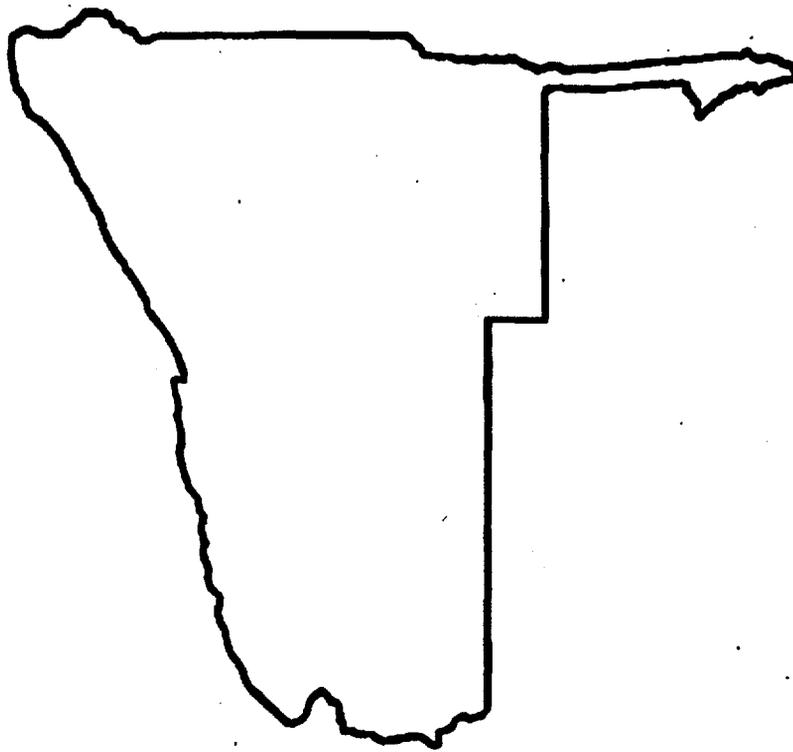


PN-ABX-696



USAID MISSION TO NAMIBIA
COUNTRY STRATEGIC PLAN
(FY 1996 - 2000)



December 30, 1995

A



Embassy of the United States of America

Windhoek, Namibia

December 28, 1995

Mr. John F. Hicks
Assistant Administrator
Bureau of Africa
USAID/W
Washington, DC 20523-0001

Dear Mr. Hicks:

I am happy to endorse this Country Strategic Plan for United States development assistance to Namibia.

The plan is based upon a realistic assessment of American interests in the stability of Namibian democracy; and it reflects an appreciation of the necessity of bringing to all Namibians the benefits of democracy and a free market economy. As the text of the plan points out, Namibia is blessed with an excellent infrastructure, a fine constitution and a democratically elected government which is committed to fiscal prudence and sustainable development. But Namibia is also cursed with the legacy of years of colonialism and apartheid, years in which the division of wealth and opportunity was so skewed that it now threatens to undermine the consensus and spirit of national reconciliation which binds this nation together.

The Government of Namibia has wisely recognized that, while the gaps in wealth may not be instantaneously closed, it is essential to open up opportunity for all through education, health care and sensible investment policy. In our Country Strategic Plan, we have chosen to emphasize the social, economic and political empowerment of the vast majority of Namibian citizens who were previously denied the promise of democracy and a free market economy. We believe that it is imperative to make that promise real, if democracy is to survive. For that reason, we have stressed the importance of basic education, human resources development, sustainable utilization of natural resources and the essential elements of democratic government.

The USAID/Namibia team, with great assistance from Washington, has put together a realistic, well-focused strategy, reflecting our concern with the careful management of U.S.

B

taxpayers' dollars while meeting our foreign policy objectives. We can meet these critical objectives if we maintain our current level of expenditure. As Vice President Gore emphasized to Namibians during his visit to Windhoek in May 1994, the United States in word and deed remains committed to the success of Namibia's democracy. It is with this in mind that I commend to you this Country Strategic Plan.

Sincerely,

Marshall F. McCallie
Marshall F. McCallie
Ambassador

C



UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT
MISSION TO NAMIBIA

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December 15, 1995

John F. Hicks
Assistant Administrator
Bureau for Africa
USAID/W
Washington, D.C.

Dear John:

I am pleased to transmit to USAID/Washington the Country Strategic Plan for U.S. assistance to Namibia over the five-year period, FY 1996-2000.

This CSP is the result of intensive efforts spanning the last year and a half. It represents hundreds of days of research, analysis, consultation, negotiation and production involving the entire USAID/Namibia staff, key partners and customers, as well as consultants from REDSO/ESA, USAID/W and the private sector.

The CSP was prepared in close collaboration with our colleagues in the U.S. Embassy and has the full approval of Ambassador McCallie and his Country Team. It has the enthusiastic support of our many partners in Namibia and the U.S., all of whom participated in the Plan's development and are committed to working with us in its implementation. Most important of all, our CSP has the full support of the Namibian Government and the many groups and individuals who are the intended beneficiaries -- the customers -- of our assistance.

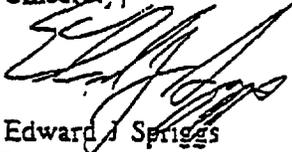
It is important to note that this CSP is neither a radical departure from the past nor a whole new blueprint for the future. Rather, *it reflects, and provides the analytical underpinning for, USAID/Namibia's ongoing program.* Accordingly, although we will be phasing out of certain activities during the CSP period, we plan no new results packages, only follow-on RPs.

Prior to my arrival in January of 1994, there had been several attempts to reach a "contract" between USAID/W and the Mission on the strategic framework for the program. Indeed, the mixed signals over the past several years have confused our Namibian friends and compounded our difficulties in delivering effective American aid to the Namibian people. We at the Mission, however, are confident that *this time* our joint efforts with USAID/W over the past 18 months or so will result in the contract we all seek.

But more is at stake here than a strategy contract. Namibia possesses the natural resources and the *potential* human resources -- combined with a consistent pro-growth policy environment and functioning multiparty democracy -- needed to become a *U.S. development aid "success story,"* just as it was a U.S. diplomatic success story at the time of its Independence in 1990. This really *can* happen in Namibia, the country can truly "graduate" from U.S. assistance if we do the right things over the next ten years. Creating this "success story", by *building Namibia's human resources*, is really what the attached CSP is all about, and it is what the Mission and I have been fully dedicated to over the last two years.

I am convinced that this CSP provides the framework for a U.S. assistance program that will really make a significant contribution to bettering the lives of the Namibian people. Thus, I am asking for USAID/W's unequivocal endorsement of this CSP, and assurances that it will do its utmost to provide the resources required to carry it out.

Sincerely,



Edward J. Spriggs
USAID Representative

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SUPPORTING DOCUMENTS AND STUDIES (SEPARATE VOLUME)

- A. Draft Customer Service Plan**
- B. Draft Monitoring and Evaluation Plan**
- C. Technical Analyses**
 - Section I, The Assistance Environment for Namibia**
 - Strategic Objectives #1:**
 - 1. Human Resources Development Strategy
 - 2. Technical Analysis F for Basic Education Support Project
 - 3. Summary of Technical Analyses from the 1994 BES PPA 2
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 - Strategic Objective # 2:**
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EXECUTIVE SUMMARY

Introduction

This Country Strategic Plan (CSP) sets forth challenges, issues and rationale for the USAID/Namibia program over the next five years (FY 1996-2000). The three-part document and its Annexes reflect nine months of continuous dialogue and negotiation with USAID/Namibia's principal development partners, Government officials, and intermediate and ultimate customers.

The CSP was prepared in accordance with the Agency's new reengineering guidance, and USAID/Washington's funding parameters, which required that the Plan reflect three annual funding scenarios: \$9.4 million a year (Option #1); \$8 million (Option #2); and \$6 million (Option #3). Since its inception, the U.S. program in Namibia has averaged approximately \$9.3 million annually, excluding regional and central funding.

Although the Plan only covers a five-year period, USAID/Namibia envisions that it will require *at least ten years* of sustained U.S. assistance in order to achieve the Plan's overall Goal -- after which Namibia should be in a position to "graduate" from U.S. assistance. Lower funding levels will put this graduation scenario at risk.

As required by the new Agency guidance, this CSP includes "Exit Goals" under each of its three Strategic Objectives, that reflect a potential "graduation" date of 2005. These Exit Goals are directly linked to the overall Strategic Goal of the program.

Namibia: A Brief Overview

At Independence, in March 1990, the new Government of the Republic of Namibia (GRN) inherited a legacy of apartheid policies under which virtually all of the country's natural resources (including the best land) and most of the GRN's social services (particularly education and health) had been directed primarily to the well off 5% minority while the needs of the rest of the population were largely neglected. This created a dual economy in the classical colonial mode with wide disparities in incomes and resource allocations.

Today, five years after Independence, the economic and social condition of Namibia's historically disadvantaged majority is not much better -- and in some respects worse -- than that of most other developing countries of sub-Saharan Africa. Namibia ranks 108 (of 173 countries) on the United Nation's Human Development Index Report, the components of which include income, literacy and life expectancy -- considerably below South Africa's 95 and Botswana's 74 ratings.

Despite the economy's relatively good performance since Independence, there has been no positive trend with respect to the nation's most pressing economic and social issue: the wide disparity in incomes among citizens. Namibia's economy is based on a few natural resource-based sectors, most of which are capital intensive and have, as yet, made little contribution to increasing employment and reducing income inequality.

The situation is not all grim. Since Independence, Namibia has established a fragile but working democracy with a relatively free and vociferous print media and private radio stations, which present alternative, often critical, viewpoints on key issues. The popularly-elected Government is fully committed to racial and ethnic reconciliation and improving the welfare of all its people. The GRN is pursuing free market policies which show promise of placing the economy on the path of self-sustaining growth. And the country is relatively free of corruption which erodes so many other developing countries.

The GRN has sought to achieve its development goals through a Transitional Development Plan, which has received substantial support from the international donor community. This Plan is soon to be replaced with the comprehensive First National Development Plan (known as NDP #1), covering the period 1996 - 2000, which coincides with the planning period covered by this CSP. In NDP #1, the GRN forthrightly recognizes the development constraints which the country faces, including the remaining legacies of apartheid, a high population growth rate, the lack of a human resource base, and a very fragile eco-system.

In summary, Namibia is facing very difficult economic and social problems. Nevertheless, it appears to have better prospects than most other sub-Saharan countries for overcoming them. Indeed, with enlightened donor assistance in strategic areas, Namibia has the potential for becoming a solid development success story.

U.S. Foreign Policy Interests

Given the important diplomatic role which the United States played in achieving Namibia's Independence, it is very much in the U.S. foreign policy interest to assist Namibia in strengthening and maintaining its multi-party democracy and improving the economic and social condition of its people. At the same time, Southern Africa has become a major focal point for U.S. economic assistance and overseas market development. Namibia is not only a potential model for democracy and development in Southern Africa, but a positive force for conflict resolution throughout the region. And, while Namibia currently enjoys political stability, the future of its fledgling democracy is by no means assured.

Moreover, Namibia's inability to maintain internal political stability would have a destabilizing effect throughout Southern Africa. It would greatly discourage other emerging democracies in the sub-region and diminish an important U.S. foreign policy achievement. Namibia's failure to achieve its development goals would also be a major setback to the cause of economic and social progress in this important region.

U.S. Assistance to Namibia

Since FY 1991, the U.S. has provided almost \$70 million in development and humanitarian assistance to Namibia. From the outset, there appeared to be a consensus within USAID that USAID/Namibia's main focus should be on basic formal education (with other major donors concentrating their efforts in the productive and health sectors). However, despite numerous strategy exercises and program assessments dating back to 1989, USAID/Washington has never approved a multi-year strategy.

By late FY 1991, USAID/Washington concluded that the USAID Namibia program should have *two* Strategic Objectives: (1) basic and non-formal education; and (2) natural resources management, and a "target of opportunity" (T.O.) in democracy and governance. A year later, this was changed to *one* S.O. and two T.O.s. A Senior Management Team from Washington visited Namibia late in 1994 and, based on their findings, concluded that there should be *three* separate Strategic Objectives: in human capacity building, natural resources management, and democracy/governance. USAID/W has on several occasions reconfirmed that guidance.

Over the past five years, most of USAID/Namibia's resources (approximately 70 percent) have been invested in education and training. The first major component of the program, a non-project assistance (NPA) in basic education (authorized in FY 1991 and terminated in FY 1994), provided \$16 million in budget support for the GRN's education reform program and another \$500,000 under a companion support project for technical assistance.

This was followed in FY 1992 by an expansion into non-formal adult education through NGOs and launching of a major natural resources management project with regional funds. USAID/Namibia began a scholarship degree program under the African Training for Leadership and Advanced Skills (ATLAS) project for MA degrees with an initial \$300,000 buy-in. Modest democracy/governance activities were started under U.S. Embassy auspices, with Section 116(e) funds; and \$2.6 million in food-aid together with supplemental humanitarian assistance (\$1.4 million) were provided to help Namibia cope with a serious drought.

In FY 1993, owing to problems with the NPA, USAID/Namibia was only able to obligate \$1.6 million in bilateral funds and another \$1.5 million in regional SARP funds in support of the LIFE project.

In FY 1994 USAID/Namibia undertook a major redesign of the basic education reform program, moving from NPA to projectized assistance. This was followed in early FY 1995 with the recast of the non-formal adult education project to incorporate the \$1 million HIV/AIDS support to NGOs involved in HIV/AIDS education, and to refocus activities for greater results at the ultimate customer level. In late FY 1995, the regionally-funded environmental activity was amended to include improved customer focus, while additional funding was provided to support community based natural resources management through August 1999.

The Overall Goal and Strategic Objectives

The goal of the U.S. assistance program in Namibia -- the over-arching goal of this CSP -- is *the strengthening of Namibia's new democracy and the social, economic and political empowerment of Namibians historically disadvantaged by apartheid.*

The goal is intended to help Namibia reverse a century of colonial rule and apartheid in which the country's human, natural and physical resources were exploited to benefit a small minority of the population. The goal corresponds to the GRN's overall objective as enshrined in Article 98 of the nation's Constitution: "securing economic growth, prosperity and a life of human dignity for all Namibians".

This goal will be achieved through three inter-related Strategic Objectives:

- S.O.#1: Improved Performance and Education/Training Opportunities for Historically Disadvantaged Namibians;**
- S.O.#2: Increased Benefits to Historically Disadvantaged Namibians from Sustainable Local Management of Natural Resources; and**
- S.O.#3: Increased Accountability of Parliament to All Namibian Citizens**

These three Strategic Objectives are *not new*. They reflect the ongoing program, as it evolved over the past five years. What is new is that: (1) each of the S.O.s has been extensively vetted with USAID/Namibia's development partners, stakeholders, and customers, and represents a full understanding and agreement on what the U.S. assistance program in Namibia should be striving to achieve over the next five years; and (2) as described in Section II, the three S.O.s have been rationalized, refined, and packaged in terms of Results Packages, Intermediate Results, Performance Targets, Performance Indicators, Exit Goals etc., in accordance with the new reengineering guidance.

In achieving the three Strategic Objectives, USAID/Namibia's approach is to rely to the maximum extent possible on Private Voluntary Organizations (PVOs) and Non-Governmental Organizations (NGOs) to deliver U.S. assistance to intermediate and ultimate customers. This approach, by which fully two-thirds of USAID/Namibia's portfolio is being implemented by PVOs and NGOs, is in keeping with the New Partnerships Initiative (NPI) regarding NGO empowerment.

Another aspect of USAID/Namibia's strategic approach is its *consistency*. All planned future activities are extensions or second phases of *existing* Results Packages.

Program Options and Funding Levels

As indicated above, USAID/Namibia was instructed to develop this CSP with three potential funding scenarios. Over the past five years, the program has averaged approximately \$12.3 million a year, with about \$3 million coming from Southern Africa's regional funds.

Thus the \$9.4 million Funding Option (plus assumed regional funds) would basically correspond to the *current level* of USAID/Namibia's program. If this level were maintained over the five-year life of this CSP, USAID/Namibia believes that it would have sufficient funds to fully support the implementation of this CSP and achieve the *Intermediate Results* relating to its three Strategic Objectives. Assuming a continuation of funding at a similar level for *another five years*, then USAID/Namibia believes its overall Goal and S.O.-based "Exit Goals" can be fully achieved within ten years.

Under the \$8 million Funding Option (plus somewhat less regional funding) USAID/Namibia would have to scale back its activities in all three Strategic Objectives. However, the overall Goal and specific Exit Goals could still be achieved in perhaps thirteen to fifteen years.

The \$6 million Funding Option (which assumes no regional funds) would clearly put this entire CSP at risk and precipitate a marked change in USAID/Namibia's Strategic Objectives. It would

be necessary to concentrate all of USAID/Namibia's available resources on S.O. #1 (human resources development including basic formal education) and phase out all USAID/Namibia activities in S.O. #2 (natural resources management) and S.O. #3 (democracy and governance). S.O. #2 activities might conceivably be continued, but they would have to be managed from the Regional Center for Southern Africa (RCSA) in Botswana, since USAID/Namibia shall no longer have the necessary staff resources to manage those activities under the Option #3 scenario.

Staffing and Operating Expenses

The USAID/Namibia staff currently totals five U.S. Direct Hire officers, two U.S. Personal Services Contractors, and 28 Foreign Service National employees. This small staff is currently stretched out to the maximum as it strives to implement its current \$75 million portfolio (includes regional funds) and also respond to the Agency's many other regional and other on-going demands.

If the Agency approves this CSP at the first or second Funding Options, and if USAID/Namibia is to fully implement reengineering and participate actively in Initiative for Southern Africa (ISA) activities, then USAID/Namibia will require a level of Operating Expenses funds (and U.S. PSC ceilings) that will allow a modest increase in USAID/Namibia's OE and program-funded staff. As detailed in Section III, this would necessitate one additional U.S. PSC (Democracy Adviser). If Funding Option #3 prevails, the situation will be reversed: USAID/Namibia will have to eliminate one USDH and one U.S. PSC position as well as several FSN positions.

Next Steps and Actions

Once the CSP review process in Washington has been finalized, USAID/Namibia will need to quickly begin the implementation of the required actions to meet USAID/W objectives under Reengineering. The following are four of the priority actions and next steps identified by USAID/Namibia as critical to the implementation of the CSP:

- A. Completion of a Management Contract with USAID/Washington by February 18. This proposed date will enable USAID to meet the various deadlines imposed for submittal of certain documentation and reports listed below.
- B. Submittal of the final version of the Monitoring and Evaluation Plan (appended in draft form) by September 1996.
- C. Completion of the Customers Service Plan (appended in draft form) by May 1996.
- D. Submittal of the Results Reporting and the Resources Request (R4) based on Africa Bureau Guidance (95 STATE 239691) of two separate documents (R2/R2): the Results Reporting (R2) in early FY 1996 followed by submittal of Resources Request (R2) in mid FY 1996.

SECTION I. SUMMARY ANALYSIS OF THE ASSISTANCE ENVIRONMENT

A. Namibia: A Brief Overview

Namibia is a vast, arid and sparsely populated country, about twice the size of California, located on Africa's southern Atlantic coast. Its population of 1.6 million includes a rich diversity of ethnic and cultural groups who speak eleven different major languages. Namibia gained its independence on March 21, 1990, ending more than a century of harsh German colonial and South African apartheid rule and a bloody liberation struggle.

Fully half of the Namibian population is considered to live below the poverty line, with the top seven percent of the population accounting for fully 48% of national consumption. Only 40% of the adult population is literate; the unemployment rate is between 35 and 40%; and malnutrition rates in many rural areas are among the highest in southern Africa. In terms of social indicators, Namibia is clearly in the relatively-least-developed country category.

However, Namibia is blessed with physical assets, and a natural resource base, that are superior to most other developing countries. A positive legacy of the colonial period is a highly-developed infrastructure of roads, ports, airports and modern communications, and a well-established banking and financial system.

Namibia has significant reserves of precious minerals, including diamonds, gold, silver, tin, zinc, copper and uranium. Offshore exploration for oil is in progress, and recently-discovered undersea deposits of natural gas are waiting to be exploited. There is also great potential for expanding the fishing and tourism industries.

Namibia, although a small country with large economic and social problems, has better prospects than most developing countries for overcoming them. Indeed, with donor assistance in strategic areas, and support from the private sector, Namibia can realize its potential for becoming a solid development success story within a generation or less.

B. U.S. Foreign Policy Interests

The United States had played a pivotal role in the diplomatic negotiations over the previous 15 years which finally brought independence and peace to a country that had for many years been known as "Africa's last colony." The country's first elections involving all its citizens had been held under UN supervision in November of 1989. It provided representatives to a constituent assembly that drafted Namibia's new constitution and elected Dr. Sam Nujoma, the leader of the independence movement known as the South West Africa Peoples Organization (SWAPO), the nation's first president.

Given its large investment of political capital, and the special role which the United States played in the long diplomatic negotiations that led to Namibia's Independence, the U.S. has a special stake and interest in the new nation's future.

The GRN's success in overcoming its colonial past, establishing and maintaining a viable, multiparty democracy, and improving its economic and social condition, is very much in the

U.S. foreign policy interest. Namibia is not only a potential model for democracy and development in southern Africa, but a positive and constructive force for conflict resolution throughout the sub-region. This is particularly true with respect to Angola, Namibia's neighbor to the north. Angola's successful transition to peace and democracy will benefit to a significant extent by Namibia's stability, progress and economic linkages.

Conversely, Namibia's inability to continue its economic growth, and the improved social equity such growth makes possible, and to maintain its closely interrelated internal political stability, would have a destabilizing effect throughout southern Africa. Namibia's failure as a democracy would greatly discourage other emerging democracies in the sub-region, and diminish an important U.S. foreign policy achievement. The GRN's failure to achieve its development goals similarly would be a major setback for the cause of economic and social progress in southern Africa.

Thus, overriding goals of the U.S. Diplomatic Mission in Namibia, as expressed in the American Embassy's Program Plan for the period 1995-1996, are "to promote democratic structures and a civic culture in Namibia. . . . and to assist Namibia to implement its strategy for sustainable development and utilization of natural resources." Specific U.S. Mission goals outlined in the Plan include:

- Assisting Namibia to sustain its multi-party, non-racial democracy, with strong adherence to its formal Constitution; and reinforce the GRN's commitment to transparent governance, pluralism, human rights, affirmative action and the rule of law;
- Assisting the GRN to develop a universally accessible non-racial and high-quality educational system to meet its future human resource needs;
- Assisting the GRN and local NGOs to develop policies on conservation of natural resources, land and water management;
- Encouraging the GRN to move toward an open and market-based economy, and away from donor dependency; and
- Encouraging the GRN's engagement in regional conflict resolution.

These goals of the U.S. Mission in Namibia are directly related to two of the most important U.S. foreign policy objectives of the 1990s: promoting democracy abroad, and protection of biodiversity. Both of these objectives are major features of Namibia's Constitution and the GRN's national development policy, and both are key elements of the USAID assistance strategy in Namibia.

C. Significant Political, Economic and Social Trends

Prior to independence, Namibia was divided into political regions based on German and later South African colonial policies of racial and ethnic segregation and land expropriation. Namibia

was for many years administered as a fifth province of the Republic of South Africa. But it was treated very much as a backwater in terms of its political, economic and social development.

In December 1989, Namibia held its first free elections which brought to power the South West Africa People's Organization (SWAPO) and Independence on March 21, 1990. Namibia's new Constitution -- patterned on both the American Constitution and the British parliamentary system -- provides for a National Assembly, a second house in Parliament, called the National Council and a new internal, regional political structure. By 1992 thirteen new regions were defined, and Namibia's first democratic regional and local elections were held in November of that year. These led to the establishment of the National Council -- with two representatives from each of the new regions -- as well as 13 elected Regional Councils at the local level.

In the early 1990s Namibia's entire public administration system was also completely restructured. The former ethnically-based and multi-tiered system was replaced with a unified structure of 20 ministries. At the same time, other new GRN entities were established (or old ones restructured) in order to assure the smooth functioning of an independent and democratic state and to protect the civil liberties guaranteed by the new Constitution. The new units included the Public Service Commission, the offices of the Ombudsman, Auditor-General, Attorney-General and Prosecutor-General, Inspector General of Police, as well as the new Namibia Defense Force and National Police Force.

In December of 1994 Namibians went to the polls again to elect a new National Assembly. Seven political parties competed in the country's second multi-party election at the national level. Winning more than 70% of the votes cast -- in a free and fair election -- SWAPO easily overwhelmed its opponents. The runner-up DTA Party took 20.5% of the vote, while none of the smaller parties gained more than 3%. However, there is growing concern that the absence of a strong opposition party or parties could lead to a SWAPO-dominated state or an excessively strong Presidential government.

Five-and-a-half years after independence, Namibia appears, on the surface, to have achieved national reconciliation and successfully established the non-racial, democratic society that its Constitution envisioned. The formal institutions of a modern democratic state and a multi-party political system appear to be firmly in place. The GRN has established a generally good record as a servant of the people and protector of their human rights.

Yet, Namibia's long-term political stability is not assured, because so little has changed in *economic* terms for the majority of the population: Namibians who remain historically disadvantaged by apartheid. It is not clear how long the present spirit of reconciliation will last if the economic situation does not begin to improve soon for historically disadvantaged Namibians. The October 1995 demonstrations of the unemployed ex-combatants served as a "wake up call" to all concerned that continued economic progress that visibly *includes* the majority population is the *sine qua non* for further democratic development and for continued GRN policies favoring private sector-led growth.

In summary, while Namibia currently enjoys a political stability and openness that is second to none in sub-Saharan Africa, the future of its fledgling democracy is by no means assured.

With an average growth rate of 2.9% over the last five years (about 5% if the drought year (1993) is excluded), the Namibian economy has performed better since independence than at any time since 1980 -- despite low private sector investment and falling world prices for Namibia's major exports. From the outset the new GRN adopted prudent macroeconomic policies, including a relatively tight fiscal policy that has resulted in a good international credit rating. The current account on balance of payments has consistently maintained a surplus, based on the healthy demand for Namibia's products, particularly diamonds. The following table shows major economic trends starting with 1989, the last year before Independence.

| Major Economic Trends | 1989 | 1990 | 1991 | 1992 | 1993 | 1994 (est) |
|-------------------------------------|------|------|------|------|------|------------|
| GDP growth rate | -0.6 | 0.8 | 5.6 | 5.6 | -3.3 | 5.4 |
| Inflation | 15.1 | 12.0 | 11.9 | 17.7 | 8.5 | 10.7 |
| Gov spending as % of GDP | 37.4 | 36.5 | 42.9 | 44.6 | 40.8 | 39.3 |
| Gov deficit as % of GDP | 6.2 | -1.3 | -2.9 | -5.8 | -4.9 | -4.4 |
| Current account balance as % of GDP | 1.3 | 0.5 | 7.7 | 4.6 | 6.4 | 7.7 |

As the table shows, GDP growth has been generally quite strong, despite the 1993 downturn which revealed the country's sensitivity to problems in the world mineral markets and the effects of drought. Inflation, was running at 12 to 15% in the years prior to Independence, has settled into an 8 - 10% range for the last several years. The most prominent trend is the GRN's effort to provide additional services to historically disadvantaged Namibians. The pressure to expand social services increased Government spending and the Government deficit as a percentage of GDP in the early years of Independence. From 1993, however, strong fiscal discipline has reduced Government as a percentage of GDP.

The trends with respect to the percentage contribution to GDP of the major sectors has been mixed, as the following table taken from the UN Round Table Document and the first five year National Development Plan reveals.

| % Contribution to GDP by Sector | 1986 - 1989 | 1990 - 1993 |
|---|-------------|-------------|
| Agriculture | 11.0 | 9.0 |
| Fishing | 1.6 | 2.9 |
| Mining and Quarrying | 27.0 | 17.2 |
| Secondary Sectors (excluding Fish Processing) | 8.3 | 9.1 |
| Fish Processing | 2.1 | 2.8 |
| Tertiary Sectors (excluding Government) | 27.8 | 31.7 |
| Government | 22.3 | 27.5 |

The most significant trends are: the increase in importance of the fishing industry; the rise in Government contribution to GDP, as the GRN substantially increased its spending in the social sectors; the sharp fall in the contribution of the mining industry (though it made a strong recovery in 1994); and the reduction in the agricultural sector. A significant statistic which the table does not reveal is that subsistence agriculture's contribution to GDP is only two percent, though it represents the main livelihood of fully 70% of the Namibian population.

Internationally, the GRN has developed a good reputation for its support for a free market economy. The Foreign Investment Act of 1990 provided protection from nationalization, the international remittance of capital and profits, currency convertibility, and fair arbitration of disputes. Thus far, however, the liberal investment climate has not attracted many foreign investors. This is due to the small domestic market, the reluctance of Namibia's established white private sector to welcome outside competition, and protectionist laws and regulations that are still in effect from the colonial period, even though the GRN's policy is to support a free market economy.

The GRN is supporting diversification of the economic base, particularly in tourism, fish processing and manufacturing. It is actively promoting the private sector, rather than parastatals, in its efforts at job creation. But, for the medium-term, the country is likely to remain highly dependent on primary commodity exports: minerals, livestock, and fish. The export surplus in most years has led to significant capital flight, primarily to South Africa. The growing budget deficit has prompted the World Bank and the International Monetary Fund (IMF) to suggest measures that would bring the budget back in balance, through tax reforms and possible expenditure reductions

Namibia remains very sensitive to fluctuations in the economic situation of its big neighbor, South Africa. Namibia is part of the South African Customs Union (SACU) and the Common Monetary Area (CMA). Although it has adopted its own currency, the Namibian dollar is maintained on par with South Africa's Rand, which is still legal tender in Namibia. As a result, Namibia has effectively continued its pre-Independence policy of linking its monetary, exchange rate and trade policies with those of South Africa.

Despite the economy's relatively good performance since Independence, there has been no positive trend with respect to the nation's most pressing economic and social issue: *the wide, race-based, disparity in incomes among its citizens*. Namibia's economy is based on a few natural resource-based sectors, most of which are capital intensive and have, as yet, made little contribution to increasing employment and reducing income inequality.

The following table, based on a World Bank study, shows income shares of the three major segments of the Namibian population *circa 1988*. No later figures are available, because the new GRN has (as a matter of policy) no longer collected any data on the basis of race. But it seems fairly certain that these percentages have not changed appreciably over the past seven years.

| Population Segment | Share of population | Annual GDP per capita | Share of GDP |
|---------------------------|---------------------|-----------------------|--------------|
| Subsistence Sector (HDNs) | 55% | \$85 | 3.4% |
| Modern Sector (HDNs) | 40% | \$750 | 25.4% |
| Modern Sector (Whites) | 5% | \$16,500 | 72.2% |

This massively skewed income distribution -- which creates enormous social and economic tensions -- also has a geographic aspect. The majority of the poor -- 70% of the total population -- lives in the northern rural areas, while the relatively wealthy minority (white) population -- approximately 5% -- lives mainly in the urban areas and southern parts of the country.

Namibia's poverty also has a gender bias. Forty percent of all households are female-headed and these are almost exclusively historically disadvantaged Namibian households. In urban areas, the incomes of female-headed households are substantially lower than male-headed households. In rural areas female-headed households have less access to productive inputs. Although Namibia has a GDP per capita almost three times the average for sub-Saharan Africa, its social indicators are not much better than that of the region as a whole. Adult literacy is estimated at no more than 40%. Only 63% of the population has access to potable water. More than half the population lacks adequate housing and shelter by modern standards. The majority of Namibians lack access to adequate sanitation facilities and health services. Chronic malnutrition is estimated at 30% for the population as a whole, and as high as 40% in some northern areas. *Namibia has the highest malnutrition level of any country in the world with a per capita income above \$1000.*

Namibia's overall population growth rate is estimated at 3.1%, which means the population will double in 23 years. The growth rate in the northern Okavango region is thought to be the highest in sub-Saharan Africa.

D. Development Constraints and Opportunities

Namibia faces formidable constraints in its efforts to improve the economic and social condition of all its people. Foremost among these is that many of the legacies of the apartheid system are still present. Five and a half years after independence - due in part to the GRN's "go slow/reconciliation" policy and negotiated Constitutional constraints -- much of the colonial social and economic infrastructure remains in place; and it continues to influence the GRN's resource allocations. A corollary constraint is the overall structure of the economy that Namibia inherited at Independence. To assure long-term economic growth, the GRN must manage a transition from a heavily primary-based economy to a more diversified one in which the secondary and tertiary sectors contribute a greater share to economic growth.

Another major constraint is the country's fragile eco-system. Environmental damage in the form of bush encroachment, deforestation, overgrazing and soil erosion in both the commercial and, especially, the communal farming areas costs the country millions in lost production every year. Indeed, much of Namibian economy is built on renewable resources, i.e., agriculture, fishing

and tourism, and inadequate policies and programs to effectively manage these natural resources is another major constraint to the nation's development.

Within the agriculture sector, increased production on both private farms and in communal areas is further constrained by a number of other factors: Namibia's very arid climate, in which drought is not an infrequent occurrence; the very low productivity of much of the land; and severe imbalances in land ownership and allocation between the minority and majority population groups.

Although Namibia is sparsely populated, it still has a population problem. With an average per capita GDP growth rate of 2.9% over the last five years, and a 3.1% population growth rate during the same period, it is easy to understand that here is another serious constraint which must be overcome. The GRN has become increasingly aware of this constraint and is committed to the early development of a National Population Plan to enable it to meet the reduced population growth target in its new First National Development Plan (NDP#1) of 2.9% by the year 2010. Other donors are committed to providing Namibia with family planning assistance.

Many of the old laws are still on the books. They are continuing to stifle competition and investment, and to discourage individual initiative, especially in the areas of self-employment, micro-enterprise and the informal sector. Overturning the old legal framework -- and arresting the dualist development which it fostered -- remains a serious challenge to the GRN. The major impediment to removing these laws appears to be an insufficient number of competent drafting attorneys.

Finally, growth in *every* sector of the economy is severely constrained by the shortage of skilled, experienced and trained human resources. There are not enough Namibians qualified to fill the available positions in the formal sector (in which there is a 10% skills deficit). Decades of inadequate education and training for the majority population, particularly in the rural areas, has severely limited their access to jobs and economic opportunity, as reflected in Namibia's very high unemployment figures.

These many constraints to Namibia's development present a daunting challenge to the GRN and the donors who are providing the new nation with assistance. Yet, from a donor perspective, Namibia presents great opportunities as well.

Few other developing countries have shown a greater commitment to democracy and development. Few have a better record on human rights. Few are doing as good a job of putting the "right" policies in place. Few are as sensitive to environmental and gender issues. Few appear as free of corruption. And no developing country appears more inclined to maintain a collaborative relationship with the donors, while striving eventually to become independent of donor aid. In short, there are few developing countries in the world today that offer the donors a more positive assistance environment.

