF DOCUMENTATION, AUTHORIZATION AND OBLIGATION OF FUNDS.

USAID/NAMIBIA TEAM FINALIZES AMENDMENT DOCUMENTATION BASED ON SEPTEMBER 13 ECPR.	9/13-16
USAID NAMIBIA TEAM LEAVES REVISED AMENDMENT WITH USAID/ZIMBABWE AND RCSA FOR REVIEW.	9/16
KEY PARTIES AT RCSA AND USAID/ZIMBABWE REVIEW REVISED AMENDMENT AFTER SIMULTANEOUS DISTRIBUTION.	9/18 - 21
USAID/ZIMBABWE NOTIFIES USAID/NAMIBIA AND RCSA OF ITS CLEARANCE SUBJECT TO RESOLUTION/CLEANING UP OF SOME ISSUES. RCSA ALSO PROVIDES ANY INPUT TO USAID/NAMIBIA.	9/22
USAID/NAMIBIA CHANGES AMENDMENT PER USAID/ZIMBABWE AND RCSA GUIDANCE.	9/25
RCSA APPROVES AND AUTHORIZES AMENDMENT.	9/26
USAID/NAMIBIA OBLIGATES FUNDS (SUBJECT TO SATISFACTORY EXPIRATION OF TN). CARSON BT #9800	9/28

NNNN

**NATURAL RESOURCE MANAGEMENT PROJECT/NAMIBIAN COMPONENT  
LIVING IN A FINITE ENVIRONMENT (LIFE) PROJECT  
(690-0251.73)**

**PROJECT PAPER SUPPLEMENT AMENDMENT NO. 1**

**Executive Summary**

**A. Purpose of the PPSA**

The Namibia component of the Southern Africa Regional Program (SARP) Natural Resource Management Project (NRMP) (690-0251), known as the Living in a Finite Environment (LIFE) Project Paper Supplement (690-0251.73), was designed to support the Namibian Government's Community-Based Natural Resources Management Program (CBNRM). Targeting the Caprivi Strip and Eastern Bushmanland plus Uukwaluudhi, the LIFE Project develops replicable models of CBNRM, assisting rural communities to organize around activities that will use and preserve wildlife and other natural resources so as to generate economic benefits and foster responsible custodianship of those resources. In addition, the project focuses on improvement of the policy and regulatory environment with a view to establishing the rights of communities to exploit their wildlife resources and retain the income.

The purpose of the Project Paper Supplement Amendment is to align all documents based on recommendations from the Mid-Term Assessment, to document changes in implementation arrangements, to reflect discussions with the Regional Center for Southern Africa (RCSA), and to include an addition of funds and an extension of the PACD. This amendment does not alter the basic elements of the project. The focus on community-based activities, training, and networking initiatives is unchanged. The additional funding, over and above the initial life of project funding, will increase the level of activities, particularly training related to CBNRM, and allow enough time for the community-based activities to become sustainable. Given the creative and pilot nature of this project, and that the Mid-Term Assessment was completed and fallout funding received as this PPSA was being written, this PPSA also serves as a framework for the development and implementation of evolving project activities. In summary, this amendment rationalizes the Namibia component's analytical framework and refines the goal, purpose and results statements, while augmenting time and finances to ensure sustainability of results. The PPSA Goal and Purpose remain consistent with the Regional Project's Goal and Purpose.

**B. Project Background**

In August of 1989, USAID authorized the Southern Africa Regional Program (SARP) Natural Resource Management Project (NRMP) (690-0251). This regional project initially provided funds to NRMP

components in Botswana, Zambia, and Zimbabwe and three years later, Namibia. In addition, it supported a coordinating NRMP function in Malawi under the SADC Sector Coordinator for Forestry, Fisheries and Wildlife. The multi-country goal of the Regional NRMP is "to increase incomes and enhance capability to meet basic human needs through sustainable utilization and conservation of natural ecosystems." There is also a regional subgoal: "promoting sustainable development of communities through appropriate land use practices on lands that are marginally suitable for agriculture."

The Living in a Finite Environment (LIFE) Project Paper Supplement (690-0251.73) was authorized September 3, 1992 as a five year US\$ 10.5 million amendment (Number 3) to the SARP Regional NRM Project. Although the LIFE Project was initially designed to be implemented by two entities (a US-based PVO and ZSSD), the termination of the Zoological Society of San Diego (ZSSD) grant has prompted implementation changes. An addition of US \$3,856,000; incorporation of design changes emerging from the Mid-Term Assessment and an extended PACD in line with SARP's PACD of August 18, 1999 will be accomplished through this amendment.

The history of natural resource management in Namibia is one of a preservation and enforcement mode and, because of apartheid, one in which the local population was completely alienated from conservation activities, concerns, and benefits. The LIFE Project design commenced in 1991, only one year after independence, and the assumptions regarding the commitment, pace, intent, and realistic possibility of affirmative action in the Ministry of Environment and Tourism (MET) were not able to be extrapolated from any similar African context. There was no history of the Government working with development donors, and Namibia's connections with, and exposure to CBNRM regimes in other countries were few and informal. The primary influence on Namibia was South Africa, where CBNRM was not widely understood and rarely practiced. The project design anticipated that networking and exposure within the southern African region would provide the Ministry, some of the NGOs, researchers and practitioners as well as communities, with new ideas and opportunities.

It was clear that the target areas would be in the regions of the country where there was an adequate resource base to implement CBNRM activities and where existing CBNRM NGOs were working. It was agreed that CBNRM activities under way in the target areas would be prioritized for LIFE support and funding before new activities were initiated. The target areas were designated as: 1. the Caprivi Region, 2. Bushmanland, and 3. the Etosha Catchment Area. Once project implementation was under way, NGOs began to experience post-independence capacity and sustainability difficulties, the Ministry capacity and commitment to carry out CBNRM in the field was determined to be limited, and re-examination of the target areas began to take place. Ensuing research and social science investigations indicated that the Caprivi should be divided into

two distinct target areas, West and East. Bushmanland was subsequently sub-divided by new political apportionment and the target area was renamed Eastern Bushmanland. With the failure of the ZSSD component, the Etosha Catchment Area was defunct as a target area and only Uukwaluudhi, north of Etosha Park, will remain as a CBNRM site for possible project interventions, outside of the 3 target areas. This will remain due to the political sensitivity of this area and because of commitments made to senior GRN officials.

The original intent of the LIFE Project was to implement the project through a collaborative process involving the implementors, the MET, NGOs, and communities. While this intent clearly remains, it has become apparent that the capacity of the Ministry is less than envisioned and that changes in staffing patterns have not occurred as quickly as planned. The original PP intent was that capacity building activities with CBOs were to be done through NGOs. The most significant realization that has had a major impact on project implementation and future planning has been in the area of limited NGO capabilities, and their slow pace of growth and lack of sustainability strategies. NGOs that were key partners in the proposed LIFE Project (e.g. NNDF) have ceased to function, NGOs that were envisioned as future partners for specific activities (e.g. as trainers at the community level) have been unable to fulfill these functions, and the number of NGOs that were truly CBNRM focused has turned out has been greatly overestimated.

The Zoological Society of San Diego (ZSSD) Research Component was included in the LIFE Project after the major design activities were completed; however, incomplete analysis was carried out on the ability of the organization to manage and implement activities in the field. This research component was not well integrated with the rest of the project. The grantee, ZSSD, unilaterally terminated the component only 9 months after beginning implementation due to its institutional constraints.

The chart below provides a brief overview of the changes from the original project design to this PPSA.

	Original Design	PPSA
Target Areas	Caprivi, Bushmanland and Etosha Catchment	West Caprivi, East Caprivi, Eastern Bushmanland and Uukwaluudhi (a site near Etosha)
Approach	LIFE assistance to several NGOs which would filter down to communities	LIFE assistance to NGOs and directly to CBOs

	Original Design	PPSA
Number of NGOs	12-15 NGOs	3 NGOs; 3 CBOs
Capability of NGOs	Strong NGOs with trained staff and financial and planning capability	NGOs/CBOs continue to need institutional strengthening in administrative, financial, planning, monitoring and evaluation and field extension functions
Policy Context	Weak and nascent policy environment	Strengthened policy environment and community support for policy changes
Ministry Commitment	CBNRM was a new approach for MET when LIFE was designed; viewed as a DEA initiative only; little interest and support from natural resource management and tourism divisions	Strong Ministry-wide interest and support
Tourism	Vague direction for work in tourism sector	Strong policy support; subgrant support; new nationwide NGO providing coordination and direction
Training	Extensive formal and in-service training for MET staff and NGOs; limited funds in CA disallowed full training activities	Extensive training of MET staff, NGOs/CBOs and community members on CBNRM
Research Focus	Combination of social science and pure biological science	Primarily social science research

	Original Design	PPSA
Regional Networking	Strong regional coordinating, networking, information sharing and liaison function performed by Malawi; only extant for 6 months during LIFE Project	Malawi regional office being revived; RCSA has staff dedicated for this function
Environmental Education	Major component in PP design; eliminated in the PP authorization	EE component picked up by READ Project; close collaboration with LIFE activities
Community Benefits	Average income and employment increased for participating populations	<ul style="list-style-type: none"> <li>- thatching grass enterprise returns benefits to communities</li> <li>- water lily harvesting</li> <li>- Caprivi Arts and Cultural Assoc. members receiving increased benefits</li> <li>- bed night levies to communities around Lianshulu Lodge</li> </ul>

### C. Project Implementation

Under this Project Paper Supplement Amendment, the entire LIFE Project is being implemented through a Cooperative Agreement between USAID and World Wildlife Fund (WWF). In turn, WWF has a team composed of World Learning, Inc. (WLI), the Rössing Foundation (RF), and Management Systems International (MSI) to facilitate implementation of the LIFE Project. World Learning and MSI provide some of the long-term TA and consultants to the Project and the Rössing Foundation provides Namibian staff. Project activities in target areas are directly implemented through NGOs and CBOs supported by the LIFE Project through sub-grants. LIFE Project staff provide technical assistance and training to NGOs/CBOs and in some cases, directly to communities.

All project activities are coordinated and monitored by a Steering Committee (SC) composed of senior representatives from the MET, USAID, World Wildlife Fund (WWF), Integrated Rural Development and

Nature Conservation (IRDNC), the Social Science Division at the University of Namibia, and individuals who represent the disciplines of law and tourism. The Chair of the SC is the head of the Ministry of Environment and Tourism's (MET) Directorate of Environmental Affairs (DEA).

The MET is responsible for interpreting the Government of the Republic of Namibia's (GRN) national environmental policy and providing policy guidance for the LIFE Project. In March, 1995 a new Minister, Deputy Minister and Permanent Secretary were appointed by President Nujoma. The Minister and Permanent Secretary are very supportive of the CBNRM program and related activities and have taken a proactive role in establishing an enabling environment for CBNRM in Namibia. Therefore, the LIFE Project is ideally situated to accelerate its assistance to the MET in establishing sustainable activities in CBNRM in the LIFE Project target areas. The lessons learned from these targeted activities could be replicated by the MET, NGOs and CBOs after the LIFE Project ends.

Implementation commenced in July, 1993 when LIFE Project staff took up residence in Namibia. Once the project got underway and the Steering Committee became active, it became evident that the project needed some fine-tuning related to purpose, outputs and EOPS. During discussions of the impending Mid-term Evaluation, held in October 1994, it was decided that a participatory project "Assessment" was needed that would assess the Goal, Purpose, Outputs and EOPS (End of Project Status) and make recommendations to focus the project; to heighten benefits; and, to harmonize the formal documents. Thus started what turned out to be a seven month, four phase Mid-Term Assessment activity which involved all project partners.

#### **D. LIFE Mid-Term Assessment and Results**

The Assessment consisted of an Internal Team, appointed by the LIFE Steering Committee, and two External Teams of differing composition. The Assessment was designed in a transparent and participatory manner with all partners involved at every stage. All teams uniformly concluded that the Project was, in general, making excellent progress towards its purpose, but made recommendations for strengthening the project. Of major impact to the project were two closely related basic recommendations: (1) to increase the focus of Project resources at the community level in order to accelerate development of conservancies (described later) and (2) to provide the time and resources required by extending the PACD and increasing funding.

Initially, the Mission had sought to add \$ 6 million and to expand the NGO activity by creating a nationwide CBNRM NGO and to assist the MET with its Human Resource Development Unit. After consultations with the RCSA, this plan was scaled back to supporting, in a sustainable manner, the project's original components. In discussion with RCSA and AFR/DP, an additional \$3,856,000 was identified from "fall-out" funds to be made available to USAID/Namibia for this extension.

Both Assessment Reports (Annex E) list significant results from the first two years of LIFE activities. By project component, these include:

**Component 1: CBNRM Activities**

- garnered increased policy support; Conservancy Policy was passed by Cabinet in March, 1995
- support to community-based tourism activities has resulted in the formation of NACOBTA and government support for community-based tourism
- have established baseline and methods for continued collection of information on the natural resource base
- increased public awareness of CBNRM activities
- 4 NGOs/CBOs have strengthened their organization's capacity to plan, implement and manage CBNRM activities
- supported first land-use planning workshop involving residents of Bushmanland and other Ministries
- Thatching grass and reeds yield USD \$24,000/year for 160 women; bed-night levy of USD \$3,600/yr. to 746 households in five communities; Lizauli village yields USD \$4,000 for 14 staff and community members; Lizauli crafts yields USD \$ 2,000 for 60 some individuals.

**Component 2: Applied Research**

- provided economic research and data to support MET CBNRM focus and for development of community based tourism activities
- provided economic models for NRM benefit projections
- 2 staff from SSD receiving on-the-job training including MA degrees

**Component 3: Training**

- NGOs and CBOs received participatory rural appraisal training
- NGOs/CBOs received training in project monitoring and evaluation
- carried out first training needs assessment in the MET

**Component 4: National/Regional Networking**

- participated in Project Coordination Committee
- participation of a 14 member delegation in the Regional Kasane Workshop
- sent participants to the Regional Gender Workshop

**E. Project Paper Supplement Amendment**

The Project Paper Supplement is being amended based on the recommendations from both Assessment Reports and through the discussions generated by the assessment exercise. However, as one of the recommendations pertained to new institutional building component, the RCSA and Namibian Mission management decided not to incorporate funding for a Human Resource Development Unit in the MET. The original CBNRM focus of the project is not being altered and the project still fits squarely within the Regional NRMP objectives. The amendment revisions attempt to sharpen the project in response to the realities in the field, to strengthen the results, and to bestow more lasting sustainable skills to communities managing and using their natural resources. The changes reflect a strong consensus between the LIFE partners, arrived at through a lengthy participatory process.

The rationale for refining the Goal and Purpose was to focus the project to ensure that benefits to its customers could be obtained during the LOP; this process has also confirmed that all partners agree to the changes from the original Project Paper. The new LIFE Goal specifies more directly where the project is headed. The project will attempt not only to enhance capabilities of people, but to improve their quality of life. The old and new goals are listed in the table below:

Old LIFE Goal	New LIFE Goal
Enhance capabilities to meet the basic human needs through sustainable management of natural resources.	Improved quality of life for rural Namibians through sustainable natural resource management.

The new LIFE Goal is in line with the NRMP Regional Goal "to increase incomes and enhance capability to meet basic human needs through sustainable utilization and conservation of natural ecosystems." Because the populations in the LIFE Project's target areas are living at a subsistence level, an improvement in their quality of life is analogous to meeting basic human needs.

At the Purpose level, the three original Purposes were deemed to be unfocused and not at the Purpose level but at the Output level.

25

Therefore, one new LIFE Project Purpose was selected, as noted in the table below:

Old LIFE Purpose(s)	New LIFE Purpose
<p>1. Increase social and economic well being in poor rural communities and/or in buffer zones to protected areas, through community-based natural resource management. 2. Improve community-based groups capabilities to manage natural resources in a sustainable fashion, through strengthening local, regional and national institutions which provide services to communities. 3. Develop strategies and methodologies for community management of natural resources.</p>	<p>Communities derive increased benefits in an equitable manner by gaining control over and sustainably managing natural resources in target areas.</p>

The purpose implies that members within communities will receive benefits in an equitable manner. The Life Project team and its partners will develop verifiable measures for determining and documenting "equitable distribution" within each target community to verify that benefits going to these target communities are consistent with the project purpose. In addition, care must be taken to ensure that economic, gender and age inequities are not unwittingly introduced or exacerbated by the development process itself. These verifiable measures will be developed by the LIFE partners by March 31, 1996 and will be incorporated into formal documentation through a PIL amending the Amplified Project Description as well as the scope of work of the WWF.

Besides the changes in the Goal and Purpose, changes were made in the EOPS and the Outputs, now referred to as Results Statements (See LIFE Logical Framework, Annex A). These changes also assist in focusing the project. They serve to clarify what the project is expected to accomplish during its lifetime and how these accomplishments will be evaluated. The Project Results section (Section II,E) details the methodology which will be used to assist communities in controlling and managing their natural resources. Through the participatory assessment process, all the key players have gained a mutual understanding of project objectives and mutual agreement on the End of Project Status Indicators (EOPS).

In addition, the following changes which reflect the Assessment recommendations were also made:

1. Sharpen target areas for selecting communities that meet the criteria for successful CBNRM programs;
2. Strengthen and expand support to NGOs/CBOs through TA and

subgrants;

3. Work more closely with community members and assist community leaders in setting up and maintaining close communication with their constituents;
4. Expand the training component to train Directorate of Resource Management staff, NGOs and CBOs in CBNRM approaches and methodologies;
5. Support community-based tourism through the community initiated NGO (NACOBTA);
6. Build on the conservancy policy;
7. Encourage CBNRM activities that provide economic benefits to the community through TA and subgrants;
8. Continue to support current NGOs/CBOs and expand support to specialized NGOs; and
9. Improve communication and coordination at all levels, especially interministerial and at the field level.

#### **F. GRN Concurrence**

The Ministry of Environment and Tourism (MET), Directorate of Environmental Affairs (DEA), was deeply involved in the Midterm Assessment of the LIFE Project. The Head of DEA is actively involved in all LIFE Project discussions and activities, especially those regarding the PP Supplement Amendment. Attached to the PPSA is a letter from Dr. Brown (Annex D), indicating his concurrence with the proposed amendments and his acknowledgement of the increase in the Host Country Contribution level. The LIFE Project has also had strong support from the Minister of MET. The Minister's letter of June 14, 1995 (Annex E) acknowledges his support of the proposed revisions to the LIFE Project and indicates his request for a project extension.

# PROJECT PAPER SUPPLEMENT AMENDMENT NO. 1

## I. LIFE Project Rationale

### A. Namibia's Development Challenge

Although the Government of the Republic of Namibia (GRN) has made significant strides toward achieving its national development objectives since independence on March 21, 1990, the country continues to face socio-economic conditions which are markedly inequitable. The wealthiest 5 percent of the population control 71 percent of the Gross Domestic Product (GDP), while over half (55 percent) of the population, most of whom are rural dwellers, control only 3 percent of the GDP. Nearly half of Namibia's population lives in poverty, and most of these people have limited access to social services.

In 1994, an estimated 68 percent of the Namibian population derived at least a portion of their subsistence and income from agriculture. Yet Namibia is not self-sufficient in food production and annually imports significant amounts of foodstuffs from neighboring South Africa. Namibia's high population growth rate of 3.3% indicates that agricultural production capacity will continue to lag behind food demands for the foreseeable future, forecasting a further expansion of agricultural activities on increasingly marginal land.

Namibia's natural environment provides an important source of food, materials, and income for a sizable segment of the country's population (70%). As noted in Namibia's Green Plan, the country's economy is almost totally reliant on natural resources, both renewable and non-renewable. The two growth industries are fishing and tourism.

As one of the most arid countries in Africa, Namibia is subject to a number of major environmental constraints. In general, the environment can be characterized as fragile. Water is a limiting factor in many areas, and the variability in the timing, distribution, and amounts of rainfall must be considered carefully by planners. Agriculture is a risky activity in most parts of Namibia, so people tend to diversify their planting and livestock production strategies and engage in off-farm employment. Environmental degradation has occurred as a result of high concentrations of people and livestock in some areas and, in some cases, the use of unsustainable technologies and practices. Namibia's first National Development Plan argues that environmental constraints need to be taken into account at all levels. It also stresses that shifting the pattern of development onto a more

sustainable path is the major challenge during the coming five years. Such a shift requires substantial changes in both policy and practice. This is especially important in the communal areas of the country, where the majority of the population resides. Tourism is viewed as a major growth industry within the next five years, and joint ventures with private entrepreneurs and communal residents are seen as viable options for rural areas. If Namibia is to meet its environmental and development challenges, it will require substantial inputs from its own people and moderate, well-targeted, and innovative assistance from outside agencies, including donors.

## **1. Pre-Independence Philosophy on Natural Resources**

Prior to Independence, environmental planning and coordination of environmental issues across sectors and regions was minimal. Under apartheid, people in communal areas had few rights or opportunities to use wildlife. In addition, a sizable portion of the country's land (some 15%) was set aside as national parks and game reserves, with little or no consultation with local people. Government officials enforced rigid conservation laws, frequently putting people in jail or fining them. As a result, local people were alienated from natural resources which formerly had been economically, socially, and ritually significant. The situation was exacerbated by colonial resettlement policies which saw large numbers of people moved onto marginal land, with attendant problems of over-exploitation of resources and land use conflicts. As a consequence, the attitudes of local people towards the colonial government's policies on natural resources management were negative. With the exception of Kunene Region, many of them felt that conservation was not in their interests and that there were no incentives for responsible resource management.

## **2. MET's Efforts at Independence**

The Ministry of Wildlife, Conservation, and Tourism, now the Ministry of Environment and Tourism (MET), was created at Independence from what was the Directorate of Nature Conservation and Recreational Resorts. The Directorate of Environmental Affairs (DEA) was formed in 1993. Recognizing that the previous enforcement policies had not been very effective, the MET attempted to improve relationships with local populations in and around parks and reserves by returning limited benefits to communities through the provision of meat from culled and problem animals. This was characterized as a "wildlife management for the people" strategy, and it had some positive effects from an economic standpoint.

A much more effective strategy was employed in the commercial farming areas of Namibia which cover 44% of the country's surface area. Legislation promulgated in 1967 gave private land holders

rights of ownership over a number of different species of game. The gaining of proprietary rights over the wildlife gave commercial farmers the incentive to utilize and manage it on a sustainable basis. Wildlife numbers increased substantially on commercial farms, and by 1991 the private game industry generated in excess of N\$ 30 million annually.

Article 95 of the Namibian Constitution states, "The State shall actively promote and maintain the welfare of the people by adopting, inter alia, policies aimed at the following: (i) maintenance of ecosystems, essential ecological processes and biological diversity of Namibia and utilization of living natural resources on a sustainable basis for the benefit of all Namibians, both present and future." Thus, the Constitution effectively commits MET and Namibia in general to the principle of sustainable resource utilization. MET has taken this charge seriously since independence, drawing up Namibia's Green Plan, coming up with a new Mission Statement, establishing the DEA, carrying out socio-ecological surveys, and drafting new policies on natural resources.

## **B. Agency's Strategy for Sustainable Development**

The strategic focus of USAID worldwide places fundamental importance on sustainable development. Sustainable development is characterized by social and economic growth without sacrificing the human and natural resource base upon which growth depends. A primary thrust of USAID's programs, whether these are in democracy, natural resources, economic growth, or population, is building indigenous capacity, enhancing participation, encouraging accountability, and empowering communities and individuals. In the area of NRM this can be done best through implementing programs that establish and strengthen non-governmental organizations (NGOs) and community-based organizations (CBOs) and through enhancing the institutional capacity of governments to develop, implement, and coordinate policy initiatives.

### **1. SARP Program**

In August of 1989 USAID authorized the Southern Africa Regional Program (SARP) Natural Resource Management Project (NRMP) (690-0251). This regional project initially provided funds to NRMP components in Botswana, Zambia, and Zimbabwe and later to Namibia. In addition, it supports a coordinating NRMP function in Malawi under the SADC Sector Coordinator for Forestry, Fisheries and Wildlife. The multi-country Goal of the Regional NRMP is "to increase incomes and enhance capability to meet basic human needs through sustainable utilization and conservation of natural ecosystems." There is also a regional subgoal: "promoting sustainable development of communities through appropriate land use

practices on lands that are marginally suitable for agriculture. NRM Project elements include (i) community-based resource utilization, (ii) planning and applied research, (iii) conservation of the resource base, (iv) conservation education and training, and (v) regional communication and exchange of information. The regional NRM Project is in line with USAID's emphasis on conservation of biodiversity and sustainable use of natural resources for economic growth and social development.

## **2. ISA**

The newly established Regional Center for Southern Africa (RCSA) operates under the mandate and guidelines of the "Strategic Start-up Framework for the Initiative for Southern Africa (ISA)." This framework is based on four strategic objectives, one of which is focused on the agriculture and natural resources sector (ANR). The relevant strategic objective will result in "key regional conditions established for sustainable increases of agricultural and natural resources productivity by smallholders." Activities under the regional component of the Natural Resources Management Project support the intermediate outcomes of "improved data and analyses for regional ecosystem management" and "strengthened regional institutional capacity to lead regional efforts to increase ANR productivity." The Namibian SARP component, the LIFE Project, is linked to the ISA objective of establishing conditions for sustainable natural resource management by smallholders.

## **3. USAID/Namibia Mission Strategy**

USAID/Namibia's Mission strategy recognizes the numerous constraints to development faced by the majority of the country's population, who have been severely disadvantaged by apartheid, and it stresses the economic, social, and political empowerment of this portion of Namibia's population. Accordingly, the Mission's first Strategic Objective (S01) emphasizes improved performance by historically disadvantaged Namibians in critical skills areas, with non-formal education and skills training considered vital as strategic elements in USAID/Namibia's program strategy.