E. Host Country and Regional Priorities

From Independence until very recently, the GRN sought to achieve the country's development goals through a Transitional Development Plan. This Plan has now been replaced by a

comprehensive First National Development Plan, covering the period 1995/96 -1996-2000 (which coincides with the planning period covered by this USAID strategy).

The new NDP #1 was approved by Parliament in early November 1995 and later, that same month, was presented to the donor community at the UN sponsored First Round Table Conference on Namibia in Geneva in a summarized form entitled "Towards Sustainable Development." According to the latter document, the "critical development issues" which the Namibian economy has to contend with during the medium-term include:

- An unusually highly skewed income distribution along racial lines, together with widespread poverty. The income inequities are reflected in differences in access to health, education, land, housing and other social amenities;
- Lack of trained manpower to assist in the management of the economy and social institutions;
- Periodic drought coupled with a highly fragile and degraded environment and ecosystem;
- Rising unemployment;
- Existence of legal, regulatory, and restraining practices that restrict competition in virtually all economic activities; as a result, investment has been constrained;
- The current modest level of economic growth and rapid increase in population resulting in a decline in per capita income over the last five years; and
- High expectations of society, as to the economic and social benefits to be reaped after five years of Independence.

In order to address these development issues the GRN has established the following as its national development objectives for the next five years:

- Reviving and sustaining economic growth, to raise per capita incomes;
- Creating employment opportunities, especially in the private sector;
- Reducing inequalities in income distribution; and
- Designing economic and social programs to help the poor and the relatively more vulnerable groups of the society, and to reduce the incidence of poverty.

These objectives commit the GRN to pursuing policies which are outlined in the Constitution and "based on the principles of a mixed economy with the objective of securing economic growth, prosperity and a life of human dignity for all Namibians." The GRN's development strategy is to achieve growth with equity in partnership with the private sector -- and private and foreign

investors -- playing a crucial role in income and employment generation. The strategy assigns priority to the following "principles:"

- Providing an enabling environment for private sector development, which will include: pursuing the appropriate macro-economic policies; improving the regulatory framework; maintaining the transport and communications infrastructure; playing an active and catalytic role in assisting the private sector; and concentrating on the areas with the greatest potential for job creation and income generation;
- Human resource development, including vocational and academic training and job creation programs;
- Investing in people, i.e., a continuing GRN commitment to provide significant resources for social services, with 25% of total NDP#1 resources earmarked for education and 16.6% for health and other social services;
- Increasing people's participation, i.e., encouraging and empowering people to play a greater role in their development; this principle includes a GRN commitment "to foster stronger collaborative efforts with NGOs to develop community capacity in the design, implementation and management of development programs;"
- Sustainable development, not only from an environmental perspective, but also from a financial, economic and institutional point of view. The NDP #1 commits the GRN to "a prudent fiscal policy," very serious attention to "environmental management" and sustainability in the design of development projects, and the formulation of a national Population Policy; and
- Making GRN services more efficient and responsive, including defining responsibilities and developing capacity at the local government level, a review of the efficiency of parastatals, and improvements in planning, budgeting and monitoring systems.

With respect to regional priorities, the GRN participates in regional organizations, most notably the Southern African Development Community (SADC) and the South African Customs Union (SACU). The document prepared for the UN Round Table Conference on Namibia states that "international cooperation amongst southern African countries will become increasingly important. Namibia therefore welcomes the development of regional forums for the discussion of aid and development issues, and the development of regionally-oriented aid programs to support the development of linkages amongst SADC countries."

Namibia currently has two high-priority regional infrastructure projects with neighboring countries: the African Development Bank-financed Trans-Kalahari Roads Project, with Botswana, almost completed; and the International Fund for Agricultural Development-financed Epupa Dam Project, with Angola, still in the feasibility phase. Also, the GRN was a participant in the recently-completed SARP-financed Regional Water Assessment.

It has also expressed keen interest in the U.S.-sponsored Southern Africa Enterprise Development Fund (SAEDF), which it hopes emerging Namibian entrepreneurs will be able to tap. Namibia's capital outflow to the Republic of South Africa (RSA) -- mainly through pension funds and insurance companies -- constitutes a regional problem which the GRN has stated it will design policies to overcome.

In 1994, Namibia enacted legislation that required locally-registered financial institutions to re-invest 35% of their profits in the Namibian economy (rather than the Johannesburg Stock Exchange). As a result, there was a surge in listings on the fledgling Namibian Stock Exchange, and a boom in commercial real estate development in Windhoek and other key towns. However, this new infusion of capital has yet to work its way into the hands of the majority of Namibians.

F. U.S. Assistance to Namibia (FY 1991-95)

The United States began planning for development assistance to Namibia well before the country achieved its Independence. In June of 1989 a three-person team from USAID's Africa Bureau visited Namibia to develop options for a post-Independence USAID program. The Team's September 1989 report recommended various programmatic approaches -- primarily in the education and health sectors -- but none were formally adopted.

By the time of the first international donors' conference on Namibia in June of 1990, a consensus appeared to have been reached that USAID's focus should be on basic formal education. It was also determined that the program should use less management-intensive modes of assistance, in order to minimize the requirements for direct-hire staffing and operating expense costs.

An initial funding level of \$16.5 million (\$10 million in ESF, \$6.5 million in DFA) was approved for USAID/Namibia in FY 1991. (Only \$30,000 in support of Peace Corps SPA program had been spent in FY 1990). The first major component of the new program -- a hastily-designed basic education NPA Program -- was authorized in March of 1991. But there was still no official U.S. assistance strategy for Namibia, and USAID/Namibia was requested to prepare a so-called Strategy Concept Paper in late 1991. The USAID/W review of that paper concluded that "the USAID/Namibia program would be permitted to have two strategic objectives: (1) basic formal and non-formal education and (2) natural resource management.". Some assistance in democracy/governance was also approved as a "target of opportunity".

In June of 1993, President Nujoma became the first African Head of State to meet with President Clinton. Reporting cables on that meeting (and a subsequent meeting with Secretary of State Christopher) indicated that Namibia was considered by the U.S. to be a highly regarded democratic partner in Africa, and that the U.S. would look favorably on Namibia's need for additional assistance in training, scholarships and combatting HIV/AIDS.

In late CY 1993, the newly-appointed USAID Representative to Namibia held extensive consultations in Washington on the future focus of the program. This resulted in his arriving at Post in early 1994 with an "interim program approach" that USAID/Namibia considered to be its "contract" until a new "revised strategy concept paper" -- which ultimately became this

document -- could be prepared. That "contract" (94 STATE 024053) authorized USAID/Namibia to:

- Proceed with broad discretion to make the necessary changes in the education program, in order to get it back on track;
- Add an "expanded program thrust" in human resources development, by conducting an assessment of the human resources sector and developing options for "modest interventions" in that sector;
- Add a "new program thrust" in democracy and governance, by conducting a full-scale D/G assessment, and designing a highly-focused new D/G activity; and
- Add an "expanded program thrust" in HIV/AIDS, as a component to one of USAID/Namibia's on-going projects.

During FY 1994 USAID/Namibia: redesigned the education program in a manner that secured the full participation of the GRN and brought into the new "project" substantial U.S. Peace Corps resources; developed a unique, private sector affirmative action training program; conducted the D/G assessment; developed an HIV/AIDS initiative; and provided substantial incremental funding to its ongoing projects and activities.

In May 1994, Vice President Gore visited Namibia. During that visit he reaffirmed U.S. support for Namibia's development and responded positively to President Nujoma's request for additional D/G assistance.

In FY 1995, USAID/Namibia continued to obligate new monies for components of its existing portfolio, while providing initial funding for the newly-designed Democratic Institution Building Project, and \$1 million for the new HIV/AIDS initiative under the READ Project. However, this was accomplished even as new uncertainty about the future direction of the program arose.

The review of the USAID/Namibia's FY 1996 Action Plan in July of 1994 raised USAID/W's concern that the program was "not sufficiently focused." USAID/W announced that it was therefore sending a Senior Management Team to Namibia as a prelude to USAID/Namibia's design of its five year program strategy, tentatively scheduled to be submitted in May 1995.

The Senior Management Team's visit in October of 1994 resulted in what it termed "a consensus on the USAID role in Namibia, the goals of the USAID program, mechanisms and the rough time needed to achieve those goals, and Mission staffing needs." The Team concluded that "the USAID program with its focus on education and training. . . . can and does play an important role in overcoming the effects created by decades of apartheid, and that there will be a need for continued U.S. assistance *for at least ten years* to ensure institutionalization of its impact." (Emphasis supplied.)

The Team endorsed a continuation of all ongoing projects and activities, while calling for narrowing the sectoral focus of the READ Project, and recommending a reduction in the level

of effort regarding the planned HIV/AIDS component of the READ Project. It also expressed the view that "there may be a strong case for more than one strategic objective in Mission strategy, including separate objectives in human capacity building, natural resources management, and democracy/governance." The Team supported USAID/Namibia's request to restore its fifth U.S. direct-hire position, which occurred in early FY 1995 (94 Windhoek 02648.)

G. Accomplishments and Lessons Learned

The U.S. aid program in Namibia -- although just under five years old -- can be credited with a number of solid accomplishments, particularly in promoting policy reforms in education and natural resource management.

USAID/Namibia has played a major role in helping the GRN reform and improve its basic education system, including:

- Shifting the focus of its formal education reform significantly toward primary education -- not an easy task -- given the many strong proponents of strengthening secondary and tertiary education;
- Moving from the former examination-driven system, that was designed to effectively weed out 40 percent of the disadvantaged population, to a learner-centered, continuous assessment system;
- Shifting a greater proportion of its education investments to communal and other rural and peri-urban areas; and
- Introducing policy reforms that have strengthened local community control of education.

Further, in the area of natural resource management, USAID has helped the GRN strengthen a fledgling Community-Based Natural Resources Management (CBNRM) program, that is allowing local communities to form "conservancies" to better manage their resources for the common good. USAID-financed economic and social assessments have been undertaken in three major ecological regions. USAID's assistance has fostered: the formation of community game guards in three regions; the establishment of an environmental education center in the Windhoek township of Khomasdal and formation of an association of community-based tourism bodies; and capacity-building of both field-based NGOs concerned with environmental issues and the Directorate of Environmental Affairs. Most importantly, USAID/Namibia has substantially raised natural resource management awareness levels among a host of stakeholders, partners and customers, both in Windhoek and in rural communities.

USAID's initial accomplishments in democracy/governance include: completion of a national D/G assessment, staff training for the National Assembly and National Council, political party building, voter education, and election monitoring. Perhaps most importantly, USAID's initial work with leading parliamentarians in the assessment, designing and early implementation of the new Democratic Institution Building (DIB) Project, has supported the development of a

consensus in favor of improved transparency and accountability, and more participatory legislative processes through open public hearings and other approaches.

It should be noted that prior to 1994, the U.S. Embassy was the primary supporter of D/G activities in Namibia, through Section 116(e) grants. These included testing new approaches and small, pilot projects, since incorporated into the USAID-financed democracy and governance S.O. #3. Other complementary activities include production of plain-language summaries of the Constitution and parliamentary legislation; and the provision of reference materials on law, human rights and democracy/governance to public institutions.

With respect to "lessons learned," USAID/Namibia's initial effort to provide non-project assistance in the education sector was its most salutary learning experience. The decision not to continue the education NPA was made after considerable difficulties with the complex NPA mechanism owing to lack of experience on the part of the GRN, and failure to adequately explain and communicate issues such as conditionality on the part of USAID/Namibia. This problem was further exacerbated by pressures to meet fiscal year obligation targets imposed by USAID/Washington. Since that time, USAID/Namibia has worked diligently to arrive at a mutual and acceptable working relationship with GRN officials that includes continuous and frequent dialogue and ensuring GRN's full participation in designs and implementation activities at all stages of development.

H. How Customer Needs Were Established

USAID/Namibia has engaged in extensive consultations with its stakeholders, partners and customers to establish ultimate customer needs and to obtain their inputs at every stage in the development of this strategic plan.

- In October of 1994 USAID/Namibia used the visit of the Senior Management Team from USAID/W as an opportunity to meet with its senior partners in the GRN to discuss the upcoming strategy exercise and garner their initial support and involvement. The Team's visit was also used as the occasion for initial strategy input meetings with NGO representatives, including AFRICARE and numerous indigenous PVOs/NGOs working at the grass roots.
- In March of 1995, the three top levels of GRN officials in the four partner Ministries concerned with the USAID program were changed as a result of a major Cabinet reshuffle. USAID/Namibia management used this change as an opportunity to arrange a series of briefings with the new appointees to acquaint them with the ongoing program as well as the planned strategy exercise. These four partners are the National Planning Commission, and Ministries of Finance, Basic Education and Culture, and Environment and Tourism.
- Further meetings have been held periodically with GRN officials to maintain a continuing dialogue as the USAID/Namibia's strategy evolved, and to assure that it meshed with the GRN's own five-year Development Plan. GRN officials in turn used these meetings *to obtain USAID's input to their planning exercise*. This consultation resulted first in the incorporation of substantial USAID inputs into

NDP #1, particularly in human resources development and other program areas. These discussions culminated in several meetings in mid-October 1995, at which the final draft of this CSP was presented to all the major GRN partners, and their support for the proposed strategy was obtained.

- In April of 1995, USAID/Namibia convened a Retreat in which a host of its other partners participated in the initial "brainstorming" of the proposed strategic objectives. Participants included representatives from the U.S. Peace Corps, the World Wildlife Fund, World Education, Inc., the National Democratic Institute, and the Institute of International Research.
- Throughout the past year USAID/Namibia has used the regular Steering Committees (established for each project to review progress on project implementation and direction) as fora for discussions of customer needs. These meetings produced significant inputs to the results framework, indicators and development of USAID/Namibia's Strategic Objectives.
- At the level of ultimate customers, specific inputs on customer needs under each Strategic Objective were obtained from various sources at the community level, e.g., the needs of students, as identified by U.S. Peace Corps Volunteers, primary school teachers and principals, and the needs of the beneficiaries of USAID/Namibia's other ongoing projects as identified by implementing agents' Chiefs of Party. The many consultations that USAID/N conducted during its mid-1994 D/G Assessment produced important data on customer needs. This data has been supplemented with that collected by the National Democratic Institute (NDI) during their 1995 consultations leading up to development of USAID/Namibia's new D/G results packaged under S.O. #3.

Many USAID stakeholders were either active participants or advisors at various stages of USAID/Namibia's strategy development. This includes numerous TDYers from REDSO/ESA in Nairobi, several TDYers from Africa Bureau/Washington, the Office of CDIE in PPC/Washington and Global's Office of Democracy and Governance.

- The last two meetings with partners, intermediate customers and ultimate customers were held November 14 and 15, specifically to obtain feedback before the final preparation of the CSP document. The initial meeting on November 14 included our partners and intermediate customers and provided information which allowed us to refine and strengthen technical areas. The second meeting on November 15 involved 10 of our ultimate customers and provided a forum for meaningful dialogue. Prior to these meetings USAID distributed a condensed overview of the key points and sections of the draft strategy document, together with draft copies of the Results Framework. This enabled all to have an overview of the focus and intent of our CSP. The results and feedback from these two final meetings have been incorporated into the CSP.

- With recent Agency guidance, USAID/Namibia has just completed a *draft* Customer Service Plan. It spells out the Mission's quality standards for customer service delivery against which each operating unit will develop its own Customer Service Plan regarding the achievement of the Mission's strategic objectives.

I. Coordination with Other Donors

Namibia is a major recipient of donor assistance. In the five years since Independence, the country has received approximately \$450 million in development and humanitarian aid from the international donor community. In its current fiscal year, the GRN expects to finance fifty percent of its development budget through donor aid. Annex C provides a breakout of donor aid to Namibia by sector.

Germany is Namibia's largest bilateral donor, with an aid program averaging about \$27 million a year. The other major bilateral donors are Sweden followed by the United States, Norway and The Netherlands. The United Nations and affiliated organizations, European Union (EU), African Development Bank (ADB) and International Fund for Agriculture and Development (IFAD) are the prominent multilateral donors. Most of these donors have identified Namibia's greatest needs in three sectors: education, health, and natural resource management.

To support the GRN's aid coordination efforts, the UNDP hosts periodic donor meetings at which mutual development issues are discussed. The UNDP also maintains a comprehensive data base on all external assistance to Namibia. This information is shared with the Bank of Namibia for balance of payments purposes and with the NPC for development planning purposes.

Within the GRN, the NPC has the overall responsibility for coordinating donor aid. All aid proposals must be channelled through the NPC and it decides priorities among the GRN Ministries. The Ministries themselves have been paying increasing attention to donor coordination in their sectors, establishing coordination responsibilities and hosting periodic donor meetings. For example, last year the Ministry of Basic Education and Culture convened a meeting of all the donors involved in education. This was done at the request of USAID/Namibia, and proved to be valuable in finalizing USAID/Namibia's human resource development strategy. Over the past year, NPC has sponsored a series of donors meetings in connection with the development of the NDP#1. These began with sectoral reviews and later discussions about the GRN's draft Plan itself. The GRN is assuming primary responsibility for ensuring that aid is well used and that the efforts of the various donors are coordinated. The core document prepared for the First Round Table Conference on Namibia (November 1995) states that:

"improved aid coordination and management are essential if Namibia is to utilize aid resources in a coherent and effective manner. . . . It is quite natural that aid agencies and GRN may have somewhat different perspectives and priorities. . . . GRN's aim is to develop a planning and budget system through which these differences can be reconciled and a set of programs and projects generated that correspond to national priorities and reflects an appropriate balance between different sectors and interests."

The U.S. Ambassador meets frequently with Ambassadors and country representatives from many countries, EU and the Scandinavian bloc, to discuss Namibia's political and economic development problems. A Donors Coordination Group on Human Rights was established in 1994 by those bilateral donors active in human rights and democracy/governance. The U.S. is an active member, along with Sweden, Norway, the UK, Germany, the Netherlands, and the Ford Foundation.

USAID plays an active, if not leading, role in the UNDP-led donor meetings. Shortly after the arrival of the new UNDP Resident Representative in July of 1995, USAID was invited to be the first -- and so far only -- donor to summarize its development assistance program in Namibia and lead a follow-up question and answer session. USAID has also been invited to meet with the heretofore "private" European Union donor group to discuss issues and approaches in preparation for the upcoming Round Table Conference for Namibia. At the November 1995 First Round Table Conference on Namibia, the U.S., represented by the AIDREP, collaborated with and, in some cases, led the other major donors in preparing coordinated statements on subjects such as the need for: improved transparency; improved GRN development planning and coordination; strengthened HRD and natural resources management and coordination; and the urgent need for a national population policy and related family planning strategies.

J. Strategy Development Guidance and Parameters

Namibia is one of three African Missions whose strategy was in process before the *new* reengineering guidance was issued. This factor necessitated frequent and substantive dialogue with USAID/Washington on the evolving new reengineering principles for country strategy plans. In August, three USAID/Namibia employees attended the new reengineering training-of-trainers workshop in Washington. Following the two week "reengineering course", the USAID/Namibia three staffers were joined by the AIDREP and together they attended meetings with key Agency and Africa Bureau personnel to discuss the upcoming strategy development and integration of reengineering principles into the CSP. USAID/Namibia has attempted to capture all elements contained in the Administrative Directive Systems, Chapter 201 Managing for Results: Strategic Planning. Specific Africa Bureau guidance on program and budget per initial parameters for the Namibian program contained in State 068992 (95 March), together with subsequent draft guidance and messages through various channels have been fully incorporated, to the extent possible, into this CSP.

SECTION II. THE STRATEGIC PLAN

A. The Overall Goal

The goal of the U.S. development assistance program in Namibia is *the strengthening of Namibia's new democracy and the social, economic and political empowerment of Namibians historically disadvantaged by apartheid.*

The goal is focused on the rights of the vast majority of the Namibian population: those men, women and children who, until 1990, were denied their rightful opportunity to participate fully in the economic, social, and political life of their own country solely on the basis of race.

The goal addresses Namibia's unique history and development challenges. It is focussed on the past to help Namibia reverse a century of colonial and apartheid rule in which the country's human and physical resources were exploited for the benefit of a small minority. It addresses the injustices of "separate development," which relegated the majority of the population to a life without dignity or opportunity while creating race-based disparities even more severe than those experienced within South Africa. The goal also focusses on Namibia's potentially bright future as a democracy and the need to prepare Namibians to effectively lead their country into the 21st century and prosper as a nation in a highly competitive international environment.

USAID/Namibia's goal corresponds to the GRN's overall objective, as enshrined in Article 98 of the nation's Constitution: "securing economic growth, prosperity and a life of human dignity for all Namibians." Senior officials of the GRN have expressed the view that USAID's overall goal is precisely the goal that all of Namibia's development partners should be striving to achieve.

USAID/Namibia's goal, which will be achieved through three inter-related strategic objectives, has direct linkages to three of five worldwide U.S. assistance goals:

- Goal 1: Broad-based economic growth achieved;
- Goal 2: Sustainable democracies built; and
- Goal 4: Environment managed for long-term sustainability.

As amplified in Section II. B., USAID/Namibia's Strategic Objectives have a direct linkage to seven of the Agency's Objectives, which are grouped under the three Agency Goals mentioned above.

The key word in USAID/Namibia's goal is "empowerment." When the USAID program was first launched in 1991, it was decided to concentrate USAID's limited resources in the education sector, which, though it was not originally expressed in those terms, was intended to contribute to support democracy and the economic and social empowerment of historically disadvantaged Namibians .

As the USAID program evolved, it was recognized that political empowerment was of equal importance, in order to assure a full role for Namibian civil society and individual citizens in shaping and protecting transparent, equitable, pro-growth national development policies and good governance. The goal statement which USAID/Namibia has adopted formally acknowledges these essential interrelationships. Even though the goal is directed primarily to Namibians historically disadvantaged by apartheid, *all* Namibians will ultimately benefit if this Goal is achieved. In this strategy, therefore, USAID/Namibia's goal has a particularly strong linkage to worldwide U.S. assistance Goal 2. It is in the U.S. national interest that Namibia's fragile democracy be supported and nurtured, both for its own sake and as a model for other emerging democracies in Africa and elsewhere.

It should be stated that the achievement of USAID/Namibia's goal, admittedly an ambitious one, is not envisioned by the end of the five-year period covered by this Strategic Plan. Due to our

strategic focus on human and local NGO capacity building, areas which normally show results only in the medium to long-term, achievement of the goal will take at least another decade, under **optimistic** funding assumptions (USAID/Namibia 1992-95 OYB levels), and perhaps a generation under the **worst case** funding assumption (roughly 50% less) discussed herein. USAID/Namibia is convinced that the empowerment goal is the appropriate one with which to associate the U.S. development assistance effort. USAID/Namibia believes that the program reflected in this plan meets the Agency's sustainable development, environmental, NGO and participation priorities as well as the priorities of the GRN as articulated in NDP #1, that were endorsed by Namibia's major donors (including the U.S.) at the First Round Table Conference on Namibia held in November of 1995.

With adequate funding, USAID/Namibia firmly believes that Namibia can become a USAID "success story". This statement is, however, based on a continuation of the prevailing assistance environment, and assumes that:

- the people of Namibia remain committed to national reconciliation and the peaceful development of their country as they currently appear to be;
- the Government -- and the country's major political parties -- remain firmly committed to the building of a multiparty, democratic state and to the protection of the human rights of all its citizens;
- the Government continues to pursue economic and social policies which favor equity and stress private initiative, private sector growth, transparency and good governance; and
- the Government -- and its development assistance partners, **including the United States** -- are willing and able to provide the level of resources required to fully sustain Namibia's development effort for the next five years, and to continue their support for at least another five years.

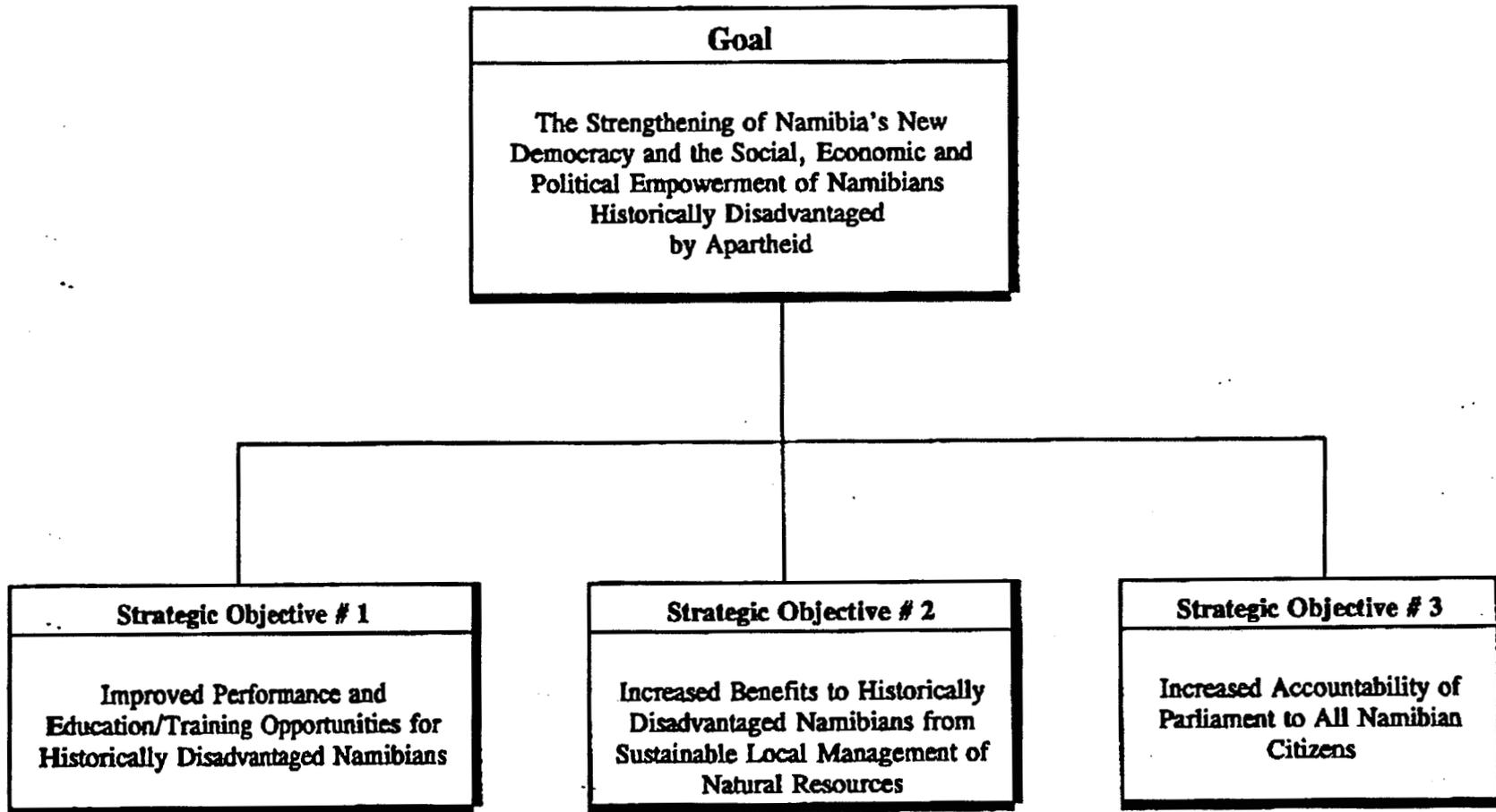
B. Strategic Objectives

USAID/Namibia has developed three Strategic Objectives relating to the long-term achievement of its overall goal. Figure 1 on the following page illustrates the USAID/Namibia's three mutually-enforcing Strategic Objectives:

- S.O. #1: Improved performance and education/training opportunities for historically disadvantaged Namibians;**
- S.O. #2: Increased benefits to historically disadvantaged Namibians from sustainable local management of natural resources; and**
- S.O. #3: Increased accountability of Parliament to all Namibian citizens.**

Figure 1

USAID/Namibia Strategic Objectives



USAID/Namibia's Strategic Objectives have a direct linkage to the following Agency objectives:

S.O. #1 is directly linked to Agency Objective 1.2 -- increased human productive capacity through basic education -- and contributes indirectly to Agency Objective 1.3 -- expanded access and opportunity for the poor;

S.O. #2 is directly linked to Agency Objective 4.5 -- sustainable natural resource management -- and contributes indirectly to Agency Objective 4.1 -- biological diversity conserved; and

S.O. #3 is directly linked to Agency Objective 2.3 -- increased development of politically active civil society -- and Agency Objective 2.4 -- more transparent and accountable government institutions -- and it indirectly contributes to Agency Objective 2.1 -- strengthened rule of law and respect for human rights.

USAID/Namibia's strategic approach is to utilize Private and Voluntary Organizations (PVOs) and Non-Governmental Organizations (NGOs), to the extent possible, within each Strategic Objective, to deliver services to the ultimate customer. Two-thirds of the USAID/Namibia's Results Packages (approximately \$40 million) is administered through Cooperative Agreements (CAs) and Grants with four U.S.-based PVOs/NGOs and a major local NGO. These PVOs/NGOs have collaborative arrangements with between 40 and 60 local NGOs, through sub-grants and sub-contracting modes, training and other support arrangements, and these local NGOs play dual roles as intermediate and ultimate customers under each S.O.

All three S.O.s are strategically linked together through USAID/Namibia's extensive involvement with U.S. and local NGOs in each S.O. area. Education, democracy and environmental activities are all designed to strengthen the public advocacy capacity of local developmental NGOs in order to increase "demand" for a participatory, transparent and accountable government. Conversely, the focus on Parliament creates "lobbying" opportunities for Namibians (USAID customers and others) to seek appropriate policies regarding an "enabling environment" in which small and medium enterprises, community-based tourism, and local NGOs can flourish. USAID/Namibia believes this strategy will help establish a dynamic and sustainable development environment that will empower Namibians to find their own solutions to Namibia's unique development challenges. Promotion of such dynamics between civil society and GRN is an appropriate USAID emphasis in democratic countries where the citizens can and should be empowered to play a larger "policy dialogue" role.

Before discussing the three Strategic Objectives in detail, it should be noted that well in advance of reengineering, USAID/Namibia began the process of restructuring its portfolio in order to realize greater customer involvement and increased focus on results, based on the following principles:

- The individual is key and human resource development is central;
- Elimination/avoidance of aid dependency, based on a mutual understanding that assistance will not continue indefinitely;

- Frank, honest, direct relationships based on trust; and
- Full participation and joint planning with Namibian stakeholders in all aspects of the assistance program.

With respect to specific strategy development guidance, it should also be noted that the October 1994 visit of the Senior Management Team to Namibia, discussed in Section I. F above, resulted in the Africa Bureau directing USAID/Namibia to proceed with the development of a Strategic Plan based on the above *three* Strategic Objectives, *and no others*. The Team's report, which the Africa Bureau accepted, stated that "the present USAID/Namibia program is focused in areas where we have comparative advantage, is on target with respect to Agency priorities, and addresses the critical issues of empowerment to the disadvantaged majority. . . ." (94 Windhoek 02648). USAID/Namibia was further advised that it was not required to provide its rationale for *not proposing* a strategic objective in some other sector (e.g., health), or broad area of activity (e.g., alleviation of malnutrition). Other sectors were to be left to other donors, while USAID concentrated its limited resources in areas where it believes it can achieve greater results (95 State 068992).

C. Strategic Objective #1: Improved performance and education/training opportunities for historically disadvantaged Namibians.

1. Problem Analysis and Rationale for Selection

Improving the education and skills of Namibia's historically disadvantaged population so that they can take their rightful place in modern society is probably the greatest challenge facing the country. Not only did apartheid prevent most of the population from acquiring the skills necessary for economic development, it did not allow those skills to be utilized even if they were acquired.

The education system that the GRN inherited at Independence was fragmented along racial and ethnic lines with vast disparities in the allocation of available resources. Education in "South West Africa" had been administered by eleven race-based departments of education. Education was designed to support the apartheid system rather than provide the necessary human resource base to promote equitable social and economic development. Even at present, the quality of education varies substantially in different regions of the country and at all levels within the system.

The GRN has given priority attention to the reform and restructuring of the education system, including the establishment of the first truly *national* Ministry of Education shortly after Independence. Yet, despite the GRN investing more than a fourth of its national budget on education, the formal education system still suffers from severe problems: high failure and drop-out rates, high cycle times and an over-aged student population. Most schools in the densely populated North not only lack qualified teachers, but also lack basic teaching material and equipment. Further, many education facilities in the most disadvantaged areas are without electricity, water and/or basic sanitation. While school enrollment has increased dramatically, the education system is still not providing *quality* education. The system is not yet able to produce a new generation of Namibians with the basic knowledge, skills and training required

for jobs and opportunities in a modern society. Consequently, NDP #1 describes the problem in these terms:

"Primary education is the foundation of the whole formal education system ... Consequently the soundness and effectiveness of the country's formal education system depends on the strength and soundness of its foundation, which is primary education. The strength and soundness of primary education does not depend on the number of primary schools in the country or the number of pupils enrolled and those produced, but on the quality of the outputs from the primary schools."

NDP #1 states flatly: "the most crippling legacy of the past is perhaps the lack of skilled labor." NDP #1 goes on to state that Namibia's economy faces two major human resource problems:

"The first is the huge surplus of unemployed human resources. . . more than 80 percent of the unemployed lack skills, education and experience. . . 25% of the unemployed are completely illiterate, while 74% have just a primary or secondary education. . . The majority of the unemployed are in the rural subsistence sector, with about 88 percent illiterate. On the overall more than 80% of the total unemployed lack skills, experience and education. . .

"The second crucial human resources problem facing Namibia is [that] there are not enough Namibians with adequate skills, experience and education to fill all available positions requiring such skills and experience both in the GRN, parastatals, and private sectors of the economy."

USAID/Namibia's approach is to emphasize education and training as a means to address the historical, race-based inequalities and help Namibia provide opportunities for empowering all its people in a peaceful and democratic environment. The Strategy addresses major weaknesses within the education/human resource development spectrum by supporting: the Ministry of Basic Education and Culture's lower primary reform program, basic non-formal adult education through NGOs, advanced in-service and pre-service training for public and private sector managers and advanced degree, technical and academic training. Our approach builds on existing GRN initiatives and recognizes what other donors are doing in the remaining areas. Within this Strategic Objective, the emphasis is placed on addressing disparities in lower primary education (Grades 1 - 4) to achieve the greatest possible long-term sustainable impact. This emphasis on Basic Education supports Agency directives under the new reengineering primary objectives for economic growth. It also contributes directly to increased equity in social, economic and political participation.

Recognizing the fact that accelerated economic growth cannot take place until, *inter alia*, the majority of citizens have the requisite skills to work productively, USAID/Namibia addresses this problem at two distinct levels:

-First, at the basic skills and literacy level, resources are targeted toward supporting local development NGOs. These are helping to train this generation of adults and adolescents -- who, to varying degrees, were left out of the pre-independence formal education system -- in the basic skills and knowledge needed for social, economic and political

participation. Through work with a wide variety of local, development-oriented NGOs, USAID/Namibia also contributes to the Agency's renewed emphasis on increased participation in program design and implementation through NGO collaboration at the local level.

-Second, at the advanced skills level, the USAID/Namibia approach is to provide highly focussed technical and managerial training for Namibians expected to participate in political and economic leadership in the 21st century. The aim is to increase the number of historically disadvantaged men and women (with the necessary skills and competencies) that can fill these positions in both the private and public sectors and also lead development efforts. One of the important side effects of this approach is the expansion of Namibia's educated African middle class, currently almost non-existent except for new GRN personnel, many of whom achieved professional skills in exile. Once a "critical mass" of educated historically disadvantaged Namibian professionals and managers is reached, such persons will become stakeholders, even advocates, for transparent, democratic government. They will begin to break down the social barriers between the races through greater on and off-the-job interaction with the white middle class.

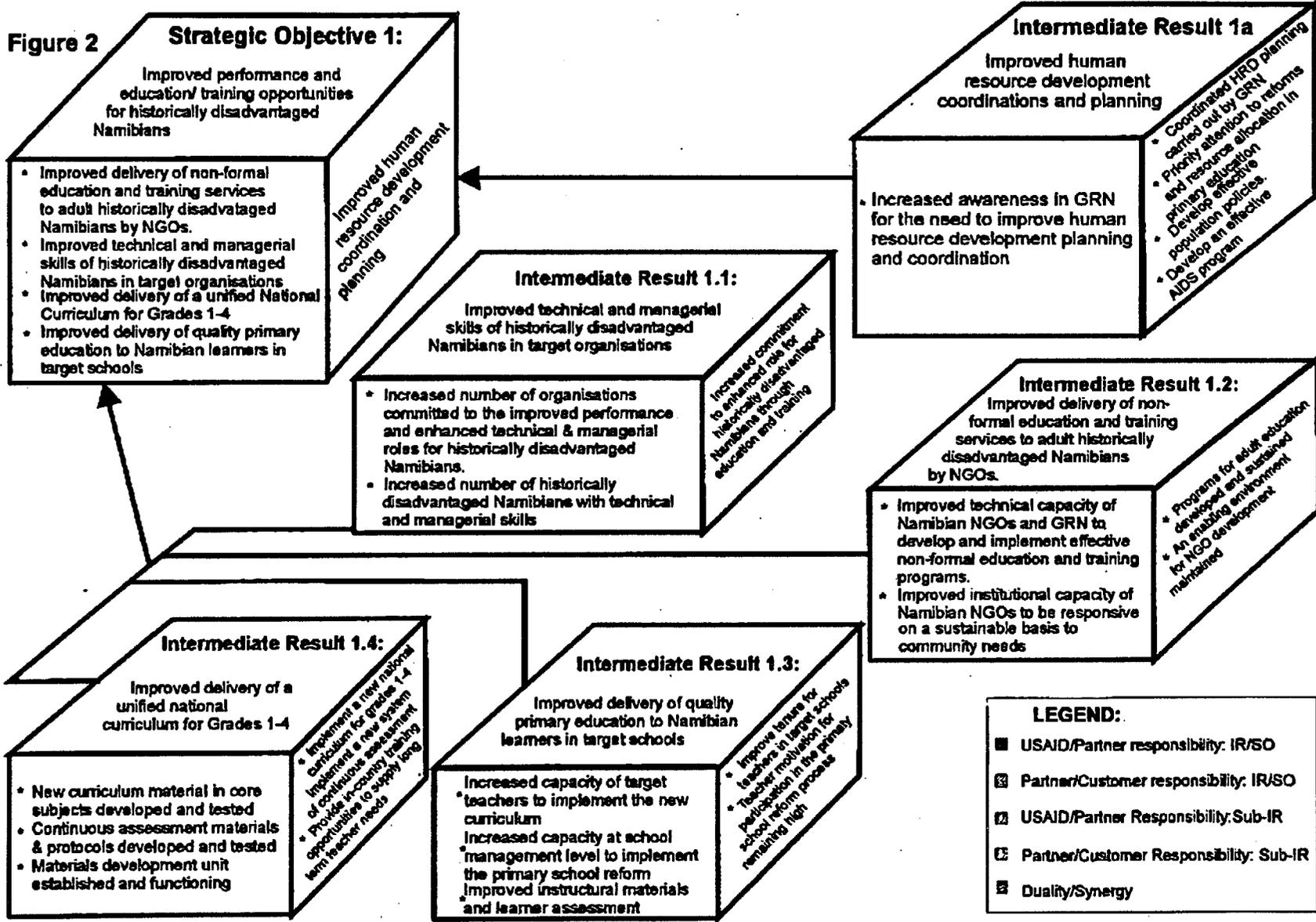
Thus, addressing the human resources constraint is among the most critical elements in USAID/Namibia's development strategy. Not only must the nation find ways to improve the quality of the education system in order to provide skills needed for employment and secure a livelihood for all its citizens, but human resources development is *an essential pre-condition to the country's overall economic, social and political development.*

2. Results Framework

Given the above, it should not be difficult to understand why the USAID program in Namibia was from the beginning focused primarily on education (basic and non-formal), why it expanded into human resources development, and why USAID/Namibia's first Strategic Objective reflects a continued concentration in this area.

Over the past two years USAID has redesigned most of its "first generation" activities which comprised basic formal and non-formal education as part of an overall recasting of activities to make them more focused and responsive to the development objectives reflected in this CSP. In addition, as noted in Section I of this CSP, S.O. #1 has been expanded from basic education into a broader human resources approach. In this process, nine different analyses have been undertaken. These analyses serve as a foundation for USAID's human resources development approach and can be found in the separate volume containing background and supporting documents, under Technical Analyses, S.O. #1.

To summarize, our strategy is directed at the supply-side of the apartheid-related inequities as highlighted in the Technical Annex for S.O. #1 (See separate volume containing background and supporting documents). To achieve S.O. #1, four Intermediate Results (presented in the Results Framework, Figure 2) have been identified as being in the USAID/Namibia's manageable interest.



Intermediate Result #1.1: Improved delivery of technical and managerial training to historically disadvantaged Namibians in target organizations.

The aim is to (1) be responsive to the needs of the Namibian economy for skills and experience needed to sustain economic growth in the short term and (2) to ensure a critical mass of historically disadvantaged Namibians in economic, social and political leadership positions for the medium and long-term.

Most of Namibia's larger corporations are either South African subsidiaries or owned by historically entrenched German and Afrikaner families. These companies vigorously resist new competition and display little interest in expansion or diversification, either with their own capital or through joint ventures with foreign capital sources. Thus, the Namibian mainstream private sector has remained fairly static since independence. At the same time, it has not embraced *of its own accord* the notion of diversity, particularly the hiring of historically disadvantaged Namibian men and women into managerial positions.

Currently disadvantaged Namibians play a relatively minor technical and managerial role in the mainstream private and parastatal sectors. In those public sector institutions responsible for policy making and regulation in the key growth sectors of the economy, historically disadvantaged Namibians are a minority at the middle management level. GRN entities and parastatals in the latter category include: Ministries of Finance, Environment and Tourism, Fisheries, Trade and Industry and the National Planning Commission, the Port Authority and SWAWEK (electrical power). Based on USAID/Namibia's most recent Training Needs Assessment, less than half of the mid-level management and technical positions in these organizations are held by historically disadvantaged Namibians. In the mainstream private sector, the dearth of historically disadvantaged managers and technical personnel is even more noticeable: they comprise less than 20 percent of middle and higher level managers and technical personnel. (See separate volume on Technical Analyses under S.O. #1).

Namibia, for its small population and small domestic economy, has a relatively large and active private sector. Indeed, Namibia's stock market capitalization is second only to South Africa (on the continent). Namibia's mainstream business community is a potential source for both significant economic growth and for the *training* of new historically disadvantaged Namibian entrepreneurs -- individuals who "learn the ropes" in managerial positions with one or more major companies can then move on to form their own companies or join with others from within or outside of Namibia. The main point is that these individuals will have the skills, contacts, knowledge and values to enable them to be entrepreneurs in the *mainstream* business community, if they choose, rather than be relegated to the *informal* sector where virtually all historically disadvantaged Namibian business owners and "CEOs" are found today. Unfortunately, neither of these potentials (expansion of existing businesses or formation of new, historically disadvantaged Namibian owned mainstream businesses) have even remotely been realized, for reasons discussed within this document. *Both* must be realized if the economy is to grow at the pace needed to meet Namibia's development.

Despite these constraints, the Namibian mainstream private sector holds the key to the economic empowerment of historically disadvantaged Namibians -- the process by which they will gain a

substantially greater share of ownership, management and employment in the mainstream economy. Such a process is critical to both economic growth and equity, *and* to the emergence of historically disadvantaged Namibians as major stakeholders in, and advocates for, Namibia's free market system.

Recent developments suggest that the business community may be more willing than in the past to open itself to more historically disadvantaged Namibian managers and technical personnel. This is due to the recent political change in South Africa and the wave of diversity-related developments sweeping through the RSA's Namibia-linked private sector and the GRN's commitment to study and adopt affirmative action legislation. The National Namibia Chamber of Commerce and Industry (NNCCI) has created an Affirmative Action Advisory Service to encourage and assist member companies with the diversity issue, and USAID has had well-received assessments of, and dialogue with, the mainstream business community.

The USAID/Namibia strategy, therefore, is to increase and strengthen the cadre of historically disadvantaged Namibian men and women managers in mainstream companies, thereby creating greater diversity and dynamism in the private sector and, in the longer term, increasing their number as mainstream entrepreneurs and stakeholders in private sector growth. This will be accomplished by offering top quality, specifically-tailored management and technical training and internships to support company efforts to upgrade existing, and recruit *new* historically disadvantaged managers. An important related strategy will be USAID-supported "organizational transformation" training to create corporate internal environments that will be more supportive of the professional advancement of historically disadvantaged Namibians.

USAID/Namibia's Strategy under I.R. #1.1 calls for a smaller investment in the training of *public* sector managers in the key economic growth-related Ministries. The emphasis will be less on promoting diversity, because the public sector is performing reasonably well in this respect, and more on the traditional objectives of USAID training programs: building the human development and operational capacity of key institutions. USAID-financed advanced degree training will complement this effort with a focus on skill training in areas not available through in-country training. Targeted public sector institutions, like their private sector counterparts, will be assisted in the drafting of staff development plans and training committee structures to assure that training is used strategically by the organizations and that candidates are selected in a transparent, objective manner.

The overall objective of this element of USAID/Namibia's Strategy is to create a "critical mass" of highly skilled Namibian managers and leaders capable of not only influencing their own organizations in a positive, enlightened manner, but of having a similar influence on the society at large. Given Namibia's small population, we believe this long-term objective is realistic and achievable.

The assumptions here are that the GRN remains committed to private sector-led growth and that the private sector remains committed to increasing the participation of all Namibians in the economy, i.e. that if the men and women receive training, they will be given greater responsibility and opportunities for professional growth.

Intermediate Result #1.2: Improved delivery of non-formal education and training services to adult Historically Disadvantaged Namibians by NGOs.

This result targets the adult generation of Namibians that have been historically denied all access to quality education, as well as the high number of Namibians that drop out of the formal education system (estimated between 50 and 60% for Grades 1 - 4). Presently, the average number of years of schooling for the population is 1.7 years, compared to six years in sub-Saharan Africa as a whole. While the GRN education reform has focussed primarily on the formal education system, there are very few options for skills upgrading through vocational training and adult education.

At independence it was difficult to find qualified historically disadvantaged Namibians with vocational and basic clerical skills among the majority population. Only after the initial years following independence in 1990 were vocational schools and other non-formal education venues opened to historically disadvantaged Namibians to provide higher level skills (plumbing, sewing, auto mechanic, electrician, carpentry, etc.). But these programs do not reach the rural poor, particularly female heads of households, who need very basic income generating and self-employment "sustainable" skills such as small business bookkeeping, and other vocational skills.

A significant number of local NGOs are providing non-formal adult education and training at the grass roots. These NGOs can reach target audiences (e.g., youth, female heads of households, church groups) that the GRN and formal training programs either cannot reach as well or may not be able to serve on a sustainable basis.

USAID/Namibia's strategy is to address adult skills training by *strengthening the capacity of local NGOs* to deliver non-formal education and skills training to adult men and women who never had an opportunity to get a quality basic education. This approach offers an immediate, non-formal alternative for historically disadvantaged Namibians to obtain basic skills needed to enter the labor market or participate directly in income-generating activities. The approach involves strengthening the capacity of the GRN -- specifically the Ministry of Basic Education and Culture's Department of Adult and Continuing Education (DACE), which works closely with local NGOs and runs Namibia's major adult literacy program. USAID supports DACE in non-formal adult education through innovative training methodologies, which DACE, in turn, shares with local NGOs.

While USAID's strategy is to help build DACE's capacity primarily through the provision of highly-tailored graduate degree training for key community outreach staff, USAID/Namibia employs a much more comprehensive approach in building NGO capacity. Adult training-oriented NGOs are being assisted in their institutional and organizational aspects to improve management, fund raising capability and responsiveness to community needs. At the same time, participating NGOs receive support to improve their training programs and to upgrade the skills of their training staffs.

NGO networking and advocacy is an integral part of the effort to strengthen the linkage between the GRN policies and programs and NGO training priorities, and thereby assist the GRN in

making its programs more responsive to Namibian needs. In this regard I.R. #1.2 is linked to S.O. #2 and S.O. #3 and supports USAID/Namibia's overall emphasis on NGOs as implementation vehicles. The target is to strengthen at least 25 NGOs to be able to deliver high quality participatory, non-formal education on a sustainable basis. Results will depend on the ability of target NGOs to retain trained staff, and on the GRN's maintaining a positive enabling environment for NGOs. Indeed, it should be emphasized that there is considerable risk inherent in programs that depend on the performance of local NGOs for achievement of results at the program level. Building NGO institutional capacity, at least in the Namibian context, is therefore just as important as funding their specific activities.

I.R.s #1.1 and #1.2 have a further linkage to two other Agency Program Approaches: (1) expand opportunities for women; and (2) expand productivity and earnings in geographic areas and/or markets with high concentrations of poor people.

Intermediate Result #1.3: Improved delivery of quality primary education to Namibian learners in target schools.

One of the major impediments to the delivery of quality education in Namibia, especially at the lower primary level, is the lack of appropriately qualified teachers to serve the rural population. More and better teacher training is needed, both to provide Namibia's schools with competent teachers, and more importantly to upgrade those teachers already in the classroom, particularly in the areas of the new methodology and English. Disparities exist as much in terms of the allocation of resources as in terms of student performance and future careers.

This Intermediate Result -- which must be read in tandem with I.R. #1.4, since I.R. #1.3 and I.R. #1.4 are mutually interdependent -- aims at having a direct impact on the lives of a substantial number of historically disadvantaged Namibians by upgrading the skills and competencies of 1500 primary school teachers in 500 of the most disadvantaged schools in Namibia. Existing inequalities in teacher competencies, resource allocations, and other key areas are most glaring at the lower primary level (grades 1 - 4), *This level represents the foundation for Namibia's entire human resources development system.* These gross inequalities mean that a significant number of lower primary learners will not benefit fully from the planned reform without specially targeted support to their schools. The achievement of I.R. #1.3 will contribute towards reducing inequality in education and will provide access to 45,000 - 60,000 children from the most disadvantaged families in Namibia. The target is to improve the school performance of learners in grades 1 - 4 to a level at which 80% of the learners in the 500 most disadvantaged schools achieve basic competencies, as defined by the new curriculum, and to reduce repetition rates by 30%.

The approach is to utilize Peace Corps volunteers in these disadvantaged communities to provide special targeted in-service teacher training and skills upgrading *in addition to* available Ministry support. This approach takes into account the fact that most of the under-qualified teachers in these schools are women who due to their English Language deficiency, family responsibilities and rural distances, are unable to participate in in-service training programs offered by MBEC. The result depends on teacher motivation for participation in the primary school reform process remaining high and that teachers participating in the USAID/Namibia's training programs are retained by the most disadvantaged schools.

Intermediate Result #1.4: Improved delivery of a unified national curriculum for grades 1 - 4.

The USAID/Namibia emphasis is on *quality* and *primary* education in order to provide historically disadvantaged Namibians with the *basic competencies* needed to move through the rest of the education system and ultimately prepare themselves for full participation in the political, economic and social life of their country.

The approach to the achievement of this result is to support the Ministry of Basic Education and Culture's own goal of reforming and improving its education system. USAID/Namibia will continue to assist in increasing the capacity of the GRN to develop and implement a new national curriculum that can replace the fragmented curriculum that had previously been administered by 11 different ethnically based departments of education. This will contribute towards reducing inequality in primary education. Support is also provided to move away from the exam driven system, designed to weed out as much as 40% of the disadvantaged population, to a learner-centered, continuous assessment system.

The target for the achievement of this result is to have a new curriculum (including syllabi, teacher guides, and learner materials) for school readiness, math, environmental studies and at least five Namibian African languages designed, tested and in use nationally by 1998. This will require implementation of new policies in addition to the new material. GRN and other donor agencies have made commitments to undertake the training of teachers in the new curriculum to meet the GRN target of having the new curriculum in place and in use in at least 80% of Namibian schools by the year 1998.

I.R. #1.3 and I.R. #1.4 are designed to inform and reinforce each other in a two way flow of information and support. Information gathered in the application of I.R. #3 in local target schools will be fed back to the curriculum development process at the national level so that the materials can increasingly reflect the local realities of Namibia's lower primary classrooms. Similarly, new materials developed by the MBEC to achieve I.R. #1.4 will be fed back to target schools.

I.R. #1.4 and I.R. #1.3 are further linked to four Agency Program Approaches: (1) improved policy and regulatory framework for a better education system; (2) strengthened national, regional and school-level education systems; (3) improved teaching curricula, and educational materials; and (4) expanded access to education for women and other disadvantaged groups.

Intermediate Result #1A: Improved Human Resources Development Coordination and Planning:

This I.R. is within the GRN's manageable interest. The rationale for including this I.R. arises because there is presently no GRN entity totally responsible for HRD planning and coordination. At present this function is scattered among several Ministries making it difficult to achieved a uniform and cohesive HRD policy. The NPC and Office of the Prime Minister have some shared responsibility for HRD largely by default, but HRD programs are spread throughout the public and private sector so that the capacity to train is minimized by the lack of information base about deficit skills. The lack of coordination encourages inefficiencies. Currently the

NPC, with external technical assistance, is working on a comprehensive Economic Policy Framework, which plans for the coordination of human resources development. USAID/Namibia has engaged the GRN in policy dialogue on this issue (e.g. at the First Round Table Conference on Namibia, and earlier technical comments on NDP #1). USAID/Namibia has backed this dialogue with concrete technical support to NPC to integrate HRD considerations into the First National Development Plan, and we will continue to encourage and support ongoing efforts by the GRN to strengthen HRD planning and coordination.

3. Critical Assumptions

The most critical assumption with respect to S.O. #1 is that the GRN will continue to assign priority attention to resource allocations in primary education, as it has in the last two years largely as a result of policy dialogue with, and assistance from, USAID. If the political pressure to allocate more resources on secondary and higher education gains the upper hand, as was the initial case at Independence, the sustainability of the reform effort as it affects lower primary could be undermined. S.O. #1 also assumes that Namibia will adopt policies and implement strategies to achieve its stated goal in NDP #1 of reducing population growth rate from 3.1% to 2.9% by the year of 2010 so that Namibia's population growth rate will not outstrip its capacity to improve its primary education system.

4. Performance Indicators

The Performance Indicators and targets for measuring the achievement of S.O. #1 are presented in Figure 3 for Funding Option #2 (\$8.0 million). The Performance Indicators and targets for Intermediate Results are presented in USAID/Namibia's Draft Monitoring and Evaluation Plan (see separate volume containing Background and Supporting Information - Document 2).

The Intermediate Results and related Performance Indicators were developed in close collaboration with key S.O. #1 stakeholders and partners, including the Ministry of Basic Education and Culture; the Institute for International Research (IIR); the U.S. Peace Corps; World Education, Inc., (WEI) and the staff associated with USAID/Namibia-funded projects that support the activities under S.O. #1.

Performance targets for the other Funding Options are presented in Annex D.

5. Current and Planned - Results Packages

The existing Results Packages relating to Intermediate Results under S.O. #1 are enumerated below. USAID/Namibia plans to undertake new Results Package under S.O. #1 beginning in FY 1998, as follow-on Phase II Results Packages, rather than "new" undertakings.

- In support of I.R. #1.1: The *African Training for Leadership and Advanced Skills Project (ATLAS)*, budgeted at \$1 million a year under an OYB transfer, provides U.S. degree training for up to 20 Namibians annually: 15 at the Masters level, and five (reserved for females) at the undergraduate level. USAID/Namibia plans to continue ATLAS at this level (funding permitting) throughout the strategy period. The activity is administered by a US PVO, the African-American Institute (AAI). A local AAI

representative is being augmented by a project-funded FSN and two FSN support staff assistants who provide 50% of their time under ATLAS and the remaining 50% under HRDA (below). The Senior Special Projects Officer (SSPO), provides USDH oversight for ATLAS.

- The *Human Resources Development Assistance* Project (HRDA), with approximately \$1.5 million a year in funding under a buy-in with the Global Bureau, began in 1995 and will end in 1997. This activity provides short-term skills training for up to one year (either locally, regionally, or in the U.S.) as well as internships in American companies, to prepare Namibians for managerial and professional positions in both the public and private sectors. The lessons learned from HRDA will form the basis for a larger, bilateral HRD Results Package beginning either in FY 1997 or 1998, funding permitting. The private sector activity, which represents two-thirds of the funding, is administered by an U.S. PVO, AFRICARE. The public sector component is managed by an USAID Project-funded FSN training officer and support staff. The SSPO provides USDH oversight.
- In support of I.R. #1.2 (& S.O. #3; I.R. #3.3): The *Reaching Out with Education for Adults in Development* (READ) Project, with a LOP of \$14.5 million, began in 1992 and is due to end in FY 1999. As designed, the major component is to strengthen the capacity of local NGOs to carry out non-formal education, advocacy and skills training for adults. It should be noted that \$1 million was added to this activity in FY 1995 to assist NGOs active in the HIV/AIDS area (education, awareness building, counselling) within the framework of the READ Project. READ is administered by a U.S. PVO, World Education Inc.. The USAID management includes one U.S. PSC Project Manager who spends 50% of her time on READ, one FSN Project Manager and FSN support staff. The General Development Officer (GDO) provides USDH oversight for this activity along with overseeing S.O. #2.
- In support of I.R. #1.3 and I.R. #1.4: The *Basic Education Support* (BES) Project, with a current LOP of \$18.3 million, began in FY 1991 and will end in FY 2001. At the national level, BES focuses on strengthening MBEC and in implementing the new curriculum in support of the GRN education reform program. At the target level, it supports the Peace Corps in designated rural schools to upgrade teachers skills through in-service training, enabling them to effectively implement the new primary level curriculum. Its components include technical assistance, training, and commodities to the MBEC, support for its overhaul of Namibia's primary education curriculum, and teacher training in 500 of the most disadvantaged lower primary schools in the North. Technical assistance is provided by the Institute for International Research (IIR). Teacher training in target schools is provided by U.S. Peace Corps Volunteers over a five year period under the largest USAID/Peace Corps PASA in Africa. BES also makes USAID/Namibia the largest and, perhaps, most influential donor at the lower primary level. In addition to Peace Corps and the institutional contractor, the USAID has a full-time project-funded U.S. PSC and one support staff. The SSPO provides USDH oversight.

USAID and GRN/MBEC have agreed in principle to the funding of participants at the MA level in specialized skills to ensure sustainability of those skills now being provided by the U.S. contractor. This training is planned to begin in FY 1996. A *BES II* Results Package to assist the MBEC in consolidating in-service training for lower primary teachers nationwide is planned for FY 2000.

6. Commitment of the Host Country and Other Partners

The NDP #1 states that for the medium term (1995 - 2000) the strategy for investing in human resources development will continue to rank among the highest priorities of the GRN. In March of 1995 President Nujoma established a new Ministry of Higher Education, Vocational Training, Science and Technology while maintaining a separate Ministry of Basic Education and Culture in order to provide additional focus and support to human resources development.

The GRN remains committed to allocating more than a fourth of its national budget to education over the next five years. This represents approximately 10% of total GDP, a very high investment even by developed country standards. All of the other donors currently funding complementary assistance in other areas of human resource development (while USAID concentrates on primary education) appear committed to providing substantial additional support well into the next century. They include the ODA, FINNIDA, NORAD, DANIDA, SIDA, the Netherlands, UNESCO, and the EU (see Annex C Donors).

7. Sustainability

Sustained investments in basic education and human capital formation are key to sustainable economic growth. Basic education, especially primary and adult education, yields relatively high returns in low-income and economically marginalized groups. Education is not only important for increased economic production, but also for sustaining democratic development. Democratic nations depend on a literate and informed citizenry better able to participate in public debate and hold governments accountable for their actions.

To assure that the MBEC is able to carry on lower primary curriculum reform activities currently supported by USAID-funded expatriate technical advisors, USAID and MBEC are planning to add funding for two-year masters and undergraduate programs for MBEC staff development under the BES Results Package beginning in FY 1997, funding permitting.

It is anticipated that the results from the basic education intervention will only start manifesting themselves in a significant manner in approximately 10 years, given that such a time period is required for USAID's ultimate customers (grades 1 - 4 learners) to progress through the system. Until then, it is critical to continue with adult skills training in technical and managerial fields. Thereafter, it is assumed that the formal education system will begin to sustain the long-term education needs of Namibia. This assumption is backed by USAID/Namibia's ongoing policy dialogue with the GRN, in which the limitations of our assistance and our mutual concern to avoid donor dependency are frankly discussed.

All the interventions in S.O. #1 are focussed on local institutions responsible for education and training (e.g. the MBEC, training-orientated NGOs, other key Ministries and companies) and

involve limited capacity-building interventions designed to enable these institutions to continue operations with their own or non-U.S. donor resources. For example: the 1,500 unqualified teachers trained under I.R. #1.3 will be better able, as a result of such training, to participate effectively in on-going teacher upgrading programs offered by the MBEC; NGOs providing adult non-formal education services will have the capacity, if funding is available, to develop new training programs to meet community needs and to structure their own fund raising campaigns; key ministries receiving support under I.R. #1.1 will have staff development plans and will establish training committee structures, assuring that GRN and donor training resources will be effectively utilized in the future; companies participating in USAID's management training programs will not only have more and better historically disadvantaged Namibian men and women managers, but will also have been sensitized to diversity issues through our technical assistance. As more historically disadvantaged Namibian men and women move from management positions into mainstream business ownership, their examples will encourage others and their lobbying will encourage continued free market policies by the GRN.

8. Funding Options

Under Funding Option #1 (\$9.4 million), USAID would be able to fully carry out its S.O. #1 (as well as its other S.O.s). USAID would be able to aggressively support and complement GRN and other donor efforts to build a Namibian human resource base capable of setting and implementing the country's business, developmental and governance agendas into the 21st century.

Under Funding Option #2 (\$8 million), USAID will protect S.O. #1 priority areas in basic education, and technical and managerial training, and curtail adult non-formal education (I.R. #1.3). All but \$2 million of the "mortgage" for adult non-formal education (\$6.5 million) would then be reallocated among S.O. #1 priorities.

Under Funding Option #3 (\$6 million), USAID may be required to concentrate *all* of its OYB and OE resources on SO #1 beginning FY 1997 and begin phasing out of S.O. #2 and S.O. #3. This would enable USAID/Namibia to achieve I.R.s 1.1, 1.3 and 1.4 and many aspects of S.O. #1. However, the NGO/civil society capacity and advocacy elements would be severely curtailed and, with them, the most direct linkages to S.O. #3. Further details on alternative funding scenarios are provided in Section III. A.

9. Exit Goals

At the current assistance levels (\$9.3 million), and assuming a "graduation" date of 2005, USAID/Namibia will expect that the MBEC would have completed its lower primary educational reforms, will possess the well-trained internal technical staff needed to continue making state-of-the-art reforms in continuing assessment, curriculum development and materials production, and will have developed a sustainable system of in-service teacher training resulting in the upgrading of the performance of lower primary teachers. Several hundreds of historically disadvantaged Namibian managers in private companies should have received managerial or technical training, enabling them to advance to greater responsibilities; race and gender diversity will have become

common place in private companies throughout the economy; and key public sector institutions will be competently managed by Namibians of all backgrounds.

Figure 3

| Performance Indicators for Strategic Objective 1 | Performance Targets for the Year 2000 Funding Option #2 |
|--|---|
| 1.1: Number of Namibian classrooms implementing new grade 1-4 curriculum in core subjects | 5,000 |
| 1.2: Higher learner outcomes achieved in target schools | 50% |
| 1.3: Improved workplace performance of USAID trained men and women | (to be determined) |
| 1.4: Number of historically disadvantaged men and women successfully completing USAID supported training | ♂ = 308 ♀ = 272 |
| 1.5: Number of participatory non-formal education and training programs implemented by target NGOs | 35 |

D. Strategic Objective #2: Increased benefits to historically disadvantaged Namibians from sustainable local management of natural resources.

1. Problem Analysis and Rationale for Selection

Namibia, like most countries in Southern Africa, faces critical environment and development challenges. However, unlike its neighbors, Namibia must overcome additional hardships of having two major deserts (the Namib and Kalahari) within its borders, and the absence of interior perennial rivers. Sixty-five percent of Namibia's land mass is unsuitable for *any* form of agriculture, and much of the rest cannot support intensive livestock or crop farming. Although Namibia is the most arid country in sub-Saharan Africa, two of its main economic sectors -- agriculture and tourism -- are dependent on renewable natural resources. Together these sectors account for nearly a quarter of Namibia's national income, a substantial share of its foreign exchange earnings and, most importantly, the livelihood of approximately 70% of the population. Clearly, Namibia's heavy dependency on the environment, combined with this environment's uniquely fragile nature, requires extraordinary management to maintain productivity and avoid degradation. Unfortunately, such careful management was not practiced prior to Independence.

Due to colonial and apartheid practices which moved most of Namibia's historically disadvantaged population into marginal "communal" lands, while alienating people from their natural resources, Namibia inherited at Independence a major environmental liability in the form of over-grazed land, threatened biodiversity, vast areas of bush encroachment, and depleted water resources. Such environmental degradation continues to threaten more than 100,000 of Namibia's poorest households. Given the circumstances summarized above, it is no accident that

Namibia's Independence Constitution is one of the few in the world that stresses protection of the environment. It states that: ". . . the state shall actively promote . . . [the] utilization of natural resources on a sustainable basis for the benefit of all Namibians both present and future."

With the bulk of its population dependent on subsistence farming, agriculture and livestock husbandry, Namibia must make critical policy decisions in the areas of land reform, land use, and population to further protect its fragile environment. The country has, however, made an excellent beginning. It has developed a comprehensive "Green Plan" to address environment issues across the board, much of which is reflected in the First National Development Plan. Moreover, NDP#1 also begins to address the population question, setting a goal of 2.9% growth by the year 2010. The GRN is currently developing a population strategy to assure achievement of this goal.

On the natural resources management *policy* front, NDP #1 assigns a very high priority to "sustainable and integrated natural resource management" and commits the GRN:

"To promote sustainable development within all sectors and across all regions, to ensure present and future generations of Namibians gain optimal benefit from the equitable and sustainable utilization of Namibia's renewable resources; to protect the nation's biodiversity and maintain essential ecological life-support systems; to promote participatory, cross-sectoral and integrated programs to improve understanding of the management of natural resources on a sustainable basis."

USAID/Namibia's S.O. #2 is designed to support and sustain the GRN's overall effort within this constitutional and policy framework. S.O. #2 is based on the proposition that the "ownership" of natural resources on the land is a critical ingredient in achieving the GRN's long-term Community-Based Natural Resources Management (CBNRM) objectives. Since "ownership" of land is not legally possible in Namibia's communal areas (a continuing legacy of apartheid), wildlife and other natural resources have been legally deemed "state property" and not subject to local management or use.

For example, *all* of the revenues from trophy hunting concessions granted in communal areas belong to the state, and none to the residents who bear the cost of damage to crops and livestock (and occasional loss of life) from elephants, predators and poachers, and from competition with wildlife for grazing land. These practices, and strict police-like enforcement of wildlife protection in pre-Independent Namibia, alienated the communal population from their own wildlife resources. By contrast, as far back as 1967, commercial farmers on private lands, who were exclusively white, were granted the right to manage, utilize and retain all revenues from wildlife resources on their properties and to join with other private owners in the establishment of wildlife "conservancies" on private land. As a result of these disparate policies:

- commercial farmers have been able to diversify to game ranching and related hunting and tourism enterprises, while communal residents have not;

- game numbers have increased in commercial farming areas relative to communal areas; and
- commercial farmers have taken advantage of these alternative sources of income and are able to tap into Namibia's growing tourism and ecotourism trade, while communal residents have been left out.

Experience to date indicates that once conditions are right, communal residents *will* actively take up CBNRM given strong economic incentives and lack of economic alternatives. Since Independence, planners in the Ministry of Environment and Tourism (MET) have made a radical departure from the norm and, with support from USAID, local CBNRM-oriented NGOs have intensified their work at the communal level to develop model conservancy activities, such as: community game guards, community game monitoring, thatching grass harvesting, crafts, community campsites for tourists, model villages, and guided walking game tours. USAID and British ODA-supported economic analyses indicate that such activities can be economically sustainable once the affected communities' rights to use and manage the natural resources are legally recognized.

Therefore, in its most basic form, S.O. #2's *raison d'etre* is to help the GRN address the issue of the disparate treatment of communal residents with regard to natural resource management and related income generation. Once CBNRM authorities have incentives and know-how, biodiversity and conservation of endangered species in the communal areas will be enhanced to the benefit of communal residents and other stakeholders. The community benefits and local organizational structures foreseen under S.O. #2 will directly contribute to the economic and political empowerment of historically disadvantaged Namibians.