USAID/Namibia's second Strategic Objective (S02) aims at assisting disadvantaged Namibians to derive increased benefits from sustainable local management of natural resources. This objective can be achieved through improvement of the policy and legislative environment, strengthened community-based natural resource management (CBNRM) activities, and increased awareness of local people and policy makers of the benefits of sustainable natural resource management.

The third Strategic Objective (S03) of USAID/Namibia is for increased accountability of Parliament to all Namibian citizens.

In order to achieve this objective, increased opportunities must be provided for citizen participation in parliamentary proceedings and for NGOs and civic advocacy groups to articulate the interests of their constituents in local, regional, and national fora. Strengthened NGOs and CBOs can serve as useful vehicles for building capacity and improving outreach at the grassroots level in Namibia. Civil society can be enhanced through the establishment of a network of groups which serves as an interface between individual members of the public and government.

#### **4. LIFE Project Amended to SARP**

On September 3, 1992 USAID/Namibia authorized a US \$10.5 million five year natural resource management project titled Living in a Finite Environment (LIFE), as Authorization Amendment #3 to the SARP Regional NRM Project. The initial obligation was US \$3 million. An additional US \$1 million was obligated May 14, 1993; US \$532,000 on September 30, 1993; US \$3 million on March 23, 1994; and US \$2,968,000 on June 29, 1995; bringing the total obligation of SARP/NRMP funds for the LIFE Project to US \$ 10,500,000. All LIFE amendments were executed by the AIDREP/Namibia and by the Minister of Environment and Tourism on behalf of the GRN. As part of this PP Supplement Amendment a total of US \$ 3,856,000 will be added to the LIFE project, in conjunction with incorporation of design changes emerging from the Mid-Term Assessment, and extension of the PACD in line with the overall project PACD of August 18, 1999.

LIFE was designed to support the Namibian Government's Community Based Natural Resources Management Program (CBNRM). Targeting the Caprivi strip and Eastern Bushmanland plus Uukwaluudhi, the LIFE Project develops replicable models of CBNRM and assists rural communities to organize around activities that will use and preserve wildlife and other natural resources so as to generate economic benefits and foster responsible custodianship of those resources. In addition, the project focuses on improvement of the policy and regulatory environment with a view to establishing the rights of communities to sustainably exploit their resources and retain the income.

This amendment does not alter the essential elements of the project. The focus on community-based activities, training, networking and regulatory initiatives is unchanged. In summary, based on the results of the Mid-Term Assessment, this amendment rationalizes the project's analytical framework; it has refined the goal, purpose and results statements while augmenting time and finances to ensure sustainability of results.

The LIFE Project coincides with the other three Regional NRM

Projects in that it works closely with community clients, assisting them in developing knowledge and skills in learning how to gain control over and sustainably manage their natural resources. LIFE departs from its sister NRM Projects in that it addresses a wider range of natural resources than just wildlife, in particular floral resources (e.g. water lillies and thatching grass).

## **C. GRN Development Strategy**

### **1. GRN Development Plan**

The government of Namibia set the following National Development Objectives at Independence:

- Reviving and sustaining economic growth
- Creating employment opportunities
- Reducing inequalities in income distribution
- Alleviating poverty

As noted in Namibia's National Development Plan No.1 (NDP1), these objectives commit the GRN to pursuing policies aimed at achieving growth with equity. Article 95 of the Namibian Constitution stresses the responsibility of the state to improve the welfare of its people and protection of the environment for future generations. Implementation of Namibia's NDP1 is aimed both at promoting growth in the economy and making major inroads in eradicating societal inequalities.

The objectives of the environment sector of NDP1 are, first, to promote sustainable development within all sectors and across all regions to ensure that present and future generations of Namibians gain optimal benefit from the equitable and sustainable utilization of Namibia's renewable resources, and, second, to protect biotic diversity and maintain ecological life-support systems. As NDP1 notes, additional objectives include promoting the training of Namibians and institutional strengthening in the field of environmental management and integrating planning and management of land and other natural resources. The LIFE Project will enhance the GRN's abilities to achieve its environmental sector objectives through strengthening its planning, resource monitoring, and implementation capacities both at the central government and community levels.

### **2. MET CBNRM Policy**

The LIFE Project is fully consistent with the MET's Policy on Wildlife Management, Utilization, and Tourism in Communal Areas, which was approved by the Cabinet of Namibia in March, 1995 (Decision no. 8th/16.03.95/005). A key feature of the MET's CBNRM policy is extending rights over natural resources to communal areas. As is noted in the MET policy document (p. 11), the

Ministry believes the application of the "conservancy" concept is the most appropriate way to address key resource management and development issues. In communal areas, a conservancy consists of a group of people who have pooled their resources for the purpose of conserving and utilizing wildlife in its broadest sense (taken here to include mammals, birds, fish, vertebrates, invertebrates, wetlands, natural vegetation, habitats, etc.). Conservancies must be constituted legally, have clearly defined physical boundaries acceptable to neighboring communities, and have a council which consists of elected or appointed representatives of the community.

According to MET's CBNRM policy, the members of each conservancy will have the right to utilize resources within its boundaries for the benefit of the community. They will also have the right to enter into business arrangements with private companies or individuals and to control and derive benefits from tourism and other resource use activities. The conservancy council will be responsible for the management of income and expenditures. At the regional level, wildlife management committees will be established, with members being appointed by the various conservancy councils, MET and Ministry of Agriculture, Water, and Rural Development (MAWRD) representatives, and representatives of agencies working with the conservancies. These committees will oversee quota setting, ensure the activities of the conservancies are consistent with regional and national resource policies, and provide technical assistance and advice. Ultimately, the conservancy system is a partnership venture between the MET and rural people on communal land in Namibia. A policy promoting the establishment of conservancies has been prepared by the MET and the legislation will go before Parliament in October, 1995. Under this Project Amendment, there is a condition precedent to disbursement of funds to be used for consumptive wildlife activities pending passage of the conservancy legislation.

### **3. Other Donor Activities**

The Government of Namibia's development program is coordinated by the National Planning Commission (NPC). Namibia is assisted by a number of major bilateral donors, including Germany, Sweden, the United Kingdom, and the United States. Significant multilateral donors involved in assisting Namibia include the United Nations Development Program (UNDP), the European Union (EU), and the African Development Bank (ADB). The United Nations Environment Program (UNEP) is assisting Namibia with funding for the National Biodiversity Project.

Major environmental sector donors include KFW (the German Development Bank) and the Norwegian Agency for International Development (NORAD). OXFAM Canada is supporting community-based tourism activities, as is the Swedish International Development

Authority (SIDA). Germany, through GTZ, is supporting a major desertification research, monitoring, and environmental awareness program and a community-based range and livestock development activity called the Sustainable Animal and Rangeland Development Project (SARDEP). The Netherlands through ITC is funding work on Geographic Information Systems (GIS)-based regional environmental profiles. Funds are also provided to environmental projects in Namibia by the World Wide Fund for Nature (WWF International).

There is no overlap or duplication of donor activities. USAID is currently the largest contributor to Namibia's CBNRM programs; the GRN contribution of US \$5,000,000 also represents a significant long-term national investment. Complementarity of USAID funding and that of NORAD occurs in the area of legal assistance provided by NORAD which provides some of the expertise required to draft legislation and policy (e.g. the conservancy legislation) which is key to LIFE Project implementation.

## **II. LIFE Project Description (Amended)**

### **A. Justification for LIFE Amendment**

Implementation of the LIFE Project began in July, 1993 when the LIFE Project staff arrived in Namibia. Once the project started, it became evident that adjustments were needed, given the known design flaws (e.g. misunderstanding of number and capacity of CBNRM NGOs) and on-the-ground constraints not anticipated during the design. Beginning as early as October, 1993 during the Project Status Report review, it was decided that the project needed refining to more adequately reflect current reality. The partners undertook an extensive self-examination to review and refine the purpose, results and outcomes and modified implementation approaches to ensure achievement of the project purpose. These changes were reflected in a revised Objective Tree and Logframe and were supported by the government and participating NGOs. However, the changes had not been incorporated into official USAID project documentation. During discussions about the mid-term evaluation at the PSR in October, 1994, it was decided that an assessment process was needed to examine underlying assumptions, review documents, refine the goal and unfocused, multi-level purpose and outline implementation strategies. The Objective Tree and Logframe were instrumental tools in this process to determine how to maximize results to beneficiaries in target areas.

Thus started what turned out to be a seven month, four phase Mid-Term Assessment activity which involved all Project partners including the MET, the Steering Committee, WWF and its CA partners and USAID. The first phase was carried out by an Internal Team, appointed by the LIFE Steering Committee that identified the major issues which needed addressing. Several meetings over a three week

period were held to address issues such as refinement of the Goal and Purpose, strategizing of Outputs, clarifying and tightening the Target Areas, focusing on methodology for implementation and redefining the roles of the stakeholders.

From the end of February through May 1995, an External Assessment Team (Phase II) assisted the Internal Team to complete the discussions and to develop recommendations for proposed changes in the project. The External Assessment Team proposed 54 recommendations which were then discussed by the LIFE Steering Committee, with the majority of them being accepted. The few that needed further discussion and decisions were postponed until after the Field Assessment phase.

Phase III consisted of an external Field Assessment Team whose purpose was to assess the field operations in light of the proposed recommendations made by the Phase II Team. The team's task was to ascertain whether the Project could accomplish its objectives within the current PACD, determine whether there needed to be adjustments in implementation in field operations, and assess whether the project was implementable in its current form. The team spent over two weeks in the field, consulted with approximately 100 people and made presentations at the LIFE Summit Meeting and a LIFE Steering Committee Meeting.

The teams concluded that the LIFE Project was, in general, making excellent progress towards its purpose, and made 8 recommendations for strengthening the project. Of major impact to the project were two closely related basic recommendations: (1) to increase the focus of project resources at the community level in order to accelerate development of conservancies and (2) to provide the time and resources required by extending the PACD and increasing funding. A summary of the major recommendations from Phases I, II and III of the Assessment are as follows:

1. Increase NGO participation through current CBNRM NGOs and those NGOs that have specific technical skills; there will be a need to build capacity in new NGOs;
2. Provide support to CBOs in preparation for conservancies;
3. Support community-based tourism through support of the newly initiated NGO;
4. Continue support to existing and potential subgrantees who assist communities in establishing conservancies;
5. Sharpen the target areas to ensure maximum benefits to community members;

6. Expand training programs; provide additional support for training for MET officials, NGOs and CBOs;
7. Encourage CBNRM activities that provide economic benefits to the community through TA and subgrants;
8. Improve communication and coordination at all levels, especially at the field level;
9. Support interministerial communication on policy, land and local governments, and legislation;
10. Extend PACD with additional LOP funding;
11. Provide logistical and financial support for the initiation of the Conservancy Association and Communal Area Resource Management Support (CARMS) organization; and
12. Implement limited recommendations from the MET Training Needs Assessment including limited support to the Human Resource Development Unit for CBNRM training, and substantial short- and long-term training .

Phase IV of the Mid-Term Assessment consisted of the harmonization of the LIFE Project documents to incorporate the Assessment Teams' recommendations. During Phase II, the Ministry raised concerns about the need to extend the project and requested the Mission to consider a PACD extension with accompanying resources. Initially the Mission had sought to add \$ 6 million and to expand the NGO activity by creating a nationwide CBNRM NGO and to assist the MET with their Human Resource Development Unit. After consultations with the RCSA, the request was scaled back to supporting, in a sustainable manner, the project's original components. In discussion with RCSA and AFR/DP, an additional US\$ 3,856,000 was identified from NRM "fall-out" funds and will be made available to USAID/Namibia for this extension.

The Project Paper Supplement is being amended based on the recommendations of both Assessment Reports and through the discussions generated by the Assessment exercise. However, as two of the recommendations pertain to institutional building components of the project (No.s 11 and 12 in the list above), RCSA and Mission management decided not to incorporate full support for these activities in the PPSA. The original CBNRM focus of the project is not being altered and the project still fits squarely within the Regional NRMP objectives. The revisions attempt to sharpen the project in response to the realities in the field and to strengthen the results to bestow more lasting sustainable skills to communities managing and using their natural resources. The changes reflect a strong consensus between the LIFE partners,

arrived at through a lengthy participatory process.

#### **B. Project Goal and Purpose**

As shown in the LIFE Revised Project Log Frame (Annex A), the project has the following goal and purpose:

**Goal: Improved quality of life for rural Namibians through sustainable natural resource management.**

**Purpose: Communities derive increased benefits in an equitable manner by gaining control over and sustainably managing natural resources in target areas.**

#### **C. End of Project Status (EOPS)**

The End of Project Status (EOPS) indicators of the LIFE Project are listed below:

##### **Purpose Level Indicators:**

- Four conservancies established and maintained
- Number of enterprises that produce positive net economic benefits to resource users in Target Areas (Target: 20)
- Total net community income per year from program-supported NRM practices (Target: N \$520,000/yr)
- Total national net financial benefit from program-supported NRM practices (Target: N \$750,000/yr)
- Number of households in Target Areas that benefit from program-supported NRM practices (Target: 70%)

There are one or two objectively verifiable indicators associated with each of the eight Results outlined in the logframe. In order to maintain a direct and accurate relationship between the Results and the indicators, USAID and its partners will review and revise the indicators by March 31, 1996. Work will also be carried out by the implementation team to further identify and explicate "equitable distribution" and to incorporate this into the revisions.

#### **D. Project Components**

The LIFE Project consists of four inter-related components: (1) planning and support to community-based natural resource management activities; (2) applied research; (3) training; and (4) national/regional networking. The first component, planning and support to CBNRM activities, reflects the core thrust of the LIFE Project. Components 2,3, and 4 (applied research, training, and networking) are complementary, and when implemented in concert, reinforce and contribute to the achievement of Component One, and

ultimately, the LIFE Project Purpose.

Component One emphasizes the provision of support and assistance to NGOs/CBOs who are implementing specific community-based pilot activities in three main target areas: West Caprivi, East Caprivi, and Eastern Bushmanland; or alternatively, to national organizations (including MET) who are directly or indirectly supportive of CBNRM activities. A list of LIFE Project subgrants to date can be found in the table below. This list is an example of the kind of support and assistance given to organizations to date and is illustrative of the types of subgrants that will be provided throughout the project. The LIFE Project emphasizes assistance to implementing NGOs/CBOs by: 1) strengthening of institutional capacities through subgrants, organizational assistance, and strategic planning; and 2) transferral of CBNRM skills through assisting with community organization and mobilization, guidance in the creation and development of a wide range of income-generating enterprises, and development of appropriate common-resource management systems.

This supportive and assistance approach, which can be contrasted to a direct implementation approach, requires participatory inputs by all parties to be effective. Thus, it is somewhat time consuming, but is resulting in improved Namibian capacity to carry out CBNRM activities and will ultimately increase the long-term sustainability of the activities initiated through LIFE funds.

The LIFE Project, because of its core supporting role to numerous CBNRM projects and daily liaison with MET planning staff, is in the unique position of being able to effectively facilitate and coordinate planning of a wide range of Namibia's CBNRM activities. This position, combined with oversight from the LIFE Project Steering Committee, greatly enhances the LIFE Project's CBNRM planning and coordination function.

Table 1

LIFE Project Subgrants  
(Activities to date)

- **Community-Based Natural Resource Management in West Caprivi.** This subgrant supports implementation of a comprehensive, integrated natural resource management program by the MET and Integrated Rural Development and Nature Conservation (IRDNC). Key activities include support of a community game guard/resource monitor system, development and training of a community management structure, promotion of natural resource enterprises, and eventually, formation of one or more conservancies;
- **Community-Based Conservation in East Caprivi.** This subgrant assists the IRDNC in their efforts to promote community management of wildlife and other natural resources in buffer areas around national parks or other high-potential areas of East Caprivi. Major activities include support to a community game guard/resource monitor system, development of community management options for a range of natural resources which can be exploited through small economic enterprises, and development of community management capacity in tandem with local khutas (traditional authorities);
- **Monitoring and Managing the Natural Resource Base for East and West Caprivi.** This subgrant allows the NNF to work in partnership with the MET regional section Division of Resource Management (DRM) staff and researchers to develop and improve Caprivi's natural resource base. Major activities include aerial surveys and game censuring, monitoring of the resource base, applied research on elephant movements and human/elephant conflicts, and training of select MET Field Operations staff.
- **Integrated Natural Resource Management Program in Nyae Nyae (Eastern Bushmanland).** This grant to the Nyae Nyae Farmers Cooperative (NNFC) provides institutional strengthening and support to Community Rangers (CRs), funding of a Natural Resources Advisor (NRA), a Program Manger/Agricultural Advisor, and an Institutional Development Consultant, support for CBNRM field activities, and administrative support to the Nyae Nyae Development Foundation and NNFC.
- **Institutional Support To the Social Science Division (SSD) of the University of Namibia.** This is a 41-month subgrant to strengthen the capacity of SSD staff to undertake applied social research of Namibian CBNRM activities in Caprivi.
- **Institutional Support To the Ministry of Environment and Tourism, Directorate of Environmental Affairs (DEA).** This subgrant is designed to provide institutional support and development through funding of a CBNRM Natural Resource Specialist, his operational costs, and preparation of select publications and informational materials in support of CBNRM in Namibia.
- **A Resource-Based Enterprise Unit in East and West Caprivi.** This subgrant to IRDNC is complementary to ongoing CBNRM activities in Caprivi. LIFE funding allows the IRDNC to establish an enterprise unit to support the organization of local communities around resource-related enterprises.
- **Institutional Support to the Caprivi Arts and Cultural Association.** This subgrant to CACA, a CBO, supports staff, equipment, and training of artisans associated with the Association along with capacity building of the Management Committee of CACA.
- **Institutional Support to the Namibia Nature Foundation (NNF).** The purpose of this subgrant, which ended on February 28, 1995, was to enhance the institutional development of the NNF by strengthening its financial management capacity, providing training, and helping to create and implement a cost-recovery system.

Component Two involves the undertaking of applied research or studies in a number of supportive disciplines to facilitate a better understanding of total CBNRM dynamics in target areas. Key issues include: social factors related to CBNRM activities; identification of enterprise market opportunities and constraints; baseline inventories and monitoring of biological resources (wildlife, veld resources, etc.); identification of key constraints to expansion of critical, high-value wildlife species; natural resource economics in support of policy developments; multiple factors not only contributing to economic growth, but improved income distribution within the CBNRM areas; and others as identified. The findings and results of applied research activities are fed directly into the planning of field implementation activities.

Component Three (Training) is a key undertaking, given the relative newness of the CBNRM approach in Namibia. Previous approaches to management of Namibia's communal wildlife resources were "enforcement-oriented", thereby alienating communal residents from wildlife. In contrast, CBNRM relies on a partnership approach to managing resources, requiring increased levels of direct interaction and participation between MET and NGO staff with CBO representatives and community members. As a result, it is necessary that a wide range of MET/NGO/CBO staff undergo training and be exposed to a range of more community-friendly extension and organizational approaches. The recent passage of the Namibia Policy on Wildlife Management, Utilization and Tourism in Communal Areas paves the way for the granting of use rights and direct return of benefits to communities, and thereby further reinforces the pressing need for training of MET/NGO/CBO staff and representatives. Training will be accomplished through a number of approaches, including: on-the-job transfer of skills; the organization and implementation of custom-tailored workshops to meet the specific needs of select target audiences; and participation in appropriate workshops or training courses which are organized by third parties in Namibia or elsewhere in the region and continent.

The Fourth Component, National/Regional Networking, will capitalize on the presence of numerous other ongoing CBNRM activities outside the LIFE Project areas in Namibia and in the southern African region, particularly through the Regional NRMP. The Regional Coordinating Unit, based at Malawi's SADC Technical Coordinating Unit (TCU) has not been fully functional for several years but actions to staff this office are underway and Namibia looks forward to benefitting from and participating in an invigorated function. The LIFE Project will promote exchange visits of joint implementation teams (MET, NGO, and CBO representatives) between similar projects in Namibia or the region. This activity will be adjusted in the Namibian project to complement the Malawi schedule

of networking activities once it is functioning. The Namibian and Regional (Malawi) networking components will be complementary and non-duplicative. Similarly, direct community-to-community exchange visitations will allow community members to share their experiences. In addition, LIFE Project staff and partners will participate in exchanges of technical skills between regional implementation counterparts. For example, the LIFE Project CBNRM specialist and a MET specialist have visited Zimbabwe where they trained CAMPFIRE implementors in participatory rural appraisal skills. In exchange, a CAMPFIRE specialist will return to Namibia to share Zimbabwe's experiences in participatory vegetative and habitat monitoring. LIFE Project participants will contribute to and learn from regional NRMP workshops which are organized along key thematic issues. Senior Project representatives will assist with coordination and planning of regional NRMP activities through participation in the semi-annual Project Coordination Committee (PCC) Meetings.

While the above activities are productive, perhaps the most useful networking events will revolve around addressing problems and concerns common to the region. Such regional concerns as water, land tenure, training, and tourism may be more successfully dealt with through the synergistic contributions and coordinated inputs of all the regional NRMP partners. The PCC and the RCSA Initiative for Southern Africa (ISA) will provide useful forums to which the LIFE Project can contribute in addressing these common constraints.

## **E. Project Results**

The LIFE Project has 8 Result Statements which contribute to accomplish the LIFE Project Purpose. These are summarized below.

### **1. Social/economic/ecological knowledge base improved for management of communal natural resources in Target Areas**

The LIFE Project emphasizes participatory approaches towards expanding the knowledge base of the social, economic, and ecological factors which influence management of communal natural resources. In this regard, the project promotes active involvement of CBO and community members in the conducting of surveys, studies and inventories. Such involvement leads to a greater understanding of resource-use capacities, resource trends, management constraints, and ultimately greater ownership over the problems and constraints identified and means to overcome these concerns. Further, this initial involvement and resultant understanding lays the foundation for creating greater community awareness and knowledge of natural resource management (NRM) opportunities and constraints and assisting communities to mobilize into legally-recognized bodies that are capable of managing their communal resources.

Activities which are being undertaken in support of Result 1 include: baseline socio-ecological surveys; social mapping of community households; wildlife inventories; applied research of high-value wildlife species or constraints associated with management of their habitat; veld food and product surveys and inventories; wildlife and people interactions and conflicts; market surveys to determine the characteristics, extent, trends, and elasticities in demand for natural resource products; economic assessment of complementary and competitive natural resource uses; and other activities as identified.

## 2. Resource base of Target Areas developed and maintained

In general, the wildlife populations in LIFE Target areas are below habitat carrying capacities. These low wildlife densities could impact directly on the financial or biological viability of a number of potential enterprises (i.e., safari hunting operations, game capture and sale, game cropping, traditional hunting, and tourism opportunities). Interventions which assist in building up and maintaining wildlife populations at optimum levels will correspondingly increase the financial viability of the above-mentioned enterprises.

The LIFE Project seeks to develop the wildlife and other natural resource bases to their potential through a number of activities, including: enhancement of the effectiveness of participating organizations and bodies (i.e., MET, NGOs, CBOs, and local communities) in developing joint resource management and monitoring strategies; increased involvement of community members in managing and monitoring their resources through such programs as the Community Game Guards and Natural Resource Monitors; provision of technical knowledge and skills which better allows CBOs to work in partnership with the MET in management of their natural resources; and development of physical interventions (i.e., boreholes, fences, distribution of salt, etc.) which allows expansion of current wildlife populations to appropriate, but little-used habitats, or reduces human/animal conflicts.

## 3. Increased community awareness and knowledge of NRM opportunities and constraints

Awareness of opportunities and/or constraints is a precursor to change, and, in general, communities will not deviate from existing management practices unless community members reach a consensus that alternative management practices (as a result of the opportunities and/or constraints) are beneficial to the welfare of the community as a whole (i.e., benefits must exceed costs). The LIFE Project seeks to increase community awareness and knowledge of natural resource management opportunities and constraints through a number of mechanisms, including: participatory implementation

(with direct involvement of community members) of natural resource inventories and surveys; dissemination of the results of such inventories and surveys to the wider community; and public meetings or workshops during which community members are updated on policy developments which have implications for community resource management rights and return of benefits.

At the enterprise development level, community members are sometimes unable to exploit income-generating or improved benefit-yielding opportunities due to a lack of awareness of such opportunities, or, alternatively, the lack of knowledge of the constraints which may affect their ability to undertake new kinds of activities. The LIFE Project, through workshops, meetings and day-to-day interactions, provides communities with knowledge of costs and benefits of the various options, thereby assisting community members to make more informed and rational choices about the enterprises they wish to pursue.

#### 4. Communities mobilized into legally-recognized bodies that are capable of managing communal resources

The empowerment of communities through the restoration of their resource management rights and resultant benefits is central to the CBNRM approach. Communities require appropriate control over, access to, benefits from, and responsibility over the use of their natural resources in order to develop effective common-resource management systems. In addition, communities require leadership and direction in support of commonly agreed-upon management objectives. As a result, management bodies must be created and trained. The management bodies must be representative of the community and accountable to a wide-range of interest groups if they are to acquire and maintain the respect needed to perform their management functions. Further, these management bodies require a recognized authority from both central government and traditional authorities.

The LIFE Project provides organizational facilitation, technical assistance and training to help communities define themselves and their resources, and to assist with the establishment of management bodies that are responsive to community members' goals and aspirations. The management bodies receive training in basic aspects of institutional development such as: fundamentals of holding formal meetings, roles and duties of management body officers, group decision-making, group-problem identification and prioritization, project management and administration, simple record-keeping, accounting, conflict resolution, communication, and a range of other basic skills.