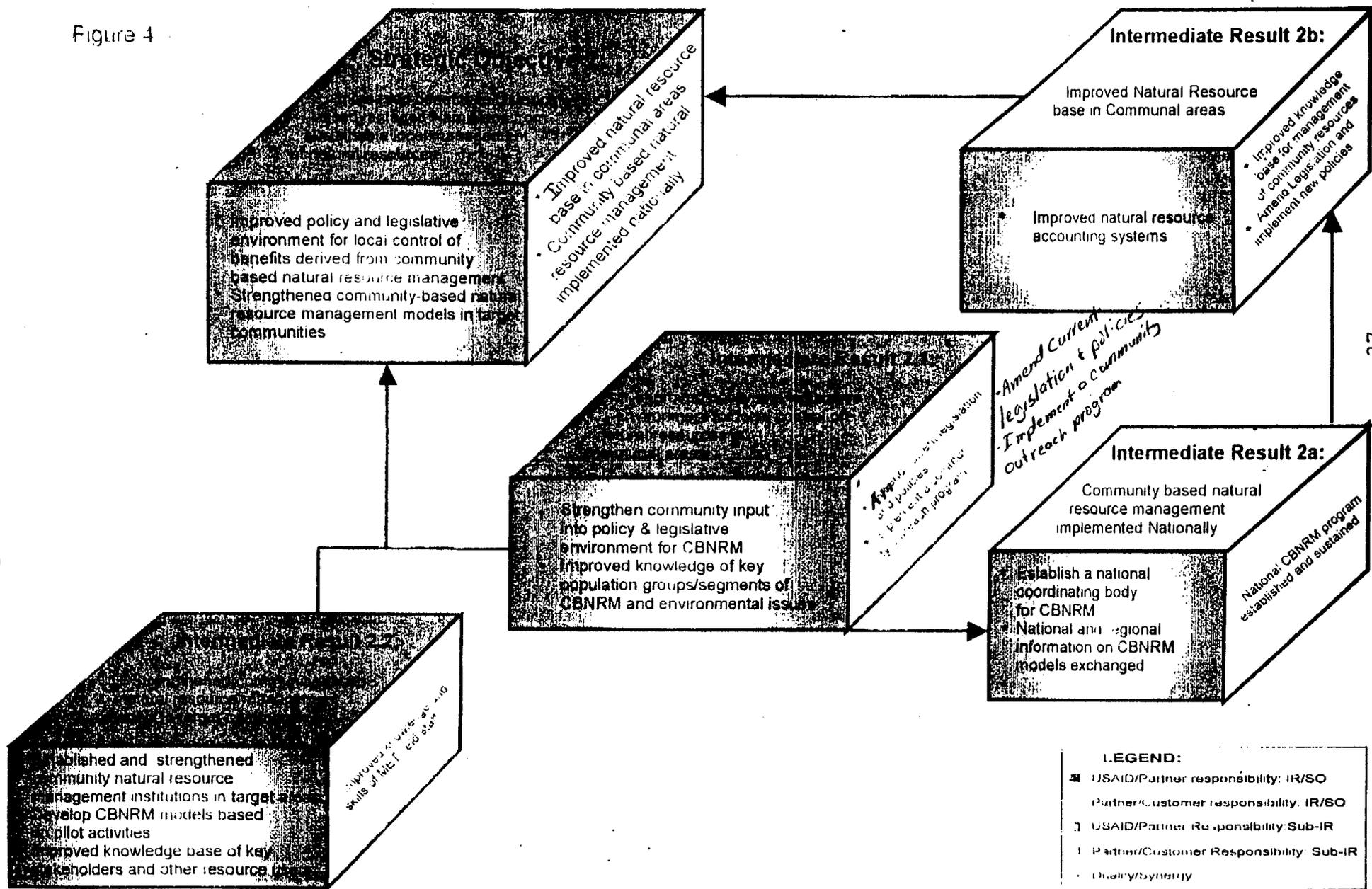
The GRN has already made major strides on the policy and strategic fronts. First, the MET has had a national CBNRM program for several years. Second, that program and its basic component, a "conservancy" policy that allows natural resource management conservancy bodies to be established in communal areas, has been approved by the GRN's Cabinet (March 1995). Third, implementing legislation has been approved by the Cabinet (October 1995). Finally, implementation plans have been adopted within the MET, which, for the first time, fully engage all the sections of the Ministry in the relatively new CBNRM and conservancy development effort.

2. Results Framework

USAID/Namibia's S.O. #2 focuses on improving natural resource management and conservation in communal areas of northern and eastern Namibia. The results framework for S.O. #2 is presented in Figure 4. The most important components of the effort are:

- (a) policy dialogue and use of conditionality to facilitate timely improvements in the enabling environment for community-based natural resources management (CBNRM) in the communal areas;

Figure 4



(b) support to Ministry and NGO efforts to establish viable pilot CBNRM activities involving sustainable use and management of wildlife and other natural resources, generation of income from such resources, and development of community management and income distribution structures that support broad participation in decision making on benefits; and

(c) working with conservation-oriented NGOs and GRN entities to develop a sustainable support base for eventual expansion of CBNRM nationwide.

The CBNRM approach has been tested in neighboring Southern African countries under the auspices of USAID's former Southern Africa Regional Program (SARP), which supported CBNRM sub-projects in Botswana, Zambia and Zimbabwe beginning in 1989. The Namibia component of SARP's Natural Resources Management Project (NRMP), which commenced in late 1992, has benefited from the lessons learned elsewhere, particularly from the very successful CBNRM program in Zimbabwe. Applying these lessons learned to the Namibian context has resulted in the USAID/Namibia's S.O. #2 approach, which is composed of the three elements mentioned in the preceding paragraph.

S.O. #2 complies with Section 117 of the Foreign Assistance Act (FAA), which directs the President to make "special efforts . . . to maintain and where possible restore the land, vegetation, water, wildlife and other resources upon which depend economic growth and well-being, especially of the poor." It also responds to Sections 118 and 119 of the FAA which stress the importance of conservation and sustainable management of tropical forests and the preservation of biodiversity. In accordance with Section 201.5.10g of the Automated Directive System (ADS), CSPs normally should be prepared after a Background Assessment of Tropical Forestry and Biodiversity. Because USAID/Namibia has already been in the environment and CBNRM sector for over three years and time was not sufficient to plan and carry out the requisite Assessment, given the originally proposed CSP presentation dates (Sept. 1995), the Environmental Review was carried out (See separate volume containing background and supporting documents). The Review provides the analytical framework which supports USAID/Namibia's continued involvement in the sector. USAID/Namibia has since worked extensively with its Namibian partners and REDSO/ESA to develop the scope of work for the Background Assessment which will commence during early CY 1996. The attached Environmental Review addresses environmental requirements with regard to Strategy preparation, assesses key environmental and natural resource issues in the Namibian context, suggests options for additional involvement in the sector, and makes specific recommendations, many of which have already been initiated.

As mentioned earlier, S.O. #2 is directly linked to Agency Objective 4.5 -- sustainable resource management; and contributes to Agency Objective 4.1 -- biological diversity conserved. It also directly supports the achievement of the third strategic objective under the Agency's Initiative for Southern Africa (ISA), which is: "to establish key regional conditions for sustainable increases in productivity of agriculture and natural resources by smallholders".

To achieve S.O. #2, two Intermediate Results (see Results Framework, Figure 4) have been identified as in USAID/Namibia's manageable interest, and two I.R.s have been identified that are currently considered outside USAID/Namibia's manageable interest.

Intermediate Result #2.1: Improved policy and legislative environment for CBNRM in communal areas.

Draft legislation to enable communities in communal areas to form conservancies for natural resource management within recognized physical boundaries has been approved by the Namibian Cabinet and is currently before the Parliament awaiting enactment. In the future, this legislation will need to be refined and made more comprehensive as to enforceability of land use rights, and the relationship between the conservancy legislation and the broader environmental legislation being developed, and other prospective legislation dealing with communal lands.

The main assumption underlying I.R. #2.1 is that there continues to be the political will at all levels for improved equity in natural resource use and control in communal areas. The Namibian Cabinet's adoption of a pro-CBNRM policy document in March which committed the GRN to support an enabling environment for communal area conservancies and to enact implementing legislation clearly indicates support for this assumption at the policy level.

At the community level, it is anticipated that there will be some local institutional conflict over the use of revenues derived from tourism, wildlife and other natural resources. The assumption is that the amount of revenue retained at the community level and reaching ultimate "owners" (individual family units and small entrepreneurs) will cause communities to organize (with technical assistance from NGOs or MET) for sustainable management of the resource base. This assumption appears valid from experience in Namibia (as already discussed) and elsewhere (especially under the USAID-supported CAMPFIRE program in Zimbabwe).

Finally, as communities become stakeholders in CBNRM, their management bodies and associations will receive advocacy training to enable them to foster national, regional and local policies and legislation appropriate for their needs and to contribute to S.O. #3's political empowerment objectives. These efforts will be directly and indirectly supported by USAID's ongoing policy dialogue with the GRN and by USAID/Namibia's environmental education activities directed toward policy makers and key population groups.

Intermediate Result #2.2: Strengthened community-based natural resource management models in target communities.

As a complement to USAID's strategy to foster an improved enabling environment for CBNRM, CBNRM models will be developed in target communities through continued support to community management committees, resource-user decision groups, private enterprise units, large and small conservancies and other potential prototypes. Activities will focus on assistance to communities to further skills in conducting meetings, representing constituents and making sound decisions for management of natural resources. Training and skills development for

NGOs and MET staff will be carried out to improve community outreach and extension capabilities.

Pilot conservancies should become models for adaptation and replication in other suitable areas of Namibia. Model conservancy and CBNRM activities have been underway in approximately 12 communities, and several viable activities are emerging. USAID's Namibian partners see continuation of this process, and achievement of this I.R. as essential to the success of the national CBNRM program. From USAID's standpoint, I.R. #2.2 is helping to build a political constituency for CBNRM that will continue the policy dialogue for sustained environmental and CBNRM-friendly legislation.

A key assumption underlying this I.R. is that elected local officials and traditional leaders will make compatible decisions with respect to CBNRM in the target areas. This issue may take on greater importance when communal land reform legislation devolves key land allocation and use authority to either local elected officials or traditional leaders. USAID, the MET, and our other partners (WWF) and intermediate customers (CBNRM NGOs) will closely monitor these issues. At the same time, every effort is being made to enhance the ability of local groups to understand and articulate the interests of their constituencies, and effort is being invested in establishing working relationships between elected and traditional leaders.

Another assumption relating to this I.R. is that sufficient opportunity for in-kind investments by local communities in needed CBNRM infrastructure exists to offset the lack of monetary investment resources in communal areas. Economic analyses supported by USAID/Namibia in target communal areas indicate that the scarcity of locally-available financial resources should not be an excessive deterrent to the realization of significant economic and social benefits. Credit is increasingly becoming available from ecotourism investors, new GRN programs for emerging entrepreneurs, and the newly revamped Namibia Development Corporation.

Intermediate Result #2.A: Community-Based Natural Resource Management Implemented Nationally

While initial results *could* be achieved during the five-year time period for S.O. #2 and the strategy as a whole, this I.R. lies beyond USAID/Namibia's manageable interest -- due to uncertainties regarding needed Regional funding. The time and level of effort needed to replicate CBNRM nationally will require substantial donor assistance, either to the GRN and/or to NGOs or through environmental trusts or endowments. USAID/Namibia cannot presently commit our support in these areas for reasons set forth in Section S.O. #2, paragraph 3 Critical Assumptions. (See also S.O. #2, paragraph 9 Exit Goals.)

Intermediate Result #2.B: Improved Natural Resource Base in Communal Areas

The natural resource base within the current target areas and communities (East and West Caprivi, Eastern Bushmanland, and Uukwaluudhi in the greater Western Etosha catchment area) is generally NOT expected to show significant, measurable increases within the limited S.O. timeframe (5 years). The reasons for this include: (1) much of the S.O.'s initial timeframe will be spent organizing community institutions and training community members in appropriate skills that allow them to collectively manage their communal natural resources; and (2) the fact that it takes several years (particularly in an arid to semi-arid environment such as Namibia's) for natural resources to respond and recover once new management approaches have been introduced. The exceptions to this situation will be those areas that establish conservancies early in the strategy and which the MET determines are appropriate for translocation of game from game reserves in Namibia. In such cases, game numbers will increase in a measurable fashion and will expedite the recovery process. However, of the four to five conservancies expected to be established within the life of this S.O. #2, only one or two are slated for MET game translocations.

Again, because of the above reasons, measurable changes in the status and trends of other natural resources (i.e. forestry and range resources) will be difficult to quantify. However, the ten (10) year period planned for the entire USAID/Namibia program will allow sufficient time for such changes to be measured and quantified (See S.O. #2, paragraph 3 Critical Assumptions and S.O. #2, paragraph 9 Exit Goals).

3. Critical Assumptions

Perhaps the major assumption concerning achievement of S.O. #2 is continued USAID financial support for CBNRM in Namibia. USAID/Namibia's efforts in this sector have, since their inception in 1992, been funded exclusively from regional programs, specifically the outgoing Southern Africa Regional Program (SARP). Although the successor USAID Regional Center for Southern Africa (RCSA) has absorbed the SARP Natural Resources Management (NRM) portfolio, RCSA will not have completed its own strategy for future activities in the environment area until the spring or summer of 1996, and there is no assurance that the prior (SARP) emphasis on supporting CBNRM programs in SADC member countries (or in Namibia) will continue. At the same time, USAID/Namibia's bilateral OYB is not likely to be increased in the near future, given overall DA and DFA cuts. With a straight-lined or reduced OYB, USAID/Namibia would be unable to commit bilateral funds to this S.O. Therefore, for purposes of enabling this CSP to include S.O. #2, USAID/Namibia has made certain assumptions regarding regional funding (see S.O. #2, paragraph 8, Funding Options).

Finally, while CBNRM activities under S.O. #2 in Namibia are almost fully-funded through mid-1999, additional funding will be required later in the strategy period (a) to assure sustainability of community activities (e.g., through increased training of MET and NGO "extension" personnel) and (b) to take Namibia's CBNRM program from the pilot to the national level (see S.O. #2, paragraph 5, Current and Planned Results Packages). Therefore, without additional regional or central funds, S.O. #2 will not be fully met. Other assumptions have been addressed in connection with each Intermediate Result.

4. Performance Indicators

The Performance Indicators for measuring the achievement of S.O. #2 are presented in Figure 5 for Funding Option #2 (\$8.0 million). The Performance Indicators and targets for intermediate results are presented in the USAID/Namibia's Monitoring and Evaluation Plan (See separate volume containing background and supporting documents).

Intermediate Results and Performance Indicators were developed in close collaboration with key S.O. #2 stakeholders, partners and customers, including: the Ministry of Environment and Tourism; the World Wildlife Fund; the Rössing Foundation; REDSO/ESA and private consultants; and a number of indigenous NGOs; and USAID/Namibia-funded project staff under S.O. #2.

Performance Targets for other Funding Options are presented in Annex D.

5. Current and Planned Results Packages

The Results Framework the Intermediate Results under S.O. #2 are shown in Figure 4, while the planned activities are presented in Annex G. USAID/Namibia is currently funding the following Results Packages in support of S.O. #2.

- In support of I.R. #2.1: The *Living in a Finite Environment (LIFE)* Results Package, with a LOP of \$14.3 million, and the Environmental Education activity, with a LOP of \$1.5 million under the READ Results Package, support the major activities comprising this Intermediate Result. Environmental education funded under a grant with a local NGO, The Rössing Foundation, together with training supported by ATLAS and HRDA activities comprise the other important components of S.O. #2. The most important component is policy dialogue conducted by USAID/Namibia staff. A project-funded U.S. PSC backstops the LIFE and READ environmental education packages as well as spending 50% on the non-formal education Results Package under S.O. #1. This support is augmented by a FSN Project Assistant and FSN staff support. The GDO provides USDH oversight for both environmental activities.
- In support of I.R. #2.2 and #2.A: The *Living in a Finite Environment (LIFE)* Results Package, with an LOP of \$14.3 million, and the Environmental Education activity with a LOP of \$1.5 million is under the READ Results Package. The LIFE Results Package focuses on establishing replicable community-based natural resource management models and on the establishment of wildlife conservancies in the communal areas. It is implemented by the World Wildlife Fund (WWF) under a Cooperative Agreement with USAID/Namibia. LIFE is a major component of a larger, Southern Africa Regional Program (SARP), Natural Resource Management Project, which finances natural resource management activities in Zimbabwe, Zambia, Botswana, Malawi and Namibia. The multi-country goal of the regional Project 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." This regional NRM Program has been absorbed by the RCSA (see discussions under S.O. #2 Results Framework and Critical Assumptions).

Regarding planned activities, the LIFE Results Package was extended by 2 years from August 1997 to August 1999 in FY 1995, with regional NRM Project and USAID/W fallout funds totalling \$3.8 million in the aggregate. However, USAID/Namibia's original plan, as manifested in our FY 97 Action Plan, which was developed well before the regional NRM fallout funds became available for the limited two-year extension of LIFE, was to follow LIFE in 1997 with a *second phase* ("LIFE II") Results Package designed to help the GRN take its CBNRM program nationwide. If regional ISA funding becomes available, USAID Namibia would, with RCSA's participation, initiate a follow-on LIFE II Results Package beginning in FY 1999 to run through USAID's exit goal date of 2005. Funding level proposed: \$10 to \$15 million.

6. Commitment of the Host Country and Other Partners

There are eight donors (including the U.S.) currently providing assistance to Namibia in areas that are directly related to or complementing USAID/Namibia's activities under S.O. #2. USAID, however, is by far the largest donor in the CBNRM area. Other donors are Sweden, Norway, Denmark, Germany, the Netherlands and Finland. All appear committed to maintaining their support over at least the medium-term.

The commitment of USAID/Namibia's partners in the GRN, the Ministry of Environment and Tourism, and the National Planning Commission, as well as PVOs and NGOs working on S.O. #2, is assured. They all share a mutual strategy, and thus a shared commitment. The degree of commitment of stakeholders in the field at this point is mixed. It should grow as knowledge of the effort spreads, and, particularly, as benefits begin to accrue to S.O. #2 customers at the local level.

7. Sustainability

The GRN is fully committed to sustaining the environmental education and natural resource management effort. NDP #1 committed the GRN to "ensure that existing and future development activities are environmentally sustainable." This is to be achieved through improved planning and coordination of activities across all sectors.

NDP #1 calls for the development of a cross-sectoral national Environmental Action Plan and the introduction of environmental assessment procedures for the entire GRN and the private sector. An environmental Ombudsman is also provided for in NDP #1, and appropriate regulations and pricing policies designed to assure that private sector activities are environmentally sustainable, will be introduced. With regard to the enabling environment for

CBNRM, the Cabinet has approved both a comprehensive Conservancy Policy and, more recently, a community-based tourism policy and initial implementing legislation for conservancies. The MET is developing implementation plans to support conservancy development on the ground. It will need to retrain many of its field staff in skills needed for conservancy development in communal areas, as well as hire and train new CBNRM extension personnel.

However, while the MET has the potential capacity to assist communities to set up conservancies and to undertake wildlife and other natural resource management activities, MET lacks the tourism-based enterprise development and community organizational skills needed by communal area conservancies. This is an area more appropriate for Namibian NGOs working with communal areas, which, in turn, will need funding and training not currently provided for under S.O. #2 and its Results Packages.

The long-term sustainability of the S.O. #2 effort at the communal level will depend largely on its initial success. Thus far, the pilot projects which have been initiated have produced sustainable models for replication elsewhere. The establishment of formal conservancy bodies and other NRM management entities in the communal areas -- and the flow of benefits to local communities and individuals -- should have a multiplier effect in terms of increasing demand for conservancies and other organized NRM activities in the communal areas. Such increased demand, and related pro-CBNRM lobbying by new communal stakeholders, will reinforce the current positive enabling environment, help attract private capital and thus contribute to sustainability of S.O. #2 activities, as well as achievement of S.O. #3 objectives.

8. Funding Options

Under Funding Option #1 (\$9.4 million), USAID/Namibia assumes for CSP purposes that adequate funding is available and that RCSA Botswana would agree to provide follow-on funding to the NRM activity to allow the replication of CBNRM at the national level beginning FY 1999 through possibly 2004 at approximately \$3 million per year.

Under Funding Option #2 (\$8 million), the assumption is that somewhat smaller amounts might be available from RCSA (e.g., \$2 million per year) to enable the replication of CBNRM at the national level. Both Funding Options #1 and #2, if regional funding is available, would permit I.R. #2.3 and I.R. #2.4 to be brought within USAID/Namibia's manageable interest.

Under Funding Option #3 (\$6 million), USAID would be forced to negotiate transferring management of the \$14.3 million LIFE Project to RCSA/Botswana, due to a projected reduction in FTEs and elimination of the U.S. PSC position now backstopping USAID/Namibia's LIFE, READ and Environmental Education Activities. (See Section III for details.)

9. Exit Goals

USAID/Namibia believes that U.S. assistance can achieve significant, sustainable results in the next ten years in CBNRM, provided USAID/W and RCSA are committed to continued financial

support during the 1998/99 - 2005 period. Given such support, USAID/Namibia would envision the following exit status by the year 2005: (1) a replication of successful pilot CBNRM models at the national level with as many as 30 to 40 natural resource conservancies established by 2005; (2) comprehensive new and equitable legislation for natural resource management, that, *inter alia*, provides incentives for community-based NRM and tourism enterprises; (3) an increased number of well trained staff committed to CBNRM in the MET, including significantly more historically disadvantaged Namibians, and a MET fully able to provide extension support in natural resource management and conservancy development to communal area conservancies; and (4) endowment-funded, viable national NGOs supporting community enterprise development in tourism and NRM. Given a very modest scenario, in which only 20% of the population in communal areas will be participating in and benefitting from CBNRM, then 200,000 ultimate customers will be served.

Figure 5

| Performance Indicators for Strategic Objective 2 | | Performance Targets for the Year 2000 Funding Option #2 |
|--|--|---|
| 2.1: | Community income (Gross) from program supported natural resource management activities | 9,000,000 |
| 2.2: | Number of male and female households in target areas economically benefiting from program supported natural resource management activities | 2,000 |
| 2.3: | Hectares of communal land under local management | 40,000 |
| 2.4: | Number of natural resource management structures created | 30 |

E. Strategic Objective #3: Increased accountability of Parliament to all Namibian citizens.

1. Problem Analyses and Rationale for Selection

Although Namibia established itself at Independence as a modern democratic state with a liberal Constitution and a strong commitment to protect the civil liberties of all its citizens, the new nation's democracy remains fragile. Since 1990 the appropriate formal institutions and political structure to support a multi-party democracy have been put in place. Indeed, the strides which the Namibian people have made in building the foundations for their democracy have served as a positive model throughout southern Africa.

The GRN has upheld the basic tenets of the Constitution, and conducted free and fair elections at the national, regional and local level. The National Assembly, established after Independence, comprises individuals elected from a national party list on the basis of proportional representation. By establishing a second house of Parliament (the National Council) in 1992,

as called for by the Constitution, the GRN addressed the need for better representation of the rural population at the national level.

Governance linkages between national legislators and their constituents, regional governments, and civil society as a whole have remained weak and generally ineffective. The decision-making processes of the central Government are not consistently transparent and the political system lacks accountability. In particular, there is a lack of rigorous debate on policy and legislation. GRN has created few mechanisms for public input. Non-governmental organizations and other organs of civil society lack the experience and capacity to engage the state on issues of public concern.

In order to more fully assess the constraints and opportunities relative to the consolidation of democracy interventions in Namibia, USAID/Namibia funded a comprehensive Democracy Assessment in July 1994. The Assessment cited the problem in these terms:

"Another challenge confronting the consolidation of democracy is the insufficient linkage between the "center" and the "periphery." First and foremost, this refers to the lack of linkages between the people and their elected representatives and the lack of adequate means for facilitating those linkages. . . . If the decision-making processes of government are not transparent and accountable, then Namibia's newly created democratic structures may easily be undermined."

Based in part on the findings described above, the Assessment recommended five areas of programmatic activity:

- (1) Building advocacy capacity: Specific target areas included establishing an Advocacy Center and regional resource centers and providing support for civic education campaigns and curriculum development.
- (2) Facilitating decentralization: The Assessment proposed several forms of assistance to the Ministry of Regional and Local Government and Housing (MRLGH), including training for local and regional councillors.
- (3) Enhancing the transparency and accountability of Parliament: Proposed measures were identified to facilitate policy analysis and research and to strengthen constituency relations.
- (4) Strengthening the rule of law and human rights: Enhanced training for magistrates and other staff of the lower courts.
- (5) Supporting the media: Recommendations included core support to the Media Institute of Southern Africa, a regional media body, and provision of training and technical assistance in journalism.

S.O. #3 responds directly to recommendations 1, 3 and 5 above by seeking to create strong and effective linkages between Parliament and the Namibian people. USAID/Namibia will pursue the strategic objective of increased accountability of Parliament to all Namibian citizens on two fronts: from parliamentarians at the national level "downward" to civil society and from citizens "upward" to Parliament. USAID/Namibia will target Parliament as the principle focus of its democracy and governance activities because Parliament is the single, key institution under Namibia's constitution with *both* a mandate to represent the interests of Namibian citizens and the authority to check the power of the Executive Branch. Working with Parliament also presents USAID with an extraordinary "target of opportunity" in that *few donors are directly addressing the crucial task of helping parliamentarians make democracy work by representing their constituents effectively.*

Namibia's Parliament has a key role to play in the consolidation of democracy. According to the Constitutional division of responsibilities, it is intended to oversee and to evaluate government policies, initiatives and legislation and, importantly, to provide a forum for public debate. Indeed, as a matter of Constitutional design, Parliament is the main link between GRN and the civil society. However, Parliament has not been able to assume its intended role as an equal partner in the GRN. Due to the dominance of the executive branch and the ruling (SWAPO) party -- and weak internal structures and conflicts in its two houses -- Parliament is not as strong as was envisioned by the Constitution.

This weakness is evident in Parliament's inability to establish a working Committee system, to introduce or enact legislation apart from that introduced by the Cabinet, and to formally include public participation in the legislative process. There is limited debate in Parliament on public policy issues, minimal oversight of the executive branch, poor media coverage of even major policy and legislative issues, and a detachment between the electorate and its representatives at the center of Government.

There is growing recognition among Namibians of the need to strengthen Parliament to play a more active role in the nation's democracy. A recent European Union-supported report to Parliament by a joint team of both houses outlines recommendations intended to enhance the ability of Parliament to achieve its constitutional role. The report, entitled *Agenda for Change: Consolidating Parliamentary Democracy in Namibia* emphasizes that:

"One of the principal challenges of the next five years, and far beyond is to consolidate parliamentary democracy on [Namibia's] popular base and to develop Parliament's institutional capacity and democratic culture so that it becomes both the fulcrum and forum for a vibrant and pluralistic democratic country."

USAID/Namibia will target civil society advocacy for obvious reasons: for democratic governance to take root, civil society must be able and willing to advocate for citizen concerns and to defend basic rules of democratic governance. By strengthening Parliament and civic actors, all Namibians will have a greater voice in Namibia's governance and development. Thus, the strategy also entails building the capacity of Namibian NGOs and the media to

represent public concerns to the Parliament and other branches of government. S.O. #3, together with elements within S.O.s #1 and #2, will contribute to improving the links of civil society to Parliament.

However, given the limited experience of NGOs in advocacy, their shortages in skilled human resources, and our own severe resource constraints, USAID/Namibia has scaled back the Democracy Assessment's proposed activities regarding advocacy and the media. Rather, USAID/Namibia will focus throughout most of the strategy period on training and technical assistance to develop a basic competency in advocacy among NGOs and to develop the capacity of the media to educate and inform citizens and parliamentarians alike. USAID/Namibia's own limited resources, its comparative advantage in training and non-formal education, and the activities of other donors in this area were other considerations in this decision.

A stable but vibrant democracy is a necessary ingredient to achieve equitable development and sustainable economic growth, in part by providing a climate which is conducive to foreign investment. In this sense, although S.O. #3 focuses on Namibia's political environment, it will contribute integrally to the social and economic empowerment of historically disadvantaged Namibians as well. It must be noted that the benefits of Namibia's democratic development will be felt beyond its borders as a source of stability and experience for emerging democracies throughout Africa. Accordingly, S.O. #3 will both contribute to and benefit from the regional cooperation envisioned by the Initiative for Southern Africa.

2. Results Framework

Although the two houses of Parliament can be credited with some legislative and deliberative accomplishments, they are hampered by a lack of institutional structures -- constituency outreach mechanisms, adequate staff support, suitably-equipped research and library facilities, as well as others mentioned previously -- which are needed to promote parliamentary effectiveness, transparency and accountability.

The Parliament is restricted in its capacity to competently debate and amend legislation proposed by the Ministries, let alone develop its own legislative agenda. Parliament has been understaffed, and parliamentarians are under-skilled and unfamiliar with their roles and responsibilities. Namibia's democratic system requires legislators who have the capacity to understand and respond effectively to their constituents' needs and concerns.

At the same time, the system requires strong and independent civic groups, indigenous NGOs and a better educated citizenry with whom parliamentarians can interact. Organizations are still developing effective management and organizational skills. Advocacy capacity is particularly limited. Central to effective public advocacy is the ability of NGOs and civic groups to formulate pro-active positions, to engage Parliament, and to better represent their local constituencies. Since Independence, NGOs and civic groups, as well as business associations and trade unions have become more cognizant of their responsibility to channel public input into legislative and policy formulation.

It must be noted that in Namibia, NGOs provide the main link for the participation of women in development and governance. Although 12 members of 78 in the National Assembly are women, only one of 26 National Councillors is a woman. Namibia's recent involvement in the Fourth World Conference on Women (its first as an independent nation) has highlighted the need for representing women's needs and priorities in the legislative process. Although S.O. #3 does not have an explicit gender focus, USAID/Namibia recognizes the importance of enhancing women's participation in Namibia's political development. Therefore, USAID/Namibia will strive to work with parliamentarians and NGOs to enhance the ability of Parliament to achieve the tenets of gender equality espoused in the Constitution.

The Namibian media (radio, television and newspapers) currently provide a *necessary*, but insufficient, link between the people and their national government. The press is perceived to be biased, since the Namibian Broadcasting Corporation and most newspapers are owned by either the GRN or by political parties. Nevertheless, the press is relatively free and open, and GRN media regularly report on controversial government activities and policies. However, severe constraints persist. The press coverage of Parliament remains limited and superficial. Few journalists go beyond summarizing press releases to analyzing and questioning issues, while few parliamentarians make themselves available to the press.

Only when Namibian men and women begin to see their elected officials in Parliament as really hearing them, truly representing them, and effectively working in their behalf, will they begin to feel that they have a real voice and stake in their country's affairs. This is what S.O. #3 is about, and this is how it directly contributes to the USAID/Namibia's overall strategic goal. To achieve S.O. #3, three Intermediate Results have been identified as crucial and *within* USAID/Namibia's manageable interest, while a fourth lies outside the USAID/Namibia's manageable interest (See Results Framework, Figure 6):

Intermediate Result #3.1: Increased opportunities for citizen participation in the legislative process.

USAID/Namibia's approach is to assist in strengthening a parliamentary structure -- constituency offices, a committee system, open public hearings and new, public access-oriented parliamentary rules and procedures -- that will permit and encourage citizen participation. This participation is to be enhanced by strengthening media and political party appreciation and capacity for involving the citizenry in the political process. It is assumed that the GRN will demonstrate its commitment to democratic governance by recognizing and encouraging the development and utilization of parliamentary venues for representing and responding to constituent concerns -- and that the GRN will continue to refrain from harassment or intimidation of those who utilize these linkages.

Parliament's commitment to initiating a committee system with public hearings, as well as its plan to establish a public information service, are indications that the process of supporting citizen participation will move forward. The support of the National Assembly for a dynamic, multi-party legislature is reflected in the appointment of several opposition members as chairs

of newly proposed committees. Actions supporting I.R. #3.3, discussed below, will help assure stakeholder participation in a more open legislative process.

A secondary facet of this I.R. will be support to the election process. The ability of citizens to choose political leaders who represent their interests will help generate a legislative process which is more responsive and accountable to citizens. Recent elections, while clearly free and fair, have been contested along party ideological lines, with only lackluster debate on electoral platforms and limited scope for citizens to express their concerns. The process has also been hampered by inefficient voter registration systems and management of elections themselves. Thus, attention will be given to promoting public exchange on election issues, as well as to the development of mechanisms, such as a system of permanent voter registration, which can enhance citizen participation in the election process.

These activities depend on the political will of the ruling party and other contesting parties to create a more open and accessible election process. Recent meetings with national leaders and officials in the Directorate of Elections have suggested that reform and refinement of the electoral process will be complex and perhaps contentious. Presently, election-related activities constitute a minimal component of the USAID/Namibia strategy; however, USAID/Namibia anticipates that this situation will improve as parties work together through committee structures and other fora, and as parliamentary democracy takes root.

Intermediate Result #3.2: Enhanced skills of parliamentarians as legislators and representatives of citizens.

This I.R. will be achieved through the training of parliamentarians, with a focus on promoting an understanding of the legislative process, and building legislative skills, democratic and ethical values, and outreach capabilities. Training will also target staff to build their skills to carry out the library, research and information services needed to support parliamentarians in fulfilling their roles as legislators and representatives of citizens.

Here it is assumed that the GRN and political parties will practice their commitment to democratic governance by upholding in law and practice the degree of operational non-partisanship required for parliamentary staff to perform their function effectively. Recent workshops and discussions on the formation of committees and the structuring of parliamentary services have revealed a strong base of non-partisan cooperation.

Intermediate Result #3.3: Increased public advocacy by NGOs and Civic Groups in local, regional, national and/or media fora.

The approach to achieve this I.R. will encompass training, technical assistance and support for networking to enhance the capacity of NGOs and the press to represent citizen group concerns to Parliament. NGO efforts around advocacy will also be supported under I.R. #1.3 under S.O. #1 in order to improve the capacity of those service and training-oriented NGOs to represent

constituency needs in the formulation of GRN policies and programs. Advocacy is also an integral component of I.R. #2.2, which seeks to create community-based conservancy entities and associations around NRM and tourism, as well as an environmental education NGO association, to represent citizen interests in environmental policies and programs.

The assumption here is that NGOs and civic groups, as well as the media will take advantage of the new opportunities to participate in the political and legislative process. In the absence of mechanisms for public input into the legislative process, NGOs and civic groups have had limited involvement in policy formulation and almost no input into the development of legislation. However, NGOs and Civic groups are increasingly interested in engaging in dialogue and debate with government institutions. In July 1995, an NGO-led workshop on advocacy identified strategies for interacting with Parliament, for building capacity in advocacy and for educating the public on proposed policies and legislation in order to solicit input. Activities under *all* USAID/Namibia S.O.s will build on this momentum and growing commitment to advocacy.

The three Intermediate Results related to S.O. #3 contribute to fully seven Agency Program Approaches: (1) promoting legislation that encourages organization and operation of civil society organizations (CSOs); (2) strengthening civil society's oversight of state institutions; (3) increasing effectiveness of CSO management; (4) increasing democratic governance within CSOs; (5) increasing CSO participation in policy formulation and implementation; (6) increasing the acceptance of democratic (civil) values, including the principles of equality and access for women and disadvantaged groups; and (7) expanding more effective and independent media.

Intermediate Result #3A: Building the capacity of Parliament to function as a co-equal branch of Government.

It must be recognized that Parliament is starting nearly from scratch. There are few library and information materials available at present, and *NO* staff capacity to provide research and information support to members to carry out their legislative, committee work and representational responsibilities. However, the GRN has recently authorized and begun the process of hiring 55 new staff members to provide support to the overall administration and management of Parliament, as well as library, research and information services. USAID/Namibia's approach is to support this initiative through technical assistance, support for upgrading the library and research facilities, and staff training in management and administrative skills. USAID's timing could hardly have coincided better with the GRN's parliamentary reform and staffing decisions.

This I.R. is based on the assumption that the GRN will retain its commitment to strengthening the role and effectiveness of the National Assembly and the National Council. It also assumes that the GRN practices its commitment to development of national, regional and local parliamentary offices and structures in terms of funding, staffing, and support for hiring practices designed for the selection of qualified personnel -- including sensitivity to ethnic and gender balance. As discussed in Section 11. D. on sustainability, the GRN has reinforced its

commitment to supporting and maintaining an effective parliamentary office by signing a Memorandum of Understanding with program partners. The hiring of new staff is nearly complete, with more than half of senior management positions being filled by women. This result is directly linked to I.R. #3.1 and #3.2, discussed above.

3. Critical Assumptions

S.O. #3 as a whole is based on the critical assumption that the GRN will remain committed to the democratic principles that are enshrined in its Constitution at Independence -- including respecting opposition parties and the expression of different political parties and ideologies, and generally allowing free speech and an unfettered press.

A corollary assumption is that the GRN and its top parliamentary officials will remain committed to the development of Parliament as a co-equal branch of the Government -- and that parliamentarians will increasingly put the needs and concerns of their constituents ahead of party or ethnic loyalty.

A final assumption, as noted above, is that citizens will take advantage of newly created parliamentary fora for public participation.

4. Performance Indicators

The Performance Indicators and Targets for measuring the achievement of S.O. #3 are presented in Figure 7 for Funding Option #2 (\$8 million). The Performance Indicators and Targets for the Intermediate Results are presented in USAID/Namibia's Draft Monitoring and Evaluation Plan (See separate volume containing background and supporting documents).

The Intermediate Results and Performance Indicators were developed in close collaboration with S.O. #3 stakeholders and partners.

Performance Targets for alternative funding scenarios are presented in Annex D.

It is important to note that while the Performance Indicators track quantities, quality must also play a significant role *especially in the D/G area*. For example, the number of laws passed will be notable, but the significance of the law and the integrity of the process by which it is passed are also critically important. A highly inclusive, consensus-building process around a key issue, such as land reform, would be a landmark accomplishment.

5. Current and Planned - Results Packages

The activities supporting Strategic Objective #3 are presented in Annex F. The biggest existing Results Package in support of I.R. #3.1, I.R. #3.2 and I.R. #3.3 is:

- **The Democratic Institution Building (DIB) Results Package**, with LOP funding of \$3 million is being implemented by a U.S. NGO, the National Democratic Institute for International Affairs (NDI), under a Grant to strengthen Parliament, the media and constituency groups. However, the intent is to also have NDI play an important advisory and technical assistance role in the run-up to the next regional and local elections in 1998. In addition to NDI, the main partners under S.O. #3 will be the National Assembly and National Council who entered into a Memorandum of Understanding (MOU) setting forth the responsibilities and scope of each partner. NDI is just beginning to identify other potential partners -- Namibian NGOs, international organizations and media institutions -- to assist in implementation. It should be noted that the DIB Results Package was designed for maximum flexibility rather than USAID control -- hence, the direct grant approach versus a bilateral activity agreement. This approach is appropriate given the number of major assumptions required if S.O. #3 is to be achieved. A follow-on DIB Results Package is planned for the 1998-2001 period, funding permitting. Its focus would be linked to preparations for the December 1998 Regional and Local elections and the December 1999 National elections. Areas of emphasis would be voter registration, voter education, training programs for parliamentary party caucuses to enhance citizen participation and, again, funds permitting, an advocacy institute along the lines discussed in the Democracy Assessment. Management for the DIBs and S.O. #3 is being provided by a part-time U.S. PSC. USAID plans to recruit a FSN full-time Project Manager and will need to create a separate U.S. PSC full-time position to ensure adequate coverage. The SSPO provides USDH oversight in conjunction with other duties under S.O. #1.

For the following five year period (2001 - 2005), assuming the GRN had by that time adopted a decentralization strategy, USAID/Namibia would develop a program of training, building on its existing capacity and experience, designed to give local and regional authorities the needed skills in public finance, management and development planning.

Other USAID/Namibia Results Packages also support S.O. #3 activities. READ assists in building the institutional, service-delivery and *advocacy* capacity of training-oriented NGOs. LIFE is developing and strengthening CBNRM organizations and associations and building the capacity of environmental and NRM-related NGOs to participate in policy formulation. And the HRDA and ATLAS train actual and potential leaders and opinion makers. Therefore, funding cuts affecting these Results Packages, especially READ, will also affect S.O. #3. The Mission Democracy Committee, consisting of Embassy, USIA, Peace Corps and USAID has identified support to women's rights initiatives as a focal point for upcoming Human Rights, Section 116(e) activities. These funds will support organizations conducting research, information and awareness, and/or advocacy campaigns on pressing gender issues, such as violence against women. USAID/Namibia will also look for opportunities to complement its Namibia-based activities with the regional initiatives supported under the Southern African Regional Democracy Fund. The intended results of S.O. #3 correspond closely with those of the Fund, which will

work with legislators, civil society groups and women in order to strengthen democratic processes and institutions in the Region.

6. Commitment of the Host Country and Other Partners

At this point the commitment of host country officials and the other persons and groups who are both partners and stakeholders in achieving S.O. #3 appears solid. For example, a blueprint for parliamentary reform, *The Agenda for Change: Consolidating Parliamentary Democracy in Namibia*, is currently being reviewed and assessed by members of both houses of Parliament. The recommendations of the document correlate closely with previous results of Mission-supported workshops with Parliament. The Namibian Parliament has specifically requested USAID assistance to strengthen its effectiveness both internally and externally in its relationships with civil society.

The DIB Results Package was designed in consultation with scores of stakeholders in the public and private sector. They included President Sam Nujoma, the Prime Minister, the National Assembly Speaker, the National Council Chairman, leaders of the ruling and opposition parties, parliamentarians, and representatives of NGOs, civic groups, the media, and the academic community. By signalling their support for the DIB, this impressive and influential group underscored its commitment to the achievement of S.O. #3 itself.

Several other donors are committed to supporting complementary democracy and governance activities over the next five years. The U.K. and the EU supported a study tour of commonwealth countries to assess diverse models of parliamentary structures and functions. Follow-up activities will address management training for parliamentarians and staff. However, USAID and the GRN itself continue to be the primary players in parliamentary strengthening initiatives.

A broader range of donors, including multilateral and bilateral organizations, and international NGOs, are supporting Namibian NGOs, the media and other organs of civil society, to strengthen popular participation in governance. These include Sweden, Germany, UNICEF, and the Ford Foundation.

7. Sustainability

DIB is the main USAID-funded intervention under S.O. #3. The sustainability of S.O. #3 has been formalized in a Memorandum of Understanding (MOU), with USAID/Namibia's contribution and signed between the NDI and the Parliament, as part of the DIB Results Package.

The MOU commits the Parliament to draft legislation that "will institutionalize the concepts of accountability and transparency, including ethics and freedom of information laws. . . ." The MOU goes on to say:

"The GRN will provide funding for such expenditures as constituency offices with small administrative staff; computer equipment and software servicing; allocation of staff time to collaborate on the Project; use of parliamentary conference and meeting rooms when appropriate; and occasional office support. The GRN will sustain the Project after its completion by continuing to provide funding for the structure and services created in the program, particularly the computer and legislative support services."

The implementation of the MOU will ensure that the parliamentary activities under S.O. #3 are sustainable -- at least during the life of the DIB Results Package, which runs through December 1998, only. Sustainability and full achievement of S.O. #3 will require that I.R. #3A is achieved, which will in turn require follow-on efforts by USAID and S.O. #3 funding beyond CY 1998.

USAID Namibia's programmatic focus within all of its S.O.s is based on the central role of civil society in advocacy and policy dialogue in a democratic environment. USAID/Namibia believes that Namibian NGOs and other organs of civil society can and should replace the donor community. As Namibia's institutions, such as Parliament, are increasingly opened up to public participation -- that is, as Namibia's democracy matures -- a sustainable, enabling environment for development will be more firmly established.

8. Funding Options

USAID/Namibia has developed an integrated program of activities to contribute to the consolidation of democracy in Namibia. However, the critical time to promote democratic reform and development is *now*. Should funding be reduced or discontinued, the U.S. would lose a valuable opportunity to foster and consolidate democracy in a strategic African nation. Additional funding could enhance the USAID/Namibia's involvement in this strategic objective, by enabling it to undertake more activities in advocacy and to initiate activities to facilitate decentralization.

Thus, under Funding Option #1 (\$9.4 million), the USAID/Namibia would be able to achieve S.O. #3 fully. USAID/Namibia's planned follow-on Results Package, discussed in paragraph 5 above, would commence on time with full required funding.

Under Funding Option #2 (\$8.0 million), USAID/Namibia would be able to sustain the current DIB Results Package with Parliament and to undertake several, limited election-related activities. Its advocacy activities would be limited to NGO training and capacity building. The more intensive funding support required for an Advocacy Center would not be available.

Under Funding Option #3 (\$6.0 million), USAID/Namibia would be able to sustain DIB to its 1998 completion date. However, election-related activities, as well as programs in civic and voter education, and parliamentary party training, would not be possible.

9. Exit Goals

Clearly, the goals which USAID/Namibia hopes to achieve will depend on the extent to which funding levels permit all of the proposed activities. If U.S. assistance continues at the Funding Option #1 over the next ten years (i.e. USAID/Namibia's average OYB over the last 3 years), USAID/Namibia, with its development partners, will contribute to the achievement of the following goals at the strategic objective level by year 2005:

- There will be established systems and structures in place for two-way communication between citizens and members of Parliament. The legislative process will be consultative and responsive to the concerns of Namibian citizens and more focused on finding the most feasible means, through a deliberative public hearing process, of redressing the social, economic and legal inequalities fostered by apartheid;
- Parliament will be a truly co-equal branch of Government -- able to make informed contributions to the development, debate and amendment of policy and legislation, thereby providing an effective check to the executive branch. Parliamentarians will *value* their roles as representatives of constituents to at least the same degree as they value party loyalty. A system of supportive structures will be in place and fully *utilized* to promote direct communication and consultation between members of Parliament and citizens. Thus, by 2005, there will be a well established, operational Committee system, regular conduct of public hearings with good participation, and established and functional regional constituency offices frequently visited by parliamentarians and used for town meetings and open fora; and
- The Namibian citizenry will be better able and more inclined to articulate priorities and to lobby for change. NGOs and advocacy groups will freely undertake advocacy campaigns and engage pro-actively in legislative and governance processes. The media will be able to provide regular, analytical reporting of legislative and government affairs.

Figure 7

| Performance Indicators for Strategic Objective 3 | | Performance Targets for the Year 2000 (Funding Option #2) |
|--|---|---|
| 3.1: | The extent to which the legislative process meets established criteria for representing the concerns of different citizen groups | 5 of 5 |
| 3.2: | Number of public hearings, including committee hearings, held with citizen participation | 25 |
| 3.3: | Number of media reports reflecting interaction of parliamentarians and staff with the press on concerns generated by different citizen groups | 10% annual increase |
| 3.4: | Number of open, public debates by party candidates in national and regional election campaigns | 10 |

F. Synergies and Cross-Cutting Issues

Each of the Strategic Objectives just described contributes directly to the achievement of USAID/Namibia's overall Goal: *the strengthening of Namibia's new democracy and the social, economic and political empowerment of Namibians historically disadvantaged by apartheid.*

There are also strong synergies between the three S.O.s: they support and mutually reenforce each other.

S.O. #1: to which more than half of the USAID/Namibia's available resources are committed -- supports the essential education, training and institution-building required to help achieve S.O. #2 and S.O. #3.

S.O. #2: directly supports S.O. #3 through the strengthening of Namibian civil society by building NGO capacity to effectively articulate and represent the interests of their constituents in local, regional and/or national fora. S.O. #2 activities are also building GRN awareness and acceptance of Namibian NGOs and CAGs as important advocates for the people on economic, social and political issues -- an important S.O. #3 Intermediate Result.

S.O. #3: supports S.O. #1 and S.O. #2 by providing an improved enabling environment - in Parliament -- for Namibian advocacy groups and individual constituents to influence the policy and legislative process, and by providing more specialized advocacy training to both advocacy-oriented NGO as well as service- or management-oriented NGOs such as those active under S.O. #1 and S.O. #2.

Linking the three S.O.s are the common themes of strengthening the private sector and civil society, and working at the grass roots.

All three S.O.s are also linked through the very substantial involvement with U.S. and local NGOs in USAID/Namibia's program, with the major U.S. and local PVO and NGO partners listed below by S.O. and I.R.:

| | | |
|----------|-----------|---|
| S.O. #1: | I.R. #1.1 | AFRICARE, NNCCI (HRDA), AAI (ATLAS) and TUCSIN (ATLAS, undergraduate women's component) |
| | I.R. #1.2 | WEI and 25 local NGOs (READ) |
| S.O. #2: | I.R. #2.1 | WWF (LIFE) |
| | I.R. #2.2 | WWF and The Rössing Foundation (READ, Environmental Education) |
| S.O. #3: | I.R. #3.1 | NDI (DIB) |
| | I.R. #3.2 | NDI (DIB) |
| | I.R. #3.3 | WEI, WWF and NDI |

The education, D/G and environmental (including environmental education) activities are all designed to strengthen the public advocacy capacity of local NGOs to increase "demand" for a participatory, accountable government. Conversely, the effort to open up Parliament creates "lobbying" opportunities for Namibian beneficiaries to seek appropriate policies regarding, for example, an "enabling environment" in which community-based groups and local NGOs can flourish.

S.O. #2 specifically responds to the new Agency requirement for greater participation by NGOs and community-based organizations in the *design and implementation* of USAID programs and projects. Indeed, USAID/Namibia's overall approach in managing its varied portfolio is to rely heavily on PVOs and NGOs and other community-based organizations as its main implementing partners at both the national and local level. There are, for example, 25 indigenous NGOs involved in the READ Project.

Cross-Cutting Issues

Implicit in all three Strategic Objectives is the cross-cutting issue of *gender*. Prior to Independence, the gender issue was subsumed in the struggle for racial and ethnic equality. Although the Constitution passed in 1990 refers to women as equals to men, Namibia's laws continue to refer to women as "minorities," and, indeed, that remains their status.

Five years after Independence there still remains vast disparities between men and women in terms of access to education and other social services and in opportunities for economic and political empowerment. There is also a widening gap between urban and rural women in all sectors of the economy. Reports prepared over the past year cite various other stark statistics that give evidence of the gender problem: at the secondary school level, girls show increasing drop-out rates; adult men have much higher literacy rates than women, particularly in the rural areas; women represent more than 60 percent of the agricultural workers in the country; and the distribution of wealth favors men by two to one.

USAID/Namibia has paid serious attention to the gender issue in the development of this Strategic Plan. Every Strategic Objective, every Intermediate Result, and every project/activity has been developed with special attention and sensitivity to the needs and concerns of women. Every Performance Indicator in which it was possible to do so has been disaggregated by gender.

Drought is another identified cross-cutting issues given Namibia's propensity for drought and its dependency on sectors directly affected by drought. Namibia has suffered from frequent and periodic droughts over the past century. The last major drought occurred in 1991, and in response, USAID/Namibia provided 10,000 MT of food through the World Food Program in 1992. In addition, OFDA and the Africa Bureau provided emergency funds for a modest community-based borehole management activities, implemented by AFRICARE and International Medical Corps (IMC).

This year has been no exception. In Namibia, as well as in other parts of southern Africa, the rains have been insufficient and late. USAID/Namibia and the Embassy are continuing to closely monitor the drought situation. This past August, during the TDY of the AIDREP, discussions were held with the Africa Bureau and OFDA about the drought and the possibility of sending out a team in early CY 1996 to assess the drought situation. Further, USAID/Namibia has requested assistance from REDSO/ESA Office of Food for Peace for a short-term TA to assist USAID in preparing a contingency plan for drought, per guidance issued under reengineering. No firm timeframe has been identified for this REDSO/ESA assistance.

As supported by the Drought Analysis (Annex B) USAID/Namibia fully recognizes that Namibia will continue to periodically suffer from cyclical droughts. The GRN, during its August 1995 appeal, stated it has tasked NPC to come up with a longer-time strategy to respond to droughts.

Among the longer-term sustainable practices needed to protect the fragile environment would be better community-based management of natural resources. This will, over time, help people in the rural areas cope with periodic droughts. But this Strategic Plan does not include specific drought mitigation activities or contingency planning. However, it does present a more detailed analysis of the drought condition and more background information as part of the supplemental analyses. At present USAID/Namibia lacks the staff resources to undertake significant responsibilities in this area, other than those type of training programs mentioned above. (See Annex B, analysis on the drought situation)

USAID/Namibia's HRDA and ATLAS training programs are expressly open to persons wishing to study drought and emergency management, and USAID/Namibia has supported several participants in this field over the last two or three years.

SECTION III. MANAGEMENT IMPLICATIONS OF THE STRATEGY UNDER ALTERNATIVE FUNDING SCENARIOS

A. Programming Options

Over the past five years, the USAID program in Namibia has averaged \$12.3 million per year, with about \$9.3 million in bilateral funds allocated directly to USAID/Namibia and \$3.0 million in regional funds.

The latest budget guidance which USAID/Namibia received from AID/W less than 3 weeks prior to the finalization of this CSP, is that this Strategic Plan should be developed on the basis of three programming options:

Under Option #1 - USAID/Namibia would plan for \$9.4 million in bilateral funds in each of the five Plan years, plus "adequate" regional funds to maintain those activities which have been funded in the past from regional accounts.

Under Option #2 - USAID/Namibia would plan for \$8.0 in bilateral funds each year and reduced regional funds.

Under Option #3 - USAID/Namibia would plan for only \$6.0 million in bilateral funds in each of the five Plan years and no regional funds.

The difference between Option #1 and the reduced funding scenarios is considerable in absolute and percentage terms for a program of this size: \$1.4 million or a 15% reduction from current levels for Option #2, and \$3.4 million or a 36% reduction for Option #3. The drastically reduced funding provided in these scenarios will have a major affect on USAID/Namibia's Strategy and ability to achieve its Strategic Objectives.

While USAID/Namibia is hopeful that USAID/W will support Funding Option #1 for implementation of this Plan over the next five years, USAID/Namibia would also like to obtain Washington's formal acceptance of the proposition reflected in its guidance messages over the last year that USAID/Namibia should plan to phase out its program in ten years, the implication being that at least *another* five years' effort will be required to fully achieve the Exit Goals discussed in Section II of the Plan. In other words, USAID/Namibia seeks, through this CSP, a commitment by the Agency to "stay the course" in Namibia for at least another decade.

A related concern pertains to the regional activities which USAID/Namibia is being asked to manage *in addition to* the activities under the three Strategic Objectives. With its current staff of five U.S. Direct Hire employees, two project-specific U.S. PSCs, and an FSN/PSC staff of 28, including support staff, USAID/Namibia does not have sufficient human resources to monitor and participate in such regional activities as the Southern African Economic Development Fund (SAEDF) and Regional Democracy and Governance activities, to name two.

Current staff members are being stretched beyond their limits, as they strive to meet the demands of USAID/Namibia's Strategic Objectives *and* regional and ad hoc requirements. If USAID/Namibia is to satisfactorily address the requirements of regional activities, then it is imperative that additional human resources be employed to manage them: specifically, one individual with Project Development skills to manage regional activities in concert with the General Development Officer and one individual with Democracy and Governance expertise to participate in regional D/G activities and to assist with S.O. #3 technical support and management (see Section III. B. Staffing Needs). The D/G advisor should be a U.S. PSC. Without the additional staffing, USAID/Namibia's ability to participate in such regional initiatives and to manage increased funding under S.O. #3 will be compromised.

B. Resource Requirements

1. Program Funds

Over the past five years, USAID/Namibia concentrated its resources very heavily on basic education. If USAID/Namibia had been allocating its resources against the three Strategic

Objectives in this CSP, the distribution would have been 72% under S.O. #1, 28% under S.O. #2, and 3% under S.O. #3. Figure 8 illustrates this distribution of *previously* (1991 - 1995) obligated funds, as well as planned obligations (1996 - 2000) under each funding scenario, by Strategic Objective.

The very low percentage for Strategic Objective #3 reflects the fact that USAID/Namibia has only recently begun to fund activities in the area of democracy/governance.

Over the course of the next five years, the distribution of USAID/Namibia's program funds by Strategic Objective will, depending on the funding scenario approved, be distributed as shown in the bar chart in Figure 8.

a. Funding Option #1

The tables depicted in Figures 9, 10 and 11, present USAID/Namibia's Program fund requirements over the five-year CSP period by *Intermediate Results*, grouped together under the *primary* Strategic Objectives they support. As noted earlier, some Results Packages support more than one Intermediate Result or Strategic Objective, e.g. Intermediate Results #1.2 & #3.3 (READ) and #2.2 & #3.3 (LIFE). This is also reflected in Figure 8.

As discussed in Section II of this CSP, USAID/Namibia will be able to fully implement this Strategic Plan if it receives bilateral and regional program funds at the Funding Option #1 level. Figure 12 depicts the Option #1 funding scenario by *Intermediate Results*, in comparison with the Options #2 and #3, discussed below. USAID/Namibia has also included earlier year funding allocations in Figure 12 in order to reflect the real state of resource allocations. This is a realistic depiction of our resource allocation because: (a) prior year funds are truly allocable to current Strategic Objectives and *no* others; and (b) over the last two years, USAID/Namibia has expended great efforts at recasting *all* prior (inherited) activities to even more closely fit within Strategic Objectives as described in this CSP.

b. Funding Option #2

Should Funding Option #2 prevail, USAID/Namibia will find it necessary to trim planned obligations from Strategic Objective #1 and #3. We also must assume that funding available from RCSA/Botswana for Strategic Objective #2 would be correspondingly reduced from \$15.0 million under Funding Option #1 to 10.0 million under Funding Option #2. Intermediate Result #1.2 (improved delivery of non-formal education and training services to adults, through NGOs) and Intermediate Result #3.3 (increased public advocacy by NGOs and civic groups in local, regional, nation and media fora) would be reduced significantly by (\$6.5 million) over the five-year period.

To be specific, funding for Intermediate Result #3.3 (civic advocacy) would be reduced by \$5.0 million for the period. This change is necessitated by the need to curtail the READ Results Package, which has a substantial NGO advocacy component planned for its later years.

Figure 8

RESOURCE ALLOCATION BY STRATEGIC OBJECTIVE

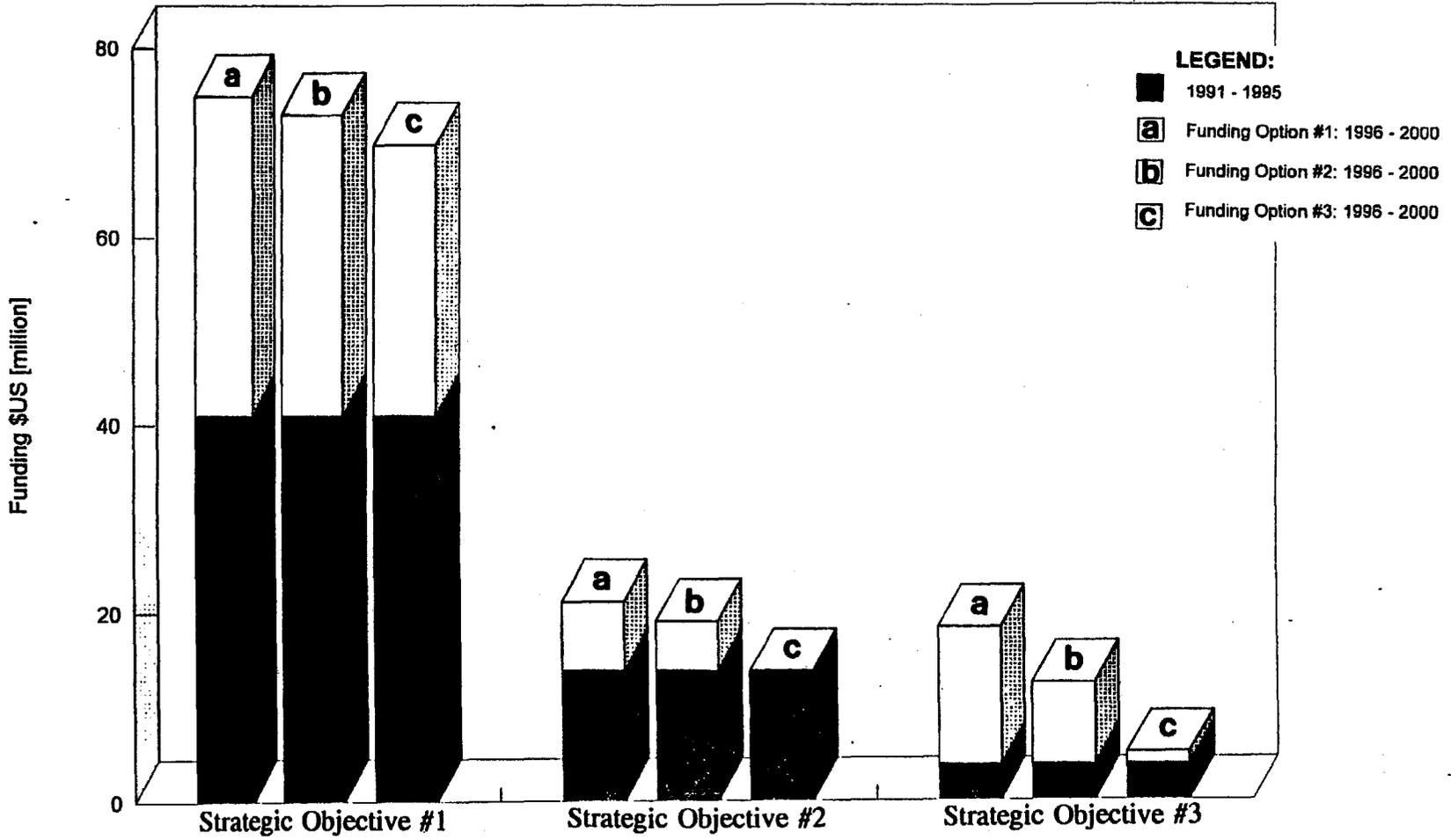


Figure 9

| USAID/NAMIBIA : Funding Option #1 - Program Summary FY 1996 - FY 2000 (\$000) | | | | | | | | |
|---|---------------|---------------|--------------|--------------|--------------|--------------|--------------|---------------|
| | TOTAL | CUM OBL | FY 96 | FY 97 | FY 98 | FY 99 | FY 00 | Total |
| Strategic Objective #1: Improved Performance and Education/Training Opportunities for Historically Disadvantaged Namibians | | | | | | | | |
| Intermediate Result 1.1: Improved delivery of technical and managerial training to historically disadvantaged Namibians in target organizations | 22,300 | 3,300 | 3,300** | 4,000 | 4,000 | 4,000 | 4,000 | 19,300 |
| Intermediate Result 1.2: Improved delivery of non-formal education and training services to adult historically disadvantaged Namibians by NGOs | 9,000 | 6,456 | 1,500 | 1,044 | | | | 2,544 |
| Intermediate Result 1.3 : Improved delivery of quality primary education to Namibian learners in target schools | 8,000 | 5,250 | | | 2,000 | | 750 | 2,750 |
| Intermediate Result 1.4: Improved delivery of a unified national curriculum for grades 1-4 | 24,170 | 10,000 | 1,170 | | 1,400** | 3,650 | 3,050 | 9,270 |
| Sub-Total | 63,470 | 25,006 | 5,970 | 5,044 | 7,400 | 7,650 | 7,800 | 33,864 |
| Strategic Objective #2: Increased benefits to historically disadvantaged Namibians from sustainable local management of natural resources | | | | | | | | |
| Intermediate Result 2.1: Improved policy and legislative environment for local control of natural resources in communal areas | 1,500 | 1,500 | 130** | | | 250** | 600** | 980 |
| Intermediate Result 2.2: Strengthened community-based natural resource management activities in target communities | 12,324 | 12,324 | | | | | | 0 |
| Intermediate Result 2.a: Community based natural resource management implemented nationally | 12,000* | | | 400** | | 3,000* | 3,000* | 6,400 |
| Sub-Total | 25,824 | 13,824 | 130 | 400 | 0 | 3,250 | 3,600 | 7,380 |

USAID/NAMIBIA : Funding Option #1 - Program Summary FY 1996 - FY 2000 (\$000)

| | TOTAL | CUM OBL | FY 96 | FY 97 | FY 98 | FY 99 | FY 00 | Total |
|--|-------------------|----------------|-----------|-----------|-----------|-----------|-----------------|---------------|
| Strategic Objective #3: Increased accountability of Parliament to all Namibian citizens | | | | | | | | |
| Intermediate Result 3.1: Increased opportunities for citizen participation in the legislative process | 4,300 | | 1,300 | 456** | 2,000 | 1,000 | | 4,756 |
| Intermediate Result 3.2 : Enhanced skills of parliamentarians as legislators and representatives of citizens | 1,000 | 1,000 | | | | | | 0 |
| Intermediate Result 3.3: Increased public advocacy by NGOs and Civic Groups in local, regional, national and/or media fora | 9,700 + 3,000* | 2,700 | 2,000 | 3,500 | 3,000* | 500 | 1,000 | 10,000 |
| Sub-Total | 97,008,300 | 3,700 | 3,300 | 3,956 | 5,000 | 1,500 | 1,000 | 14,756 |
| TOTAL | | | 9,400 | 9,400 | 12,400 | 12,400 | 12,400 | 56,000 |
| Bilateral (Sub-Total) | | | (9,400) | (9,400) | (12,400) | (12,400) | (9,400) | (53,000) |
| Regional* (Life II)* | (RCSA-000) | 15,000* | 0* | 0* | 0* | 0* | (3,000*) | 3,000* |

* Regional Funds
** Includes PD&S

Figure 10

| USAID/NAMIBIA : Funding Option #2 - Program Summary FY 1996 - FY 2000 (\$000) | | | | | | | | |
|---|---------------|---------------|--------------|--------------|--------------|--------------|--------------|---------------|
| | TOTAL | CUM OBL | FY 96 | FY 97 | FY 98 | FY 99 | FY 00 | Total |
| Strategic Objective #1: Improved Performance and Education/Training Opportunities for Historically Disadvantaged Namibians | | | | | | | | |
| Intermediate Result 1.1: Improved delivery of technical and managerial training to historically disadvantaged Namibians in target organizations | 22,300 | 3,300 | 3,370** | 3,600 | 4,000 | 4,000 | 4,400 | 19,370 |
| Intermediate Result 1.2: Improved delivery of non-formal education and training services to adult historically disadvantaged Namibians by NGOs | 8,500 | 6,456 | 1,000 | 1,044 | | | | 2,044 |
| Intermediate Result 1.3: Improved delivery of quality primary education to Namibian learners in target schools | 7,000 | 5,250 | | | 1,000 | 1,000 | 750 | 2,750 |
| Intermediate Result 1.4: Improved delivery of a unified national curriculum for grades 1-4 | 24,170 | 10,000 | 2,200 | 1,000 | 1,000** | 1800 | 1,750 | 7,750 |
| Sub-Total | 61,970 | 25,006 | 6,570 | 5,644 | 6,000 | 6,800 | 6,900 | 31,914 |
| Strategic Objective #2: Increased benefits to historically disadvantaged Namibians from sustainable local management of natural resources | | | | | | | | |
| Intermediate Result 2.1: Improved policy and legislative environment for local control of natural resources in communal areas | 1,500 | 1,500 | 130** | | | 200** | 600** | 930 |
| Intermediate Result 2.2: Strengthened community-based natural resource management activities in target communities | 12,324 | 12,324 | | | | | | 0 |
| Intermediate Result 2.a: Community based natural resource management implemented nationally | 8,000* | | | 356** | | 2,000* | 2,000* | 4,356 |
| Sub-Total | 21,824 | 13,824 | 130 | 356 | 0 | 2,200 | 2,600 | 5,286 |

USAID/NAMIBIA : Funding Option #2 - Program Summary FY 1996 - FY 2000 (\$000)

| | TOTAL | CUM OBL | FY 96 | FY 97 | FY 98 | FY 99 | FY 00 | Total |
|--|-------------------|----------------|-----------|-----------|---------------|---------------|---------------|----------------|
| Strategic Objective #3: Increased accountability of Parliament to all Namibian citizens | | | | | | | | |
| Intermediate Result 3.1: Increased opportunities for citizen participation in the legislative process | 4,300 | | 1,300 | 500** | 2,000 | 1,000 | | 4,800 |
| Intermediate Result 3.2 : Enhanced skills of parliamentarians as legislators and representatives of citizens | 1,000 | 1,000 | | | | | | 0 |
| Intermediate Result 3.3: Increased public advocacy by NGOs and Civic Groups in local, regional, national and/or media fora | 5,000+2,000 | 2,700 | | 1500 | 2,000* | | 500 | 4,000 |
| Sub-Total | 12,300 | 3,700 | 1,300 | 2,000 | 4,000 | 1,000 | 500 | 8,800 |
| TOTAL | | | 8,000 | 8,000 | 10,000 | 10,000 | 10,000 | 46,000 |
| Bilateral (Sub-Total) | | | (8,000) | (8,000) | (8,000) | (8,000) | (8,000) | (40,000) |
| Regional* (Life II)* | (RCSA 000) | 10,000* | 0* | 0* | 2,000* | 2,000* | 2,000* | (6,000) |

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* Regional Funds
 ** Includes PD&S