Following attainment of some of the above basic skills, the LIFE Project provides insights and information on ways in which

communities can constitute themselves, such as through forming residents' councils, natural resource cooperatives, or conservation trusts that can then be registered with the appropriate GRN ministries.

Once a management body has demonstrated the institutional capacity to deliver needed services and to oversee financial resources effectively, the LIFE Project offers financial and technical assistance (including funds, technical assistance and training opportunities through subgrants) for the implementation of a wide variety of activities.

#### 5. Improved community skills in participatory and technical NRM and enterprise management

The LIFE Project seeks to enhance community skills in participatory and technical natural resource management and assist in the establishment of economic enterprises related to natural resources. As mentioned above, management bodies are provided technical assistance and training in organizational skills, financial management, and administration. In addition, following development of a resource management plan, the management bodies will receive training in specialized technical areas of natural resource management which will better prepare the management bodies to carry out their management plans. Assistance in the creation and operation of natural resource enterprises is provided through advisory services, subgrant funding for start-up and running of activities, and business management training.

In its work with communities, LIFE is concentrating on participatory management and facilitation systems. LIFE is seeking to assist communities in developing leadership which is responsive to constituents and that allows for decentralized management decisions and the free flow of information. For the various communities to be successful in NRM and enterprise management, they must have the ability to assess their situations and plan accordingly.

#### 6. Improved capacity of Namibian organizations to sustainably assist communities in the establishment of sustainable CBNRM enterprises and management systems

In helping to improve the capacity of Namibian organizations to sustainably assist communities in the establishment of CBNRM enterprises and management systems, the LIFE Project conducts institutional needs assessments, carries out training in community organization and facilitation, and provides technical assistance to organizations, institutions, and communities in project identification, design, implementation, monitoring, and evaluation. In addition, cost/benefit analyses are done by LIFE Project staff

in order to determine the financial viability of activities such as tourism, craft production and sales, and safari hunting. This information is of use both in program design and implementation and in developing relevant information for community-level training.

The LIFE Project assists NGOs through capacity building, training, and advice on management, finance, and administrative systems. Institutional capacity building is seen as a crucial part of the LIFE Project. The LIFE Team is fully committed to employing a culturally sensitive, participatory, and demand-driven approach. All work with NGOs and CBOs is done only after requests are made for assistance. One of the outcomes of the capacity-building of NGOs and CBOs is that they identify for themselves the kinds of CBNRM enterprises and management systems that are most appropriate and effective given the prevailing socioeconomic and environmental conditions. The LIFE Project's goal in institutional development is to strengthen participating organizations so they are both more effective in their work and able to sustain activities beyond the project completion date.

#### 7. Improved capacity of Namibian organizations to establish legal, regulatory, and policy framework supportive of CBNRM

The LIFE Project is simultaneously building government organizational capacity to establish the legal, regulatory, and policy framework which is supportive of CBNRM and promoting greater awareness of policy issues. At the national level, assistance is provided to the MET which is engaged in drawing up the conservancy regulations. Efforts are being made to review relevant legislation that will affect the ability of communities to manage their resources, including land and local governance bills. The Directorate of Environmental Affairs (DEA) in MET is receiving assistance in economic analysis through LIFE. The LIFE Project is also helping to legitimize the Namibian NGO and CBO community in the eyes of the GRN by strengthening the capacity of these organizations to become self-sufficient and influential.

#### 8. Analysis of CBNRM dynamics and experience, and lessons learned shared throughout Namibia and between LIFE and southern African colleagues

One of the major outcomes of the LIFE Project is the sharing of information on the lessons learned from CBNRM activities in Namibia; this outcome also parallels the NRMP regional activities which will lead to "improved data and analyses for regional ecosystem management" and "strengthened regional institutional capacity to lead regional efforts to increase ANR productivity." Key issues have already been identified concerning the need to

integrate wildlife with other kinds of natural resource activities, the importance of land tenure and jurisdictional factors, the need for equity in resource management systems and enterprise promotion, and the significance of traditional leadership in local resource management regimes. The experiences and knowledge gained in Namibian CBNRM activities have already had impacts on the kinds of approaches being employed elsewhere in the region.

The models of resource utilization and management vary significantly both within Namibia and in southern Africa generally. Through the applied research, monitoring, and evaluation process, and through comparing results, these models will undoubtedly provide significant opportunities for the formulation of hypotheses concerning the kinds of conditions necessary for successful natural resource management. An important part of this process is the opportunity for people from across the region to participate in conferences and to take part in exchange visits.

#### **F. Delineation of Target Areas**

During the initial design phase, the LIFE Project was slated to work at a national scale. However, during the 1992 SARP review, it was determined that the project would have greater impact if it focused its efforts on a limited number of Target Areas. The three Target Areas were chosen and then revisited during the 1995 Mid-Term Assessment. The LIFE Project now considers the three Target Areas as West Caprivi, East Caprivi and Eastern Bushmanland (or Eastern Tsumkwe District). Besides these specific target areas, a small site north of the Etosha Pan in Omusati, called Ukwaluudhi was also assigned Target status. Historically, Ukwaluudhi has been included in discussions with the MET prior to and through the now-terminated ZSSD Grant and has received minimal support and assistance from the LIFE Project. Because of the persistence of the King and the potential of the proposed conservancy in the former Ovamboland, Ukwaluudhi will remain as a target to receive full LIFE Project support.

During the assessment process, criteria were delineated to determine if interventions are appropriate for a particular community within the target area. These criteria are as follows:

- 1) Homogeneity of the population,
- 2) Number of potential beneficiaries,
- 3) Number of institutions ready for CBNRM,
- 4) Viability of the wildlife resource base,
- 5) Time frame for the establishment of conservancies,
- 6) Livestock competing with wildlife,
- 7) Tourism potential, and
- 8) Income generating potential from natural resources.

These criteria served as a guide to narrow the number of communities in which the LIFE Project works. This amended PP Supplement thus refers to eight (8) specific target communities within the Target Areas: two communities in West Caprivi, four communities in East Caprivi, and one each in Eastern Bushmanland and Uukwaluudhi. This situation may change as communities define themselves and move forward in pursuit of conservancies. The Mid-Term Assessment also recommended that 4-6 interventions per year would permit the LIFE Project the flexibility to respond to needs of communities outside the Target Areas. Several communities, especially in the Kunene Region, for example Sesfontein and Bergsig, are in the process of establishing conservancies and may request specific technical assistance which the LIFE Project could fulfill, if resources permit, beyond the requirements for the core 8 communities.

The LIFE Project has found that communities in the rural areas of Namibia (and elsewhere) are not easily defined and are generally internally differentiated. Grassroots work by the LIFE Project, therefore, places substantial emphasis on gaining an understanding of the structure, organization, and workings of communities and community institutions. Active participation is encouraged at all levels, from local resource users to community committees, and from multi-community social units (e.g. khutas) to regions.

Efforts are made in the course of doing the work on the communities to come up with an inventory of relatively high-potential areas in the target regions in order to help prioritize field and community work. Criteria for decision-making include (1) human potential, (2) habitat potential, (3) wildlife potential, and (4) tourism potential.

Human potential relates to the degree to which community members cooperate on issues, cohesiveness of community membership, willingness of community leaders to respond to needs of constituents, and the ability of local institutions to deal with NRM issues. Habitat potential relates to the capacity of the vegetation, water, soil, and nutrient resource base to support animal populations as well as the potential for revenue generation. Wildlife potential relates to the potential numbers, densities, and reproductive viability of wild fauna. Tourism potential refers to the degree to which areas contain natural and cultural resources of interest to tourists and which provide economic benefits. These criteria help in the process of determining which areas should receive priority attention. At the same time, they are also used to show areas which, although they might exhibit low potential, should receive attention in order to ensure a balance in the community development work.

Communities are able to access specific services from LIFE and its

partners according to their needs. These services include institutional strengthening, enterprise development, training of community game guards and community resource monitors, and conservancy establishment. Needs assessments are done in close consultation with communities in such a way that they are active rather than simply passive participants in the process. The Target Area community members have a significant say in conceiving and executing their own development plans.

### **III. Implementation Strategies**

#### **A. Working within the MET's Program Efforts**

MET is the designated GRN authority and lead agency for conservancy development and thus has the primary responsibility for coordinating this development. Significant progress has been achieved by MET in developing this coordination through intra-ministerial discussions and Steering Committee arrangements at the center in Windhoek. The LIFE Project assists MET in its national program efforts on CBNRM, conservation of biotic diversity and habitat protection, land-use planning and sustainable development, and promotion of community based tourism.

The LIFE Project is reliant on the effective functioning of the MET. Particularly important are the issues of MET capacity and coordination. The LIFE Project is directly and indirectly assisting the MET through provision of technical assistance, training, and funding. The LIFE Partners coordinate their work with the MET through periodic meetings and through the Steering Committee. The assumption of a larger extension role in conservancy development by the Directorate of Resource Management (DRM), a stated objective of the Directorate, will be an important consideration in the overall implementation and coordination of CBNRM. At the same time, it must be recognized that successful conservancy development will require coordination between the MET/NGO CBNRM nexus and other Government agencies, as well as with the private sector.

#### **B. Strengthening NGOs and CBOs**

At the time of its initial conceptualization, the LIFE Project was to provide broad-based capacity building to a variety of different Namibian NGOs involved with environmental issues. It was assumed that a sufficient number of Namibian NGOs possessed the institutional capacity and knowledge to provide assistance to communities in CBNRM. During the course of LIFE Project implementation, it was discovered that there were relatively few NGOs with the necessary human resource capacity and experience in natural resource issues. The LIFE Project determined there was a widespread need for intensive assistance in the organizational

development of Namibian CBNRM NGOs. As a result, LIFE Project staff invested time and energy in institutional strengthening and in more direct involvement in program implementation at the field level. This situation resulted in increased workloads and expanded operating costs.

The increased integration of the LIFE Project staff in implementation efforts brought about a merging of NGO and LIFE Project technical skills and perspectives on community facilitation processes. Extensive contacts between the LIFE Project and NGO staff working in the field in partnership fashion has resulted in a strong team approach and a fertile sharing of knowledge and experience. In addition, the increased involvement of the LIFE Project at the field level has and will continue to benefit the program monitoring process, thereby facilitating documentation of the effectiveness of different approaches and improving learning opportunities.

As it has worked out, the LIFE Project currently is working with two NGOs in Caprivi, IRDNC (which works directly with communities) and NNF (which supports organizations that work in communities). It has begun to work more intensively with two CBOs, the Nyae Nyae Farmers Cooperative in Eastern Bushmanland and the Caprivi Arts and Cultural Association in Caprivi. Capacity building and technical assistance efforts have been carried out by the LIFE Project with both NGOs and CBOs. The amended LIFE Project seeks to better achieve development objectives and the USAID Mission's strategic objectives by building the capacity of NGOs and especially CBOs through participatory approaches and empowerment.

In order to become effective, NGOs and CBOs must improve their institutional capacity in a variety of organizational spheres. The LIFE Project has identified a number of measures to track institutional development and community management of NGOs and CBOs working with the LIFE Project. These include (a) the capacity to plan, implement, monitor, and evaluate development activities; (b) the establishment of sound, transparent, and clear financial management and reporting procedures; (c) the setting up and running of participatory and effective management structures; and (d) the ability to assess impacts and analyze data which are then integrated into decision-making.

It is possible to divide the NGOs with which the LIFE Project works into two categories: core NGOs and peripheral NGOs. The core NGOs are those that are involved directly in carrying out broad-based CBNRM and community capacity building work in the Target Areas. The peripheral NGOs are those which are brought into the CBNRM program for specific purposes such as conducting training, doing workshops, or assisting in a short-term project activity. The LIFE Project assists peripheral NGOs in a number of ways: (1) giving

grants to NGOs to support a specific activity that is in support of the LIFE Project objectives (such as community-based tourism); (2) carrying out awareness creation workshops in the broader NGO community on the conservancy policy and CBNRM issues; (3) providing cross-cutting training events for interested NGOs; and (4) promoting networking among participating NGOs and CBOs. At the national level, the LIFE Project provides technical consultation on common property resource management to the NGO Land Forum and relevant government bodies. It can also enhance knowledge of CBNRM through carefully orchestrated networking and information dissemination efforts.

### **C. Working Directly with Community Members**

The LIFE Project Field Assessment recommended that program inputs be shifted from indirect and limited provision of support to the provision of more support to CBOs and community members. This work includes not only modern institutions such as community and regional committees, but also traditional institutions. The work with CBOs and individual community members is crucial to the achievement of the Project goal and purpose, as well as to directly assisting historically disadvantaged Namibians.

There are a number of advantages in working directly with CBOs and members of local communities. First of all, community members have been involved in the management of natural resources for generations and thus have extensive knowledge of strategies that could be built upon in CBNRM programs. Secondly, discussions with community members allow for feedback to occur, thus enabling the LIFE Project implementors and local people to gain greater understanding and appreciation for each other's ideas. Third, understanding the dynamics of user groups and leadership in local communities enables the LIFE Project implementors to work out more effective methods of communication.

Several strategies are employed in the community facilitation work, including holding of workshops, exchange visits, joint meetings, periodic contacts, and report back sessions. An effective strategy, one already used by the Caprivi Arts and Cultural Association, is to train trainers. A training of trainers approach is useful in that it has spread effects at various levels.

A "light touch" community empowerment approach is employed by the LIFE Project in which communication channels are kept open by frequent visits, follow-ups to workshops, sending of messages to people in communities through word-of-mouth as well as other means. One way to ensure positive LIFE Project impacts among communities is to employ participatory approaches that emphasize not only broad spectrum consultation but also self-initiated mobilization and joint analysis of problems and solutions. Both structured and

## **E. Community-based Tourism**

The Government of Namibia and the organizations with which it works recognize the fact that tourism is one of Namibia's fastest growing industries. Natural resource economic analysis show tourism could generate more income than direct utilization of wildlife. Tourism thus represents a key means of promoting social and economic development in communal areas of the country. In May, 1995, MET issued a Policy Document on Community-based Tourism Development. This policy document provides a framework for ensuring that local communities have access to opportunities in tourism development and that they are able to share in the benefits of tourism activities taking place on their land. A major advantage of tourism promotion, besides economic benefits, is that it can provide people with incentives to conserve wildlife and other natural resources.

The GRN's White Paper on Tourism (1994) states that "high priority [is] afforded to the involvement of local individuals and communities in the tourism process and in benefits-sharing," and it goes on to state that "It is not only the generation of economic benefits which is important, but also the dispersion of those benefits to a wider group in the society." The LIFE Project is fully cognizant of the fact that tourism represents a substantial source of benefits to local communities. At the same time, the LIFE partners are aware that these benefits are sometimes captured by a limited number of individuals.

If community-based tourism is to be successful in Namibia, people at the local level will have to have proprietary rights over natural resources. The MET Policy on Wildlife Management, Utilization, and Tourism in Communal Areas outlines the ways in which communities can gain proprietorship over local resources and can benefit from tourism ventures. This can be done through the establishment of conservancies or, alternatively, through joint ventures with private operators willing to share benefits from tourism, as is done, for example, through bed-levy distributions.

The LIFE Project has been instrumental in the formation of the Namibian Community-Based Tourism Association (NACOBTA). This Association, which was formed in mid-1995, consists of representatives from organizations involved in community-based tourism and people working at the community level in Namibia. Currently, there are over 30 CB tourism activities that have been established in various parts of the country. These range from campsites run by communities to culturally significant sites which have become part of a tourism operation that includes guides who show tourists around and who provide them with information on the significance of what they are seeing.

The LIFE Project is also assisting GRN to develop and refine its

tourism policy and in strengthening the capacity of government institutions to implement CB tourism activities, e.g. in the area of analysis of the economics of tourism. At the community level, the LIFE Project is providing information on setting up and running tourism operations and is helping in the establishment of tourism--related enterprises. These efforts are guided by the LIFE Project principles of community participation and empowerment.

#### **F. CBNRM Models in Target Areas**

A central objective of the regional Natural Resources Management Project is to have interested governments and leaders in the natural resources sector throughout the southern African region be better informed on natural resource management methods and impact, particularly with respect to wildlife. This objective will be achieved by capitalizing on the lessons from the various CBNRM activities that have been implemented. There is a wide range of different kinds of CBNRM models being attempted. The approach of the Communal Areas Management Program for Indigenous Resources (CAMPFIRE) Program in Zimbabwe, which devolves authority over natural resources to the district level, differs from the conservancy approach being employed in Namibia. Within Namibia, there are differences between the kinds of program efforts in the vicinity of national parks and those in communal areas where there are relatively few wildlife. One kind of model is a conservancy that is based on safari hunting or tourism. Another model is a community-based campsite that is run by a relatively small group of people. Still another is an integrated conservation and development program which incorporates an array of different kinds of land uses ranging from livestock production to wildlife management areas and from settlement areas to conserved localities where resources are not supposed to be exploited.

The LIFE Project is aimed in part at coming up with CBNRM models in selected target areas of Namibia. It is anticipated that these models, once they are refined and tested, can be replicated outside the target areas and eventually disseminated in other parts of southern Africa. Underlying this approach is the belief that CBNRM projects are experimental and dynamic in nature, employing new and sometimes highly innovative methodologies in conservation and sustainable development.

It is critical that sufficient time and resources be provided for communities to develop the necessary skills and institutional capacity to undertake new CBNRM approaches. The success of experimental models will depend in part on whether a sustained investment of human and financial resources will be available for community-based management prototypes to reach maturity and to be replicable. Success will also depend on the kinds of approaches being employed, with the assumption that the more participatory the

approach, the better. At present, there is relatively little information available on resource management initiatives which involve community-led approaches. Thus, the work in Namibia could well prove to be seminal in the efforts to establish self-sufficient, sustainable CBNRM strategies.

### **G. Training**

NGOs and CBOs operating in the Target Areas receive LIFE Project support in part through workshops and technical assistance. Training at the NGO level in a number of areas is conducted, including development of organizational skills, assistance in planning, accounting, and financial management, administration, and monitoring and evaluation. Training is also being provided to community-level personnel such as community game guards and community resource monitors.

NGO and CBO staff training and institutional strengthening is also done both through workshops and on the job assistance and technical support. Close cooperation between NGO Project Managers and middle-management staff (e.g. Field Officers, Supervisors) assists in skills transfer.

A Training Needs Assessment of the Directorate of Resource Management (DRM) of the MET was carried out by World Learning with LIFE Project funding. The Training Needs Assessment will be used as a guide to determine priorities for CBNRM-related training for LIFE Project support. Several important issues were identified during this assessment, including the need for affirmative action based on job competencies. The Training Needs Assessment recommended the establishment of a Human Resources Section to be placed in the Support Services Division of MET which would oversee all training. However, this would require a level of assistance beyond that originally proposed in the LIFE PP and beyond that proposed by this PPSA. The Ministry has decided to act on the recommendations of the Training Needs Assessment and has already bolstered the Ministry Training Committee. LIFE training interventions will only focus on introducing and providing on the job training to MET field, regional and managerial staff on the basic principles of CBNRM and extension work. This will require technical assistance to develop curriculum for training modules, to produce materials and to deliver in-service training.

An important aspect of the training and human resource development work in MET, from the standpoint of CBNRM, is the development of comprehensive job descriptions that incorporate community-based conservation and development provisions. It is envisioned that most of the beneficiaries of CBNRM-related training will be historically disadvantaged Namibians (HDNs). On the job training has rarely been provided to HDNs in the MET. An assumption is that

training will contribute to increased retention of staff. Other kinds of training and human resource development activities supported under the LIFE Project will include study tours, regional, national, and local workshops, and exchanges. An increase in all training activities within the MET is expected due to a personal commitment to training by the new senior management, particularly the Permanent Secretary, and as a direct result of the Training Needs Assessment carried out by LIFE.

#### **IV. Networking**

The LIFE Project and its partners take part in regional workshops organized by the Regional component of the Natural Resources Management Project. These annual meetings have played an important role in information exchange and dissemination of ideas about CBNRM in southern Africa. The LIFE Project also takes part in the regional NRM Project Coordinating Committee (PCC) meetings. Funding is available through the LIFE Project to support attendance at meetings on natural resource management issues.

Namibia envisions an increased emphasis on site visits to model CBNRM projects in Africa as a means of familiarizing Namibian decision-makers and project implementers with successful community-based natural resource management regimes. Information dissemination is also done through the distribution of publications and educational materials. A video on community-based natural resource management in Namibia is being funded by WWF under the project. Networking and information exchange efforts on policy issues, research, shared lessons, and project implementation experiences will ensure the achievement of the goal of establishing community-based natural resource management as a crucial part of Africa's conservation and development efforts. With the appointment of a NRM project liaison and networking officer in the near future to the RCSA, it is expected that regional networking will improve and augment LIFE activities within Namibia.

#### **V. Sustainability Strategy**

A central feature of the LIFE Project approach is its commitment to the sustainability of the CBNRM program after the LIFE Project is over. There are five components to sustainability for the LIFE Project: a) ecological, b) economic, c) institutional, d) human resource and e) policy. Ecological sustainability requires target communities to have local ecological monitoring systems in place along with an active resource management strategy. Project areas will initiate measures to rehabilitate or improve the resource base with water points, translocation of species, control of veld fires, etc. Economic sustainability for communities in target areas is measured by revenues sufficient to meet management costs, opportunity costs and increase household incomes. This will be

possible through effective marketing, good financial management, resource/demand ratios and the ability of communities to capture revenues through the pending legislation and implementation of the Conservancy policy. Institutional sustainability at the community level will see durable local structures of communal resource management in place, some of which will be incorporated into conservancies with operative management. NGOs and CBOs working in the target areas will have improved institutional structures with strengthened financial systems, increased administrative structures and skilled staff with greater ability to meet community needs. Human Resources and skills sustainability is a critical component for CBNRM in Namibia. This entails the development of indigenous planning and implementation skills across a broad spectrum from community to national levels for NGOs, CBOs and GRN personnel. Training at all levels will be carried out to ensure human resource and skills sustainability: game guards, resource monitors and community leaders will be trained to an effective level in pilot communities; a training needs assessment has been completed and job descriptions and curriculum will be developed for MET staff; and postgraduate training for social science professionals will be initiated for two SSD staff members. Policy sustainability will be in the form of Conservancy legislation and implementation structures critical to CBNRM in Namibia.

The LIFE Project is exploring the establishment of several structures that will ensure the sustainability of these five components. It is essential that the LIFE Project encourage and support sustainability structures during the LOP, in order to continue the efforts started by the LIFE Project and assist the MET in replicating lessons learned in the target areas throughout the rest of the country. A brief explanation of three proposed structures are included here. The Collaborative Group, comprised of MET, MAWAED and involved NGOs have the propose of providing "... a forum for the coordination and analysis of field experience and to promote CBNRM nationally." The Collaborative Group is the only national CBNRM coordinating entity which can speak with some comprehensive authority. They are in the process of proposing a legal entity which will be more formally organized.

The Conservancy Association is being proposed as a member body representing the interests of communities in CBNRM. Its mandate would likely include contributions to policy refinement and to lobby for CBNRM interests with Government and might be able to provide services to its members.

The Communal Areas Resource Management Support Institute of Namibia (CARMS) has been discussed by MET and WWF and is based on recommendations emerging from the Collaborative Group. This proposed structure could assume some combination of the following functions: national coordination, organizational capacity building,

conservancy extension services, logistical support, fund raising, grant management, public relations, applied social research, publications facilitation and act as a resource center. CARMS could, in fact, absorb many of the activities currently performed by the LIFE Project.

The sustainability strategy is to build institutional capacity to monitor and maintain the natural resource base; strengthen the development of local and regional expertise in CBNRM; assist the participating NGOs, CBOs and communities to develop plans for shifting the financing of recurrent costs to the income generated by the community-based activities; and work out strategies whereby program efforts can increase the well-being of people over the long term.

Several strategies are being employed by the LIFE Project in its efforts to promote sustainability. Some of these efforts include (1) employment of Namibian counterparts for expatriate positions, with the expressed objective of transferring skills and providing on-the-job training; (2) recruiting local or regional consultants whenever possible, recognizing the considerable talents available in the public and private sectors; (3) utilizing local and regional institutions to provide short-term training; and (4) involving GRN, NGO, and CBO staff in exchanges with other organizations in the region, thereby broadening their experience and providing opportunities for networking and forming collaborative relationships. NGOs, counterparts and Namibians will be involved in the provision of technical assistance and training to the greatest degree possible.

Through on-the-job training and related in-service courses, the LIFE Project's Namibian counterparts are being groomed to replace the World Wildlife Fund staff. These counterparts are expected to assume increasing responsibility for technical assistance provision over the course of the project. A significant assumption is that Namibian staff will retain technical knowledge and be available to continue CBNRM work with NGOs and CBOs at the close of the LIFE Project.

This initiative is partially based on the Zimbabwean CAMPFIRE model and was highly supported in the Assessment Reports. CARMS is envisioned as a Namibian-initiated NGO that would provide support to CBNRM based activities after the LIFE Project is completed by assuming some or all of the following functions: national coordination, organizational capacity-building, conservancy extension services, logistic support, fund raising, grants management, public relations, applied social research, publication facilitation and act as a resource center. With this range of functions, should the Namibians decide to establish CARMS, it could be in a position by the PACD to absorb many of the activities

currently performed by the LIFE Steering Committee and Project Team. The discussions about CARMS are still in the early stages of consideration and will continue to be explored under PPSA activities. It is expected that CARMS will start small and will only become a full fledged organization when local commitment and support materializes.