Figure 11

| USAID/NAMIBIA : Funding Option #3- Program Summary FY 1996 - FY 2000 (\$000) | | | | | | | | |
|---|---------------|---------------|--------------|--------------|--------------|--------------|--------------|---------------|
| | TOTAL | CUM OBL | FY 96 | FY 97 | FY 98 | FY 99 | FY 00 | Total |
| Strategic Objective #1: Increased education/training opportunities for historically disadvantaged Namibians | | | | | | | | |
| Intermediate Result 1.1: Improved delivery of technical and managerial training to historically disadvantaged Namibians in target organizations | 22,300 | 3,300 | 3,400** | 4,000 | 4,000 | 4,000 | 3,000 | 18,400 |
| Intermediate Result 1.2: Improved delivery of non-formal education and training services to adult historically disadvantaged Namibians by NGOs | 6,456 | 6,456 | | | | | | 0 |
| Intermediate Result 1.3: Improved delivery of quality primary education to Namibian learners in target schools | 8,000 | 5,250 | | | 1,000 | 1,000 | 750 | 2,750 |
| Intermediate Result 1.4: Improved delivery of a unified national curriculum for grades 1-4 | 24,170 | 10,000 | 1,300 | 2,000 | 1,000** | 1,000 | 2,250 | 7,550 |
| Sub-Total | 60,926 | 25,006 | 4,700 | 6,000 | 6,000 | 6,000 | 6,000 | 28,700 |
| Strategic Objective #2: Increased benefits to historically disadvantaged Namibians from sustainable local management of natural resources | | | | | | | | |
| Intermediate Result 2.1: Improved policy and legislative environment for local control of natural resources in communal areas | 1,500 | 1,500 | | | | | | 0 |
| Intermediate Result 2.2: Strengthened community-based natural resource management activities in target communities | 12,324 | 12,324 | | | | | | 0 |
| Intermediate Result 2a: Community based natural resource management implemented nationally | | | | | | | | 0 |
| Sub-Total | 15,824 | 15,824 | 0 | 0 | 0 | 0 | 0 | 0 |

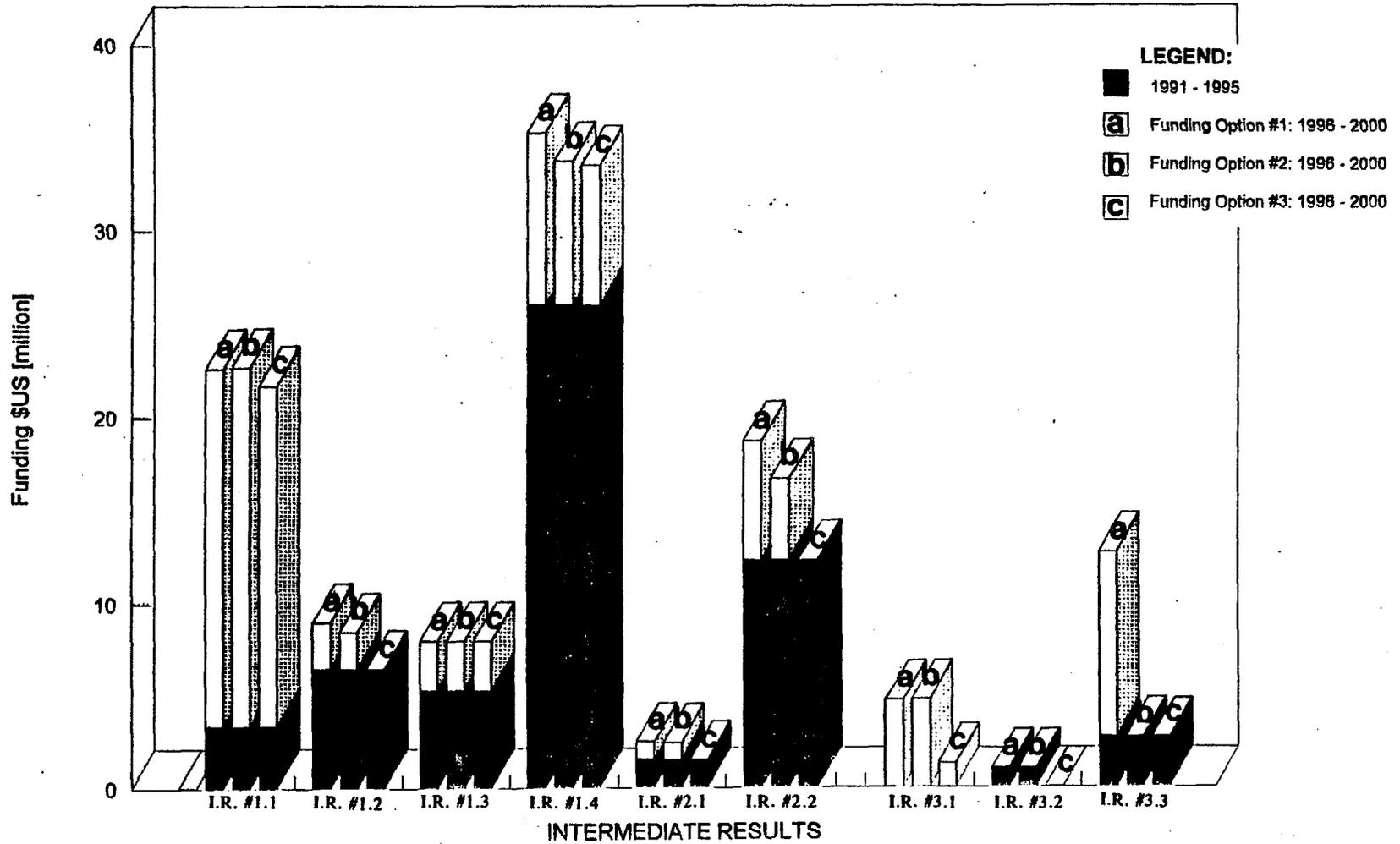
USAID/NAMIBIA : Funding Option #3- Program Summary FY 1996 - FY 2000 (\$000)

| | TOTAL | CUM OBL | FY 96 | FY 97 | FY 98 | FY 99 | FY 00 | Total |
|--|-------------------|---------------|----------------|----------------|----------------|----------------|----------------|-----------------|
| Strategic Objective #3: Increased accountability of Parliament to all Namibian citizens | | | | | | | | |
| Intermediate Result 3.1: Increased opportunities for citizen participation in the legislative process | 1,300 | | 1,300 | | | | | 1,300 |
| Intermediate Result 3.2 : Enhanced skills of parliamentarians as legislators and representatives of citizens | 1,000 | 1,000 | | | | | | 0 |
| Intermediate Result 3.3: Increased public advocacy by NGOs and Civic Groups in local, regional, national and/or media fora | 2700 | 2700 | | | | | | 0 |
| Sub-Total | 3,000 | 1,700 | 1,300 | 0 | 0 | 0 | 0 | 1,300 |
| TOTAL | | | 6,000 | 6,000 | 6,000 | 6,000 | 6,000 | 30,000 |
| Bilateral (Sub-Total) | | | (6,000) | (6,000) | (6,000) | (6,000) | (6,000) | (30,000) |
| Regional* (Life II) | (RCSA-000) | 10,000 | 0 | 0 | 0 | 0 | 0 | 0 |

- * Regional Funds
- ** Includes PD&S

Figure 12

RESOURCE ALLOCATION BY INTERMEDIATE RESULT



The bar chart in Figure 12 illustrates the Option #2 funding scenario by Intermediate Results, in comparison with the other funding scenarios. Similarly, the tables contained in Figure 10, present the program funding summary by *Intermediate Results*, including both current and planned funding under Funding Option #2.

c. Funding Option #3

If Funding Option #3 prevails (\$6.0 million OYB), then USAID/Namibia will have to make some very tough decisions. Under this Option, it must be assumed that RCSA/Botswana would also undergo draconian cuts and that USAID/Namibia could no longer expect to receive *any* regional funds. In addition, owing to the corresponding reduction in Strategic Objective #1 (I.R. #1.2), USAID/Namibia could no longer justify replacing the current General Development Officer at the end of her tour. Given these factors, USAID/Namibia would be forced to propose that S.O. #2 activities be transferred to RCSA/Botswana to be managed regionally until currently obligated funds expire in FY 1999. Given that no additional regional funds are likely to be available for the planned follow-on Results Package needed to assure sustainability under S.O. #2 (see discussion in Section II), and to replicate CBNRM models nationally, Strategic Objective #2 would be phased out in its entirety in 1999, *before* the end of the period covered by this CSP.

With regard to Strategic Objective #3, every Intermediate Result will be severely curtailed. However, USAID/Namibia would still expect to see a considerable degree of progress with respect to I.R. #3.1 and #3.2, concerning the accessibility and transparency of Parliamentary proceedings and the legislative skills of Parliamentarians.

Most funding under Funding Option #3 would be concentrated in S.O. #1, the area where most USAID resources have been targeted to date and where the greatest impact has been realized. However, three of S.O. #1's four Intermediate Results will suffer either reductions (I.R. #1.1 and #1.3) or elimination (I.R. #1.2). The planned new bilateral HRD Results Package would also be delayed for one year, from FY 1997 as planned in Funding Options #1 and #2, to FY 1998 in Funding Option #3, meaning that fewer Namibians will receive urgently needed technical and managerial training.

The program funding summary under Option #3 is reflected in Figure 11 and is broken down by Intermediate Results. Similarly, the bar chart contained in Figure 12 provides a comparison of the three Strategic Objectives by *Intermediate Results* for each Strategic Objective.

2. Staffing Needs

Program funds are, of course, not the only resources which USAID/Namibia needs to implement in this Plan. It also needs human resources, i.e., a level of in-house staffing and outside support commensurate with the size and complexity of the Program for which it is accountable under this CSP.

When USAID/Namibia was established in 1990, there was no long-term U.S. assistance strategy for Namibia, but rather a sudden realization that U.S. diplomacy had succeeded and that an assistance program must be initiated quickly. As a result, the initial program was almost exclusively ESF-funded, premised largely on political considerations. Accordingly, the Africa Bureau determined (a) that the initial activity would be in the cash transfer mode, and (b) that the Program would only need to be staffed at a modest level. By 1995 the Program had evolved into three sectors, with a DA/DFA operational year budget averaging two to three times the DA/DFA levels of 1991 and 1992, but with staffing levels unchanged since that time.

The Africa Bureau's revised Delegations of Authority issued to USAID field Missions as part of reengineering initiatives on October 4, 1995, expanded the authorities delegated to USAID Principal officers, and re-delegable to other USDH employees, FSNs, and U.S. PSCs at Missions. The revised DOA, coupled with other reengineering measures to empower overseas operating units and S.O. Teams with increased decision-making authorities, elevates the importance of having well-trained staff. To make reengineering work, USAID missions must be allowed the types and numbers of personnel needed to insure CSP implementation and accountability.

The core staff available to manage the USAID/Namibia consists of five USDHs and two U.S. PSC positions. Given that the current program is close to \$75 million, when planned follow-on activities and future regional/global funds are added, the USAID/Namibia program could likely approach \$100 million by the end of the CSP. Under such circumstances, the current staff levels would need to be adjusted to reflect the size and nature of the activities. (See Annex G, USAID/Namibia's Staffing Pattern).

While USAID/Namibia is maximizing the use of PVOs and NGOs in the implementation of its activities, a core staff of seven is extremely thin in terms of USAID/Namibia's overall workload, including Initiative for Southern African (ISA) activities in which USAID/Namibia must participate. USAID/Namibia is among the most thinly-staffed operating units in Africa in terms of USDHs and U.S. PSCs relative to OYB.

a. Program Staffing Under Funding Option #1

In order to provide appropriate oversight of the program covered by the Funding Option #1, USAID/Namibia needs *an additional U.S. PSC advisor* to assist with the management and monitoring of activities under S.O. #3 (democracy), as well as regional initiatives in Democracy and Governance. Additionally, under either Funding Option #1 or #2, USAID/Namibia needs the authority to hire *one additional FSN/PSC* to provide project technical support to all three S.O. Teams, and to manage regional activities, such as SAEDF and SARDC, activities which currently fall under USAID/Namibia's purview, but for which sufficient human resources are not available to give these activities the attention and support they require in the light of Agency priorities (i.e., ISA).

Under the \$9.4 million funding scenario, with regional funding included, the USAID/Namibia program -- currently at \$75-million -- will likely reach \$100-million by the end of this CSP. The number of transactions and accountability requirements auger for the restoration of the full-time Controller position which was eliminated in 1993. In view of the current OE restrictions, however, USAID/Namibia realizes that the reestablishment of this position is probably not practicable at this time. Figure 13 illustrates the Program personnel costs under the Funding Option #1. (Annex E.1 provides organizational structure charts for USAID/Namibia under this Funding Option).

b. Program Staffing Under Funding Option #2

The major portfolio management change under this Option would result from the March 1998 termination of the Results Package known as READ and the related early reduction of support for I.R.s #1.2 and #3.3. Accordingly, the U.S. PSC currently working half-time on READ (and half-time on LIFE) and the READ FSN Project Assistant, would not be required after that date. Under this funding scenario, the U.S. PSC could cover regional and PDO staffing requirements, (in addition to supporting LIFE), allowing USAID/Namibia to terminate the full-time FSN/PSC position providing those services as described in the preceding section.

For reasons described under Option #1 above, the U.S. PSC position for S.O. #3 would still be needed. Figure 14 illustrates the Program personnel costs which would be consequent to the Option #2 funding scenario. (Annex E.2 provides organizational charts for USAID/Namibia under Option #2).

c. Program Staffing Under the Funding Option #3

Under the \$6.0 million scenario, all USAID/Namibia activities would be concentrated under S.O. #1 after FY 1998. USAID would phase out the READ Results Package in December 1997, and would not anticipate further funding of the LIFE Results Package beyond mid-1999. In such circumstances, good management would require (a) *not* replacing the GDO position responsible for managing both Results Packages when her second tour expires in mid-1997, (b) terminating the U.S. PSC that is split-funded by these activities in December 1997, (c) terminating the FSN Project Assistants and support staff in mid-1997, (d) transferring responsibility for management of the LIFE Results Package to RCSA/Botswana in mid-1997, and (e) eliminating the part-time D/G Assistant in FY 1998.

Under this funding scenario, USAID/Namibia would either not require or would not be able to justify any of the additional positions requested in Funding Options #1 and #2. Personnel and support costs would be reduced consequent to the program reduction. Figure 15 illustrates the main personnel costs associated with Funding Option #3. (Annex E.3 presents USAID/Namibia's organizational charts under this scenario).

Figure 13

**PROGRAM PERSONNEL RESOURCE REQUIREMENTS
USAID/Namibia - Funding Option # 1**

| FUNDING CATEGORY (OE/PROGRAM) | FY 95 | FY 96 | FY 97 | FY 98 | FY 99 | FY 00 | TOTAL FY 96 to 00 |
|-----------------------------------|---------|---------|---------|---------|---------|---------|-------------------------|
| Program Expenses | 453,909 | 713,066 | 672,243 | 675,694 | 706,040 | 822,107 | 3,589,150 |
| BES Manager S.O. 1 | 179,461 | 160,880 | 169,401 | 168,028 | 176,764 | 210,612 | 885,685 |
| READ/LIFE Manager (S.O. 1 & 2) | 139,931 | 153,300 | 181,062 | 157,410 | 165,834 | 193,621 | 851,227 |
| USPSC D/G | | 178,000 | 162,000 | 173,500 | 169,000 | 204,000 | 886,500 |
| Part-time USPSC, D/G | | 50,000 | | | | | 50,000 |
| FSN/PSC (8/7 positions)* | 134,517 | 170,886 | 159,780 | 176,756 | 194,442 | 213,874 | 915,738 |

* One FSN/PSC position, Monitoring and Evaluation Specialist, will be moved from Program to OE Aiding in FY 96.

Figure 14

**PROGRAM PERSONNEL RESOURCE REQUIREMENTS
USAID/Namibia - Funding Option # 2**

| FUNDING CATEGORY (OE/PROGRAM) | FY 95 | FY 96 | FY 97 | FY 98 | FY99 | FY 00 | TOTAL FY 96-00 |
|--|----------------|----------------|----------------|----------------|----------------|----------------|-------------------|
| Program Expenses | 453,909 | 703,066 | 724,743 | 675,694 | 702,058 | 784,066 | 3,589,627 |
| BES Manager S.O. 1 | 179,461 | 160,880 | 169,401 | 168,028 | 176,764 | 210,612 | 885,685 |
| READ/LIFE Manager ¹ (S.O. 1 & 2) | 139,931 | 153,300 | 181,062 | 157,410 | 165,834 | 193,621 | 851,227 |
| USPSC D/G | | 178,000 | 162,000 | 173,500 | 169,000 | 204,000 | 886,500 |
| USPSC, D/G, P-T | | 50,000 | 52,500 | | | | 102,500 |
| FSN/PSC (6/5 positions) | 134,517 | 160,886 | 159,780 | 176,756 | 190,460 | 175,833 | 863,715 |

* One FSN/PSC position, Monitoring and Evaluation Specialist, will be moved from Program to OE funding in FY 96; increasing actual OE-funded FSN/PSC's by one under Funding Option # 2. Net (Program and OE) FSN/PSC positions remain unchanged, however.

1. Will assume Regional support duties, in addition to LIFE

1. Will assume regional activities support duties, in addition to LIFE, from FY 1998 to FY 2000

3. Support Requirements

As noted above, USAID/Namibia is heavily dependent on outside sources for many support services in the design and implementation of its program (including the development of this Strategic Plan). This dependency will continue over the entire five-year Plan period, *under any budget scenario*. Indeed, without substantial outside support, it will be impossible for USAID/Namibia to implement this CSP.

It should also be noted that, while Schedule "B" Posts have now been eliminated and all USAID Missions have authority to obligate and amend their own activities, USAID/Namibia remains dependent on REDSO/ESA for technical support in the design of activities. In FY 1995, for example, ten REDSO/ESA staffers provided a total of 129 days of TDY services. Similarly, USAID/Namibia is also completely dependent on other USAID Posts in Southern Africa for all of its legal, contracting, and financial management (Controller) services. As of FY 1996, USAID/Namibia is dependent upon USAID/Zimbabwe for financial management services, and RCSA/Botswana for legal, contracting, grant execution and management services. USAID/Namibia has in the past also drawn on USAID/W staff for support, particularly in strategy development and program design.

4. Staff Training

USAID/Namibia has a staff of capable, dedicated and professional Foreign Service Nationals who possess the educational qualifications requisite for their jobs. Because of the small cadre of U.S. Direct Hire and U.S. PSC staff, USAID/Namibia relies heavily on its host country staff, most of whom are relatively new to USAID and have little or no previous experience in development activities. This, coupled with the lack of solid and qualitative experience previously denied many Namibians because of apartheid, USAID/Namibia has made staff training and development one of its top internal management priorities. In the funding scenarios presented above, training and development of USAID/Namibia's staff will become even more important, especially under Funding Options #2 and #3 where FSN staff will be more heavily relied upon to manage and support USAID's activities. Thus, it is imperative that sufficient Program *and* OE funds be available to provide job-specific training to our professional program and support staff.

USAID/Namibia has invested an amount of its scarce time and resources to training *all* USAID/Namibia staff in reengineering. However, the process of reengineering has just begun. USAID/Namibia will continue to require both Program and OE funds and staff time to insure that the new reengineering methodologies are both understood and practiced by all USAID/Namibia personnel.

Figure 15

**PROGRAM PERSONNEL RESOURCE REQUIREMENTS
USAID/Namibia - Funding Option # 3**

| FUNDING CATEGORY (OE/PROGRAM) | FY 95 | FY 96 | FY 97 | FY 98 | FY 99 | FY 00 | TOTAL FY 96 -00 |
|-----------------------------------|----------------|----------------|----------------|----------------|----------------|----------------|--------------------|
| Program Expenses | 453,909 | 495,972 | 481,531 | 472,758 | 238,446 | 278,353 | 1,967,060 |
| BES Manager S.O. 1 | 179,461 | 160,880 | 169,401 | 168,028 | 176,764 | 210,612 | 885,685 |
| READ/LIFE Manager (S.O. 1 & 2) | 139,931 | 153,300 | 181,062 | 193,621 | | | 527,983 |
| USPSC D/G | | | | | | | 0 |
| USPSC, D/G, P-T | | 50,000 | 52,500 | 55,125 | | | 157,625 |
| FSN/PSC (6/3 positions)* | 134,517 | 131,792 | 78,568 | 55,984 | 61,682 | 67,741 | 395,767 |

* Six Program-funded FSN/PSC positions will exist in FY 1996, four in FY 1997, and three FSN/PSC positions throughout FY 1998 - FY 2000; The FSN/PSC position of Monitoring and Evaluation specialist will be converted to an OE-funded position in FY 96.

5. Operating Expense Funds

As discussed above, the implementation of this Strategic Plan will, under every budget scenario presented, impact upon the Program-funded human resources at USAID/Namibia. Similarly, OE-funded resources, particularly human resources, will also be affected by the Strategic Plan, regardless of the funding scenario.

a. OE Requirements - Funding Option #1 and Funding Option #2

The program personnel resource request presented above will, if approved, constitute a net increase of three positions, one U.S. PSC and two program-funded FSNs. The U.S. PSC would receive full administrative support including housing, travel/transportation and personnel, plus indirect forms of support, such as office space, procurement and communications services.

Consequent to the staffing increases proposed under Funding Option #1 and Funding Option #2, OE personnel staffing would be unaffected. Administrative support for the proposed new Program Personnel could be provided with existing personnel resources (See Annex E.1, Organizational Chart). The only anticipated change in OE-funded staffing is the transfer of funding for one position, that of Evaluation Specialist, from Program to OE and the recruitment of a qualified individual to fill the currently vacant position of Project Financial Analyst. The OE personnel resource requirements, FY 1995 through FY 2000, are presented in Figure 16.

b. OE Requirements - Funding Option #3

The reduction in Program activities, the elimination of Strategic Objectives #2 and #3 by the end of FY 1998, and the consequent program personnel reductions would have a corresponding effect upon the USAID/Namibia's support offices. As S.O. activities are phased-out, several OE support positions will, in turn, also be eliminated. Figure 16, presents the total OE personnel resource requirements and costs under this funding scenario. Also, please refer to Annex E.3 for the organizational diagrams for USAID/Namibia under Funding Option #3. By the end of FY 1998, the following OE-funded positions would have to be eliminated if Funding Option #3 prevails: USDH General Development Officer; Administrative Assistant, GDO; Program Analyst; GSO Property Clerk, Communications and Records Assistant; and one of USAID/Namibia's two drivers/messengers. Other than a decrease in personnel resources and consequent cost reductions, by the end of FY 1997 the Funding Option #3 would also impact upon OE resource requirements by triggering reductions in official motor vehicle requirements (two vehicles), staff housing and related support, office furnishings and supplies, and office space.

Figure 16

**OE RESOURCE REQUIREMENTS SUMMARY
Funding Option # 1**

| FUNDING CATEGORY | FY 95 | FY 96 | FY 97 | FY 98 | FY99 | FY 00 | TOTAL FY 96-00 |
|--------------------|---------|----------|-----------|-----------|-----------|-----------|-------------------|
| Operating Expenses | 978,000 | 1046,500 | 1,270,254 | 1,440,196 | 1,555,326 | 1,770,443 | 7,082,719 |
| OE Personnel | 482,872 | 540,952 | 691,273 | 813,463 | 873,675 | 1,025,641 | 3,945,004 |
| Number of FTE | 5 | 5 | 5 | 5 | 5 | 5 | |
| FSN/TCN FTE | 1 | 1 | 1 | 1 | 1 | 1 | |
| FSN/PSC | 21 | 21/22 | 22 | 22 | 22 | 22 | |
| USPSC | 1 | 1/0 | 0 | 0 | 0 | 0 | |

**OE RESOURCE REQUIREMENTS SUMMARY
Funding Option # 2**

| FUNDING CATEGORY | FY 95 | FY 96 | FY 97 | FY 98 | FY 99 | FY 00 | TOTAL FY 390 - |
|--------------------|---------|-----------|-----------|-----------|-----------|-----------|-------------------|
| Operating Expenses | 978,000 | 1,046,500 | 1,270,254 | 1,440,196 | 1,555,326 | 1,770,443 | 7,082,719 |
| OE Personnel | 482,872 | 540,952 | 691,273 | 813,463 | 873,675 | 1,025,641 | 3,945,004 |
| Number of FTE | 5 | 5 | 5 | 5 | 5 | 5 | |
| FSN/TCN FTE | 1 | 1 | 1 | 1 | 1 | 1 | |
| FSN/PSC* | 21 | 21/22* | 22 | 22 | 22 | 22 | |
| USPSC | 1 | 1/0 | 0 | 0 | 0 | 0 | |

**OE RESOURCE REQUIRMENTS SUMMARY
Funding Option # 3**

| CATEGORY | FY 95 | FY 96 | FY 97 | FY 98 | FY 99 | FY 00 | TOTAL FY 390- |
|--------------------|---------|-----------|-----------|-----------|-----------|-----------|------------------|
| Operating Expenses | 978,000 | 1,014,200 | 1,235,300 | 1,337,700 | 1,446,400 | 1,650,800 | 6,684,400 |
| OE Personnel | 482,872 | 482,608 | 627,094 | 690,763 | 715,143 | 882,762 | 3,398,370 |
| Number of FTE | 5 | 5 | 5 | 4 | 4 | 4 | |
| FSN/TCN FTE | 1 | 1 | 1 | 1 | 1 | 1 | |
| FSN/PSC* | 21 | 18 | 18 | 18 | 18 | 18 | |
| USPSC | 1 | 1/0 | 0 | 0 | 0 | 0 | |

*Funding for one FSN PSC, Monitoring and Evaluation Specialist, will be changed from Program to OE in FY 1996

PN-ABX-696

USAID/NAMIBIA
COUNTRY STRATEGIC PLAN

ANNEXES

ANNEXES

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Annex A

| USAID/NAMIBIA : Obligations FY 1990 - FY 1995 (\$000) | | | | | | | | | |
|---|-------------|-------|-----------|---------------|---------------|--------------|---------------|---------------|---------------|
| Mission Bilateral Funds | | | | | | | | | |
| Project | Number | Auth. | FY90 | FY91 | FY92 | FY93 | FY94 | FY95 | Total |
| SPA | 673-0001 | 9/90 | 30 | | | | | | 30 |
| PD&S | 673-0002 | | | 500 | 294 | 133 | 499 | 600 | 2,026 |
| Basic Ed (NPA) | 673-0003 | 3/91 | | 16,000 | | | | | 16,000 |
| BES | 673-0006 | 3/91 | | 500 | 500 | | 11,750 | 2,500 | 15,250 |
| READ | 673-0004 | 9/92 | | | 3,906 | 1,500 | 550 | 2,000 | 7,956 |
| DIB | 673-0007 | 8/95 | | | | | | 1,700 | 1,700 |
| ATLAS | 98-0475.73 | 6/92 | | | 300 | | 1,000 | 1,000 | 2,300 |
| HRDA | 98-0463.73 | 4/95 | | | | | | 1,000 | 1,000 |
| Subtotal | | | 30 | 17,000 | 5,000 | 1,633 | 13,799 | 8,800 | 46,262 |
| Regional and Central Funds | | | | | | | | | |
| Project | Number | Auth. | FY90 | FY91 | FY92 | FY93 | FY94 | FY95 | Total |
| LIFE | 690-0251.7 | 9/92 | | | 3,000 | 1,532 | 3,000 | 6,824 | 14,356 |
| Human Rights | 690-0541.7 | 9/91 | | 50 | 200 | 433 | 300 | 167 | 1,150 |
| Drought | | | | | 4,076 | | | | 4,076 |
| AREWSP | 698-0492.73 | | | | | 638 | | | 638 |
| Self-Help | 698-9901.73 | | | 152 | 193 | 200 | 200 | 170 | 915 |
| Subtotal | | | 0 | 202 | 7,469 | 2,803 | 3,500 | 7,161 | 21,135 |
| TOTAL | | | 30 | 17,202 | 12,469 | 4,436 | 17,299 | 15,960 | 67,397 |

ANNEX A

USAID/NAMIBIA FUNDING: FY 1990-1995

ANNEX B

SYNOPSIS OF STUDIES AND ANALYSES IN SUPPORT OF THE CSP

- SYNOPSIS OF S.O.#1, S.O.#2 AND S.O.#3

- SPECIAL STUDIES:

-- GENDER ANALYSIS

-- HIV/AIDS ANALYSIS

-- NGO ANALYSIS

-- DROUGHT ANALYSIS

Annex B

USAID MISSION TO NAMIBIA STRATEGIC PLAN (FY 1996 - 2000)

Attached are Analyses which support the USAID rationale and approach contained in the USAID Namibia Country Strategic Plan (1996 - 2000).

Part I assistance environment reflects key economic events of the past nine months including GRN development of its first National Development Plan, documentation for the Round Table, negotiations on the Southern African Customs Union, and the recent November Round Table Meeting in Geneva. This supporting analysis consisted of an updated macro-economic study prepared by the REDSO/ESA Economist, Larry Forgy.

Part II of the CSP Goal and Strategic Objectives are supported in the analyses separated by each of the three S.O.s as follows:

S.O. #1 - Human Resources Development: consists of nine different analyses and studies in support of elements contained within the multi-faceted human resources development sector. These studies include an overview of HRD as well as justification for USAID's intervention into the identified areas: basic education (primary level), non-formal adult education, scholarship training and short-term managerial training.

S.O. #2 - consists of a two-part study in support of our intervention into environmental and natural resources management sector. This two-part study was prepared by an outside consultant, knowledgeable of the southern African setting and its problems, over a four-month time span.

S.O. #3 - consists of one study, an assessment prepared as a basis for determining the types of interventions that USAID could consider in democracy and governance. This assessment identified five possible areas of D/G intervention based on availability of funding and staff. Other data in support for the selection of "Parliament" can be found in the main text.

Annex B

GENDER ANALYSIS

All three Strategic Objectives will address the cross-cutting issue of gender equality. Prior to Independence, gender equality was subsumed in the struggle for racial and ethnic equality. At Independence, the adoption of the Constitution enshrined equal rights and prohibited discrimination on the basis of sex. The Constitution further allows the state to enact legislation to redress past imbalances, noting that "women in Namibia have traditionally suffered special discrimination and [should] be encouraged and enabled to play a full, equal and effective role in the political, social, economic and cultural life of the nation." Namibia has also ratified the United Nations Convention on the Elimination of Discrimination against Women.

The nation has achieved some progress towards these Constitutional goals. The Equality of Married Persons Act was recently introduced into Parliament. This act will remove a discriminatory law by which women married in community of property are treated essentially as minors and must have the written permission of their husbands to enter into any legal and financial agreement.

The Government is increasingly recognizing gender issues in development and policy implementation. The National Planning Commission and the Ministry of Education and Culture, two of the Mission's partners, have developed the capacity to collect gender-disaggregated statistics, which will help to ensure that policies and programs are effectively addressing gender differences in needs and priorities.

Nevertheless, numerous obstacles persist to improving the status of women and achieving gender equality. Five years after Independence, there remain vast disparities between men and women in terms of access to education and other social services and in opportunities for economic and political empowerment. Reports prepared for the Fourth World Conference on Women cite stark statistics that give evidence of ongoing gender inequality. At the secondary school level, girls show increasing drop-out and leaver rates. Women are far less likely than men to be economically active. Over half of those employed are engaged in subsistence agriculture, and women are less likely to have formal employment than men. A recent household-level assessment shows that female headed households - which in some regions comprise over 50% of all households - are more likely to be poor than those headed by men.

USAID/Namibia has actively considered the goal of gender equality in the development of this Strategic Plan. The Mission's aim is to avoid compartmentalizing issues but rather to integrate gender concerns and, where possible, to monitor these impacts throughout each activity. Therefore, every Performance Indicator in which it is possible to do so will be disaggregated by gender.

For example, low levels of education have hindered the ability, and importantly, the confidence of Namibian women to participate in all facets of the country's development. Under S.O. #1, a more relevant and higher quality primary school curriculum together with better trained teachers (nearly two-thirds of teachers in Namibia are women) will provide a solid foundation for girls and boys alike to succeed in higher levels of the education system. The participation of women in non-formal education and in organizational activities will enable them to gain skills and leadership experience needed to promote development initiatives which address their concerns. Of note, men are less likely to be literate in Namibia than women, and only 30% of literacy students are men. Men's participation in non-formal education will help overcome reshape gender stereotypes and could encourage them to play a more active role in the home and in the community. Similarly, women remain vastly under-represented in decision-making positions in the public and private sectors. Training in technical and managerial skills will increase the pool of women in decision-making positions and, in turn, help to facilitate greater awareness and sensitivity to gender concerns in the business community and in the government.

S.O. #2 will contribute to the economic and social empowerment of rural women, who comprise the largest demographic group in the country, but who bear the brunt of the country's enduring poverty. Rural women constitute the main users of the country's natural resources but face limited access to important productive resources, such as land, as well as economic opportunities. Lack of rights to use and benefits from natural resources has alienated women, in particular, from those resources. By allowing people to receive benefits, resources will be more carefully managed and women will be empowered in decision making and management of natural resources. Training of GRN/MET and NGO staff in gender awareness and design considerations have improved integration of gender in planning and implementation of CBNRM activities.

Only by establishing processes for consultation and input can Parliament begin to address the complex task of overcoming discriminatory laws and practices. S.O. #3 will support the ability of NGOs, including women's organizations, to advocate on behalf of women citizens. Similarly, more effective outreach and communication between Parliamentarians and their constituencies will help raise awareness of the priorities and needs of women citizens. However, women and men both continue to hold deep-rooted beliefs that politics is the domain of men. All of the S.O.s will contribute to the improved education, economic empowerment, and leadership development of women: important building blocks for promoting the participation of women in politics and governance.

HIV/AIDS ANALYSIS

I. BACKGROUND

In 1986, official Namibian statistics placed on record the first six (6) HIV positive cases. In the interim four year period leading up to independence, the increase of HIV/AIDS worldwide and its presence in Namibia were kept secret from the majority of Namibians under the Apartheid system of oppression, isolation and ignorance. In 1995, five years after independence, government statistics identified 13,098 HIV positive cases in Namibia -- a frightening 2000% increase in nine years. This translates into 0.82% of Namibia's 1.6 million inhabitants with HIV/AIDS. Newspaper reports have placed the number of HIV positive cases at 14,000 and it has been rumored that the unofficial figures (December) are closer to 15,000 positive cases.

During the nine year period between the reported initial six cases and release of the GRN 1995 HIV/AIDS statistics, Namibians have undergone tremendous political, social and economic transitions. Politically, the first free elections were held in December 1989 ending the illegal Apartheid era and bringing to power the first freely elected Namibian government. This was followed by Namibia's independence in March 1990. Social and economic changes began with the return of 40,000 exiles shortly after independence from neighboring Angola, Zambia, Zimbabwe and Botswana as well as from Europe and the Americas. Some of these countries had the highest ratio of HIV/AIDS prevalence worldwide. Besides the influx of exiles into post-independent Namibia, high migration from rural areas to towns and cities for labor reasons occurred and continue to accelerate within Namibia.

Within the first year of independence, the newly elected President, Sam Nujoma, initiated and inaugurated the National AIDS Control Program (NACP) under the Ministry of Health and Social Services (MOHSS). The primary aim of the NACP was and remains HIV/AIDS prevention through information, education and communication (IE&C). A secondary responsibility of NACP was, along with MOHSS, to oversee the procurement and distribution of condoms to the public sector and ensure availability. In 1992 and 1993, the Government expanded its HIV prevention effort beyond MOHSS to include the Ministry of Youth and Sport (MYS) and the Ministry of Basic Education and Culture (MBEC). MYS implemented a peer education program targeted to teenagers and school drop-outs. MBEC, in its HIV/AIDS focus, is developing education material for integration into its supplementary HIV/AIDS booklets.

In May 1993, President Nujoma requested USG assistance in combatting HIV/AIDS in Namibia during a State visit to the U.S. In response, senior USG State Department officials promised our support in this area and later advised USAID Washington that such assistance would need to be absorbed within the current USAID Namibia program. In April 1994, at the MOHSS sponsored HIV/AIDS Resources Mobilization meeting, USAID pledged to fund an HIV/AIDS

assessment to identify possible areas of USG assistance in response to the Washington promise, with the caveat that such assistance must be within the present NGO strengthening and adult non-formal education activity. This assessment was the first of three study-related activities on HIV/AIDS. The second was a socio-economic Knowledge, Attitude and Practices study and the third was a post-project intervention condoms study. Major findings and recommendations of each are provided below in part III of this report.

II. NAMIBIA'S CULTURAL AND TRADITIONAL SETTING

Namibian society remains a culture of ignorance and denial regarding HIV/AIDS. Internal migration of laborers from rural to mining cities and towns for extended periods (up to 11 months), has been accompanied by the practice of multiple families: one at the work site and another remaining at the home village. This practice is believed to be the prime cause of the escalating incidence of sexually transmitted diseases (STDs), now reported in rural areas and industrial-based cities and towns. However, Namibians, for the most part, are very conservative when it comes to sex related issues. There is vocal and active opposition to the introduction of sex education into school curricula and use of public fora for discussions of sex topics across ethnic and tribal lines. Denial about the presence of HIV/AIDS remains high. Deaths due to AIDS complications are directly and solely contributed to the illnesses manifested by AIDS sufferers, and not to the disease itself. To date, no GRN leaders and public figures have spoken openly about the true impact of HIV/AIDS on Namibia's society, communities and/or individuals.

III. USG FUNDED STUDIES AND ANALYSES

A) Major Findings and Recommendations:

In July 1994, USAID undertook the first of three HIV/AIDS related studies to assess the capacity of GRN and community and NGO support to HIV/AIDS victims and to educate the public on HIV prevention. The consultant met with GRN officials, public and private health providers, donors and NGOs and ended with a workshop to discuss major findings and recommendations:

Findings:

The capacity of both GRN and NGOs were very weak in terms of HIV/AIDS program development and implementation. Both GRN and NGOs received support from donor organizations, with the GRN receiving the bulk of the support. No assistance was provided for institutional capacity building which was identified by both the GRN and NGOs as their crucial need. NGOs had a community based approach, but requested greater assistance in developing community based HIV/AIDS education programs. The highly bureaucratic operations of the NACP made it less accessible to direct donor assistance in capacity building.

Recommendations:

The assessment recommended NGO strengthening and training to deliver services under a four phase \$4 million sub-program under the non-formal adult education activity (READ) spanning

four years. The scope and required management precluded USAID taking on such an activity given staffing and funding constraints. This proposal was therefore scaled back to a two year limited intervention costing \$1 million.

USAID funded a Youth (age 18-25) Sexual Knowledge, Attitudes and Practices (KAP) study. The KAP study was started in September 1994 and completed on a national scale in June 1995. The most relevant findings were: (1) a lack of any significant relationship between knowledge, attitudes and practices, (2) shallow overall sexual knowledge, (3) confusion in terms of AIDS knowledge and what can be done about it, and (4) positive attitudes do not appear to translate into improved behaviors. These findings assisted in the design of the HIV/AIDS activity towards a community based approach.

A condom logistics study funded in 1995 focused on procurement, distribution, handling and supply side of condoms as well as the responsible GRN entity. The study revealed that free condoms are distributed by, and presently supplied through emergency government funds to the network of health clinics. Brand name condoms are available at pharmacies in bigger towns at an unaffordable price to the majority of Namibians. The study recommended a condom coordinating committee be set up within MOHSS, and a condom coordinator be assigned within NACP, to keep track of the condom supply and make the appropriate purchases as needed on a national scale. To date, the NACP has not yet hired a condom coordinator, or made a decision on methods to maintain the condom supply besides the sporadic, emergency purchases which are presently made. It further discovered that problems in the public distribution of condoms were many and complicated. Since independence, condom donations were generally made by donor organizations on an ad hoc basis.

A key finding in gathering statistics on HIV/AIDS is that all of the statistics being cited in official GRN reports are from voluntary sources and voluntary testing. At present, there is no mandated HIV/AIDS testing in Namibia. Given the statistical source for the 13,098 HIV positive cases is solely voluntary and given the large group of sexually active adults (ages of 18 to 40), most health professionals in Namibia believe the official statistics to be vastly underestimated. If one were to use the voluntary data collected at antenatal clinics and in view of the high incidence of 13% in the north among pregnant woman against a low 4% nationally (statistics provided by MOHSS), a figure of 37,600 would be nearer to the actual statistics. The number of infected cases would be approximately 37,600.

B) NACP Institutional Capacity:

The HIV/AIDS assessment and the condoms logistics study looked at NACP's institutional capacity to carry out its mandate and stated objectives in IEC and condoms distribution. The first assessment found serious weaknesses in NACP's policy and planning capacity, its management structure and its ability to provide adequate services to the community. In the area of IEC owing to poor planning and weak systems, the results of their public campaigns have been mixed and sometimes the messages have been confusing and missed the intended target audience. The USAID funded assessment confirmed little had occurred to improve NACP since an earlier 1993 donors assessment which also looked at the capacity of the (MOHSS) Ministry

of Health and Social Services to implement the NACP prevention and information campaign. The earlier report identified that NACP staff lacked the necessary skills to implement an HIV/AIDS program on a national scale, and their existing program did not effectively reach the community level. The NACP has been slow in making progress on their national level AIDS awareness campaign. They are looking at opening an office in Caprivi sometime next year.

In the latter study on condoms it was determined that neither NACP nor the Family Planning Unit of MOHSS have taken on the responsibility of procuring and maintaining an ample condom supply for either HIV prevention or family planning purposes. Further, neither unit has budgetary items to procure condoms thus its supply and availability are not guaranteed. The condoms study found that neither NACP nor the family planning unit of MOHSS had ever conducted a condoms inventory and required forecasting necessary to ensure availability and an appropriate logistical system. There were also serious shortcomings on the logistical end of handling and storage of condoms required to ensure overall confidence in the safety of the stocks. The above concluded that at this point neither the MOHSS nor the NACP are in the position to take on more assistance until they have established a National Policy, and improved on their program and technical skills needed to deal firmly and effectively with the pandemic.

C) Non-Governmental Organizations:

Most NGOs are fairly new in the field and are tackling different regions of the country, and different aspects of the pandemic. Effective cooperation between NGOs has been established due to assistance from the USAID HIV/AIDS activity, particularly in the capacity building and training of the umbrella NGO, the Namibia Network of AIDS Services Organizations (NANASO) to enhance its leadership amongst HIV/AIDS NGOs.

D) Major HIV/AIDS Donors:

USAID's efforts are assisted by other donor activities in this area. GTZ, Oxfam-Canada, UNDP, WHO, Swedish International Development Organization (SIDA), Norwegian Development Organization (NORAD), Italy, and other donor organizations have provided funds and technical assistance to both NACP and NGOs.

IV. USAID HIV/AIDS \$1 MILLION INTERVENTION AND APPROACH IN NAMIBIA

Owing to staffing and program constraints the prospects of undertaking a major HIV/AIDS intervention are not high.

A) In January 1995, USAID added US\$1 million to the Non-Formal Education and Training Results Package to implement the 2 year HIV/AIDS activity in partnership with local HIV/AIDS NGOs. The Non-Formal Education and Training Results Package implementation organization, World Education Inc., in conjunction with local NGOs, developed the HIV/AIDS activity framework to consist of: 1) training curricula and material development, 2) the training of NGO trainers who in turn will train community educators in developing a participatory community

based HIV/AIDS program, and 3) technical training of NGO staff to design and implement a monitoring and evaluation system for their HIV/AIDS programs. The activity is implemented in close collaboration with local HIV/AIDS NGOs and with the expert assistance of a specialized HIV/AIDS trainer from Uganda who will remain for the two year period.

B) USAID signed a Memorandum of Understanding with the Ministry of Health and Social Services in April 1995, and formally invited the NACP to participate in the Non-Formal Education and Training Results Package steering committee. To date, one staff member from the NACP attended two out of ten steering committee meetings held since the MOU was signed in April 1995, and has expressed no desire to work in collaboration with NGOs in the fight against HIV/AIDS.

C) Other assistance.

The non-formal adult education activity is assisting the MYS HIV/AIDS youth peer education program through staff training under our HIV/AIDS training of trainers activity. MYS also utilizes the skills of Peace Corps Volunteers in their program. USAID also sponsored two NGO counselors to attend a two week training course on HIV pre-and-post test counselling in the U.S. HIV counselling is an area that is severely neglected by the government. Only these two NGOs are providing counselling to HIV/AIDS infected individuals.

Annex B

NGO ANALYSIS

Most of the indigenous NGOs active in Namibia were created during the resistance movement against South Africa under apartheid. Under this setting, advocacy is not new. What is new is the movement away from politically-based approaches to development approaches. One of the major problems encountered by NGOs has been this transition. The challenge has been to get NGOs to refocus their energies on development issues and to think in the mode of services to their constituents with accountability and participatory approaches.

Five years after independence, many NGOs are still struggling to define themselves, while some are merely paper organizations with no sustainable means of support; others are making the transition to viable and full fledged NGOs able to provide services to communities and clients. The role of NGOs in post-independent Namibia is still evolving.

Areas of Weakness:

Weaknesses include management structures and systems, as well as planning capacity. The lack of a clearly defined goal and plan for implementation of their strategies continue to plague both large and small NGOs.

Characteristics of Namibian NGOs:

An NGO survey conducted in early 1991 identified 60 such organizations involved in some aspect of NGO related activities under the "informal" system of working within the community without official GRN designation as NGOs.

The two largest NGO organizations which represent different ends of the spectrum are The Rossing Foundation and the National Council of Churches (NCC). The Rossing Foundation was created by the proceeds from the Rossing Mining Company and has a high percentage of white staff. It has a number of facilities throughout the country. The NCC represents the majority population and was very active in the "struggle" but appears to have made the transition from a political to a development organization. Both organizations have been cited for management weaknesses and both either have and/or are receiving donors assistance in that area. NCC has been used by UNICEF and the GRN to distribute emergency food-aid because of their infrastructure throughout the country and the Rossing Foundation is used by the Ministry of Basic Education, Directorate of Adult and Continuing Education, to provide training facilities and delivery.

Advocacy:

The term advocacy as defined in Namibia is different from the U.S. definition in that NGOs are less reluctant to confront and directly challenge institutions and the GRN on issues. Most prefer

to use informal channels through long-standing relationships, friendships and contacts to resolve issues and express displeasure. Lobbying in the sense of the U.S. model is very seldom openly pursued although, increasingly, the press is used as a forum. The art of networking is being tried as a way of addressing issues.

Under the non-formal education, USAID is funding NGO strengthening and the building of coalitions and alliances.

Enabling Environment:

Government: Of prime concern to NGOs is the working climate and ability to utilize and access public officials and channels effectively. The GRN per their NDP#1 statements, consider the NGO community as partners and a resource in dealing with critical development.

USAID Program:

At the present time, the bulk of USAID assistance is being implemented through PVO and NGO channels. USAID has conducted several studies involving NGOs in preparation for the design and later redesign of the non-formal adult education activity, READ.

Attached is an excerpt from the February 1995 re-casting of the READ activity on NGOs. In preparation for the CSP, USAID funded a desk audit of NGO's active in the three S.O.s but has decided that given the strategy approach to use NGOs, a more encompassing study of the NGO community is required. Such a study will be part of a baseline data collection process during the first year of CSP implementation.

USAID's single largest on-going NGO activity, Reaching out with Education for Adults in Development (READ), is the major intervention of NGO strengthening in the portfolio. USAID supports other local NGOs under each of its three S.O.s but to a lesser extent. Under READ, World Education Inc. (WEI), implementing organization, is assisting some 25 different local NGOs. In addition, under READ, USAID is providing a \$1.5 million grant to one of the major local NGOs, the Rossing Foundation, to carry out environmental education.

The activity being implemented through World Education Inc. is aimed at NGO strengthening and designs packages of activities and training focussed on identified areas of weakness. The formation and support of umbrella NGO organizations has been successful in further strengthening a number of smaller NGO groups. In this approach the former act as the intermediate customer. In HIV/AIDS, a new area of focus under READ, WEI is working closely with five newly formed NGOs who are providing community services in that area.

The following is a breakdown by Strategic Objectives (S.O.s):

SO#1

Intermediate Results #1.1 Management Training and Strengthening: Under the HRD management training for the private sector.

USAID implementing partner: AFRICARE, a U.S.-based PVO.

Intermediate and Ultimate Customers: Namibia National Chamber of Commerce and Industry (NNCCI), a local non-profit organization, assistance is being provided through training opportunities.

African Training for Leadership and Advanced Skills (ATLAS):

USAID implementing partner: African American Institute (AAI), a U.S.-based NGO, and TUCSIN, a local non-profit education entity.

Candidates are selected and processed for masters and undergraduate degree programs. USAID has a sub-grant with TUCSIN to identify female undergraduate candidates and to upgrade their secondary education through a preparatory college program.

Intermediate Results #1.2 non-formal education:

USAID implementing partner: WEI, U.S.-based PVO.

Intermediate and Ultimate Customers: Up to 40 local NGOs.

The non-formal adult education activity which constitute Intermediate Result #1.2 has the largest number of local NGOs who perform both as intermediate and ultimate customers depending on the activity and structure.

SO#2

Intermediate Results #2.1 and #2.2

USAID implementing partner: World Wildlife Fund (WWF).

Intermediate Customers: 3 local community based NGOs including Nyae Nyae Farmers Cooperative, IRDNC, and NNF.

Intermediate Results #2.1

USAID implementing partner: The Rossing Foundation, local NGO.

Supports community-based NGOs, the Government (MET and MBEC) in designing environmental education programs and training modules.

SO #3

Intermediate Results #3.1, 3.2, 3.3 and 3.4

USAID implementing partner: National Democratic Institute (NDI)

Intermediate Customers: Members of Parliament, local community groups and the media.

Ultimate Customers: civic society.

Strengthening of Parliament is one goal with the other being to strengthen local groups and rural organizations in advocacy.

Under READ, WE is working with local NGOs on advocacy strengthening through building of coalition groups, umbrella organizations and other alliances.

Under the LIFE activity, one of the indirect benefits will be community involvement in decision

making through implementation of conservancies, legally recognized natural resource management bodies.

DROUGHT ANALYSIS

BACKGROUND

Namibia has one of the driest climates in sub-Saharan Africa. Per statistical data on Namibia, the country has had a history of fifteen (15) year cyclical droughts spanning back to the nineteenth century. In former Ovamboland region (northern area), statistics record severe cyclical events of weather extremes in the region ranging from severe drought to damaging floods in 65 of the last 105 years (1888 to 1972) of record keeping. In the late 1970s, Namibia's climate entered one of its periodic cycles of prolonged and severe drought. By summer 1982 some regions were entering their sixth year of drought while in the southern part of the country, some regions were in their fifth year of drought. The last major drought occurred in 1991 and lasted through 1993 before subsiding. The 1994/1995 harvest seasons has again been hit by drought owing to late and sporadic rains. However, in other parts of southern Africa, to the immediate east and south, rains have begun and these countries now expect to recuperate. As we enter the summer (December-February) and major growing season, Namibia has yet to benefit from substantive rainfall.

The current ongoing drought, now entering its second year, has resulted in a deterioration of pasture lands and scarce groundwater. Farmers on communal land have been particularly hard hit by the current drought owing to inferior pastures for livestock grazing and lack of groundwater. This has necessitated selling off livestock at lower prices in some areas owing to depletion of communal land designated for grazing pastures.

GEOGRAPHY AND TOPOGRAPHY

Namibia is a vast, wedge-shaped territory bordering the Atlantic ocean on the west, Angola to the north, Botswana to the east and the Republic of South Africa (RSA) to the south. While over three times the size of the United Kingdom and two-thirds the size of South Africa, Namibia lacks perennial rivers within its borders. Thus the ephemeral rivers, catchment dams, aquifers and ground water are largely dependent on rainfall for replenishment with the exception of those areas which border the Kunene, Orange and Okavango rivers shared with neighboring countries.

A high plateau, lying mostly at an altitude of between 1250 and 1750m, is faced in the west by an escarpment of 80 to 130 km inland from the coast. The escarpment and the northwestern uplands (Kaokoveld) are mountainous, and there are substantial ranges in the center and southeast; otherwise the terrain is fairly flat. To the east and the north the plateau descends gradually into the flat kalahari sands (Kalahari desert) and this demarcates the basic division of soils in Namibia between relatively good quality hardveld on the plateau, and poor sandveld which is not only less fertile but also absorbs rainfall quickly so that surface water disappears very early in the dry season.

MAJOR CONSTRAINTS CONTRIBUTING TO DROUGHT

Rainfall

The major constraint is rainfall. As already noted Namibia does not have perennial (year round) rivers and it is rainfall which defines the main land use zones: the coastal desert; the small stock zone; a transitional zone; the large stock zone; and the mixed farming zone. Along the coastal strip the Namib desert, though cool and foggy for much of the year, receives almost no rain. The only concentration of vegetation to be found among its desolate sand dunes and rocky outcrops lie along the sandy beds of underground rivers. Towards the escarpments the temperature increases sharply and occasional summer showers bring on short-lived flushes of grass which provide valuable temporary grazing.

In the interior, average annual rainfall in the north can be above 500 mm in a good year. However, this high rainfall area represents only 6.5% of the total land surface of Namibia and is primarily used to produce the staple grains (millet, maize) are produced and also where mixed farming (crops and cattle) is carried out. In the other area of the Optive highlands rainfall between 500 mm and 600 mm support maize, wheat, fruits and vegetables. The cuvelia regions of Oshana, Omusati, Oshikoto and Ohangwena (see map) receive rainfall averaging between 400-500 mm in a good year.

To the south the rains decrease by 50% and are considered insufficient to raise large numbers of cattle and small stocks.

There are two factors which limit the water supply to agriculture. The first is the unpredictability of the rainfall, which varies widely from year to year, causing frequent droughts and occasional damaging floods. Although the rain comes in the form of heavy showers of roughly equal intensity, it is unevenly distributed in both space and time through the rainy season. Early rain followed by a dry six to eight weeks at the height of the tropical summer heat may do as much damage to growing crops and annual grasses as a full-scale drought.

Lack of Surface /Ground Water

The second general constraint is the scarcity of surface drinking water for people and for animals. Nowhere except in the far north for a brief two to three months at the height of the rainy season does the rainfall come near to matching the rate of evaporation and plant transpiration. As a result, nearly all the rain water returns to the atmosphere soon after falling and watercourses flow for only few weeks or at best several months-the only permanently flowing rivers originate outside the country and form its southern and northern boundaries. Under this condition the hard veld is much provided than the sandveld. Here many of the streams retain their water below the surface of their sand beds throughout the year. Groundwater re-emerges in scattered springs and waterholes or may be extracted through boreholes. In the sand veld, however only the largest watercourse (Omuramba) and pans retain their water throughout the dry winter. Lack of reliable water supplies is the most formidable of these

constraints. Surface waterholes or wells are generally scarce and yields are low and unreliable. 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 constraints to future development.

Bad Agricultural Practices

Communal or public land use, with respect to its usage by small-scale farmers is a key factor contributing to drought and a key constraint. The main obstacles with communal land tenure system is that it encourages over-exploitation of natural resources. This lead seriously to overstocking which eventually lead to overgrazing. Cultural practices make the farmers to fall prey of their own deeds or practices. The farmers believe that keeping large herds of cattle provide protection against localized droughts. They insure themselves against the threat of regular drought by building up their herds so that when drought hit, some animals survive. To save these farmers from drought the key factor is to minimize stress to the natural resource base on which livestock and livestock owners depend through destocking mechanisms and rapid restocking mechanisms after drought.

Cultural and Traditional Factors

The inability of the land to carry large domestic herds during drought like conditions is a major constraint. Like many other societies, Namibians consider cattle as wealth and are reluctant to reduce herds even in the face of lack of groundwater and deteriorating pastures. It is also a political and the Government is not likely to enforce reduction of herds except on a voluntary basis.

THE IMPACT OF DROUGHT

The Human Factor:

Small-scale and communal farmers, dependent on communal lands are the most seriously affected during drought owing to reluctance to market cattle and lack of other means of subsistence. Unlike their commercial farmer counterparts, they can ill afford to rent grazing pastures, buy fodder and/or travel long distances in search of water. When the pastures are depleted the Government usually has to step in with subsidies and fodder as was the case during the 1991 drought and seems to be the case this year. Single heads of households (primarily female) and children constitute the major part of the vulnerable group identified by the GRN as totalling 163,000 in the most affected areas.

DONORS

Response to this year's declared drought from the donor community has been slow. India provided 900 MTs of wheat but most of the food-aid and drought relief funds have been provided by the GRN to date through a reduction in public sector budgets across the board.

GOVERNMENT OF THE REPUBLIC OF NAMIBIA (GRN)

The GRN has a National Emergency Management Unit (EMU) under the Office of the Prime Minister, tasked with the responsibility of drought relief and disaster response.

The EMU is overseen by a Committee chaired by the Secretary to the Cabinet. The Committee is comprised of representation from all GRN ministries at the Permanent Secretaries' level.

The GRN, with assistance from FAO, has established a Famine and Early Warning System within the Ministry of Agriculture, Water and Rural Development. This unit publishes monthly reports on weather conditions and forecasts on crops and rainfall.

The National Planning Commission has been tasked with coming up with a long-range strategy for dealing with droughts as part of the overall NDP#1 planning process.

USG RESPONSE TO DROUGHT IN NAMIBIA

In response to the 1991 drought, the USG provided 10,000 MTs of food aid through the World Food Program. OFDA/Washington and Africa Bureau approved grants to International Medical Corps (IMC) and AFRICARE, two US PVOs, for borehole drilling. The IMC activity ended in June 1994; while the AFRICARE activity was extended with bilateral grant funds and restructured to focus on training of local water committees. This latter activity will end in June of 1996.

To date USAID/Namibia supported the sponsoring of a regional OFDA conference on emergency and disaster planning for SADC countries in Windhoek the week of September 18, 1995. Some 18 participants from Namibia and neighboring countries attended the workshop that was designed to strengthen their capacity to respond to disasters, including drought. In mid-September, USAID/Namibia facilitated the visit by Dr. C. Chopak, Regional Famine and Early Warning System Representative based in Harare. Also in September, the AIDREP and Program Office staff briefed Africa Bureau, Office of PPC and OFDA on the drought situation during their "reengineering" TDY in Washington. During discussions with OFDA and Africa Bureau, tentative agreement was reached for a TDY Washington (with REDSO/ESA) team visit in January to assess the drought, should the situation continue. However, no commitment has been made and no discussions have been held with the GRN about this visit and possible food-aid.

USAID/Namibia and the Embassy will continue to monitor the drought situation closely.

DISASTER RELIEF PLANS ESSENTIAL FOR PREPAREDNESS

The Mission has requested assistance from REDSO/ESA to develop a contingency plan for drought, sometime in early CY 1996.

ANNEX C

DONOR ASSISTANCE TO NAMIBIA

BREAKDOWN OF DONORS BY STRATEGIC OBJECTIVES

| COUNTRY/DONOR | SECTOR | DISBURSMENT TO DATE |
|-----------------|---|---------------------|
| AUSTRALIA | DEVELOPMENT ADMINISTRATION HUMAN RESOURCES DEVELOPMENT AREA DEVELOPMENT | 5,576,000 |
| AUSTRIA | HUMAN RESOURCES DEVELOPMENT SOCIAL DEVELOPMENT | 900,000 |
| BELGIUM | HUMAN RESOURCES DEVELOPMENT | 750,000 |
| CANADA | DEVELOPMENT ADMINISTRATION AGRICULTURE, FORESTRY AND FISHERIES HUMANITARIAN AID AND RELIEF | 6,000,000 |
| CHINA | HUMAN RESOURCES DEVELOPMENT SOCIAL DEVELOPMENT & HEALTH | 900,000 |
| CUBA | HUMAN RESOURCES DEVELOPMENT AREA DEVELOPMENT & HEALTH | 900,000 |
| DENMARK | DEVELOPMENT ADMINISTRATION NATURAL RESOURCES HUMAN RESOURCES DEVELOPMENT AGRICULTURE, FORESTRY AND FISHERIES AREA DEVELOPMENT SOCIAL DEVELOPMENT | 25,000,000 |
| EGYPT | DEVELOPMENT ADMINISTRATION | 1,750,000 |
| FINLAND/FINNIDA | DEVELOPMENT ADMINISTRATION NATURAL RESOURCES HUMAN RESOURCES DEVELOPMENT AGRICULTURE, FORESTRY AND FISHERIES AREA DEVELOPMENT & HEALTH | 45,000,000 |
| FRANCE | DEVELOPMENT ADMINISTRATION HUMAN RESOURCES DEVELOPMENT AGRICULTURE, FORESTRY AND FISHERIES AREA DEVELOPMENT INDUSTRY DOMESTIC TRADE TRADE IN GOODS & SERVICES COMMUNICATIONS SOCIAL DEVELOPMENT & HEALTH | 23,000,000 |
| GERMANY | ECONOMIC MANAGEMENT DEVELOPMENT ADMINISTRATION NATURAL RESOURCES HUMAN RESOURCES DEVELOPMENT AGRICULTURE, FORESTRY & FISHERIES AREA DEVELOPMENT SOCIAL DEVELOPMENT HUMANITARIAN AID & RELIEF | 230,000,000 |
| ICELAND | AGRICULTURE, FORESTRY & FISHERIES | 4,000,000 |
| ITALY | DEVELOPMENT ADMINISTRATION HUMAN RESOURCES DEVELOPMENT DISASTER PREPAREDNESS | 5,971,000 |
| JAPAN | AGRICULTURE FORESTRY & FISHERIES TRANSPORT HUMANITARIAN AID & RELIEF | 8,000,000 |
| SPAIN | FISHERIES AGRICULTURE | 2,000,000 |
| NETHERLANDS | AGRICULTURE, FORESTRY AND FISHERIES DISASTER PREPAREDNESS | 9,500,000 |

| | | |
|--------------------|--|--------------------|
| NIGERIA | HUMAN RESOURCES DEVELOPMENT HUMANITARIAN AID & RELIEF | 2,000,000 |
| NORWAY | ECONOMIC MANAGEMENT DEVELOPMENT ADMINISTRATION NATURAL RESOURCES HUMAN RESOURCES DEVELOPMENT AGRICULTURE, FORESTRY & FISHERIES INDUSTRY HUMANITARIAN AID & RELIEF ENERGY & HEALTH | 45,000,000 |
| NEW ZEALAND | INDUSTRY | 100,000 |
| REPUBLIC OF KOREA | DEVELOPMENT ADMINISTRATION HUMAN RESOURCES DEVELOPMENT HEALTH HUMANITARIAN AID & RELIEF | 650,000 |
| SWEDEN/SIDA | ECONOMIC MANAGEMENT DEVELOPMENT ADMINISTRATION HUMAN RESOURCES DEVELOPMENT AGRICULTURE FORESTRY & FISHERIES AREA DEVELOPMENT TRANSPORT COMMUNICATION DISASTER PREPAREDNESS CULTURE HIV/AIDS DEMOCRACY/GOVERNANCE | 58,000,000 |
| SWITZERLAND | AREA DEVELOPMENT & HEALTH | 2,211,000 |
| UNITED KINGDOM | DEVELOPMENT ADMINISTRATION NATURAL RESOURCES HUMAN RESOURCES DEVELOPMENT AGRICULTURE, FORESTRY & FISHERIES AREA DEVELOPMENT TRANSPORT SOCIAL DEVELOPMENT HEALTH DISASTER PREPAREDNESS HUMANITARIAN AID & RELIEF | 15,888,888 |
| US/USAID | EDUCATION/ENVIRONMENT HUMAN RESOURCES DEVELOPMENT US INFO SERVICE/COMMUNICATIONS DEMOCRACY & GOVERNANCE HUMAN RIGHT | 59,470,577 |
| RUSSIAN FEDERATION | HUMAN RESOURCES DEVELOPMENT | 200,000 |
| UNDP | PUBLIC SERVICE RESTRUCTURING POVERTY ALLEVIATION HOUSING FOOD SECURITY EDUCATION/HEALTH | 28,000,000 |
| MAURITIUS | BUDGETARY SUPPORT | 11,000,000 |
| DENMARK | AGRICULTURE/EDUCATION/BUDGETARY SUPPORT | 17,000,000 |
| ANTIGUA & BARBUDA | UNDP TRUST FUND FOR NAMIBIA | 3,500,000 |
| MALAYSIA | BUDGETARY SUPPORT | 300,000 |
| AFRICA FUND | ED-RUACANA SCHOOL | 250,000 |
| TOTAL | TOTAL | 612,817,465 |

Annex C

BREAKDOWN OF DONORS BY EACH STRATEGIC OBJECTIVE

| SO 1 | SO 2 | SO 3 |
|----------------|--|----------------|
| USAID | USAID | USAID |
| SIDA | FINIDA | European Union |
| Norway | Sweden/SIDA | United Kingdom |
| Germany | Denmark | Germany |
| Denmark | Netherlands | |
| Sweden | Norway/NORAD | |
| UNESCO | Germany/KFW/GTZ | |
| European Union | United Kingdom/British High Commission | |
| Australia | United Kingdom/ODA | |
| New Zealand | Spain | |
| United Kingdom | | |
| India | | |
| UNDP | | |

S.O.#1- Improved performance and education/training opportunities for historically disadvantaged Namibians.

USAID

- Improvement of lower primary (Grade 1-4) curricula.
- Providing in-service training of teachers and curriculum development.
- Short-term training of civil servants/HDN managers, long-term training of HDNs.

ODA, EU, UNESCO, India, Sweden, Denmark

- Support the shift to English as the language of instruction commencing in grade 4.
- Provide teacher education.

Denmark

- Help in upgrading life sciences.

UNDP, ODA & European Union

- Curriculum development

UNESCO

- In-service teacher education project

India, Australia, New Zealand & Belgium, USA, UK, NORWAY

- Scholarship support

S.O.#2 - Increased benefits to historically disadvantaged Namibians from sustainable local management of natural resources.

USAID

- Support natural resources management & strengthening the local CBNRM activities.

Norway

- Support the redrafting of the environmental legislations.

Sweden

- Support the Desert Environmental Research Unit

GERMANY

- Provide funds to MAWRD to implement sustainable range management use.

Netherlands

- Technical assistance to the MET.

Denmark

- Support the land use planning unit of MLRR & MET.
- Support MLRR with infrastructure and training of Tourism.

FINIDA

- Support agro-forestry in the north.

S.O.#3- Increased accountability of Parliament to all Namibian citizens.

USAID

- Support the democratic process in Namibia and training of parliamentarians and civics society groups.