Another way of providing long-term sustainability would be to explore the possibility of investing project funds in the National Environmental Investment Fund, which is currently being established to support broader conservation objectives. Such a fund, as noted by WWF in its initial proposal for the LIFE Project, could (1) provide sustained funding; (2) help meet recurrent costs; (3) institutionalize cooperation between government, NGOs, and CBOs; (4) establish a small grant-making facility; and (5) develop absorptive capacity by using grants over an extended time period. However, as it is currently being designed, there is no plan for donor earmarked funds.

## **VI. Implementation Arrangements**

This PPSA will serve as the framework for the development and implementation of evolving and unique project activities, which will be accompanied by illustrative budgets and financial projections. A diagram indicating the LIFE partners and their relationships for LIFE Project implementation is attached as Annex G. To facilitate tighter and more precise implementation parameters under the to-be-revised Cooperative Agreement, USAID will require WWF, the prime contractor, to submit a Master Implementation Plan with benchmarks and detailed budgets to determine adequate progress towards accomplishment of the project purpose. The Master Implementation Plan will be submitted to USAID by March 31, 1996; appropriate changes, if necessary, will be made to the CA.

### **A. Roles and Responsibilities of Partners**

#### **1. USAID**

USAID/Namibia has the responsibility for monitoring, assessing the program's impact and financial accountability, and for ensuring ultimate conformity of the project to USAID and the U.S. Government rules, regulations and procedures. The Chief of USAID/Namibia's General Development Office is the project officer for the LIFE Project and is responsible for overseeing all project implementation activities. This officer also represents USAID/Namibia on the LIFE Project Steering Committee. The project officer is assisted by a US PSC project manager, 50% funded under the LIFE Project and 50% funded by the USAID/Namibia READ Project. A FSN Project assistant and half-time FSN Secretary also are funded

under the LIFE Project.

## **2. MET**

The Ministry of Environment and Tourism is responsible for interpreting the GRN's national policy, establishing policy and guidance for the LIFE Project and assuring that all project activities fit within the GRN national policy framework. The MET is also responsible for chairing the LIFE Project Steering Committee and for coordinating activities with the Government. The MET assists in the establishment of baseline data in project areas and helps monitor and evaluate LIFE Project activities. The MET is also responsible for preparing regular reports on its cash and in-kind contributions to the project. They are assisted in this through a contract with a local accounting firm.

## **3. World Wildlife Fund (WWF)**

World Wildlife Fund, as the prime recipient of the PVO Cooperative Agreement, along with its Cooperative Agreement partners, World Learning, Management Systems, Inc. and the Rössing Foundation, have the responsibility to undertake day-to-day implementation of the LIFE Project. In addition, WWF also has responsibility to manage the financial resources, review and recommend approval for subgrants, document and monitor subgrant activities, and provide long- and short-term technical assistance and training to MET and Namibian NGOs/CBOs participating in the Life Project. WWF holds ultimate responsibility for overall financial accounting and is responsible for ensuring the technical, social and economic viability of each of the subgrants and other activities, as well as ensuring that the guidelines established by the Life Steering Committee are consistent with USAID and GRN procedures.

Specific tasks of WWF include:

- Report semi-annually to the MET and USAID on project activities, project progress and expenditures;
- Prepare annual workplans and budgets to be approved by the LIFE Steering Committee; prepare a Master Implementation Plan for LOP activities;
- Execute subgrants and disburse funds;
- Ensure that potential subgrantees have adequate accounting, procurement and financial management capabilities and report quarterly on their cash and in-kind contributions to the project;
- Strengthen NGOs by providing support, upon request in defining and planning projects, proposal preparation, organizational

development and activities management;

- Support the LIFE Steering Committee's work by convening meetings, communications and other secretariat services as requested by the Steering Committee chair;
- Identify issues in natural resource use and suggest, as requested, revisions in national policy and practices for consideration by the MET;
- Identify training requirements and make recommendations to the LIFE Steering Committee;
- Implement the LIFE Project Monitoring and Evaluation function;
- Facilitate the building of an effective project implementation team; and
- Suggest to USAID/MET how the Steering Committee can become more representative of the communities benefitting from the project.

#### **4. LIFE Steering Committee (SC)**

All project activities are coordinated and monitored by the LIFE Steering Committee, composed of representatives from MET, USAID, WWF, IRDNC, SSD at the University of Namibia, Nyae Nyae Development Foundation, and individuals who represent the disciplines of legal policies and tourism. The Chair of the SC is the MET/DEA. Although the SC operates on consensus, USAID and the MET regulations require that USAID and MET retain final rights of approval on all project activities and expenditures to ensure conformity with their respective and applicable policies, regulations and statutes.

Specific tasks of the Steering Committee include:

- Advise the MET and USAID on all LIFE Project activities;
- Oversight of WWF support staff through reports at committee meetings and written semi-annual reports, annual workplans/budgets and evaluations;
- Review and approve subgrant applications in accordance with criteria and priorities established by the SC;
- Review the external final evaluation and implement actions to correct problems identified, if appropriate;
- Monitor impact of government policies and legislation concerning community resource utilization in the target area and make appropriate recommendations; and
- Develop a plan during the life of the project for Namibian NGOs in conjunction with the MET, to maintain key functions on a sustainable basis at the conclusion of the project.

#### **B. Procurement Plan**

The Procurement Plan follows USAID regulations and guidelines as set forth in the original PP. Additional goods and services will be purchased, as a result of the Field Assessment Report which recommended more intensive efforts at the community level and an extended PACD. This will include additional field staff, more vehicles to support field staff, and additional TA for training assistance.

Under this project, U.S. \$ 14,356,000 in goods and services support is planned. AID Geographic Code 935 source/origin procurement will be authorized according to standard Development Fund for Africa policies. It remains USAID policy, however, to maximize U.S. procurement wherever practicable. USAID will require conformance with the 50/50 requirements of the Cargo Preference Act for ocean shipments. U.S. Gray Amendment entities will be used to the maximum extent possible for the procurement of commodities and services. Purchase of goods and services for each activity will fall under the AID procurement regulations included in the specific contract or assistance instrument documents.

**a. Technical Assistance**

1. Continuation of 5 expatriate technical assistants. New funds will be used as current WWF contracts expire.
2. Continuation of 6 local staff plus an addition of 1 new local staff as the Grants Management Assistant.
3. WWF will recruit short-term consultants to supply needed services in training design and delivery; community-based tourism TA; and other topics and activities as needed.

**b. Training**

Short-term and in-service training are essential activities of the LIFE Project to improve skills in CBNRM philosophy and service delivery methodology, increase greater understanding of constraints and benefits of CBNRM, and improve communications and networking. Training will be provided through WWF and NGOs and will be a formal part of all subgrants. Training methodology will vary depending on the topic and audience and will include local and outside consultants, workshops, conferences, study tours, short courses and regional training opportunities. All training will be under the WWF Cooperative Agreement.

**c. Commodities**

Purchase of the commodities for and/or by each activity will fall under the USAID procurement regulations included in the pertinent contract or assistance instrument documents. USAID will require

that administrative systems and procedures, including those which govern procurement of goods and services, are satisfactorily designed and implemented.

Most of the major commodities for the LIFE Project were procured under the original PP. Additional commodities under this PPSA are estimated to be at least 2 vehicles, one of which will be a mini-van; 2 computers and related office equipment; training related equipment including an overhead projector. All commodities will be procured through the Cooperative Agreement with World Wildlife Fund with the exception of items procured by USAID in association with Project Management.

**d. Procurement Implementation Schedule**

The following illustrative procurement schedule will be detailed in the Cooperative Agreement Modification with World Wildlife, Inc.

Vehicles	\$110,000	February, 1996
TA-NRE: Continuation of contract	360,000	March, 1996
Training Consultant	65,000	March, 1996
Computers and office equipment	60,000	April, 1996
TA-CBNRM/TA: Contin. of contract	475,000	July, 1996
Training Consultant	65,000	July, 1996
TA-FM: Continuation of contract	460,000	August, 1996
Training equipment	54,000	September, 1996
Training Consultant	35,000	October, 1996
TA-PME/ID: Continuation of contract	325,000	February, 1997
Training Consultant	56,000	March, 1997
TA-COP: Continuation of contract	360,000	July, 1997
Training Consultant	37,000	August, 1997
Training Consultant	45,000	February, 1998

**C. Implementation Schedule**

A brief history of the LIFE Project implementation follows:

- September 3, 1992 - Grant Agreement signed with GRN
- November 1, 1992 - ZSSD Grant start date
- June 22, 1993 - ZSSD unilaterally terminated Etosha Grant
- July 8, 1993 - Cooperative Agreement signed with WWF
- July 27, 1993 - Project implementation start with arrival of LIFE COP
- August 11-12, 1993 - LIFE Project Orientation
- December 11, 1993 - first subgrant funded
- January 6-7, 1994 - Logframe Review by SC Sub-committee
- January 15-16, 1994 - 1st Annual Planning and Coordination Workshop in Caprivi

- June 8-10, 1994 - Planning Workshop in Eastern Bushmanland
- August, 1994 - 1st Annual Management Team Visit
- Jan-Dec, 1994 - 10 subgrants @ US\$ \$501,471 disbursed
- January, 1995 - M&E Plan Developed
- February, 1995 - Phase I of Mid-Term Assessment (Internal)
- March 16, 1995 - Policy on Wildlife Management and Tourism in Communal areas approved by Cabinet
- March - May, 1995 - Phase II of Mid-Term Assessment (External)
- May, 1995 - CB Tourism Policy approved by MET
- July, 1995 - 2nd Annual Management Team Visit
- July - August, 1995 - Phase III of Mid-Term Assessment (Field)
- August, 1995 - Phase IV of Mid-Term Assessment (Harmonization of Documents with increase in LOP funding and extended PACD)
- Jan-July, 1995 - 2 subgrants @ US\$ \$329,109 disbursed

The following schedule details the anticipated implementation steps for the remainder of the LIFE Project:

REPORTING PERIODS	ACTIVITY	RESPONSIBLE AGENT
4th quarter 1995	Hold Steering Committee Meeting Fund new subgrants Monitor current subgrants Annual Arts and Crafts Festival in Caprivi (CACA) Submit Annual Workplan and Budget Submit Semi-Annual Project Reports Develop video of LIFE Project Annual Audit	SC Members WWF and SC WWF WWF, CACA  WWF and SC WWF WWF WWF
1st half 1996	Hold 2 SC Meetings Fund new subgrants Monitor current subgrants PCC Meeting Hold Annual Planning and Coordination Workshop in Caprivi SAPIR	WWF and SC WWF WWF WWF, USAID, MET WWF, IRDNC, MET  WWF, MET, USAID
2nd half 1996	Hold 2 SC Meetings (1 in field) Fund new subgrants Analytical Research Report Monitor current subgrants Submit Annual Workplan and Budget Annual Audit	WWF and SC WWF and SC SSD WWF WWF and SC WWF

REPORTING PERIODS	ACTIVITY	RESPONSIBLE AGENT
1st half 1997	Hold 2 SC Meetings Discuss sustainability of LIFE Structure after project funding Fund new subgrants Monitor current subgrants SAPIR  NRM Regional Workshop	WWF and SC SC  WWF and SC WWF WWF, MET, USAID WWF, USAID
2nd half 1997	Hold 2 SC Meetings (1 in field) Fund new subgrants Analytical Research Report Monitor current subgrants Submit Annual Workplan and Budget Annual Audit	WWF and SC WWF and SC SSD WWF WWF and SC WWF
1st half 1998	Hold 2 SC Meetings Fund new subgrants Monitor current subgrants SAPIR	WWF and SC WWF and SC WWF WWF, MET, USAID
2nd half 1998	Hold 2 SC Meetings (1 in field) Fund new subgrants Analytical Research Report Monitor current subgrants Submit Annual Workplan and Budget Annual Audit	WWF and SC WWF and SC SSD WWF WWF and SC WWF
1st half 1999	Hold 2 SC Meetings Monitor current subgrants Final Evaluation  Begin Closeout Procedures SAPIR  Finish Training	WWF and SC WWF USAID, MET and WWF USAID WWF, MET and USAID WWF
2nd half 1999	Hold final SC Meeting Complete Close Out Procedures Final Audit Final Reports	WWF and SC USAID, WWF WWF WWF
8/18/1999	PACD	

## VII. Monitoring and Evaluation Plans

The Monitoring and Evaluation Plan designed by the LIFE Project will be carried out during the remainder of the LIFE Project. Regular monitoring of all project activities is the primary responsibility of the implementing partner, WWF; semi-annual monitoring reviews will be scheduled by USAID (in conjunction with the SAPIRs) and one of them will be in conjunction with the Mission Assessment of Program Impact exercise.

The LIFE project was designed using a participatory management approach; it uses a participatory approach to monitoring and evaluation, including grantees, MET staff, and community management bodies. The progress of CBNRM enterprises, training, institutional development and overall sub-grant progress will be the primary focus of the monitoring activities. Monitoring tools developed by the WWF monitoring and evaluation specialist will include Activity Management Profiles, Institutional Development Profiles, Community Management Profiles, Project Monitoring Visit Reports, the Training Impact Assessment Tool, and Target Area Profiles. These tools are primarily written and graphic forms to capture a variety of site visits, post-training assessments, and details of sub-grant recipients. All stakeholders will participate, to varying degrees, in defining information requirements, collecting and analyzing data, and learning from the information. Much of the project monitoring will be accomplished by Special Monitoring Events; this will occur at intensive sessions several times per year. Natural resource monitoring will be carried out by the MET and NGO/CBO subgrantees and will include game counts, aerial surveys, use of Geographic Information System (GIS), and community resource monitors. Social analysis will provide community and household data, construct social maps, and carry out detailed community level research. In addition, a CBNRM Policy Log will be maintained; this will include a list of all policy issues and determinations taken by the MET and engendered in conjunction with LIFE activities. Subgrantees' reports will be reviewed, project sites will be visited on a periodic basis, and subgrantee officials and staff will be consulted on a periodic basis.

The Malawi component of SARP NRMP has ultimate responsibility for and controls funding for evaluations. It will carry out a final evaluation of all the country components and the LIFE project final evaluation will be carried out as part of this final regional evaluation. USAID/Namibia will be responsible for project monitoring, assessing the program impact, financial accountability, and for assuring ultimate conformity to USAID and U.S. Government rules, regulations, and procedures. The RCSA expects to bring on board in late FY 95 an individual dedicated to liaison and regional information sharing; this natural resource program specialist will focus on information sharing, and exchange of lessons learned and best practices. The Namibia NRM Project will coordinate with the RCSA on these activities for regional dissemination and improved efficiencies from regional harmonization.

The four-part Mid-Term Assessment, which was carried out during the period between February and August, 1995 has replaced a formal mid-term evaluation. In accordance with mission program reporting

requirements, monitoring against S02 and the Purpose level indicators will be an annual event. A final evaluation will take place during the first half of CY 1999. The USAID/Namibia Project Manager will coordinate evaluation activities for USAID/Namibia. The final evaluation will be conducted under a direct contract or an indefinite quantity contract work order arranged by USAID/Namibia in conjunction with and upon consultation with the Malawi Component; it is planned that the final evaluation of the LIFE final evaluation will coincide with that of the overall NRMP program.

### VIII. Cost Estimates and Financial Plan

#### A. Budget

Budget details for the LIFE Project are presented in Annex B. The budget is illustrative and not static, and should be seen in the same context as other components of the project; the components are designed to be dynamic, flexible and responsive to accomplishing the purpose of this innovative project. The estimated overall cost of the seven year project is US \$14,356,000. Approximately 90% of the project funds will be expended through a Cooperative Agreement with WWF to provide technical assistance, commodities, training, and subgrants.

Subgrants will be disbursed to NGOs and CBOs by WWF through a participatory process based on the criteria of reviewing subgrants which was established by the LIFE Steering Committee. LIFE Project staff work with interested parties to ensure that they have adequate institutional and financial systems in place. Institutional subgrants will be given to help those NGOs/CBOs strengthen their systems. Subgrants are also given to organizations that present viable proposals to the Steering Committee. In addition, the Social Science Division (SSD) at the University of Namibia will continue to receive a subgrant to strengthen the capacity to carry out surveys and research studies related to CBNRM.

The following illustrative budget indicates the element line items projections with the funds from the original Project Paper Supplement and the new funds being added by the PPSA. A detailed budget will be included in the Cooperative Agreement Modification with WWF.

ELEMENTS	CURRENT	PPSA ADDITIONS	TOTAL
I. Technical Assistance	\$4,367,000	2,564,000	6,931,000

II.	Training & consultants	550,000	347,000	897,000
III.	Applied Research	1,978,000	50,000	2,028,000
IV.	Community Dev. (Subgrants)	1,500,000	895,000	2,395,000
V.	Project Management	860,000	0	860,000
VI.	Regional Communication	340,000	0	340,000
VII.	Evaluation	250,000	0	250,000
VIII.	Audit	140,000	0	140,000
IX.	Inflation/Contingency	515,000	0	515,000
	<b>TOTAL</b>	<b>10,500,000</b>	<b>3,856,000</b>	<b>14,356,000</b>

#### **B. Host Country Contributions**

The Ministry of Environment and Tourism has agreed to make a total Host Country Contribution (HCC) of US\$ 5,000,000 to the LIFE Project; this is 25% of total project funds of US\$20,000,000. The contribution will be in the form of in-kind contributions from the MET e.g. staff time, travel/subsistence, materials and supplies, transport, facilities and equipment/maintenance. The percentages agreed upon during the original project design and detailed in the PP, determined after an independent financial analysis of the MET expenditures, will remain through the remainder of the project (e.g. 35.4% for Planning and Applied Research, 56% to Community Development, and 8.4% for Project Management).

Coopers and Lybrand audited the Host Country Contribution for the periods of September, 1992 to September, 1994 and reported that MET had contributed \$ 1,840,964 (37%) and had therefore exceeded its planned obligation to date. In the remainder of the project, the MET needs to contribute \$ 3,159,036. Preliminary projections indicate that the MET will far exceed its required contribution due to an increase in the number of information officers associated with LIFE activities, increased regional budgets, and aerial surveys being undertaken. Host country contributions will continue to be monitored through the life of the project.

#### **C. Audits**

Audits will be conducted each fiscal year in accordance with standard provisions, OMB circular A133 for Grants and Cooperative Agreements. Under new audit requirements, all non-U.S. and non-governmental grantees and subgrantees receiving U.S. \$100,000 per

year or more of USAID funds in any one calendar year under a grant are required to have an independent audit performed of the grant in order to determine whether the receipt and expenditure of the funds provided under the grant are presented in accordance with generally accepted accounting principles and whether the grantee has complied with the terms of the agreement. An independent auditor must be selected in accordance with the "guidelines for financial audits contracted by foreign recipients" issued by the USAID Inspector General and the audit must be performed in accordance with the "guidelines." Copies of guidelines have been sent to local CPA firms and sent to all participating NGOs. Local firms will be identified by USAID and certified by RIG/A in Nairobi. It is expected that WWF will conduct a single audit each year encompassing subgrants funded in compliance with this requirement. Currently this procedure will encompass 8 subgrantees and in the future will encompass 10.

#### **IX. Conditions Precedent and Covenants**

##### **A. Condition Precedent to Disbursement for Wildlife/Income Generation Activities**

Since its inception, the LIFE Project has operated under a condition precedent (CP) that prohibits funding of activities in support of income generation from wildlife in the communal areas (e.g., trophy hunting) until the passage of legislation authorizing communal area residents to retain the revenues from such activities. Due to inaction by GRN, this CP has remained unfulfilled and the consumptive use of wildlife activities planned under the project have not been implemented. Both common sense and the Foreign Assistance Act require that the amendment designers reconsider at this juncture whether "such legislative actions may reasonably be anticipated to be completed in time to permit the orderly accomplishment" of the Project, per FAA, Section 611 (a) (2).

Very recent events allow positive judgement on the likelihood of timely legislative action. Changes in the management of the MET have revitalized this process. The first result was the MET's sponsorship of a policy statement adopted by the Cabinet in March, 1995 which constitutes broad support for the changes that are not only required by the project but greatly desired by the Government. The policy propounds the necessity of establishing community-based nature conservancies as legal entities whose members are the inhabitants of the communal areas. A central component of the policy is the devolution to the conservancies of authority over wildlife in their boundaries with the right to sell, and retain the

income from, such natural resources. The rights and responsibilities of the communal conservancies will parallel those of existing private commercial farmers.

The existence of this policy goes a long way to assuring adoption of the enabling legislation. Even more promising is the active championship of the Minister of Environment and Tourism himself. He is personally coordinating activities to ensure that the statutory language is drafted, that other pending legislation is harmonized with the communal areas' new rights, that the Cabinet's legal advisors clear the bill, and that procedural requirements are completed to place the proposed legislation before parliament during the new session that opens on October 17, 1995. The Minister expressed confidence that the bill will pass unanimously or, failing unanimity, that the ruling party's votes will be more than sufficient to enact the measure. In a separate meeting with MET and LIFE Project advisors, Mission personnel were advised that enactment can be expected by early CY 1996 if not sooner.

On this basis, the Regional Legal Advisor concludes that the FAA's requirement of "reasonable anticipation" is met. Nevertheless, the Mission finds it prudent to establish a terminal date of August 31, 1996 at which time funds will be redeployed if the legislation is not enacted.

#### **B. New Conditionality**

In support of the primary CP discussed above, the most recent (June, 1995) Grant Amendment conditioned disbursement of all of the fourth tranche funds upon enactment of the legislation. The same CP will not apply to the fifth tranche to be obligated following this project amendment. The ECPR (Harare, 9/13/95) did not deem it necessary to condition all fund disbursement. However, USAID assistance related to any consumptive wildlife activities remain subject to the Condition Precedent of Legislative enactment. This CP fulfills the Mission's desire to maintain pressure for the legislation, but also expresses the Ministry's independent view that national policy urgently needs the enabling statutory amendments. Moreover, if the CP discussed in Section A. above has not been satisfied by August 31, 1996, USAID, at its option, may terminate the Project Agreement by written notice to the Grantee.

#### **C. New Covenants under Policy Determination 20.**

As required by Section 545 of the Foreign Affairs Appropriations Act for FY 1995 and by Policy Determination (PD) 20, the Project Grant Agreement Amendment will incorporate the standard covenants

designed to protect U.S. jobs against corporate relocation overseas, prohibit financing of export processing zones, and protect internationally recognized workers' rights.

Under PD 20, the Mission must analyze existing and new program initiatives to ensure that they offer no support for activities in violation of Section 545. The standard analysis begins with the question whether the project in any way promotes foreign or domestic investment in the beneficiary country. The answer to that question in the case of LIFE is an unequivocal negative. Consequently, no further scrutiny is required. Nevertheless, the PD 20 covenants are being added because the Mission has no discretion to omit the covenants unless the host country vociferously opposes them and USAID/W agrees to the omission.

#### **X. Summary of Analyses**

The follow summary of analyses were taken from the Analyses in the original Project Paper. The analyses remain valid except where noted below. If additional information is needed, the reader should refer to the original LIFE Project Paper of 1992. The modifications to these summaries emanate from the recently completed seven month LIFE Midterm Assessment. These summary of analyses as modified are fundamentally valid, relevant and support the conclusions of the PPSA.

#### **A. Technical Analysis**

The LIFE Project is technically feasible and implementable in the form proposed throughout this PPSA. The technical aspects of the project were reviewed during the seven month Mid-Term Assessment and the two Assessment Reports serve as the basis for the revised Technical Analysis. The LIFE Project, now in its third year of implementation, has base-line experience with all technical areas and has adjusted its implementation strategy to ensure the success of the project.

The LIFE Project is premised on the assumption that sustainable natural resource management in Namibia depends upon active community participation and involvement. This is an important aspect of the widely accepted belief that the conservation of natural resources and social well being of communities are mutually integrated and participatory. Previous experience suggests that both local and national commitment to sustainable resource use are critical. Two major components of the project, community based management activities and planning, address these types of commitments. Community-based activities focus on community game

guards, their participation in game management, and local generation and distribution of revenues from tourism, natural resource enterprises and handicraft production, and safari hunting. All of these activities are being promoted in other projects in southern and eastern Africa because of their positive economic benefits.

The project will take advantage of the existing capacities of governmental agencies and non-governmental organizations, including the MET, Integrated Rural Development and Nature Conservation, Namibia Nature Foundation and the Nyae Nyae Farmers Cooperative. All of these are organizations with proven track records in the LIFE Target Areas.

Throughout the next four years attention will be paid to the following technical issues. The project will ascertain rather than assume that local communities are able to effectively manage natural resources. For example, the communities may require outside assistance to monitor resource levels and to determine quotas for offtake. Deforestation and water deficits are issues of concern throughout Namibia. The project will promote sustainable use of forests/forest products and assist communities to develop veld and wildlife management options which take utmost advantage of scarce water resources.

Collection and analysis of baseline data and monitoring of changes in the ecosystem function and social well-being are explicit goals of the planning and applied research component. Specific mechanisms will be included to ensure that they are carried out, e.g. involvement of Namibian postgraduate researchers in the Social Science Division (SSD) at the University of Namibia.

The approach of the project is in line with modern theoretical approaches to CBNRM in both developing and developed countries. The techniques involved are likely to be relatively straightforward or have been already tested elsewhere. The application of these techniques is what may be even more difficult and interesting.

#### **B. Social Soundness and Institutional Analysis**

With independence MET began the process of transformation from a Ministry charged with preservation of natural resources principally for the benefit of whites and tourists, to a Ministry interested in natural resource utilization and conservation benefiting all citizens, especially those in communal areas. A series of community consultations and the solicitation of project ideas from communities have been underway since 1991. Activities began in

Caprivi and Eastern Bushmanland (Eastern Tsumkwe District) and have continued with the /Etuseb Community near the Kuiseb River.

Project activities to date bear out the earlier issues that were raised. During the Midterm Assessment, the target areas were reassessed with the information gained during the first year and a half of implementation. Current problems and potentials are listed below for the two major target areas.

**Caprivi Problems:** The area was a military operational zone during the war of liberation. The war and the presence of the South Africa Defense Force in the area seriously disrupted social and economic relations. Half the population lives in and around the former army base at Omega, substantially depleting natural resources in the area. Few formal sector jobs exist now that the SADF is gone and most people are unemployed. In addition, restrictions on hunting activities, incursions of outsiders, drought and grazing depletion caused by livestock have undermined food security.

**Caprivi Potential:** MET viewed Caprivi as a target area for community based natural resources utilization and conservation measures. A local NGO, Integrated Rural Development and Nature Conservation (IRDNC), has introduced a community game guard and resource monitoring program which supports the CBNRM concept and works toward community based income generating activities.

**Bushman (Eastern Tsumkwe District) Problems:** While removed from the operational zone during the war, Eastern Bushmanland was nevertheless militarized through the presence of army camps. The army served as one of the few sources of wage income in the district. The implementation of apartheid, the establishment of Kaudom Game Reserve, and the delimitation of Bushmanland in 1970 resulted in reduction of Ju/'hoansi land and resource access. During the 1960s and 1970s a number of Ju/'hoansi moved to the new administrative capital at Tjum!kui. The high population densities put pressures on natural resources in and around the administrative center. Some of the more heavily populated areas of Bushmanland have been overhunted and over harvested. Drought over the past few years has further added to the depletion of cultivated and veld foods.

**Bushmanland (Eastern Tsumkwe District) Potential:** Eastern Bushmanland represents one of the best examples in Namibia of a well organized community-based organization, the Nyae Nyae Farmers Cooperative. Despite the partial breakdown of Ju/'hoansi social relations, the creation of the NNFC and the movement of people back

to previously inhabited rural locations in Bushmanland will strengthen these relationships. In terms of distributional and gender issues this should encourage a more egalitarian distribution of benefits across and within households and communities in keeping with the tradition of Ju/'hoan culture. There are plans to expand wildlife in the area. A community rangers program, similar to that of the game guards in Caprivi has been introduced. With a distinct culture of interest to the international community and the remoteness of the area, low-density tourism offers significant opportunities for community income generation.

### **C. Gender Analysis**

Traditionally and culturally women in Namibia, as in other countries in Southern Africa, have experienced discrimination in the social, economic and political arenas. They have not been primary participants in nor recipients of national or local development efforts. The vast majority of women in Namibia are especially disadvantaged. In most cases, women are still subordinate to the men of the communities. They rarely participate in household and community decisions, and as a consequence, do not articulate their problem and needs readily. The Ju/'hoan culture, which is based on equally important gender roles of hunting and gathering, is an exception to this generalization.

The activities proposed under the LIFE project are designed to distribute benefits equitably within a target community. This implies that both men and women, rich and poor, leaders and followers will receive benefits. The project is cognizant that increases in income can isolate family members and therefore, efforts are being taken to protect and strengthen family units through participatory, community-based efforts. Project activities will take precautions not to add to the burden of women by increasing time and labor requirements, but rather will incorporate women's constraints and needs into the design of community-based projects. While recognizing and respecting traditional roles of women, project activities will attempt to encourage women to become partners in the development process.

Women's participation in development is complicated by their multiple roles in domestic tasks, and at times, off-farm income generation. An increasing number of women are engaging in employment opportunities that generate income to assist in meeting basic household needs.

Women are the key members in the community with regards to collecting and making use of veld food/plants. Because of time and

energy constraints women use resources such as firewood veld production etc. that are close to their homes until the supply is diminished. As rural populations increase, forests are cut to make more land available for cultivation. Because women's first priority is to sustain life at the household level, it is with women that improvements in managing scarce natural resources can be made.

While some statistical data exists about the role of women in Namibia, particularly in the Owambo and Kavango regions, the information does not paint a broad picture of the national social economic indicators needed to formulate a comprehensive report on gender constraints and opportunities. However, a recent publication by UNICEF (1991) has compiled much of the known socio-economic data relating to women and children in Namibia. In addition to information which was gleaned from existing studies, the report was supplemented with findings from a survey completed by UNICEF (1990) in five selected areas in the country. Information from this report was used in writing this section.

Female-headed households are common in Namibia as in other similar countries with strong historical patterns of labor migration. It is reported that 20-57% of non-white populations in urban areas of southern and central Namibia are headed by women. Higher levels within this range are found particularly among squatter settlements. Also, a study found that 36% of the households in Katutura and 40-49% of those in Owambo are headed by women.

Female headed households are particularly vulnerable in development activities. Time and labor constraints limit their participation in activities outside the household, whether at the decision-making or at the implementation levels. Female household heads also experience difficulty in accessing services, especially marketing and agricultural services.

To enhance women's involvement the project will examine women's multiple roles in production and their contribution of essential domestic tasks related to the viability of the household as a production unit. Secondly, the project will identify the key factors which constrain or enhance women's productive and domestic roles. These efforts have a critical influence at the household level, but are also central to the ability of women to link household production and participation in the wider economy.

#### **D. Economic Analysis**

The life project is an investment in sustainability. It combines

rural development and conservation with sustainable development. The exact economic impact of the intervention will emerge as implementation takes place. The project is an initiative in which the economic desirability of the investment or its contribution to society's welfare is a primary criterion. Financial profitability is relevant in so far as project activities need to be financially attractive to participants.

The Economic Analysis found in the original LIFE Project Paper is outdated and will be revised as a result of this PPSA. The LIFE Project Natural Resource Economist has completed several studies on the economic viability of the LIFE Project activities and has created projection models. The results of this work will be included in the new Economic Analysis will be completed by March 31, 1996.

#### **E. Institutional Analysis**

The Ministry of Environment and Tourism is strongly promoting community based natural resource management and has passed a policy on facilitating the formation of conservancies on communal lands with the same rights to proprietorship over wildlife and natural resources as those already extended to owners of private land and to already existing private conservancies. Once established communal conservancies would have the rights to:

- establish tourism facilities within its boundaries or engage in commercial arrangements with a registered tourism operator to act on its behalf;
- utilize and benefit from wildlife on communal land to the benefit of the community; and
- enter into business arrangements with private companies to carry out some or all of these activities.

With the rapid growth in tourism and other related natural resource enterprises (e.g. ecotourism, safari hunting and the sale of live animals), marginal areas that were once seen as having little or no productive value, now have the potential to produce significant revenue for the inhabitants. It is in these marginal areas where the policy of conservancies must be implemented to allow local communities to share in the benefits of sound resource management.

There are two principle factors affecting the authorities' ability to undertake their obligation under the LIFE Project: the lack of capacity and the absence of a clear legal framework through which project benefits can be distributed to participating communities. The MET recognizes the merits of working with NGOs on the development on conservancies and has good working relationships

with technical and wildlife oriented NGOs. However, MET staff experience with community development NGOs is limited and the proposed training component will include exposure to the principles of CBNRM.

The PP Institutional Analysis was carried out only one year after Independence, when NGOs established as fronts by the South African Regime were still operating; many others were supported by donors as much to carry out the "struggle" as to achieve real development goals. Of the 123 NGOs operating in Namibia at the time of the Life Project design, twelve NGOs deemed relevant for LIFE Project assistance were listed in the original analysis and only three of these have indeed proved to be adequate and actually able to participate in the LIFE project. Of the NGOs that have been partners and sub-grantees in LIFE, the degree and intensity of capacity building and institutional strengthening required have far exceeded that predicted by the original analysis. Of particular significance is that most of the CBNRM NGOs were founded by or managed by white Namibians and the degree of involvement, training, counterparting and employment of HDNs has been disappointing.

Lastly, the regional NRM Project, of which Namibia is a part, emphasizes programs in each country strive to strengthen local level institutions through training and technical assistance, to enhance their capability and capacity to manage the natural resources and establish policies and procedures for the distribution of revenues.

**ANNEX A**

**LIFE PROJECT LOGICAL FRAMEWORK  
(REVISED)**

87

## Life Project Logical Framework

(Amended September, 1995)

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
<p><b>GOAL:</b></p> <p>Improved quality of life for rural Namibians through sustainable natural resource management</p>	<p>Standard quality of life measures such as household incomes, birth rates, mortality rates</p> <p>Increased % of rural Namibians receive benefits from managing their natural resources</p>	<p>National Statistics</p> <p>USAID, WWF, NGO/CBO project documentation</p>	<p>(From Purpose to Goal)</p> <p>Internal and External political environment permit effective project implementation</p> <p>Public and private structures allow for participation</p> <p>Positive GNP growth</p> <p>Government maintains its commitment to CBNRM and sustainable NRM</p>
<p><b>PURPOSE:</b></p> <p>Communities derive increased benefits in an equitable manner by gaining control over and sustainably managing natural resources in target areas<sup>1</sup></p> <p>(1) Additional indicators which define "equitable" aspects and achievement of project purpose will be added by March 31, 1996.</p>	<p>a. Number of conservancies established and maintained in Target Areas <i>(Target: 4 conservancies)</i></p> <p>b. Number of programme-supported enterprises that produce positive net economic benefits to resource users <i>(Target: 20)</i></p> <p>c. Total net community income/year from programme-supported NRM practices <i>(target \$N 520,000/yr.)</i></p> <p>d. Total national net financial benefit from programme-supported NRM practices <i>(Target: \$N 750,000 /yr.)</i></p> <p>e. Number of households in Target Areas that benefit from programme-supported NRM practices <i>(Target: 70%)</i></p>	<p>a. Records of conservancy establishment, likely to be located in MET</p> <p>Minutes of management body meetings</p> <p>b. Cost/benefit analysis performed for each practice</p> <p>Activity Management Profiles</p> <p>c. DEA/NRE analysis</p> <p>d. Activity Management Profiles and field interviews.</p> <p>e. Summary of AMPs and field interviews</p>	<p>(From Results to Purpose)</p> <p>Activities promoted by project are capable of increasing resource user welfare.</p> <p>Resource users perceive adequate economic benefits and other incentives to adopt sustainable NRM practices.</p> <p>If resource users gain greater control over natural resources, they will utilize them more sustainably.</p> <p>Government will approve, and effectively implement, conservancy legislation.</p>

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
<p><b>RESULTS:</b></p> <p><b>Result #1:</b></p> <p>Social/Economic/Ecological knowledge base improved for management of communal natural resources in Target Areas</p> <p><b>Result #2:</b></p> <p>Resource base of Target Areas developed and maintained</p> <p><b>Result #3:</b></p> <p>Increased community awareness and knowledge of NRM opportunities and constraints</p> <p><b>Result #4</b></p> <p>Communities mobilized into legally-recognized bodies that are capable of managing communal resources</p> <p><b>Result #5:</b></p> <p>Improved community skills in participatory and technical NRM and enterprise management</p> <p><b>Result #6:</b></p> <p>Improved capacity of Namibian organizations to sustainably assist communities in the establishment of sustainable CBNRM enterprises and management systems</p>	<p>1. Number of relevant studies and reports produced and disseminated (<i>Target: 40</i>)</p> <p>2. Resource base developed and improved (<i>Target: TDB</i>)</p> <p>3. Number of community workshops, meetings, and training events held on opportunities and constraints to NRM (<i>target: 60</i>)</p> <p>4a. Number of officially-recognized management bodies which assume new responsibility for management of a resource (<i>Target: 1-2 community in each of 3 TAs + 1 in Ukwaluudhi</i>)</p> <p>4b. Number of assisted management bodies which show a composite 50% improvement in community/management body relations, natural resources management skills, and management body operations, as measured by the Community Management Profile (CMP) (<i>Target: 4 management bodies</i>)</p> <p>5. Number of community members trained in participatory and technical NRM and enterprise management (<i>Target: 350</i>)</p> <p>6. Number of Namibian organizations that show a 50% improvement in management capacity, as measured by the Institutional Development Profile (IDP) (<i>Target: 4 organizations</i>)</p>	<p>1. LIFE bibliography</p> <p>2. Monitoring reported from game guards, resource monitors, and MET</p> <p>3a. Quarterly sub-grantee reports</p> <p>3b. LIFE semi-annual reports</p> <p>4a. Meeting logs</p> <p>4b. Management body reports</p> <p>4c. Statement of rules (Constitutions)</p> <p>4d. Community Management Profiles</p> <p>5. Workshop records; sub-grantee quarterly reports</p> <p>6. Institutional Development Profile</p>	<p>(From Inputs to Results)</p> <p>Adequate capacity exists in the government and NGO sectors to be the chief implementation agents of LIFE.</p>

69

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
<p><b>Result #7:</b></p> <p>Improve capacity of Namibian organizations to establish legal regulatory and policy framework supportive of CBNRM</p> <p><b>Result #8:</b></p> <p>Analysis of CBNRM dynamics, experience, and lessons learned shared throughout Namibia and between LIFE and Southern African colleagues</p>	<p>7a. Number of LIFE-funded activities that have assisted Namibian organizations to establish a legal, regulatory and policy framework supportive of CBNRM <i>(Target: 15 activities)</i></p> <p>7b. Number of MET staff trained in CBNRM under LIFE Project funded workshops, short-courses and classes. <i>(Target: 50)</i></p> <p>8. Total number of conferences, classes and exchange visits attended; publications produced; and conferences and exchange visits sponsored <i>(Target: attend 35 regional events; 5 publications; sponsor 10 conferences; and conduct 8 exchange visits)</i></p>	<p>7. CBNRM policy log</p> <p>8. LIFE Dissemination Records</p>	
<p><b>INPUTS:</b></p> <ul style="list-style-type: none"> <li>- A Cooperative Agreement with World Wildlife to manage the project, provide TA and training, and to administer subgrants to Namibian NGOs and CBOs.</li> <li>- Steering Committee to oversee the project activities, advise WWF of management concerns and approve subgrants, annual workplans and budget submissions.</li> <li>- USAID project personnel, technical assistance and commodities.</li> <li>- USAID funding of \$ 14,356,000; MET in-kind of \$5,000,000; WWF match to be negotiated.</li> </ul>	<p>USAID funds allocated and disbursed</p> <p>WWF cooperative agreement funds disbursed</p> <p>NGO/CBO grants allocated and disbursed</p> <p>Commodities maintained and in use</p> <p>Steering Committee meets regularly</p>	<p>USAID audits</p> <p>Project reports, evaluation records and other records</p> <p>Semi-annual reports of participating NGOs/CBOs</p> <p>Steering Committee minutes</p>	<p>NGOs/CBOs develop acceptable proposals to obtain grants</p> <p>Funds from USAID are made on a timely basis</p> <p>NGOs/CBOs are able to effectively and efficiently use the additional resources</p>

**ANNEX B**

**LIFE PROJECT BUDGET**

4

**METHODS OF IMPLEMENTATION AND FINANCING**  
for proposed increase in funding

<b>TA</b>	<b>Method of Implementation</b>	<b>Method of Financing</b>	<b>Amount</b>
WWF	Cooperative Agreement	Letter of Credit	US\$ 3,856,000

ap

Illustrative  
LIFE PROJECT BUDGET  
(in US \$)

	PROJECT PAPER ORIGINAL	CURRENT MACS	PROJECT PAPER SUPPLEMENT AMENDMENT	TOTAL
I. Technical Assistance	4,337,304	4,367,000	2,564,000	6,931,000
II. Training & consultants	1,070,000	550,000	347,000	897,000
III. Applied Research	1,516,145	1,978,000	50,000	2,028,000
IV. Comm. Dev. (Subgrants)	1,896,100	1,500,000	895,000	2,395,000
V. Project Management	852,031	860,000	0	860,000
VI. Regional Communication	125,000	340,000	0	340,000
VII. Evaluation	200,000	250,000	0	250,000
VIII. Audit	0	140,000	0	140,000
IX. Inflation/Contingency	503,420	515,000	0	515,000
TOTAL	10,500,000	10,500,000	3,856,000	14,356,000

5

48

A	B	C	D	E	F	G	H
PPSA BUDGET - BACK-UP DOCUMENTATION							
		Projected	Projected	Projected	Projected		
		FY 1996	FY 1997	FY 1998	FY 1999	TOTALS	
I. TECH ASST							
WWF staff (salaries, be							
- COP		0	6,900	93,600		100,500	
- FM		5,500	68,000	71,000		144,500	
- PME/ID		0	59,000	73,000		132,000	
- CBNRM/TA		10,000	60,000	68,000		138,000	
- NRE		35,000	64,000	72,000		171,000	
Travel		0	145,000	173,000		318,000	
Equipment		64,600	54,000	0		118,600	
Other direct Costs							
- meetings		2,000	2,000	2,000		6,000	
- rent & utilities		35,000	44,000	54,000		133,000	
- office supplies		18,400	16,000	23,000		57,400	
- running costs		21,000	23,000	22,000		66,000	
Indirect Costs		83,000	147,000	185,000		415,000	
Subcontracts (includin							
- Prog Off			25,000	27,000		52,000	
- Com. cons. Coord.			21,000	23,000		44,000	
- Comm Tourism Off.			25,000	27,000		52,000	
- Sec/Recep			21,000	22,000		43,000	
- Accountant			30,000	31,000		61,000	
- Admin. Officer			14,000	15,000		29,000	
- Grants Mgt. Assist.				27,000		27,000	
- Other costs		42,000	210,000	204,000		456,000	
TOTAL TA		316,500	1,034,900	1,212,600		2,564,000	

2

94

A	B	C	D	E	F	G	H
<b>II. TRAINING &amp; CONSULT.</b>							
CBNRM Modules		35,000	36,000	31,000		102,000	
Sr. Level		10,000	10,000	10,000		30,000	
NGO Training		30,000	35,000	20,000		85,000	
Community Level		15,400	15,600	15,000		46,000	
MET		0	0	0		0	
Study Tours & Worksh.		35,000	35,000	14,000		84,000	
<b>TOTAL TRAIN. &amp; CON.</b>						<b>347,000</b>	
<b>III. APPLIED RESEAR</b>							
				50,000		50,000	
<b>IV. COMMUNITY DEVELOPMENT - SUBGRANTS</b>							
W. Caprivi							
E. Caprivi							
DEA							
IRDNC- Ent. Unit							
Resource Base E&W C							
CACA							
NNFC							
Salambala		150,000	100,000			250,000	
NACOBTA		125,000	90,000			215,000	
Uukwaludhi							
EBL- Resource Base							
EBL -Tourism Enterpris							
MET Conservancy Sup.							
Conservancy Assoc							
Other Subgrants		90,000	90,000	250,000		430,000	
<b>TOTAL SUBGRANTS</b>		<b>365,000</b>	<b>280,000</b>	<b>250,000</b>		<b>895,000</b>	
<b>VI. REG. COMMUNICA</b>							
			<b>FINAL TOTAL</b>			<b>3,856,000</b>	

(4)

Illustrative  
LIFE Project Disbursement Schedule  
(in US \$)

	Expended FY 92/93/94	Expended/ Accrued FY 1995	Projected FY 1996	Projected FY 1997	Projected FY 1998	Projected FY 1999	TOTAL
I. Technical Assistance	733,320	1,236,480	1,460,200	1,530,000	1,360,000	636,000	6,956,000
II. Training & Consultants	0	200,000	210,000	230,000	220,000	140,000	1,000,000
III. Applied Research	144,193	140,807	141,000	74,000	50,000	50,000	600,000
IV. Comm. Dev. (Subgrants)	147,751	779,249	958,000	837,000	728,000	450,000	3,900,000
V. Project Management	170,057	169,943	245,000	245,000	170,000	150,000	1,150,000
VI. Regional Communication	418	41,582	75,000	71,000	67,000	45,000	300,000
VII. Evaluation	282	49,718	0	0	0	0	50,000
VIII. Audit	5,195	0	54,805	0	0	80,000	140,000
IX. Inflation/Contingency	0	0	130,000	0	130,000	0	260,000
<b>TOTAL</b>	<b>1,201,216</b>	<b>2,617,779</b>	<b>3,274,005</b>	<b>2,987,000</b>	<b>2,725,000</b>	<b>1,551,000</b>	<b>14,356,000</b>

2/10

**ANNEX C**

**LIFE IEE  
(AMENDED)**

91

AMENDED INITIAL ENVIRONMENTAL EXAMINATION  
OR  
CATEGORICAL EXCLUSION

PROGRAM/PROJECT DATA:

Program Number:  
Project Number: 690-0251.73

Country/Region: Namibia

Program/Project Title: Natural Resource Management Project/Namibian Component - Living in a Finite Environment (LIFE) PP Supplement through Amendment Number 1

Funding Begin: EY 1993 Funding End: EY 1999 LOP Amount: \$15 million  
Sub-Activity Amount: \$ \_\_\_\_\_

IEE Prepared By: Andre de Georges Date: Undated circa September 1992  
Revised by Charlotte S. Bingham, Regional Environmental Advisor, REDSO/ESA, August 26, 1995

ENVIRONMENTAL ACTION RECOMMENDED: (Place X where applicable)

Categorical Exclusion: X Negative Determination: X  
Positive Determination: \_\_\_\_\_ Deferral: \_\_\_\_\_

ADDITIONAL ELEMENTS: (Place X where applicable)

EMEMP: \_\_\_\_\_ CONDITIONS: X PVO/NGO: X

SUMMARY OF FINDINGS:

Based on the environmental review procedures, to which the Mission commits itself, as presented in this IEE, the following determinations are recommended.

1. A Categorical Exclusion is justified for LIFE Components Three (training) and Four (national/regional networking), the portion of Component 2 (applied research or studies) that deals exclusively with social science research, economic assessments or market surveys or other that has no physical intervention, and the portion of Component One (community-based natural resource management activities) that exclusively involves strengthening of institutional capacity and technical assistance per 22 CFR 216.2(c)(1)(i) and 216.2(c)(2)(i), (iii) and (v).
2. A Negative Determination with Conditions is justified for Component One (community based natural resource management activities) for subgrants involving on-the-ground activities and creation and development of income-generating enterprises and resource management systems, pursuant to Section 216.3(a)(1) and (2) of the Agency's Environmental Procedures, 22 CFR 216. The Conditions relate to how the subgrants and associated mitigation actions will be identified and reviewed on an individual basis after project authorization in accordance with Regulation 16, Section 216.3(a)(2). A specific set of steps is outlined below to ensure adequate review, including capacity building elements.

APPROVAL OF ENVIRONMENTAL ACTION RECOMMENDED: (Type Name Under Signature Line)

CLEARANCE:

Mission Director:

Edward J. Spriggs  
Edward J. Spriggs

Date: 8/30/95

CONCURRENCE:

Bureau Environmental  
Officer:

John J. Gaudet  
John J. Gaudet

Date: 9/8/95  
Approved: [Signature]  
Disapproved: \_\_\_\_\_

CLEARANCE:  
General Counsel (AFR)

Drew Hunter

Date: 9/12/95

10

ADDITIONAL CLEARANCES: (Type Name Under Signature Line)

Mission Environmental  
Officer:

Draft  
Barbara L. Belding

Date: 8/30/95

Project Manager:

\_\_\_\_\_

Date: \_\_\_\_\_

Regional Environmental  
Officer:

Draft  
Eric R. Loken

Date: 8/30/95

Regional Legal  
Advisor

Draft  
Margaret Alexander

Date: 8/30/95

## AMENDED INITIAL ENVIRONMENTAL EXAMINATION

### PROGRAM/PROJECT DATA:

Program Number:  
Project Number: 690-0251.73  
Country/Region: Namibia  
Program/Project Title: Living in a Finite Environment (LIFE)

## 1.0 BACKGROUND AND PROJECT DESCRIPTION

### 1.1 Background

In August of 1989, USAID authorized the Southern Africa Regional Program (SARP) Natural Resource Management Project (NRMP) (690-0251). The multi-country goal of the Regional NRMP continues to be "to increase incomes and enhance capability to meet basic human needs through sustainable utilization and conservation of natural ecosystems". There is also a regional subgoal: "promoting sustainable development of communities through appropriate land use practices on lands that are marginally suitable for agriculture." The Namibia component, known as the Living in a Finite Environment (LIFE) Project Paper Supplement (690-0251.73) was authorized September 3, 1992 as a five-year US\$ 10.5 million amendment (number 3), to the SARP Regional NRM Project. As part of the PP Supplement Amendment, a total of US \$ 4,500,000 will be authorized for the LIFE project, along with incorporating design changes emerging from a mid-term assessment and an extended PACD in line with SARP's PACD of August 18, 1999.

The Ministry of Environment and Tourism (MET) is responsible for interpreting the Government of Namibia's (GRN) national environmental policy and providing policy guidance for the LIFE Project. Project activities are implemented for the most part by Namibian NGOs and World Wildlife Fund (WWF) under a Cooperative Agreement (CA) with USAID/Namibia. The Project was initially designed to be implemented by two entities. WWF was selected as the PVO to implement the major part of the LIFE Project under an US\$ 8.027 million CA; the Zoological Society of San Diego (ZSSD) was awarded a \$1.5 million grant to conduct research in wildlife in cooperation with the Etosha Ecological Institute (EEI). ZSSD abruptly and unilaterally ended the grant on June 22, 1993 after eight months of implementation. It was decided that \$800,000 of the remainder of the ZSSD grant would go to the subgrants line item under the CA for on-the-ground activities, reflected in the new budget for the amended project.

### Status of 1992 IEE and Follow-up

The issue of the IEE and environmental review requirements was raised during the Mid-Term Assessment process. It became apparent during the external assessment process that LIFE Project Activities to date had not undergone environmental reviews. The Phase II report of the external assessment recommended that USAID environmental requirements be met and that WWF and MET familiarize themselves with USAID environmental requirements. To this end, WWF has initiated contracting an individual to carry out environmental reviews within the next 4 months. In the future, environmental review will become part of the sub-grantees' (NGOs and CBOs) responsibility and funding will be included to carry it out. Requirements of the review process are detailed in this amended IEE in Section 4. Handling of previously funded subgrants for which environmental reviews were not previously undertaken is also noted in Section 4.

Because the specific subgrant activities already initiated and now envisioned differ from those analyzed in the 1992 IEE and in light of Africa Bureau Experience with environmental reviews of sub-grants to NGOs and CBOs, the 1992 IEE is amended in its entirety and is replaced with this Amended IEE.

### 1.2 Revised Project Description

The Project Paper Supplement is being amended based on the recommendations of the Mid-Term Assessment. The original CBNRM focus of the project is not being altered and the project still fits squarely within the Regional NRMP objectives. The rationale for refining the Goal and Purpose was to focus the project to ensure that benefits to its customers could be obtained during the LOP and to confirm that all partners agreed to the changes from the original Project Paper.

Old LIFE Goal	New LIFE Goal
Enhance capabilities to meet the basic human needs through sustainable management of natural resources.	Improved quality of life for rural Namibians through sustainable natural resource management.

At the Purpose level, the three original purposes were deemed to be unfocused and not at the Purpose level but at the Output level. Therefore, one new Project Purpose was selected as noted in the table below:

Old LIFE Purpose(s)	New LIFE Purpose
<ol style="list-style-type: none"> <li>1. Increase social and economic well-being in poor rural communities and/or in buffer zones to protected areas, through community-based natural resource management.</li> <li>2. Improve community-based groups capabilities to manage natural resources in a sustainable fashion, through strengthening local, regional and national institutions which provide services to communities.</li> <li>3. Develop strategies and methodologies for community management of natural resources.</li> </ol>	Communities derive increased benefits in an equitable manner by gaining control over and sustainably managing natural resources in target areas.

In addition, the following changes which reflect the Assessment Recommendations, were also made:

1. Sharpening target areas for selecting communities that meet the criteria for successful CBNRM programs;
2. Strengthening and expanding support to NGOs/CBOs through TA and subgrants;
3. Working more closely with community members and assist community leaders in setting up and maintaining close communication with their constituents;
4. Expanding the training component to train Directorate of Resource Management staff, NGOs and CBOs in CBNRM benefits and opportunities;
5. Supporting community based tourism through the community-initiated NGO, Namibia Community Based Tourism Association (NACOBTA);
6. Building on the conservancy policy;
7. Encouraging CBNRM activities that provide economic benefits to the community through TA and subgrants;
8. Continuing to support current NGOs/CBOs and expanding support to specialized NGOs; and
9. Improving communication coordination at all levels, especially interministerial and at the field level.

Under this Project Paper Supplement Amendment, the entire LIFE Project is being implemented through a CA between USAID and World Wildlife Fund (WWF). In turn, WWF has organized a team composed of World Learning, Inc. (WLI), Rössing Foundation (RF), and Management Systems International (MSI) to facilitate implementation of the LIFE project.

Since its inception the LIFE Project has operated under a condition precedent (CP) that prohibits funding of activities in support of income retention from consumptive use of wildlife in communal areas (e.g., trophy hunting)

101

until such income retention by communal residents is lawful. A comprehensive CBNRM policy that supports income retention and communal area conservancies was passed in March 1995 by the GRN Cabinet, after lengthy inter-ministerial consultations. A central component of this policy is the legal devolution of authority over wildlife and other natural resources to "conservancies" with defined boundaries and membership in communal lands, giving these proprietorial natural resource units the same rights and responsibilities as those held by the owners of private farms and ranches. The new Minister of Environment and Tourism has given top priority to introducing legislation to Parliament. Therefore, the CP will be met when the legislation passes. The last obligation of US\$ 2,968,000 was added in June 1995 with the provision that the legislation will need to be in effect prior to the disbursement of the funds. The PP Supplement Amendment will also carry that caveat for any new money.

### 1.3 Project Components and Activities

The LIFE Project consists of four inter-related components: (1) planning and support to community-based natural resource management activities; (2) applied research; (3) training; and (4) national/regional networking.

**Component One** emphasizes provision of support and assistance to NGOs/CBOs who are implementing specific community-based pilot activities in several target areas (West Caprivi, East Caprivi and Eastern Bushmanland as well as Uukwaluudhi) or alternatively to national organizations (including MET) who are directly or indirectly supportive of CBNRM activities. The LIFE Project emphasizes assistance to implementing NGOs/CBOs by: 1) strengthening of institutional capacities through subgrants, organizational assistance, and strategic planning; and 2) transferral of CBNRM skills through assisting with community organization and mobilization, guidance in the creation and development of a wide range of income-generating enterprises, and development of appropriate common-resource management systems. Activities to date are:

**CBNRM in West Caprivi including support of a community game guard/resource monitor system, development and training of a community management structure, promotion of natural resource enterprises and eventually formation of one or more conservancies;**

**Community-Based Conservation in East Caprivi, including support to a community game guard/resource monitor system, community management options for natural resources to be exploited through small enterprises and development of community management capacity with traditional authorities;**

**Monitoring and Managing the Natural Resource Base for East and West Caprivi, including aerial surveys and censusing, monitoring of the resource base, applied research on elephant movements and human/elephant conflicts, and training of selected MET Field Operations Staff;**

**Integrated Natural Resource Management Program with Nyae Nyae Farmers Cooperative, including institutional strengthening and support, administrative support and financial support of CBNRM field activities;**

**Institutional Support to the Social Science Division of the University of Namibia to undertake applied research;**

**Institutional Support to the MET, Directorate of Environmental Affairs to provide personnel and support to the unit;**

**Resource-Based Enterprise Unit in East and West Caprivi to establish an enterprise unit to support organization of local communities around resource-related enterprises, specifically support to resource monitors and eco-tourism development;**

**Institutional Support to Caprivi Arts and Cultural Association;**

**Institutional Support to Namibia Nature Foundation.**

Subgrants to communities, CBOs and NGOs working in the target areas, are a priority for the proposed 1999 extension. Support of national NGOs that provide specific services for furthering CBNRM activities in the target areas will receive greater attention. Additional funds in the subgrant line item would permit completion of sustainable project activities within the LIFE Project target areas, the establishment and maintenance of approximately four conservancies and the modification of policy and legislation based on lessons learned from CBNRM models in the target areas.

In general, the wildlife populations in LIFE Target areas are well below habitat carrying capacities. These low wildlife densities impact directly on the viability of a number of potential enterprises (i.e., safari hunting operations, game capture and sale, game cropping, traditional hunting, and tourism opportunities) to the extent that some of these enterprises are not currently financially or biologically viable. Interventions to assist in building up and maintaining wildlife populations at optimum levels will correspondingly increase the financial viability of the above-mentioned enterprises.

The LIFE Project seeks to develop the wildlife and other natural resource bases to their potential through a number of activities, including: enhancement of the effectiveness of participating organizations and bodies (i.e., MET, NGOs, CBOs, and local communities) in developing joint resource management and monitoring strategies; increased involvement of community members in managing and monitoring their resources through such programs as the Community Game Guards and Natural Resource Monitors; provision of technical knowledge and skills, which better allow CBOs to work in partnership with the MET in management of their natural resources; and development of physical interventions (i.e., boreholes, fences, distribution of salt, etc.), which allows expansion of current wildlife populations to appropriate, but little-used habitats, or reduces human/animal conflicts.

The LIFE Project also seeks to enhance community skills in participatory and technical natural resource management and assist in the establishment of economic enterprises related to natural resources. Assistance to the creation and operation of natural resource enterprises is provided through advisory services, subgrant funding for start-up and running of activities, and business management training.

**Component Two** involves the undertaking of applied research or studies in a number of supportive disciplines to facilitate a better understanding of total CBNRM dynamics in target areas. Key issues include: social factors related to CBNRM activities; identification of enterprise market opportunities and constraints; baseline inventories and monitoring of biological resources (wildlife, veld resources, etc.); identification of key constraints to expansion of critical, high-value wildlife species; natural resource economics in support of policy developments; and others as identified. The findings and results of applied research activities are fed directly into the planning of field implementation activities. Activities being undertaken include: baseline socio-ecological surveys; social mapping of community households; wildlife inventories; applied research of high-value wildlife species or constraints associated with management of their habitat; veld food and product surveys and inventories; wildlife and people interactions and conflicts; market surveys to determine the characteristics, extent, trends, and elasticities in demand for natural resource products; economic assessment of complementary and competitive natural resource uses; and other activities as identified.

**Component Three** entails training for a wide range of MET/NGO/CBO staff. The recent passage of the Namibia Policy on Wildlife Management, Utilization and Tourism in Communal Areas paves the way for the granting of use rights and direct return of benefits to communities and, thereby, further reinforces the pressing need for training of MET/NGO/CBO staff and representatives. Training will be accomplished through a number of approaches, including: on-the-job transfer of skills; the organization and implementation of custom-tailored workshops to meet the specific needs of select target audiences; and participation in appropriate workshops or training courses which are organized by third parties in Namibia or elsewhere in the region and continent. Some of the additional funds under the PP Supplement would be allocated to the training line item that was not implemented. The LIFE Project could support CBNRM-related training through technical assistance and training of new staff before the MET's Human Resource Development Unit is developed and becomes fully functional. This training would support the development of curriculum for in-service courses and for short- and long-term training scholarships for key

personnel within the MET. These training activities would provided needed support to the MET to support their affirmative action plan and the training of historically disadvantaged Namibians to move into the ranks of management.

**Component Four. National/Regional Networking,** will promote regional exchange visits of joint implementation teams (MET, NGO, and CBO representatives) between similar projects in Namibia or the region, direct community-to-community exchange visitations, and exchanges of technical skills between regional implementation counterparts. LIFE Project participants will contribute to and learn from regional NRMP workshops which are organized along key thematic issues. Senior Project representatives will assist with coordination and planning of regional NRMP activities through participation in the semi-annual Project Coordination Committee (PCC) Meetings.

### **Geographic Target Areas**

During the initial design phase, the LIFE Project was slated to work at a national scale. However, during the 1992 SARP review, it was determined that the Project would have greater impact if it focused its efforts on a limited number of Target Areas. The three Target Areas were chosen and then revisited during the 1995 Mid-Term Assessment. The LIFE Project now considers the three Target Areas as West Caprivi, East Caprivi and Eastern Bushmanland (or Eastern Tsumkwe District). Besides these specific target areas, a small site north of the Etosha Pan in Omusati, called Uukwaluudhi, was also assigned as a Target.

During the assessment process, criteria were delineated to determine if interventions are appropriate for a particular community within the target area. These criteria are as follows:

- 1) Homogeneity of the population,
- 2) Number of potential beneficiaries,
- 3) Number of institutions ready for CBNRM,
- 4) Viability of the wildlife resource base,
- 5) Time frame for the establishment of conservancies,
- 6) Livestock competing with wildlife,
- 7) Tourism potential, and
- 8) **Income-generating potential from natural resources.**

These criteria served as a guide to narrow the number of communities in which the LIFE Project works. This amended PP thus refers to eight (8) specific target communities within the Target Areas: two communities in West Caprivi, four communities in East Caprivi, one in Eastern Bushmanland and Uukwaluudhi. This situation may change as communities define themselves and move forward in pursuit of conservancies. The Mid-Term Assessment also recommended that 4-6 interventions per year would permit the LIFE Project the flexibility to respond to needs of communities outside the Target Areas. Several communities, especially in the Kunene Region, are in the process of establishing conservancies and may request specific Technical Assistance.

#### **1.4 Role of the LIFE Steering Committee**

All project activities are coordinated and monitored by the LIFE Steering Committee (SC), composed of representatives from MET, USAID, WWF, Integrated Rural Development and Nature Conservation (IRDNC), the Social Science Division (SSD) at the University of Namibia and individuals who represent the disciplines of legal policies and tourism. The Chair of the SC is the MET/DEA. Although the SC operates on consensus, USAID and the MET regulations require that USAID and MET retain final rights of approval on all project activities and expenditures to ensure conformity with their respective and applicable policies, regulations and statutes. Among other duties, the SC reviews and approves subgrant applications in accordance with criteria and priorities established by the SC, reviews the external final evaluation and implements actions to correct problems identified if appropriate; monitors impact of government policies and legislation concerning community resource utilization in the target area and make appropriate recommendations; and develops a plan during the life of the project for Namibian NGOs in

conjunction with the MET, to maintain key functions on a sustainable basis at the conclusion of the project.

## 2.0 COUNTRY AND ENVIRONMENTAL INFORMATION (BASELINE INFORMATION)

### 2.1 Overview of the Namibian Environmental and Natural Resource Setting

Although the Government of the Republic of Namibia (GRN) has made significant strides toward achieving its national development objectives since independence on March 21, 1990, the country continues to face markedly inequitable socio-economic conditions. The wealthiest 5 percent of the population control 71 percent of the Gross Domestic Product (GDP), while over half (55 percent) of the population, most of whom are rural, control only 3 percent of the GDP. Nearly half of Namibia's population lives in poverty and most of these people have limited access to social services.

Namibia is one of the least densely populated countries in the world. Its land area is some 824,000 square kms; Namibia's population is about 1.6 million (1995 estimate), resulting in a population density of about 1.9 people per square km. Population pressure on land, however, is an issue, because of the marginal characteristics of much of the land.

An arid country with a hyperarid zone along the Namibian coast, only 8% of the land receives more than 500mm of rainfall per year, the minimum considered necessary for dryland farming. Bearing in mind that only 3% of Namibia's land surface area is sub-humid (above 600mm average annual rainfall) and 33% is semi-arid (400 to 600mm of rainfall), the remainder is unsuitable for cultivation of crops without supportive irrigation. Consequently, the Namibian population may already be approaching the long-term carrying capacity of its water and soil. Water is a major limiting factor in the Namibian environment and the demand of an increased population in relation to the ability to supply sufficient water poses a major constraint to future development. As the driest country of Africa south of the Sahara, its aridity is coupled with relatively low primary and secondary production potentials.

A majority of Namibia's disadvantaged population lives on the marginal lands in the north of the country, with almost 50% of the nation's population in "communal areas," the former homelands under past colonial and apartheid policies. The natural resource base in this part of the country has low agricultural production capacity and offers only subsistence existence for most of the inhabitants. As a result of increasing population pressure, degradation of the resource base is occurring. Loss of vegetative cover from overgrazing, accompanying water and wind erosion, loss of soil productivity, deforestation, diminished wildlife resources and bush encroachment are all symptomatic of a worsening situation. Without effective strategies to ameliorate these conditions, these northern populations have few alternatives for an improved quality of life and are ultimately at risk of degrading their resource base further and suffering food shortages that could rival experiences elsewhere in the Sahel and Horn of Africa.

As pointed out in Namibia's *Green Plan*, even if land reform were to take place over the near term and commercial farming units were to be allocated to groups of small farmers, "land degradation would be likely to follow, unless strict pasture and herd management techniques were observed and enforced." There is an immediate need for increased knowledge among disadvantaged rural populations of the natural resource and environmental principles and practices that would allow for the sustainable management of the resource base and the Namibian environment. Economic opportunities in other modern sectors of the economy have been limited, with unemployment estimated at 30 percent.

Namibia has three natural vegetation biomes: the desert (16% of the land area), the savannas (64%) and the dry woodlands (20%). There are no perennial rivers within the interior of Namibia. Namibia supports a wealth of wildlife. About 13% of the country is set aside as National Parks, two of which are amongst the largest in Africa. In addition, wildlife forms an important part of the economy in commercial farming areas and, as such, wildlife is generally well-managed. In the communal areas where mainly subsistence farming is practiced, wildlife presently

belongs to the State. It is important that local communities obtain custodianship of natural resources in these areas so that they can benefit from them, thereby creating incentives for wise management.

Namibia offers a unique tourist experience with its vast unpopulated desert landscape, mountains, coastline, indigenous flora and fauna, parks and wildlife, sites of historic and archaeological and ethnographic interest. As one of the nation's fastest growing industries, tourism offers considerable prospect for generating both local benefits and income. It is one sector of the economy whose potential remains largely untapped. While already third behind diamonds and fisheries as a source of foreign exchange (and ahead of all animal product exports), the growth rate of 9% remains behind the worldwide average of 10.9%.

## **2.2 Environmental and Natural Resources Policies and Institutions**

Namibia's first *National Development Plan # 1* (NDP1) argues that environmental constraints need to be taken into account at all levels. It also stresses that shifting the pattern of development onto a more sustainable path is the major challenge during the coming five years. Such a shift requires substantial changes in both policy and practice. This is especially important in the communal areas of the country, where the majority of the population resides. Tourism is viewed as a major growth industry within the next five years and joint ventures with private entrepreneurs and communal residents are seen as a viable option for rural areas. Implementation of Namibia's NDP1 is aimed both at promoting growth in the economy and making major inroads in eradicating societal inequalities.

The objectives of the environment sector of NDP1 are first, to promote sustainable development within all sectors and across all regions to ensure that present and future generations of Namibians gain optimal benefit from the equitable and sustainable utilization of Namibia's renewable resources, and second, to protect biotic diversity and maintain ecological life-support systems. As NDP1 notes, additional objectives include promoting the training of Namibians and institutional strengthening in the field of environmental management and integrating planning and management of land and other natural resources.

The Ministry of Wildlife, Conservation, and Tourism, now the Ministry of Environment and Tourism (MET), was created at Independence from what was the Directorate of Nature Conservation and Recreational Resorts. The Directorate of Environmental Affairs (DEA) was formed in 1993.

Article 95 of the Namibian Constitution states: "The State shall actively promote and maintain the welfare of the people by adopting, inter alia, policies aimed at the following: (i) maintenance of ecosystems, essential ecological processes and biological diversity of Namibia and utilization of living natural resources on a sustainable basis for the benefit of all Namibians, both present and future." Thus, the Constitution effectively commits MET and Namibia in general to the principle of sustainable resource utilization. MET has taken this charge seriously since Independence, drawing up Namibia's *Green Plan*, coming up with a new mission statement, establishing the Directorate of Environmental Affairs (DEA) carrying out socio-ecological surveys, and drafting new policies on natural resources.

The LIFE Project is fully consistent with the MET's Policy on Wildlife Management, Utilization, and Tourism in Communal Areas, which was approved by the Cabinet of Namibia in March, 1995 (Decision no. 8th/16.03.95/005). A key feature of the MET's CBNRM policy is extending rights over natural resources to communal areas. As is noted in the MET policy document (p. 11), the Ministry believes the application of the "conservancy" concept is the most appropriate way to address key resource management and development issues. In communal areas, a conservancy consists of a group of people who have pooled their resources for the purpose of conserving and utilizing wildlife in its broadest sense (taken here to include mammals, birds, fish, vertebrates, invertebrates, wetlands, natural vegetation, habitats, and other lifeforms). Conservancies must be constituted legally, have clearly defined physical boundaries acceptable to neighboring communities, and have a council which consists of elected or appointed representatives of the community.

According to MET's CBNRM policy, the members of each conservancy will have the right to utilize resources within its boundaries for the benefit of the community. They will also have the right to enter into business arrangements with private companies or individuals and to control and derive benefits from tourism and other resource use activities. The conservancy council will be responsible for the management of income and expenditures. At the regional level, wildlife management committees will be established, with members being appointed by the various conservancy councils, MET and Ministry of Agriculture, Water, and Rural Development (MAWRD) representatives, and representatives of agencies working with the conservancies. These committees will oversee quota setting, ensure the activities of the conservancies are consistent with regional and national resource policies, and provide technical assistance and advice. Ultimately, the conservancy system is a partnership venture between the MET and rural people on communal land in Namibia.

Namibia's Environmental Assessment (EA) Policy was initiated shortly after independence on the basis of the Constitution and the *Green Plan*. The *Green Plan* sets out issues to be addressed in order to achieve environmental protection and sustainable development and urged for the establishment of an EA policy. Cabinet approval of the EA policy occurred in August 1994. The policy, to be implemented for a trial period of one year, includes provisions for an Environmental Commissioner and a cross-sectoral Environmental Board. The policy calls for Environmental Assessments to be prepared for projects and stresses the need for the assessment of programs and policies as well. Policies, programs and projects requiring an EA (Namibia's Environmental Assessment Policy, Appendix B, January 1995) include commercial tourism and recreation facilities and any government policy, program or project on the use of natural resources. It is anticipated that EA legislation in draft will be refined at a workshop in late 1995.

### **3.0 EVALUATION OF PROJECT/PROGRAM ISSUES WITH RESPECT TO ENVIRONMENTAL IMPACT POTENTIAL**

**Component One, community-based natural resource management activities**, could entail a variety of activities within the geographic target areas of LIFE or with national organizations supportive of CBNRM activities. The environmental consequences of such activities can be grouped as follows.

a) **On-the-ground activities could include tourism facilities, boreholes, fences, distribution of salt, development of land use strategies, enterprises related to safari hunting, game capture, or game cropping, or other activities that physically or biologically affect the environment.** Because these activities are not yet defined in a specific manner, the potential for adverse environmental impacts cannot be excluded until additional information about project design and location becomes available.

b) **Strengthening of institutional capacity and transfer of CBNRM technical skills are not anticipated to have negative environmental effects.**

c) **Subgrant funding for creation and development of income-generating enterprises and development of common-resource management systems or other activities regarding natural resource management, while not anticipated to have negative environmental effects, are not yet defined in a specific manner; the potential for adverse environmental impacts cannot be excluded until additional information about project design and location becomes available.**

**Component Two, applied research or studies**, can entail both studies and research that have physical interventions and those that do not. The environmental consequences of these are grouped as follows.

a) **Baseline natural resources inventories, censusing, surveys, aerial surveys, applied research on wildlife and their movements are not anticipated to have negative environmental impacts, but such research could involve endangered species or their habitat.** Care in the design and implementation of the research would need to be exercised so that the research did not unintentionally result in negative effects on endangered species or their habitat

( 22 CFR 216.5); and

b) Social science research, economic assessments and market surveys or other research that does not involve physical interventions would have no negative environmental impacts.

**Component Three, training,** will have no negative environmental impacts.

**Component Four, national/regional networking,** will have no negative environmental impacts.

#### **4.0 ENVIRONMENTAL DETERMINATIONS, REVIEW PROCEDURES & RESPONSIBILITIES**

Categorical Exclusions are recommended for LIFE Components Three and Four, based on exclusions provided in 22 CFR 216.2(c)(1)(i) and 216.2(2)(i), (iii) and (v). Categorical Exclusions are also recommended for all social science, economic or other research and studies with no physical interventions (Component Two, Part b), based on 22 CFR 216.2(c)(1)(i) and 216.2(c)(2)(iii) and for institutional strengthening activities (Component One, Part b), based on 22 CFR 216.2(c)(1)(i) and 216.2(c)(2)(i).

A **Negative Determination with Conditions** is recommended for all other LIFE activities and subgrants, i.e., Component One (Parts a and c as categorized in Section 3 and Component Two (Part a). All these activities will be subject to an environmental screening and review process, described in detail below. It should be noted that wildlife or other ecological research referred to under Part a of Component 2 was not recommended for a categorical exclusion, per 22 CFR 216.2(c)(2)(ii), as the research cannot at this point be determined to be "confined to small areas and carefully monitored," a determination to be made in the screening and review process.

The Conditions relate to how subgrant activities and associated mitigation and monitoring requirements will be identified and reviewed on an individual basis in accordance with 22 CFR 216.3(a)(2) and (7). It is not expected that procurement, use, transport, storage, disposal or anything involving pesticides or other toxics will be funded or will be an element in any of the subgrants under LIFE. This IEE does not cover pesticides and would need to be amended, should that situation arise, to develop procedures in accordance with 22 CFR 216.3(b).

**The screening and review procedures described below will also apply retroactively to subgrants already funded by LIFE. The environmental review report will, in these cases, focus on how to mitigate any negative environmental effects that might have occurred, changes in design if possible to make activities environmentally sound and monitoring.**

#### **4.1 Screening and Environmental Review Procedures**

To ensure that individual interventions are designed in an environmentally sustainable manner, the Mission Environmental Officer (MEO) and/or USAID LIFE Project Officer or Project Manager will provide WWF and, as appropriate NGOs and CBOs, with a copy of the Africa Bureau Environmental Guidelines for NGO/PVO Field Use and the Screening Form (Attachment 1), which is presented in draft form for illustrative purposes. The Mission will facilitate the refinement of this form by WWF with the REDSO REO or REA in order to tailor it to LIFE's purposes and to incorporate, as appropriate, information that will serve to identify any need for environmental assessment in accordance with Namibia's environmental assessment policy and proposed legislation. Adherence to the procedures in this IEE, it must be emphasized, cannot be considered in lieu of Namibian requirements or vice versa. The proposals for subgrants will also spell out how potential negative impacts will be mitigated prior to activity implementation and during implementation, if they are detected during monitoring and evaluation.

All activities and subgrants not recommended above for a categorical exclusion, i.e. Component 1 (Parts a and c) and Component 2 (Part a) will be individually reviewed according to the Screening Form, which utilizes a three-tier categorization process consistent with Africa Bureau NGO/PVO Environmental Guidelines, as defined below.

Category 1: Subgrants that would normally qualify for a categorical exclusion under Reg. 16 (e.g., community awareness initiatives, training at any level, provision of technical assistance, controlled experimentation exclusively for the purpose of research and field evaluation which are confined to small areas and carefully monitored, etc.). The rehabilitation of water points for domestic household use, shallow, hand-dug wells and small water storage devices and construction or repair of facilities under 10,000 square feet (approximately 1,000 square meters) can be placed in this category.

Category 2: Subgrants that would normally qualify for a negative determination under Reg. 16, based on the fact that the grantee used an environmentally-sound approach to the activity design and incorporated appropriate mitigation and monitoring procedures. For example, the design followed, and the manager has access to and will follow, a series of guidelines for the design of small-scale environmentally-sound activities in forestry, water supply and sanitation, rural roads, etc.). Rehabilitation or construction of facilities or structures exceeding 10,000 square feet would normally fall under Category 2. Funding levels would also normally not be in excess of \$200,000 per discrete activity. In any case, an Environmental Review Report will be prepared for all the Category 2 projects.

Category 3: Subgrants that have a clear potential for undesirable environmental impacts, such as those involving land development, forest harvesting, planned resettlement, penetration road building, substantial piped water supply and sewage construction, and projects involving the procurement and/or use of pesticides, or of large-scale or area-wide application of pesticides. Also, some light industrial plant production or processing (sawmill operation, agro-industrial processing of forestry products) could qualify. Finally, interventions operating in a critical habitat for threatened or endangered species, or other similar activity where a possibility exists for significant negative environmental impact, must be placed in this category. In addition, any subgrants or activities that 1) involve the procurement or use of logging equipment, 2) have the potential to significantly degrade national parks or similar protected areas or introduce exotic plants or animals into such areas, 3) result in the conversion of forest lands to the rearing of livestock, 4) entail construction, upgrading or maintenance of roads which pass through relatively undegraded forest lands, 5) result in colonization of forest lands, or 5) entail construction of dams or other water control structures which flood relatively undegraded forest lands must be placed in this category, based on provisions of FAA Sections 118 and 119. **[In accordance with these FAA provisions, assistance must either be denied or an Environmental Assessment pursuant to Regulation 16 must be carried out.] All items listed in Regulation 16 (Sect. 216.2(d)(1)) are automatically included, unless such items qualify for a negative determination in accordance with the criteria listed under Category 2. All Category 3 activities under consideration must be passed to the REO and BEO and to the Regional and Bureau Legal Officers.**

WWF will use the Screening Form (Attachment 1), as refined in consultation with the REDSO REO or REA, to review subgrant proposals to determine in which Category the activity falls. The MEO will then review and clear the draft category determination and any environmental review reports prepared as a result of the categorization. It is assumed that the majority of subgrants will fall within Categories 1 and 2, and will, therefore, be approvable locally by the USAID Representative without further external review, given that appropriate sound implementation and environmental monitoring and mitigation procedures will be in place (see Section 5.0). The MEO and/or LIFE Project Officer or Manager shall on a routine basis, which could be tied to the cycle of the Steering Committee Meetings, pass to the REO and BEO an updated list of grants, with a summary of activities and the disposition of the environmental categorization and review process in order to keep them apprised of the sector and scope of activities involved.

All Category 3 subgrants (if there are any) and possibly some Category 2 subgrants, if the MEO has questions, will be subjected to additional environmental assessment, as deemed appropriate in consultation with the BEO and REO, and passed on to the Regional and Bureau Environmental and Legal Officers for further review and clearance.

Prior to the approval of any subgrant by the Steering Committee, results of the environmental categorization must be available and considered. For Category 2 projects, environmental review reports, including MEO review and,

if needed REO or BEO review, must be performed prior to funding by the LIFE Project. For any Category 3 projects, approval cannot be considered until environmental documentation as determined by the BEO has been prepared.

#### **4.2 Promotion of Environmental Review and Capacity Building Procedures**

The environmental review procedures specify how the subgrants covered by these procedures and associated mitigation actions, will be identified and reviewed on an individual basis after project authorization in accordance with Regulation 16, Section 216.3(a)(2). Specifically, these procedures are intended to ensure environmental accountability and soundness, on the assumption that the Mission will have the following elements in effect to promote environmental review and capacity building within WWF, NGOs and CBOs:

- a. **Subgrants will be individually reviewed and screened according to a Screening Form (Attachment 1), which will categorize each subgrant or subactivity. The 3-tier categorization process is according to the AFR *Environmental Guidelines for NGO and PVO Field Use in Africa*, and as further defined in this IEE;**
- b. **WWF, NGOs and CBOs will help design and conduct, participate in, and apply, appropriate environmental assessment and management training, in conjunction with USAID and Namibian resource organizations and authorities;**
- c. **WWF, and as appropriate, the indigenous NGOs and CBOs, will be encouraged to develop and apply Namibian environmental policies;**
- d. **A monitoring and evaluation process will be put in place and used by WWF, NGOs and CBOs, in collaboration with GRN authorities and USAID project management; and**
- f. **The Mission will keep the BEO and REO apprised of subgrants provided, including the type/nature, scale, funding levels and status of the individual subgrants approved under the process described in this IEE.**

#### **4.3 Environmental Responsibilities**

**USAID/Namibia assumes responsibility for environmental review and decision-making for all sub-grants as outlined below:**

- **WWF and NGOs or CBOs, as appropriate, will submit proposals that take into consideration potential environmental impacts and their mitigation, including avoidance, and will design the activities with an environmental monitoring system in place.**
- **WWF will use the Screening Form to categorize proposals and the MEO will review and pass on to REO and BEO any Category 3 and , as he/she determines, some Category 2 activities.**
- **WWF, NGOs and CBOs, as appropriate, will ensure implementation of mitigating measures and long-term environmental impact monitoring.**
- **USAID MEO and the LIFE Project Officer and/or Project Manager will be ultimately responsible for monitoring environmental impacts of the grants.**
- **Periodic visits of the REO or REA will also be requested for advice and validation of the process in place.**
- **All parties will utilize the Screening Form, prepared for each proposal and/or grant. The form is formatted as a checklist and will serve as a tool to summarize on a routine basis the area and scope of activities of**

each subgrant and the project overall.

## 5.0 RECOMMENDED MITIGATION ACTIONS (INCLUDING MONITORING AND EVALUATION)

LIFE subgrants shall incorporate mitigation and monitoring procedures as listed below.

- The *Environmental Guidelines for PVO/NGO Field Use* prepared by USAID/Africa Bureau (September 1995) indicate which of the potential impacts should be of most concern for different type of development activities in various settings. Using the information from this and other documents cited therein (advice should be solicited from the REO or REA), project staff will determine which impacts to mitigate and monitor for the particular development activity.
- WWF and/or NGOs and CBOs, as appropriate, must identify in each subgrant proposal and in the environmental review reports prepared all proposed environmental mitigation and monitoring.
- Once the environmental review reports are approved, the mitigative measures and monitoring procedures stated in the environmental review report shall be considered a requirement.
- WWF and the subgrantee are responsible for implementation of mitigation and monitoring measures.
- All subgrantee periodic reports to USAID/Namibia shall contain a section on environmental impacts, success or failure of mitigative measures being implemented, and results of environmental monitoring.

USAID/Namibia is ultimately responsible for assuring conformity with the procedures spelled out in Section 4, where environmental categorization and review procedures for the subgrant proposals are specified. The Mission is responsible for:

- Monitoring of projects after implementation with respect to environmental effects that may need to be mitigated, a process which should be integrated into the overall LIFE Monitoring and Evaluation Plan;
- Review of subgrantees' reports with respect to results of environmental mitigation and monitoring procedures;
- Incorporation into field visits and consultations with subgrantee officials and staff of specific field examination and questions pertinent to environmental impacts, mitigation and monitoring (assistance of the REO or REA in preparing guidelines or assisting with the monitoring and evaluation is advised).

## 6.0 SUMMARY OF FINDINGS

Based on the environmental review procedures, to which the Mission commits itself, as presented in this IEE, the following determinations are recommended.

1. A **Categorical Exclusion** is justified for LIFE Components Three (training) and Four (national/regional networking), the portion of Component 2 (applied research or studies) that deals exclusively with social science research, economic assessments or market surveys or other that has no physical intervention, and the portion of Component One (community-based natural resource management activities) that exclusively involves strengthening of institutional capacity and technical assistance per 22 CFR 216.2(c)(1)(i) and 216.2(c)(2)(i), (iii) and (v).
2. A **Negative Determination with Conditions** is justified for Component One (community based natural resource management activities) for subgrants involving on-the-ground activities and creation and development of income-

generating enterprises and resource management systems, pursuant to Section 216.3(a)(1) and (2) of the Agency's Environmental Procedures, 22 CFR 216. The Conditions relate to how the subgrants and associated mitigation actions will be identified and reviewed on an individual basis after project authorization in accordance with Regulation 16, Section 216.3(a)(2). A specific set of steps is outlined to ensure adequate review, including capacity building elements.

3. This IEE does not cover pesticides or other activities involving procurement, use, transport, storage or disposal of toxic materials and any situation dealing with such will require an amended IEE.

The LIFE Project will incorporate a formalized environmental review process. A key component of this review process is the use of a Screening Form (Attachment 1) to categorize subgrants and individually review and screen them for potential environmental impacts. This three-tier categorization process is according to the *AFR Environmental Guidelines for NGO and PVO Field Use in Africa*.

USAID/Namibia assumes responsibility for field-level environmental review, with clearance of all LIFE subgrants by the LIFE Project Officer or Manager, Mission Environmental Officer, and approval by the USAID Representative in adherence to the environmental review procedures outlined herein.

All subgrants categorized as Category 3 subgrants, based on the procedures for categorization and review (in the unlikely event there are any) and possibly some Category 2 subgrants, at the discretion of the MEO, will be subjected to additional environmental assessment as deemed appropriate in consultation with the BEO and REO and will be passed to the Regional and Bureau Environmental Officers for further review and clearance.

World Wildlife Fund (WWF) will categorize subgrants prior to LIFE Steering Committee approval. This approval will allow funding to the subgrantee to carry out environmental review. No activities classified in Category 2 or 3 will be funded until the environmental review required by this IEE has been prepared and reviewed, as appropriate. Hence, subgrants awarded will contain clauses stating that funding of such activities is contingent upon findings and recommendations of the environmental review.

LIFE collaborators, specifically WWF and NGO and/or CBO collaborators, will help design, conduct, participate in and apply appropriate environmental assessment management and training in conjunction with USAID and Namibian resource organizations and authorities.

A monitoring and evaluation process will be put in place and used by WWF and the NGOs and CBOs in collaboration with USAID.

Up-dated lists of grants, with a summary of activities and status, based on the procedures described in this IEE will be submitted to the REO and BEO, to keep them apprised of the sector and scope of activities involved.

Adherence to procedures in this IEE are not in lieu of environmental assessment procedures in accordance with Namibia's environmental assessment policy nor can adherence to Namibia's procedures be substituted for the procedures in this IEE. Efforts will be made, however, in the development of the Screening Form to dovetail information requirements.

ATTACHMENT I  
ENVIRONMENTAL SCREENING FORM

Note: This screening form is a preliminary draft for illustrative purposes. Final contents are to be refined by WWF, USAID/Namibia and REDSO REO or REA. To the extent feasible the form will incorporate any information requirements of the Namibian environmental policy.

**Subgrant to :**

**Subgrant Activity Name:**

**Category of Subgrant (as determined below):** Category: \_\_\_\_\_

**Total USAID Funding Requested:**

**Duration of Subgrant (proposed start and completion dates):**

**Geographic Location:**

**Activity Description (paragraph(s) describing purpose/outputs and potential environmental impacts):**

**Step 1. Determine Type of Grant:**

- Does the subgrant include any on-the ground natural resource management activities, guidance in creation and development of income-generating enterprises or resource management systems, or any studies, research, surveys, censusing or other applied natural resource, wildlife or other ecological research? Proceed to the next step to determine which Category the subgrant falls under.
  
- Is the subgrant exclusively to provide capacity building, training or national/regional networking with no foreseeable impact on the biophysical environment? This qualifies for a categorical exclusion. No further environmental review or action is necessary.

**Step 2. Determine Category of Subgrant:**

• **Category 1 - Categorical Exclusion:**

Does the subgrant involve (yes, no, N/A):

- community awareness initiatives
- nutrition, health care or family planning
- training at any level including agricultural promotion
- provision of technical assistance
- rehabilitation of water points for domestic household use, shallow, hand-dug wells or small water storage devices
- construction or repair of facilities under 10,000 sq.ft. (approx. 1,000 sq.m.)
- controlled experimentation exclusively for the purpose of research and field evaluation which are confined to small areas and carefully monitored

• **Category 2 - Negative Determination:**

Does the subgrant involve:

- small-scale activities in: (list to be defined in consultation with WWF, USAID/Namibia and REDSO REO or REA)
- small-scale rehabilitation construction of facilities structures exceeding 10,000 sq. ft and funding level not in excess of \$200,000

Were the following used in designing the above activities (yes, no, N.A)?

\_\_\_\_\_ *USAID/AFR's Environmental Guidelines for NGO and PVO Use in Africa*  
 \_\_\_\_\_ Other

• **Category 3 - Positive Determination:**

Does the subgrant activity involve:

- river basin development
- irrigation or water management such as dams and impoundments, including construction of dams or other water control structures which flood relatively undegraded forest lands
- agricultural land leveling
- drainage
- large-scale agricultural mechanization
- new lands development
- resettlement
- penetration road building or road improvement or construction, upgrading or maintenance of roads which pass through relatively undegraded forest lands
- substantial piped water supply and sewerage construction
- procurement or use of pesticides
- light industrial plant production or processing (sawmill operation, agro-industrial processing of forestry products)
- conversion of forest lands to rearing of livestock
- colonization of forest lands
- procurement or use of logging equipment
- potential to significantly degraded national parks or similar protected areas or introduce exotic plants or animals into such areas
- potential to jeopardize an endangered or threatened species or adversely modify its habitat

**Step 3. For Category 2 and 3 proposals and subgrants, prepare an Environmental Review Report**

The report should be 2-5 pages long (more if required), and consist of the following sections (illustrative, only final format to be developed in collaboration with USAID/Namibia, WWF and REDSO REO or REA):

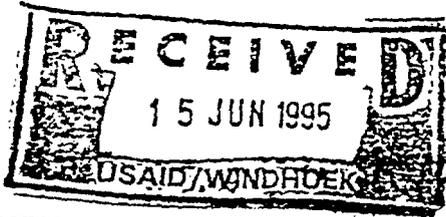
- Background and Activity Description
- Environmental Situation (including baseline information available)
- Evaluation of Activity Issues with Respect to Environmental Impact Potential
- Environmental Mitigation Actions (including monitoring and evaluation aspects)
- Summary

Drafted by: WWF \_\_\_\_\_ Date: \_\_\_\_\_  
 NGO/CBO \_\_\_\_\_ Date: \_\_\_\_\_

114

**ANNEX D**

**LETTERS FROM THE  
MINISTRY OF ENVIRONMENT AND TOURISM**



REPUBLIC OF NAMIBIA

Handwritten notes: "14-1/0015" and "entire doc"

MINISTRY OF ENVIRONMENT AND TOURISM

Tel: 231 848

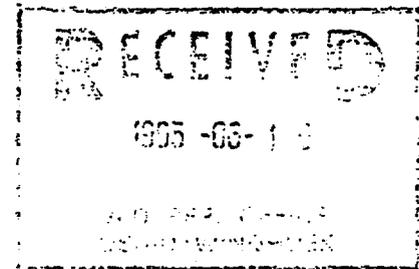
Private Bag 13346  
Windhoek

Ref: N24/5/1/6/3/1

14.06.95.

Mr Edward J Spriggs  
AID Representative  
USAID Namibia  
Private Bag 12028  
Windhoek

ACTION	
NO.:	LC 1138
OFF:	EJS
DUE:	5/22
TAKEN:	
DATE:	
INITIALS:	
COPIES	
CHRON:	<input checked="" type="checkbox"/>
READ:	<input checked="" type="checkbox"/>
INFO:	RLS, LL
FILE	
SUBJ:	
PRJ:	
EXO:	
CONT:	
LOG OUT:	YES/NO



Dear Mr Spriggs

CONSERVANCY ENABLING LEGISLATION AND EXTENSION OF THE LIVING IN A FINITE ENVIRONMENT (LIFE) PROGRAMME

Thank you for your recent visit and discussion on the MET's Community-based Natural Resource Management (CBNRM) Programme, and the support provided by USAID.

My Ministry considers CBNRM a priority area and with the support of Cabinet and its approval of our Policy on Wildlife Management, Utilisation and Tourism in Communal Areas, we are moving forward rapidly to address the issue of legislative change.

This will assist you in dealing with the issue of the Condition Precedent contained in the agreement between our two governments for the LIFE Programme.

Our Ministry recently held a meeting of senior personnel from all of our directorates to discuss the implications of implementing the policy. Considerable progress was made in identifying key issues and in defining areas of responsibility.

Two working groups were set up as a result of the meeting to finalise these issues. One of these working groups is specifically tasked with drafting an amendment to our Nature Conservation Ordinance which will make provision for the establishment of communal area conservancies.

We are aiming to submit a draft amendment for consideration by the Attorney-General's Office

Handwritten number: 116

by the end of July, 1995 We have already had contact with the AG's office on this issue and I will do everything I can to ensure that this matter has a speedy passage through the administrative process.

As you will be aware, the LIFE Programme has recently undergone an extensive evaluation process, which concluded that the project was on a sound footing. The evaluation also made a number of recommendations for ensuring the sustainability of project activities and for ensuring that the investment of funds by USAID and the investment of time, energy and hard work by the project implementors will eventually pay off.

The Ministry of Environment and Tourism is pleased with the level of progress which the LIFE Programme has made in supporting the development of community-based natural resource management activities in Namibia.

We realise that because of the nature of community-based conservation, the work that is taking place now, supported by LIFE, is laying the foundation for the future. In order to demonstrate concrete success in the form of management of wildlife by local communities for their own benefit and a noticeable improvement in Namibia's resource base, we need long term support for our community-based natural resource management programme.

It is clear that the existing project period to August 31 1997, will not enable us to see through many of the key activities that have been started under LIFE or have been supported by LIFE. There is still much to be done in terms of ensuring that there is a core group of Namibians, and adequate Namibian infrastructure to support community-based resource management beyond 1997.

**The following areas can be identified in which further support will be required:**

a)The continuation of key LIFE team positions at least until the current end of project date and preferably longer.

b)Human Resource Development - to develop a cadre of Namibians both within and outside government who have the necessary skills, qualifications and experience to assist communities in managing their natural resources sustainably and developing the necessary organisational skills.

c)Sustainability - in addition to skilled people, the national CBNRM programme also requires the necessary infrastructure and organisational base from which to carry out advocacy, information, and networking as well as to provide technical assistance to community conservancies.

d)Existing grants - In several cases, the activities of existing grants will not come to full fruition by 1997. They will need further support to ensure that something concrete is built upon the foundations they are laying at present, particularly the formation of community conservancies.

For these reasons the Ministry of Environment and Tourism requests a 'with cost' extension to the LIFE Project until August 18 1999, which corresponds to the closing date of USAID's Regional Natural Resource Management Project.

We would also like to explore the possibility of a second phase of the LIFE Programme going beyond August 1999.

Yours sincerely

A handwritten signature in black ink, appearing to be 'Gerhardus J Hanekom', written over a printed name and title.

GERHARDUS J HANEKOM  
MINISTER

**RECEIVED**  
28 AUG 1995  
USAID/WINDHOEK



**REPUBLIC OF NAMIBIA**

**MINISTRY OF ENVIRONMENT AND TOURISM**

**DIRECTORATE OF ENVIRONMENTAL AFFAIRS**  
Private Bag 13306  
Windhoek, Namibia

ACTION	
NO.:	ICR 1616
OFF:	BIP
DUE:	9/5
TAKEN:	
DATE:	
INITIALS:	
COPIES	
CHRON:	<input checked="" type="checkbox"/>
READ:	<input checked="" type="checkbox"/>
INFO:	JCS, E, J
FILE	
SUBJ:	
PRJ:	
EXC:	
CONT:	
LOG OUT:	YES/NO

Our Ref : N 24/5/1/6/3/1  
Enquiries: Dr C J Brown  
E-mail : cjb@deal.dea.met.gov.na

Tel: 249015-8  
Fax: 240339  
25th August 1995

Mr Edward J Spriggs  
USAID Representative  
Southern Life Tower  
Windhoek

Dear Mr Spriggs,

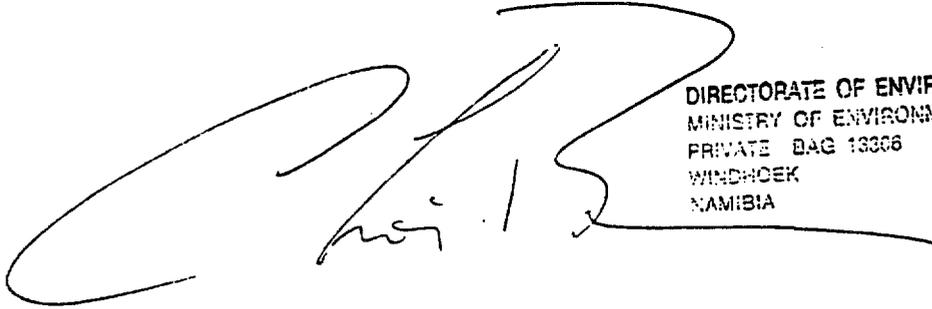
I am writing as the responsible person in the Ministry of Environment and Tourism for the LIFE programme, as well as in my capacity as chair of the LIFE Steering Committee, to thank you and your staff for all the hard work and many long hours that you have put into the LIFE review and mid-term assessment process. This exercise has served to further clarify and focus the programme and has contributed constructively to team-building and raising everyone's level of understanding. But perhaps most important, it has given all the participants a renewed sense of confidence in the soundness of the approach and the progress being made.

I have been involved in the review and assessment process from its inception in February 1995. To date we are happy with the draft Project Paper Amendments. We agreed that we needed to harmonise the project document with later documents which reflect the progress made and experience gained by the programme. I am pleased to see that good progress has been made and look forward to our completion of the task in the near future.

I was delighted to learn that the LIFE programme might receive an additional US\$ 4 million to extend the programme to August 1999. These additional project funds will have a corresponding effect on the Ministry's host country contribution. The host country's in-kind contribution will increase from US\$ 4.098 million to US\$ 5.00 million. The Ministry of Environment and Tourism will ensure that this contribution is met.

We look forward to the completion of the Project Paper amendment and alignment of all the programme documentation, as discussed and approved by the LIFE Steering Committee.

Yours sincerely,



DIRECTORATE OF ENVIRONMENTAL AFFAIRS  
MINISTRY OF ENVIRONMENT AND TOURISM  
PRIVATE BAG 13306  
WINDHOEK  
NAMIBIA

Dr Chris Brown  
Head: Environmental Affairs  
Chair: LIFE Steering Committee

**ANNEX E**

**GRAY AMENDMENT CERTIFICATION**

GRAY AMENDMENT CERTIFICATION

Legislative Requirements:

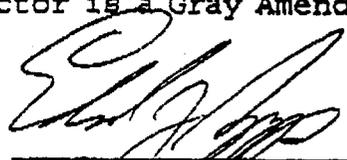
The Gray Amendment (Section 579 of P.L. 101-167, the Foreign Operations, Export Financing and Related Programs Appropriations Act, 1990) requires AID to ensure participation in AID projects by business concerns which are owned and controlled by socially and economically disadvantaged individuals, historically black colleges and universities, colleges and universities having a student body in which more than 40 percent of the students are Hispanic American, and private voluntary organizations which are controlled by individuals who are socially and economically disadvantaged, including women (referred to herein as Gray Amendment entities).

AIDAR Notice 90-2, implementing Section 579 of the Foreign Assistance Appropriations Act requires that for any contract in excess of \$500,000 (except for a contract with a disadvantaged enterprise) not less than 10 percent of the dollar value of the contract must be subcontracted to Gray Amendment entities, unless the contracting officer certifies that there are no contracting opportunities or unless the Administrator approves an exception.

CERTIFICATION:

Elements of this project may be appropriate for minority or Gray Amendment organization contracting. The procurement plan of this project has been developed with full consideration of maximally involving Gray Amendment organizations in the provision of required goods and services. The Mission will make every effort to identify Gray Amendment entities to manage certain procurements of equipment and/or provision of technical assistance and evaluation services planned in the project.

Furthermore, the Mission will, in the case of any contract in excess of \$500,000 include a provision requiring that no less than 10 percent of the value of the contract be subcontracted to Gray Amendment entities unless the contracting officer certifies that there is no realistic expectation of U.S. subcontracting opportunities, or unless the prime contractor is a Gray Amendment entity.



Edward C. Spriggs  
AID Representative

Date: 9/28/95

Clearance: RLA: M. Alexander



122

**ANNEX F**

**STATUTORY CHECKLIST**

NAMIBIA - FY 1995

NATURAL RESOURCE MANAGEMENT PROJECT  
NAMIBIA COMPONENT:690-0251.73  
LIVING IN A FINITE ENVIROMENT (LIFE)

5C(1) - COUNTRY CHECKLIST

Listed below are statutory criteria applicable to the eligibility of countries to receive the following categories of assistance: (A) both Development Assistance and Economic Support Funds; (B) Development Assistance funds only; or (C) Economic Support Funds only.

A. COUNTRY ELIGIBILITY CRITERIA APPLICABLE TO BOTH DEVELOPMENT ASSISTANCE AND ECONOMIC SUPPORT FUND ASSISTANCE

1. Narcotics Certification

(FAA Sec. 490): (This provision applies to assistance provided by grant, sale, loan, lease, credit, guaranty, or insurance, except assistance relating to international narcotics control, disaster and refugee relief assistance, narcotics related assistance, or the provision of food (including the monetization of food) or medicine, and the provision of nonagricultural commodities under P.L. 480. This provision also does not apply to assistance for child survival and AIDS programs which can, under section 522 of the FY 1995 Appropriations Act, be made available notwithstanding any provision of law that restricts assistance to foreign countries, and programs identified in section 547 of that Act and other provisions of law that have similar notwithstanding authority.) If the recipient is a "major illicit drug producing country" (defined as a country in which during a year at least 1,000 hectares of illicit opium poppy is cultivated or harvested, or at least 1,000 hectares of illicit coca is cultivated or harvested, or at least 5,000 hectares of illicit cannabis is cultivated or harvested) or a "major drug-transit country" (defined as a country that is a significant direct source of illicit drugs significantly affecting the United States, through which such drugs are transported, or through which significant sums of drug-related profits are laundered with the knowledge or complicity of the government):

(1) has the President in the March 1 International Narcotics Control Strategy Report (INCSR) determined and certified to the Congress (without Congressional enactment, within 30 calendar days, of a resolution disapproving such a certification), that (a) during the previous year the country has cooperated fully with the United States or taken adequate steps on its own to satisfy the goals and objectives established by the U.N. Convention Against Illicit Traffic in Narcotic Drugs and Psychotropic Substances, or that (b) the vital national interests of the United States require the provision of such assistance?

Namibia has not been defined as a "major illicit drug producing country" or a "major drug transit country."

124

7. **Seizure of U.S. Fishing Vessels** (FAA Sec. 620(o); Fishermen's Protective Act of 1967 (as amended) Sec. 5): (a) Has the country seized, or imposed any penalty or sanction against, any U.S. fishing vessel because of fishing activities in international waters? (b) If so, has any deduction required by the Fishermen's Protective Act been made? a. No  
b. N/A
8. **Loan Default** (FAA Sec. 620(q); FY 1995 Appropriations Act Sec. 512 (Brooke Amendment)): (a) Has the government of the recipient country been in default for more than six months on interest or principal of any loan to the country under the FAA? (b) Has the country been in default for more than one year on interest or principal on any U.S. loan under a program for which the FY 1995 Appropriations Act appropriates funds? a. No  
b. No
9. **Military Equipment** (FAA Sec. 620(s)): If contemplated assistance is development loan or to come from Economic Support Fund, has the Administrator taken into account the percentage of the country's budget and amount of the country's foreign exchange or other resources spent on military equipment? (Reference may be made to the annual "Taking Into Consideration" memo: "Yes, taken into account by the Administrator at time of approval of Agency OYB." This approval by the Administrator of the Operational Year Budget can be the basis for an affirmative answer during the fiscal year unless significant changes in circumstances occur.) ESF and DA loan assistance is not contemplated.
10. **Diplomatic Relations with U.S.** (FAA Sec. 620(t)): Has the country severed diplomatic relations with the United States? If so, have relations been resumed and have new bilateral assistance agreements been negotiated and entered into since such resumption? No
11. **U.N. Obligations** (FAA Sec. 620(u)): What is the payment status of the country's U.N. obligations? If the country is in arrears, were such arrearages taken into account by the A.I.D. Administrator in determining the current A.I.D. Operational Year Budget? (Reference may be made to the "Taking into Consideration" memo.) As of January 1, 1994, Namibia was not in arrears.
12. **International Terrorism**
- a. **Sanctuary and support** (FY 1995 Appropriations Act Sec. 529; FAA Sec. 620A): Has the country been determined by the President to: (a) grant sanctuary from prosecution to any individual or group which has committed an act of international terrorism, or (b) otherwise support international terrorism, unless the President has waived this restriction on grounds of national security or for humanitarian reasons? No
- b. **Airport Security** (ISDCA of 1985 Sec. 552(b)): Has the Secretary of State determined that the country is a high terrorist threat country after the Secretary of Transportation has determined, pursuant to section 1115(e)(2) of the Federal Aviation Act of 1958, that an airport in the country does not maintain and administer effective security measures? No

B. COUNTRY ELIGIBILITY CRITERIA APPLICABLE ONLY TO DEVELOPMENT ASSISTANCE ("DA")

**Human Rights Violations (FAA Sec. 116):** Has the Department of State determined that this government has engaged in a consistent pattern of gross violations of internationally recognized human rights? If so, can it be demonstrated that contemplated assistance will directly benefit the needy? No

C. COUNTRY ELIGIBILITY CRITERIA APPLICABLE ONLY TO ECONOMIC SUPPORT FUNDS ("ESF")

**Human Rights Violations (FAA Sec. 502B):** Has it been determined that the country has engaged in a consistent pattern of gross violations of internationally recognized human rights? If so, has the President found that the country made such significant improvement in its human rights record that furnishing such assistance is in the U.S. national interest? No

5C(2) - ASSISTANCE CHECKLIST

Listed below are statutory criteria applicable to the assistance resources themselves, rather than to the eligibility of a country to receive assistance. This section is divided into three parts. Part A includes criteria applicable to both Development Assistance and Economic Support Fund resources. Part B includes criteria applicable only to Development Assistance resources. Part C includes criteria applicable only to Economic Support Funds.

CROSS REFERENCE: IS COUNTRY CHECKLIST UP TO DATE?

A. CRITERIA APPLICABLE TO BOTH DEVELOPMENT ASSISTANCE AND ECONOMIC SUPPORT FUNDS

1. **Host Country Development Efforts (FAA Sec. 601(a)):** Information and conclusions on whether assistance will encourage efforts of the country to:  
(a) increase the flow of international trade; (b) foster private initiative and competition; (c) encourage development and use of cooperatives, credit unions, and savings and loan associations; (d) discourage monopolistic practices; (e) improve technical efficiency of industry, agriculture, and commerce; and (f) strengthen free labor unions. Life Project, will improve ability of communities to sustainably manage their natural resources.

2. **U.S. Private Trade and Investment (FAA Sec. 601(b)):** Information and conclusions on how assistance will encourage U.S. private trade and investment abroad and encourage private U.S. participation in foreign assistance programs (including use of private trade channels and the services of U.S. private enterprise). N/A

3. **Congressional Notification**

a. **General requirement (FY 1995 Appropriations Act Sec. 515; FAA Sec. 634A):** If money is to be obligated for an activity not previously justified to Congress, or for an amount in excess of amount previously justified to Congress, has Congress been properly notified (unless the Appropriations Act notification requirement has been waived because of substantial risk to human health or welfare)? Cleared without objection

(1) Has A.I.D. (a) required that local currencies be deposited in a separate account established by the recipient government, (b) entered into an agreement with that government providing the amount of local currencies to be generated and the terms and conditions under which the currencies so deposited may be utilized, and (c) established by agreement the responsibilities of A.I.D. and that government to monitor and account for deposits into and disbursements from the separate account? N/A

(2) Will such local currencies, or an equivalent amount of local currencies, be used only to carry out the purposes of the DA or ESF chapters of the FAA (depending on which chapter is the source of the assistance) or for the administrative requirements of the United States Government? N/A

(3) Has A.I.D. taken all appropriate steps to ensure that the equivalent of local currencies disbursed from the separate account are used for the agreed purposes? N/A

(4) If assistance is terminated to a country, will any unencumbered balances of funds remaining in a separate account be disposed of for purposes agreed to by the recipient government and the United States Government? N/A

8. **Capital Assistance (FAA Sec. 611(e)):** If project is capital assistance (e.g., construction), and total U.S. assistance for it will exceed \$1 million, has Mission Director certified and Regional Assistant Administrator taken into consideration the country's capability to maintain and utilize the project effectively? N/A

9. **Multiple Country Objectives (FAA Sec. 601(a)):** Information and conclusions on whether projects will encourage efforts of the country to: (a) increase the flow of international trade; (b) foster private initiative and competition; (c) encourage development and use of cooperatives, credit unions, and savings and loan associations; (d) discourage monopolistic practices; (e) improve technical efficiency of industry, agriculture and commerce; and (f) strengthen free labor unions. N/A

10. **U.S. Private Trade (FAA Sec. 601(b)):** Information and conclusions on how project will encourage U.S. private trade and investment abroad and encourage private U.S. participation in foreign assistance programs (including use of private trade channels and the services of U.S. private enterprise). N/A

11. **Local Currencies**

a. **Recipient Contributions (FAA Secs. 612(b), 636(h)):** Describe steps taken to assure that, to the maximum extent possible, the country is contributing local currencies to meet the cost of contractual and other services, and foreign currencies owned by the U.S. are utilized in lieu of dollars. N/A

b. **U.S.-Owned Currency (FAA Sec. 612(d)):** Does the U.S. own excess foreign currency of the country and, if so, what arrangements have been made for its release? No

16. **Metric System** (Omnibus Trade and Competitiveness Act of 1988 Sec. 5164, as interpreted by conference report, amending Metric Conversion Act of 1975 Sec. 2, and as implemented through A.I.D. policy): Does the assistance activity use the metric system of measurement in its procurements, grants, and other business-related activities, except to the extent that such use is impractical or is likely to cause significant inefficiencies or loss of markets to United States firms? Are bulk purchases usually to be made in metric, and are components, subassemblies, and semi-fabricated materials to be specified in metric units when economically available and technically adequate? Will A.I.D. specifications use metric units of measure from the earliest programmatic stages, and from the earliest documentation of the assistance processes (for example, project papers) involving quantifiable measurements (length, area, volume, capacity, mass and weight), through the implementation stage? N/A

17. **Abortions** (FAA Sec. 104(f); FY 1995 Appropriations Act, Title II, under heading "Population, DA," and Sec. 518):

a. Are any of the funds to be used for the performance of abortions as a method of family planning or to motivate or coerce any person to practice abortions? (Note that the term "motivate" does not include the provision, consistent with local law, of information or counseling about all pregnancy options including abortion.) No

b. Are any of the funds to be used to pay for the performance of involuntary sterilization as a method of family planning or to coerce or provide any financial incentive to any person to undergo sterilizations? No

c. Are any of the funds to be made available to any organization or program which, as determined by the President, supports or participates in the management of a program of coercive abortion or involuntary sterilization? No

d. Will funds be made available only to voluntary family planning projects which offer, either directly or through referral to, or information about access to, a broad range of family planning methods and services? (As a legal matter, DA only.) No

e. In awarding grants for natural family planning, will any applicant be discriminated against because of such applicant's religious or conscientious commitment to offer only natural family planning? (As a legal matter, DA only.) No

f. Are any of the funds to be used to pay for any biomedical research which relates, in whole or in part, to methods of, or the performance of, abortions or involuntary sterilization as a means of family planning? No

g. Are any of the funds to be made available to any organization if the President certifies that the use of these funds by such organization would violate any of the above provisions related to abortions and involuntary sterilization? No

g. **Cargo preference shipping** (FAA Sec. 603)): Is the shipping excluded from compliance with the requirement in section 901(b) of the Merchant Marine Act of 1936, as amended, that at least 50 percent of the gross tonnage of commodities (computed separately for dry bulk carriers, dry cargo liners, and tankers) financed shall be transported on privately owned U.S. flag commercial vessels to the extent such vessels are available at fair and reasonable rates?

N/A

h. **Technical assistance** (FAA Sec. 621(a)): If technical assistance is financed, will such assistance be furnished by private enterprise on a contract basis to the fullest extent practicable? Will the facilities and resources of other Federal agencies be utilized, when they are particularly suitable, not competitive with private enterprise, and made available without undue interference with domestic programs?

~~N/A~~ YES

i. **U.S. air carriers** (International Air Transportation Fair Competitive Practices Act, 1974): If air transportation of persons or property is financed on grant basis, will U.S. carriers be used to the extent such service is available?

Yes

j. **Consulting services** (FY 1995 Appropriations Act Sec. 559): If assistance is for consulting service through procurement contract pursuant to 5 U.S.C. 3109, are contract expenditures a matter of public record and available for public inspection (unless otherwise provided by law or Executive order)?

N/A

k. **Metric conversion** (Omnibus Trade and Competitiveness Act of 1988, as interpreted by conference report, amending Metric Conversion Act of 1975 Sec. 2, and as implemented through A.I.D. policy): Does the assistance program use the metric system of measurement in its procurements, grants, and other business-related activities, except to the extent that such use is impractical or is likely to cause significant inefficiencies or loss of markets to United States firms? Are bulk purchases usually to be made in metric, and are components, subassemblies, and semi-fabricated materials to be specified in metric units when economically available and technically adequate? Will A.I.D. specifications use metric units of measure from the earliest programmatic stages, and from the earliest documentation of the assistance processes (for example, project papers) involving quantifiable measurements (length, area, volume, capacity, mass and weight), through the implementation stage?

N/A

l. **Competitive Selection Procedures** (FAA Sec. 601(e)): Will the assistance utilize competitive selection procedures for the awarding of contracts, except where applicable procurement rules allow otherwise?

Yes

27. **CIA Activities** (FAA Sec. 662): Will assistance preclude use of financing for CIA activities? Yes

28. **Motor Vehicles** (FAA Sec. 636(i)): Will assistance preclude use of financing for purchase, sale, long-term lease, exchange or guaranty of the sale of motor vehicles manufactured outside U.S., unless a waiver is obtained? Yes

29. **Export of Nuclear Resources** (FY 1995 Appropriations Act Sec. 506): Will assistance preclude use of financing to finance--except for purposes of nuclear safety--the export of nuclear equipment, fuel, or technology? ~~N/A~~ YES

30. **Publicity or Propaganda** (FY 1995 Appropriations Act Sec. 554): Will assistance be used for publicity or propaganda purposes designed to support or defeat legislation pending before Congress, to influence in any way the outcome of a political election in the United States, or for any publicity or propaganda purposes not authorized by Congress? No

31. **Exchange for Prohibited Act** (FY 1995 Appropriations Act Sec. 533): Will any assistance be provided to any foreign government (including any instrumentality or agency thereof), foreign person, or United States person in exchange for that foreign government or person undertaking any action which is, if carried out by the United States Government, a United States official or employee, expressly prohibited by a provision of United States law? No

32. **Commitment of Funds** (FAA Sec. 635(h)): Does a contract or agreement entail a commitment for the expenditure of funds during a period in excess of 5 years from the date of the contract or agreement? No

33. **Impact on U.S. Jobs** (FY 1995 Appropriations Act, Sec. 545):

a. Will any financial incentive be provided to a business located in the U.S. for the purpose of inducing that business to relocate outside the U.S. in a manner that would likely reduce the number of U.S. employees of that business? ~~N/A~~ NO

b. Will assistance be provided for the purpose of establishing or developing an export processing zone or designated area in which the country's tax, tariff, labor, environment, and safety laws do not apply? If so, has the President determined and certified that such assistance is not likely to cause a loss of jobs within the U.S.? ~~N/A~~ NO

c. Will assistance be provided for a project or activity that contributes to the violation of internationally recognized workers rights, as defined in section 502(a)(4) of the Trade Act of 1974, of workers in the recipient country, or will assistance be for the informal sector, micro or small-scale enterprise, or smallholder agriculture? ~~N/A~~ NO

B. CRITERIA APPLICABLE TO DEVELOPMENT ASSISTANCE ONLY

130

8. **Benefit to Poor Majority** (FAA Sec. 128(b)): If the activity attempts to increase the institutional capabilities of private organizations or the government of the country, or if it attempts to stimulate scientific and technological research, has it been designed and will it be monitored to ensure that the ultimate beneficiaries are the poor majority? Yes

9. **Contract Awards** (FAA Sec. 601(e)): Will the project utilize competitive selection procedures for the awarding of contracts, except where applicable procurement rules allow otherwise? N/A

10. **Disadvantaged Enterprises** (FY 1995 Appropriations Act Sec. 555): What portion of the funds will be available only for activities of economically and socially disadvantaged enterprises, historically black colleges and universities, colleges and universities having a student body in which more than 40 percent of the students are Hispanic Americans, and private and voluntary organizations which are controlled by individuals who are black Americans, Hispanic Americans, or Native Americans, or who are economically or socially disadvantaged (including women)?

Will benefit historically disadvantaged Namibians.

10% of any contracts over \$500,000 will be set aside for disadvantaged firms or persons unless the requirement is waived.

11. **Biological Diversity** (FAA Sec. 119(g)): Will the assistance: (a) support training and education efforts which improve the capacity of recipient countries to prevent loss of biological diversity; (b) be provided under a long-term agreement in which the recipient country agrees to protect ecosystems or other wildlife habitats; (c) support efforts to identify and survey ecosystems in recipient countries worthy of protection; or (d) by any direct or indirect means significantly degrade national parks or similar protected areas or introduce exotic plants or animals into such areas? (Note new special authority for biodiversity activities contained in section 547(b) of the FY 1995 Appropriations Act.) N/A

12. **Tropical Forests** (FAA Sec. 118; FY 1991 Appropriations Act Sec. 533(c) as referenced in section 532(d) of the FY 1993 Appropriations Act): N/A

a. **A.I.D. Regulation 16**: Does the assistance comply with the environmental procedures set forth in A.I.D. Regulation 16? Yes

d. **Sustainable forestry:** If assistance relates to tropical forests, will project assist countries in developing a systematic analysis of the appropriate use of their total tropical forest resources, with the goal of developing a national program for sustainable forestry? N/A

e. **Environmental impact statements:** Will funds be made available in accordance with provisions of FAA Section 117(c) and applicable A.I.D. regulations requiring an environmental impact statement for activities significantly affecting the environment? YES

13. **Energy** (FY 1991 Appropriations Act Sec. 533(c) as referenced in section 532(d) of the FY 1993 Appropriations Act): If assistance relates to energy, will such assistance focus on: (a) end-use energy efficiency, least-cost energy planning, and renewable energy resources, and (b) the key countries where assistance would have the greatest impact on reducing emissions from greenhouse gases? N/A

14. **Debt-for-Nature Exchange** (FAA Sec. 463): If project will finance a debt-for-nature exchange, describe how the exchange will support protection of: (a) the world's oceans and atmosphere, (b) animal and plant species, and (c) parks and reserves; or describe how the exchange will promote: (d) natural resource management, (e) local conservation programs, (f) conservation training programs, (g) public commitment to conservation, (h) land and ecosystem management, and (i) regenerative approaches in farming, forestry, fishing, and watershed management. N/A

15. **Deobligation/Reobligation** (FY 1995 Appropriations Act Sec. 510): If deob/reob authority is sought to be exercised in the provision of DA assistance, are the funds being obligated for the same general purpose, and for countries within the same region as originally obligated, and have the House and Senate Appropriations Committees been properly notified? N/A

**16. Loans**

a. **Repayment capacity** (FAA Sec. 122(b)): Information and conclusion on capacity of the country to repay the loan at a reasonable rate of interest. N/A

b. **Long-range plans** (FAA Sec. 122(b)): Does the activity give reasonable promise of assisting long-range plans and programs designed to develop economic resources and increase productive capacities? N/A

c. **Interest rate** (FAA Sec. 122(b)): If development loan is repayable in dollars, is interest rate at least 2 percent per annum during a grace period which is not to exceed ten years, and at least 3 percent per annum thereafter? N/A

d. **Exports to United States** (FAA Sec. 620(d)): If assistance is for any productive enterprise which will compete with U.S. enterprises, is there an agreement by the recipient country to prevent export to the U.S. of more than 20 percent of the enterprise's annual production during the life of the loan, or has the requirement to enter into such an agreement been waived by the President because of a national security interest? N/A

20. **Education and Human Resources Development** (FAA Sec. 105): If assistance is being made available for education, public administration, or human resource development, describe (a) extent to which activity strengthens nonformal education, makes formal education more relevant, especially for rural families and urban poor, and strengthens management capability of institutions enabling the poor to participate in development; and (b) extent to which assistance provides advanced education and training of people of developing countries in such disciplines as are required for planning and implementation of public and private development activities.

a. Informal training of community members to manage their natural resources for economic benefit.

b. All in-country training.

21. **Energy, Private Voluntary Organizations, and Selected Development Activities** (FAA Sec. 106): If assistance is being made available for energy, private voluntary organizations, and selected development problems, describe extent to which activity is:

a. concerned with data collection and analysis, the training of skilled personnel, research on and development of suitable energy sources, and pilot projects to test new methods of energy production; and facilitative of research on and development and use of small-scale, decentralized, renewable energy sources for rural areas, emphasizing development of energy resources which are environmentally acceptable and require minimum capital investment;

Will involve a small research component and information exchange within region.

b. concerned with technical cooperation and development, especially with U.S. private and voluntary, or regional and international development, organizations;

U.S. NGO will implement.

c. research into, and evaluation of, economic development processes and techniques;

Yes

d. reconstruction after natural or manmade disaster and programs of disaster preparedness;

N/A

e. for special development problems, and to enable proper utilization of infrastructure and related projects funded with earlier U.S. assistance;

Yes.

f. for urban development, especially small, labor-intensive enterprises, marketing systems for small producers, and financial or other institutions to help urban poor participate in economic and social development.

N/A

22. **Capital Projects** (Jobs Through Export Act of 1992, Secs. 303 and 306(d)): If assistance is being provided for a capital project, is the project developmentally sound and will the project measurably alleviate the worst manifestations of poverty or directly promote environmental safety and sustainability at the community level?

N/A

**C. CRITERIA APPLICABLE TO ECONOMIC SUPPORT FUNDS ONLY**

1. **Economic and Political Stability** (FAA Sec. 531(a)): Will this assistance promote economic and political stability? To the maximum extent feasible, is this assistance consistent with the policy directions, purposes, and programs of Part I of the FAA?

N/A

2. **Military Purposes** (FAA Sec. 531(e)): Will this assistance be used for military or paramilitary purposes?

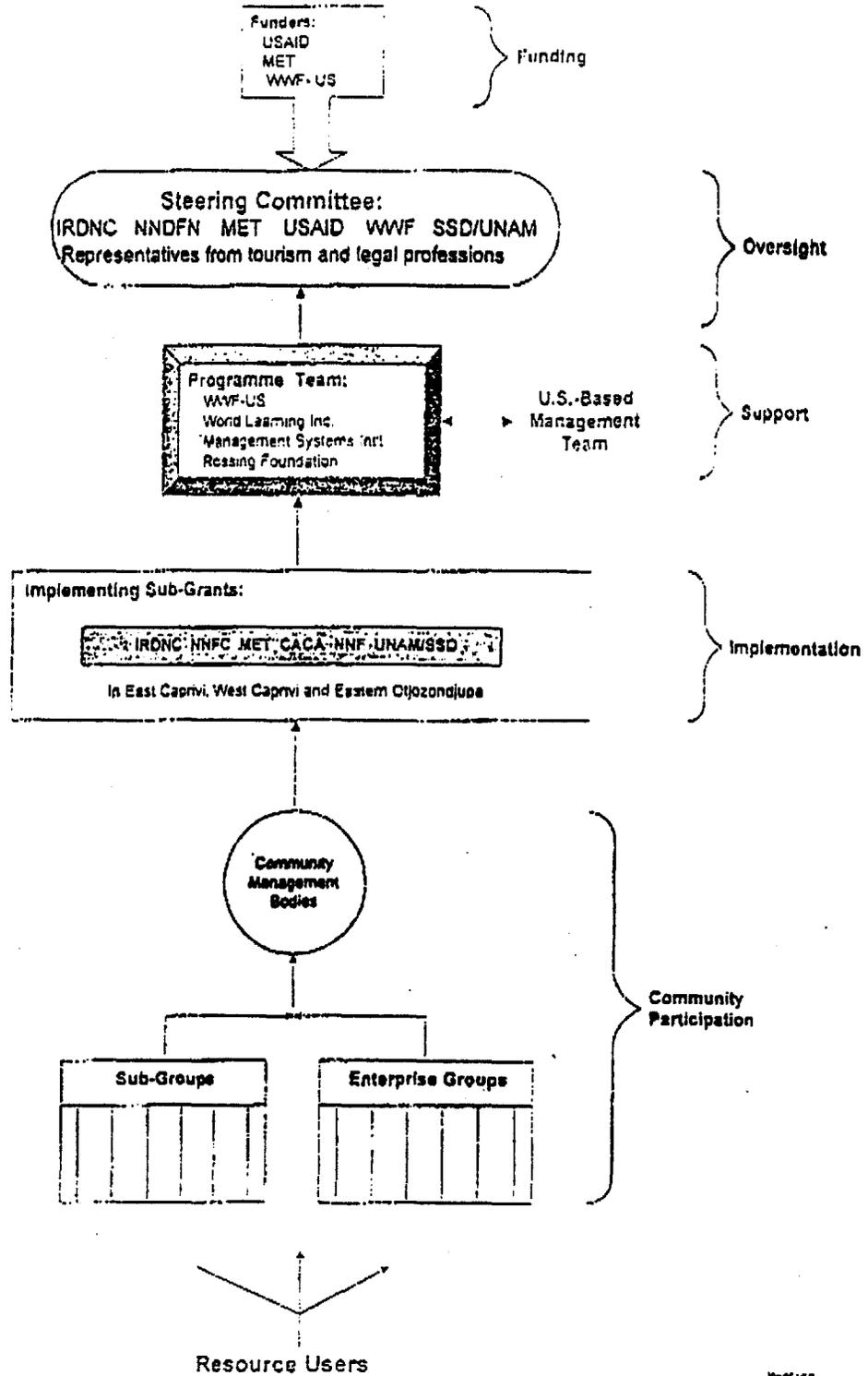
N/A

133

**ANNEX G**

**LIFE PROGRAM IMPLEMENTATION DIAGRAM**

LIFE Program:  
Implementation  
Layers Diagram



135