ANNEX G

STAFFING PATTERN

December 14, 1995:16:01

United States Agency for International Development (USAID)
Mission Staffing Pattern Report (Detail)
NAMIBIA
Quarter 04

Page 1

| SERIAL NUMBER | NAME/ ORGANIZATION | POSITION TITLE/ SERVICE COMP. DATE | POSDESC BKS/AOSC | POSPL/GRD PERPL/GRD | ARR/STRT DEP/END | REISYS WORKMRS | EMPALTH UNTRD | FUNDSRCE TOTCOST/CTR | ANMBASE PAY OI/MANN COSTS | D/S |
|---------------|---|------------------------------------|-------------------|---------------------|----------------------|----------------|---------------|----------------------|---------------------------|-----|
| 2162700050 | SPRIGGS, EDWARD J. Aid Representative's Office | Aid Representative | 00001 01034004 | FE FOEC-4 | 02/12/94 | 40 | USFS | \$0 | \$0 \$0 | N |
| 2162700100 | JOHNSON, JOAN C. Program Office | Program Officer | 00006 02034501 | FS-01 FP-02 | 03/11/94 03/11/96 | 40 | USFS | \$0 | \$0 \$0 | N |
| 2162700200 | BELDING, BARBARA L. General Development Office | General Development | 00007 12030162 | FS-02 FP-03 | 09/02/92 | 40 | USFS | \$0 | \$0 \$0 | N |
| 2162700250 | HARD, THOMAS E. Executive Office | Executive Officer | 00004 03034101 | FS-04 FO-01 | 01/27/95 08/27/95 | 40 | USFS | \$0 | \$0 \$0 | N |
| 2162700300 | ZOGHBY, SAHIR H. Human Resources & Special Projects Office | Sup. Special Project | 30165 02030169 | FS-01 FO-01 | 06/14/95 06/02/96 | 40 | USFS | \$0 | \$0 \$0 | N |
| 2162710003 | GAVA, VICTORIA General Development Office | Administrative Assist 09/25/95 | 10003 03034108 | FSN 6 FSN 6 | 09/25/95 | OTN 40 | FNPS LO | PROG \$18,447 | \$14,388 \$4,058 | N |
| 2162710006 | PETERS, RUIH General Development Office | Project Assistant RE 04/14/93 | 10006 02034505 | FSN 11 FSN 9 | 04/14/93 | OTN 40 | FNPS LO | PROG \$23,187 | \$16,994 \$6,193 | N |
| 2162710007 | GOAGOSEB, MATTHEW W. General Development Office | Project Assistant LI 04/30/95 | 10007 02034501 | FSN 10 FSN 7 | 04/30/95 | HRC 40 | FNPS LO | PROG \$17,857 | \$13,556 \$4,301 | N |
| 2162720001 | ASINO, EMILY C. Executive Office | Administrative Assis 04/06/92 | 20001 05031801 | FSN 6 FSN 6 | 04/06/92 | HRC 40 | FNPS LO | FOEA \$15,172 | \$11,702 \$3,469 | N |
| 2162720002 | FLEDERSBACHER, SUSANNA C. Executive Office | Personnel Officer/Ex 04/01/94 | 20002 03020105 | FSN 8 FSN 8 | 04/01/94 | HRC 40 | FNPS LO | FOEA \$23,478 | \$18,165 \$5,312 | N |
| 2162720003 | VAN DER COLFF, WILLEN C. Executive Office | General Services Off 04/01/94 | 20003 06034201 | FSN 8 FSN 8 | 04/01/94 | HRC 40 | FNPS LO | FOEA \$21,510 | \$16,539 \$4,972 | N |
| 2162720004 | VAN MYX, LILLIAN G.J. Executive Office | General Services Ass 08/05/91 | 20004 07110610 | FSN 6 FSN 6 | 08/05/91 | HRC 40 | FNPS LO | FOEA \$14,704 | \$11,319 \$3,385 | N |
| 2162720005 | VACANT Executive Office | General Services Cle | 20005 06034201 | FSN 3 | | 40 | FNPS LO | FOEA \$0 | \$0 \$0 | N |
| 2162720006 | SHAANIKA, SHANGELAD K.. Executive Office | CER Supervisor 03/29/93 | 20006 07030501 | FSN 6 FSN 6 | 03/29/93 | HRC 40 | FNPS LO | FOEA \$14,236 | \$10,935 \$3,301 | N |
| 2162720007 | NKORE, ALFONS Executive Office | CER Clerk 06/17/91 | 20007 07030342 | FSN 4 FSN 4 | 06/17/91 | HRC 40 | FNPS LO | FOEA \$9,877 | \$7,360 \$2,517 | N |
| 2162720008 | CAREW, ROSY F.M. Executive Office | Receptionist 07/29/91 | 20008 05030382 | FSN 4 FSN 4 | 07/29/91 | HRC 40 | FNPS LO | FOEA \$12,488 | \$9,501 \$2,987 | N |

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December 14, 1995: 16:01

United States Agency for International Development (USAID)
Mission Staffing Pattern Report (Detail)
NAMIBIA
Quarter 04

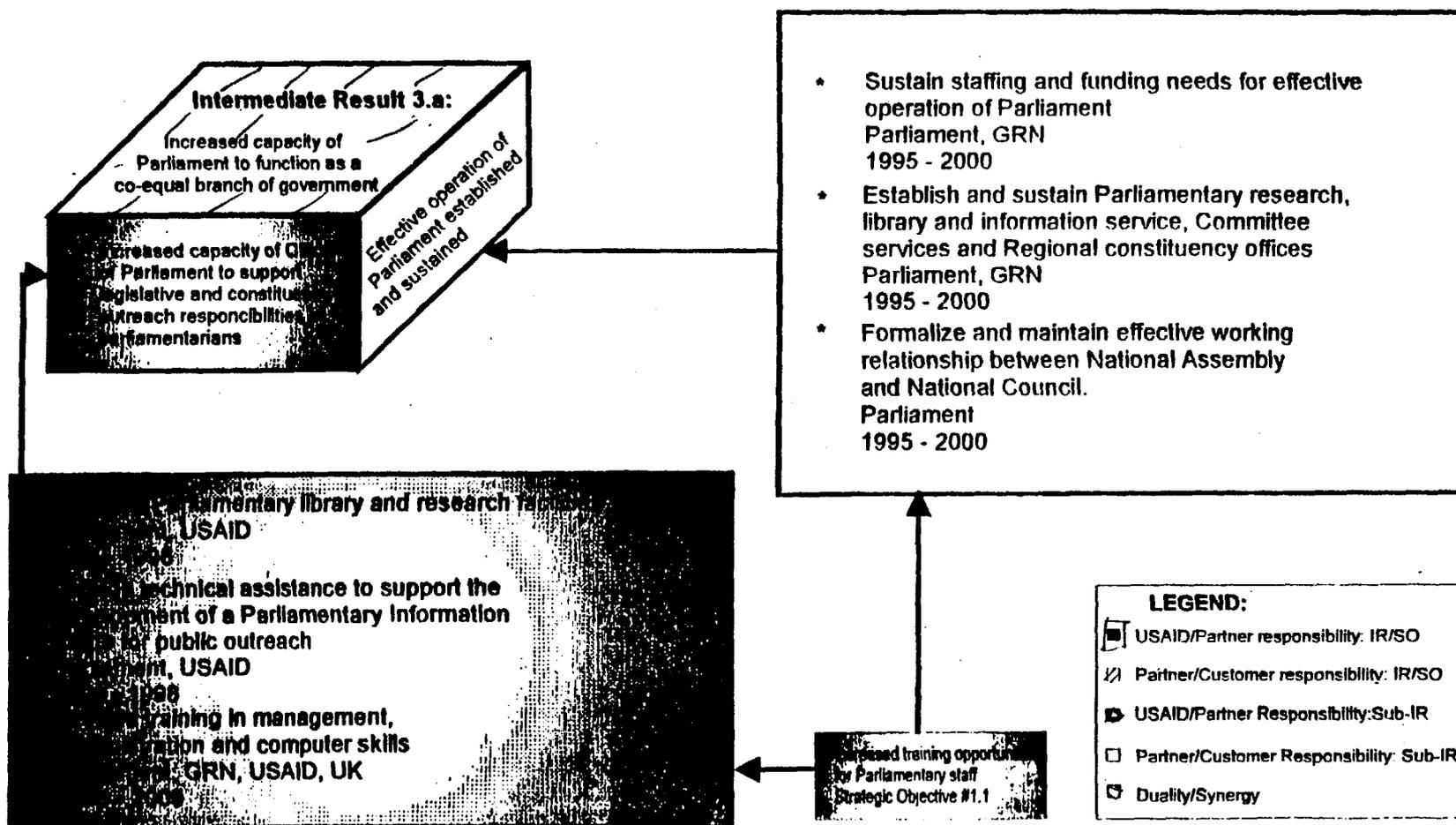
| SERIAL NUMBER | NAME/ ORGANIZATION | POSITION TITLE/ SERVICE COMP. DATE | POSDESC BKS/AOSC | POSPL/END PERPL/GRD | ARR/STRT DEP/END | RETSYS WORKMRS | EMP/PAID WHIRED | FUNDSRCE TOTCOST/CTR | ANNDASE PAY OTHANN COSTS | D/S |
|---------------|--|------------------------------------|-------------------|---------------------|----------------------|----------------|-----------------|----------------------|--------------------------|-----|
| 2162720009 | EKANDJO, JOHNSON Executive Office | Driver 01/22/95 | 20009 07030202 | FSN 3 FSN 3 | 01/22/95 | HRC 40 | FNPS LO | FOEA 80,190 | 85,983 82,215 | N |
| 2162720010 | BARRY, PETER J. Executive Office | Chauffeur 08/07/94 | 20010 07030202 | FSN 3 FSN 3 | 08/07/94 | HRC 40 | FNPS LO | FOEA 80,464 | 86,201 82,263 | N |
| 2162720011 | VACANT Executive Office | Maintenance Supervis | 20011 06034204 | FSN 4 | | 40 | FNPS LO | FOEA 80 | 80 80 | N |
| 2162720012 | OOSTHUIZEN, INGO Executive Office | Systems Manager 04/13/92 | 20012 03033401 | FSN 9 FSN 8 | 04/13/92 | HRC 40 | FNPS LO | FOEA 826,784 | 820,877 85,907 | N |
| 2162720013 | MANGE, AUGUSTINUS Executive Office | General Services Cle 09/03/91 | 20013 07110610 | FSN 4 FSN 4 | 08/03/91 | HRC 40 | FNPS LO | FOEA 811,509 | 88,498 82,810 | N |
| 2162720014 | MERERO, DANIEL S. Executive Office | Janitor Supervisor 06/20/94 | 20014 06034204 | FSN 2 FSN 2 | 06/20/94 | HRC 40 | FNPS LO | FOEA 86,910 | 84,927 81,983 | N |
| 2162730001 | ILLONGA, VIRGINIA Controller Office | Administrative Assis 09/01/92 | 30001 07053005 | FSN 7 FSN 7 | 09/01/92 | HRC 40 | FNPS LO | FOEA 817,857 | 813,556 84,301 | N |
| 2162730002 | SHIPILA, MAGDALENA P. Controller Office | Voucher Examiner 08/27/91 | 30002 07054002 | FSN 7 FSN 7 | 08/27/91 | HRC 40 | FNPS LO | FOEA 818,458 | 814,049 84,410 | N |
| 2162730003 | MCLLUME, RUTH S. Controller Office | Project Accountant 09/30/91 | 30003 07054002 | FSN 8 FSN 8 | 09/30/91 | HRC 40 | FNPS LO | FOEA 824,784 | 820,877 85,907 | N |
| 2162730004 | VACANT Controller Office | Financial Analyst | 30004 04050104 | FSN 11 | | 40 | FNPS LO | FOEA 80 | 80 80 | N |
| 2162730005 | VACANT Controller Office | Accountant Technicia | 30005 07052503 | FSN 8 | | 40 | FNPS LO | FOEA 80 | 80 80 | N |
| 2162730006 | VACANT Controller Office | Operating Expense Ac | 30006 04051021 | FSN 8 | | 40 | FNPS LO | FOEA 80 | 80 80 | N |
| 2162730007 | MARE, TSIRELETSO Controller Office | Chief Accountant 08/21/93 | 30007 04050502 | FSN 12 FSN 12 | 08/21/93 | 40 | ICDN TR | FOEA 838,902 | 827,070 811,831 | N |
| 2162740001 | POPE, VERONICA D.C. Program Office | Administrative Assis | 40001 03034108 | FSN 6 | 06/06/94 06/05/96 | OTM 40 | USPS LO | FOEA 820,498 | 820,498 80 | Y |
| 2162740002 | MERERO, ALEXANDER K. Program Office | Senior Program Assis 04/21/95 | 40002 02034505 | FSN 11 FSN 8 | 04/21/95 | HRC 40 | FNPS LO | FOEA 815,008 | 811,471 83,538 | N |
| 2162740003 | VACANT Program Office | Administrative Assis | 40003 03034108 | FSN 7 | | HRC 40 | FNPS LO | PROG 80 | 80 80 | N |

U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT
 U.S. AID NAMIBIA/PH

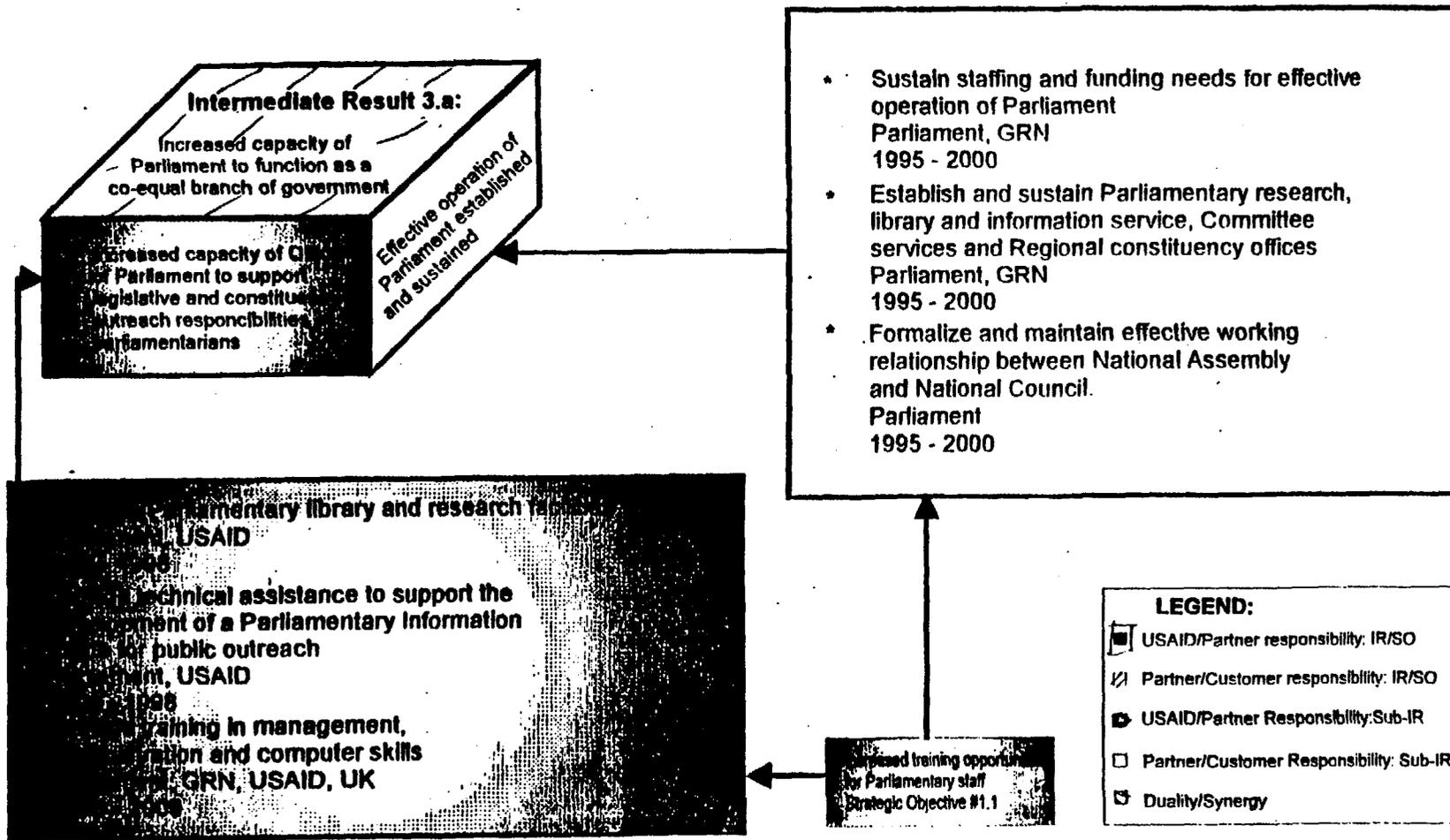
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Annex F
 Figure 13
 INTERMEDIATE RESULT 3.a:
 Illustrative Activities



Annex F
Figure 13
INTERMEDIATE RESULT 3.a:
Illustrative Activities



December 14, 1995: 16:01

United States Agency for International Development (USAID)
Mission Staffing Pattern Report (Detail)
NAMIBIA
Quarter 04

Page 3

| SERIAL NUMBER | NAME/ ORGANIZATION | POSITION TITLE/ SERVICE COMP. DATE | POSDEGC BKS/AOSC | POSPL/GRD PERPL/GRD | ARR/START DEP/END | RETSYS WORKMRS | EMPAJIN UNIRED | FUNDSRCE TOTCOST/CTR | ANMBASE PAY OTMANN COSTS | D/S |
|---------------|---|------------------------------------|-------------------|---------------------|----------------------|----------------|----------------|----------------------|--------------------------|-----|
| 162740004 | ASHIKOTO, JOHN D. Program Office | Program Analyst 01/10/94 | 40004 03033401 | FSN 8 FSN 7 | 01/10/94 | NRC 40 | FNPS LO | FOEA \$19,060 | \$14,562 \$4,518 | N |
| 162740005 | VACANT Program Office | Drought Relief Advis 10040103 | 40005 10040103 | FSN 9 | | 40 | FNPS LO | PROG \$0 | \$0 \$0 | N |
| 162740006 | STUTTERHEIM, IRENE Program Office | Program Evaluation O 01/10/94 | 40006 02034505 | FSN 10 FSN 10 | 01/10/94 | NRC 40 | FNPS LO | PROG \$29,024 | \$20,719 \$8,304 | N |
| 162750001 | STAHL, SARAH S.E. Aid Representative's Office | Executive Secretary 04/27/92 | 50001 01030143 | FSN 7 FSN 7 | 04/27/92 | NRC 40 | FNPS LO | FOEA \$24,480 | \$18,977 \$5,502 | N |
| 162760001 | MUBITA, WINIFRIDAN Human Resources and Special Projects Office | Administrative Assis 11/07/94 | 60001 03034108 | FSN 6 FSN 6 | 11/07/94 | OTH 40 | FNPS LO | FOEA \$17,979 | \$14,005 \$3,974 | N |
| 162760002 | STRAUSS, SHIREEN E. Human Resources and Special Projects Office | Assistant Participan 08/10/92 | 60002 60170102 | FSN 8 FSN 7 | 08/10/92 | NRC 40 | FNPS LO | FOEA \$20,261 | \$15,527 \$4,734 | N |
| 162760003 | KAMDJII-MURANGI, ITAN U. Human Resources and Special Projects Office | Participant Training 09/30/94 | 60003 60030192 | FSN 10 FSN 9 | 09/30/94 | NRC 40 | FNPS LO | PROG \$29,730 | \$22,361 \$7,370 | N |
| 162766001 | POULTON, ELAINE Human Resources and Special Projects Office | Administrative Assis 08/06/95 | 66001 03034108 | FSN 6 FSN 6 | 08/06/95 | 40 | FNPS LO | PROG \$14,236 | \$10,935 \$3,301 | N |
| 162767300 | VACANT Executive Office | General Services Con 06034201 | 67300 06034201 | FS-05 0 | | 40 | USPS LO | \$0 | \$0 \$0 | N |
| 162767304 | CULLER, CAROL General Development Office | Project Manger LIFE/ 02/07/93 | 10002 02034517 | FS-02 FS-02 | 02/07/93 02/07/95 | FIC 40 | USPS TR | PROG \$450,000 | \$45,735 \$159,265 | N |
| 162767306 | NILES, CATHY Basic Education Support Office | Senior Technical Adv 11/01/94 | 67306 02034516 | FS-02 FS-02 | 11/01/94 10/31/96 | OTH 40 | USPS TR | PROG \$450,000 | \$45,735 \$159,265 | N |
| 162767308 | GIRVAN, LORIANM Human Resources and Special Projects Office | Democracy and Govern 09/25/95 | 67308 02034505 | FS-02 FS-02 | 09/25/95 09/24/97 | OTH 35 | USPS LO | PROG \$115,000 | \$45,500 \$11,318 | N |

100

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December 14, 1995:16:01

United States Agency for International Development (USAID)
 Mission Staffing Pattern Report (Detail)
 NAMIBIA
 Quarter 04

SERIAL NUMBER NAME/ ORGANIZATION

POSITION TITLE/ SERVICE COMP. DATE POSDESC BKS/AOSC POSPL/GRD PERPL/GRD ARR/STRT DEP/END NETSYS WORKHRS ENPAUTH UNHRED FUNDSRCE TOTCOST/CTR ANNBASE PAY OTHANN COSTS D/S

SUMMARY FOR COUNTRY: 627 - NAMIBIA

| USDN SUMMARY | | FSN, TCN AND PSC SUMMARY | | TOTAL LIFETIME COST OF EXISTING CONTRACTS | | TOTAL ANNUAL BASE PAY | | TOTAL ALL OTHER COSTS | |
|------------------------|---|--------------------------|----|---|-------------|-----------------------|-----------|-----------------------|-----------|
| US Direct Hire Ceiling | 5 | FSN Direct Hire Ceiling | 0 | USPSC On Board | \$1,035,498 | FSNDN | \$0 | FSNDN | \$0 |
| USDN Deleted Positions | 0 | FSNDN On Board | 0 | FSNPSC On Board | \$465,698 | TCNDN | \$27,070 | TCNDN | \$11,831 |
| USDN on Board | 5 | FSNDN Vacant | 0 | TCNPSC On Board | \$0 | USPSC | \$197,468 | USPSC | \$329,848 |
| USDN Vacant | 0 | FSNDN Full Time | 0 | | | FSNPSC | \$354,164 | FSNPSC | \$111,532 |
| USDN Full Time | 5 | FSNDN Part Time | 0 | | | TCNPSC | \$0 | TCNPSC | \$0 |
| USDN Part Time | 0 | TCNDN On Board | 1 | | | | | | |
| | | USPSC On Board | 4 | | | | | | |
| | | USPSC No. Hired in US | 0 | | | | | | |
| | | USPSC No. Hired Locally | 2 | | | | | | |
| | | FSNPSC On Board | 26 | | | | | | |
| | | TCNPSC On Board | 0 | | | | | | |
| | | OTMER On Board | 0 | | | | | | |

GRAND TOTALS ON BOARD FULL AND PART TIME

| | |
|--------|----|
| USDN | 5 |
| FSNDN | 0 |
| TCNDN | 1 |
| USPSC | 4 |
| FSNPSC | 26 |
| TCNPSC | 0 |
| PASA | 0 |
| RSSA | 0 |
| JCCD | 0 |
| IPAD | 0 |
| AAAS | 0 |
| TACS | 0 |
| POPF | 0 |
| CSFP | 0 |
| NPSU | 0 |
| NPSF | 0 |
| TOTAL | 36 |

Retirement Summary for FSN

| | |
|-------|---|
| CSR | 0 |
| NRP | 0 |
| MRC | 0 |
| PFR | 0 |
| AND | 0 |
| FIC | 0 |
| OTHER | 0 |

Ceilings Comments:

601

64

ANNEX D

PERFORMANCE MONITORING TARGETS IN SUPPORT OF THE STRATEGIC OBJECTIVES AND INTERMEDIATE RESULTS

ANNEX D1: Performance Targets for the year 2000
Strategic Objective 1 -- Improved Performance and Education/Training Opportunities for Historically Disadvantaged Namibians

| Performance Indicators | Performance Targets for the Year - 2000 | | |
|--|---|--------------------|--------------------|
| | Funding Option 1 | Funding Option 2 | Funding Option 3 |
| 1.1: Number of Namibian classrooms implementing new grade 1-4 curriculum in core subjects | 5000 | 5000 | 5000 |
| 1.2: Higher learner outcomes achieved in target schools | 50% | 50% | 50% |
| 1.3: Improved workplace performance of USAID trained men and women | | To be established | |
| 1.4: Number of historically disadvantaged men and women successfully completing USAID supported training | ♂ = 350 ♀ = 300 | ♂ = 350 ♀ = 300 | ♂ = 350 ♀ = 300 |
| 1.5: Number of participatory non-formal education and training programs implemented by target NGOs | 35 | 35 | 30 |

ANNEX D2: Performance Targets for the Year 2000

Strategic Objective 1 -- Improved Performance and Education/Training Opportunities for Historically Disadvantaged Namibians
 Intermediate Result 1.1 -- Improved delivery of technical and managerial training to historically disadvantaged Namibians in target organizations

| Performance Indicators | Performance Targets for the Year - 2000 | | |
|--|---|------------------|------------------|
| | Funding Option 1 | Funding Option 2 | Funding Option 3 |
| 1.1.1: Number of candidates nominated for USAID training programs by target organizations | 190 | 190 | 190 |
| 1.1.2: Number of target organizations that have and use staff development plans that support enhanced roles for historically disadvantaged Namibians | 9 | 9 | 9 |

ANNEX D3: Performance Targets for the Year 2000

Strategic Objective 1 -- Improved Performance and Education/Training Opportunities for Historically Disadvantaged Namibians
 Intermediate Result 1.2 -- Improved delivery of non-formal education and training service to adult historically disadvantaged Namibians by NGOs

| Performance Indicators | Performance Targets for the Year - 2000 | | |
|--|---|------------------|------------------|
| | Funding Option 1 | Funding Option 2 | Funding Option 3 |
| 1.2.1: Number of target male and female trainers delivering participatory non-formal education and training services to historically disadvantaged Namibians | 90 | 90 | 90 |
| 1.2.2: Number of NGOs meeting established sustainability criteria | 35 | 35 | 12 |

112

ANNEX D4:

Performance Targets for the Year 2000

Strategic Objective 1 -- Improved Performance and Education/Training Opportunities for Historically Disadvantaged Namibians

Intermediate Result 1.3 -- Improved delivery of quality primary education to Namib learners in target schools

| Performance Indicators | Performance Targets for the Year - 2000 | | |
|--|---|------------------|------------------|
| | Funding Option 1 | Funding Option 2 | Funding Option 3 |
| 1.3.1: Number of male and female teachers in the most disadvantaged schools implementing learner-centered training methodologies | 864 | 864 | 864 |
| 1.3.2: Percentage of target schools implementing new grade 1-4 curriculum in core subjects | 80% | 80% | 80% |

ANNEX D5:

Performance Targets for the Year 2000

Strategic Objective 1 -- Improved Performance and Education/Training Opportunities for Historically Disadvantaged Namibians
Intermediate Result 1.4 -- Improved delivery of a unified national curriculum for grades 1-4

| Performance Indicators | Performance Targets for the Year - 2000 | | |
|--|---|------------------|------------------|
| | Funding Option 1 | Funding Option 2 | Funding Option 3 |
| 1.4.1: Number of syllabi developed for grades 1-4 | 16 | 16 | 16 |
| 1.4.2: Number of curriculum assessment protocols / instruments developed for Grade 1-4 | 17 | 17 | 17 |
| 1.4.3: Development of a management plan for the Ministry of Basic Education's materials development unit | Y | Y | Y |

ANNEX D6:

Performance Targets for the Year 2000

Strategic Objective 2 -- Increased Benefits to Historically Disadvantaged Namibians for Sustainable Local Management of Natural Resources

| Performance Indicators | Performance Targets for the Year - 2000 | | |
|---|---|------------------|------------------|
| | Funding Option 1 | Funding Option 2 | Funding Option 3 |
| 2.1: Community income (Gross) from program supported natural resource management activities | 18,000,000 | 9000,000 | 9,000,000 |
| 2.2: Number of male and female households in target areas economically benefiting from program supported natural resource management activities | 4,000 | 2,000 | 2,000 |
| 2.3: Hectares of communal land under local management | 80,000 | 40,000 | 10,000 |
| 2.4: Number of natural resource management structures created | 200 | 30 | 30 |

ANNEX D7:

Performance Targets for the Year 2000

Strategic Objective 2 -- Increased Benefits to Historically Disadvantaged Namibians fr Sustainable Local Management of Natural Resources
 Intermediate Result 2.1 -- Improved policy and legislative environment for local control of natural resources in communal areas

| Performance Indicators | Performance Targets for the Year - 2000 | | |
|---|---|--------------------------------|--------------------------------|
| | Funding Option 1 | Funding Option 2 | Funding Option 3 |
| 2.1.1: Number of Namibian men and women participating in local management structures | ♂ = 700 ♀ = 400 | ♂ = 350 ♀ = 200 | ♂ = 350 ♀ = 200 |
| 2.1.2: Number of Namibian organizations strengthened to provide information on natural resource management and environmental issues | Total of 5 | Total of 5 | Total of 5 |
| 2.1.3: Number of regional visits and information exchanges by community based organizations, NGOs and key government officials facilitated by USAID supported programs on environmental issues facing Namibia | Total of 50 | Total of 30 | Total of 30 |
| 2.1.4: Required national policies, legislation and regulations adopted that promote environmentally sustainable resource management practices | Enabling environment for CBNRM | Enabling environment for CBNRM | Enabling environment for CBNRM |

ANNEX D8:

Performance Targets for the Year 2000

Strategic Objective 2 -- Increased Benefits to Historically Disadvantaged Namibians fr Sustainable Local Management of Natural Resources
 Intermediate Result 2.2 -- Strengthened community-based natural resource managem activities in target communities

| Performance Indicators | Performance Targets for the Year - 2000 | | |
|---|---|------------------|------------------|
| | Funding Option 1 | Funding Option 2 | Funding Option 3 |
| 2.2.1: Number of project supported CBNRM models that produce positive net economic benefits to resource users in target areas | 20 | 20 | 20 |

ANNEX D9: Performance Targets for the Year 2000
Strategic Objective 3 -- Increased Accountability of Parliament to All Namibian Citizens

| Performance Indicators | Performance Targets for the Year - 2000 | | |
|--|--|--|------------------|
| | Funding Option 1 | Funding Option 2 | Funding Option 3 |
| 3.1: The extent to which the legislative process meets established criteria for representing the concerns of different citizen groups | 5 of 5 | 5 of 5 | 5 of 5 |
| 3.2: Number of public hearings, including committee hearings, held with citizen participation | 50 | 25 | N/A |
| 3.3: Number of media reports reflecting interaction of parliamentarians and staff with the press on concerns generated by different citizen groups | Baseline to be established - target is a 15% annual increase | Baseline to be established - target is a 10% annual increase | N/A |
| 3.4: Number of open, public debates by party candidates in national and regional election campaigns | 20 | 10 | N/A |

ANNEX D10: Performance Targets for the Year 2000
Strategic Objective 3 -- Increased Accountability of Parliament to All Namibian Citizens
Intermediate Result 3.1 -- Increased opportunities for citizen participation in the legislative process

| Performance Indicators | Performance Targets for the Year - 2000 | | |
|---|---|------------------|------------------|
| | Funding Option 1 | Funding Option 2 | Funding Option 3 |
| 3.1.2: Number of standing and ad hoc committees created that facilitate citizen input or hold public hearings | 15 | 15 | 15 |
| 3.1.3: Number of visits from parliamentarians to constituencies | 5 | 5 | 5 |

11/2

ANNEX D11:

Performance Targets for the Year 2000

- Strategic Objective 3 -- Increased Accountability of Parliament to All Namib Citizens
 Intermediate Result 3.2 -- Enhanced skills of parliamentarians as legislators and representatives of citizens

| Performance Indicators | Performance Targets for the Year - 2000 | | |
|--|--|--|------------------|
| | Funding Option 1 | Funding Option 2 | Funding Option 3 |
| 3.2.1: The % of weekly press briefings meeting established criteria for including concerns of citizens | 100% | 100% | 100% |
| 3.2.2: The number of times public and media use the Parliamentary information office | Baseline to be established, targets projected to increase 10% per year | Baseline to be established, targets projected to increase 10% per year | N/A |

ANNEX D12:

Performance Targets for the Year 2000

- Strategic Objective 3 -- Increased Accountability of Parliament to All Namib Citizens
 Intermediate Result 3.3 -- Increased public advocacy by NGOs and Civic Groups in local, regional, national and/or media fora

| Performance Indicators | Performance Targets for the Year - 2000 | | |
|--|--|--|------------------|
| | Funding Option 1 | Funding Option 2 | Funding Option 3 |
| 3.3.1: Number of media reports covering NGO and Civic groups public advocacy | Baseline to be established, targets projected to increase 10% per year | Baseline to be established, targets projected to increase 10% per year | N/A |
| 3.3.2: Number of times NGOs and Civic Groups participate in new parliamentary fora | 40 | 25 | N/A |
| 3.3.3: Number of times project supported NGOs report participation in, and contribution to, legislative and policy formulation | 25 | N/A | N/A |

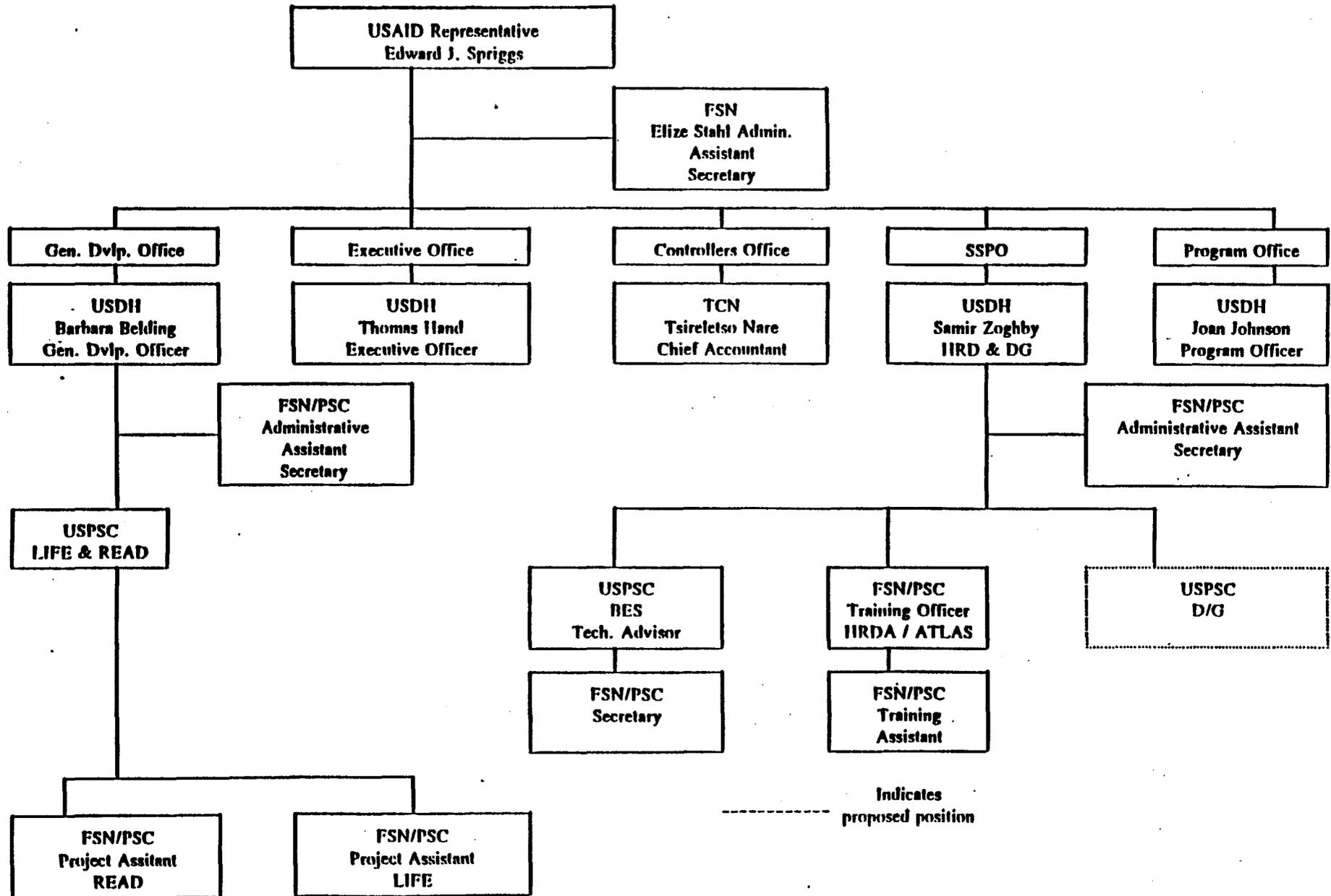
ANNEX E

ORGANIZATIONAL CHARTS

- E1 - OPTION # 1**
- E2 - OPTION # 2**
- E3 - OPTION # 3**

ANNEX E 1a:

USAID/Namibia Organizational Chart
Project Offices: Funding Option #1



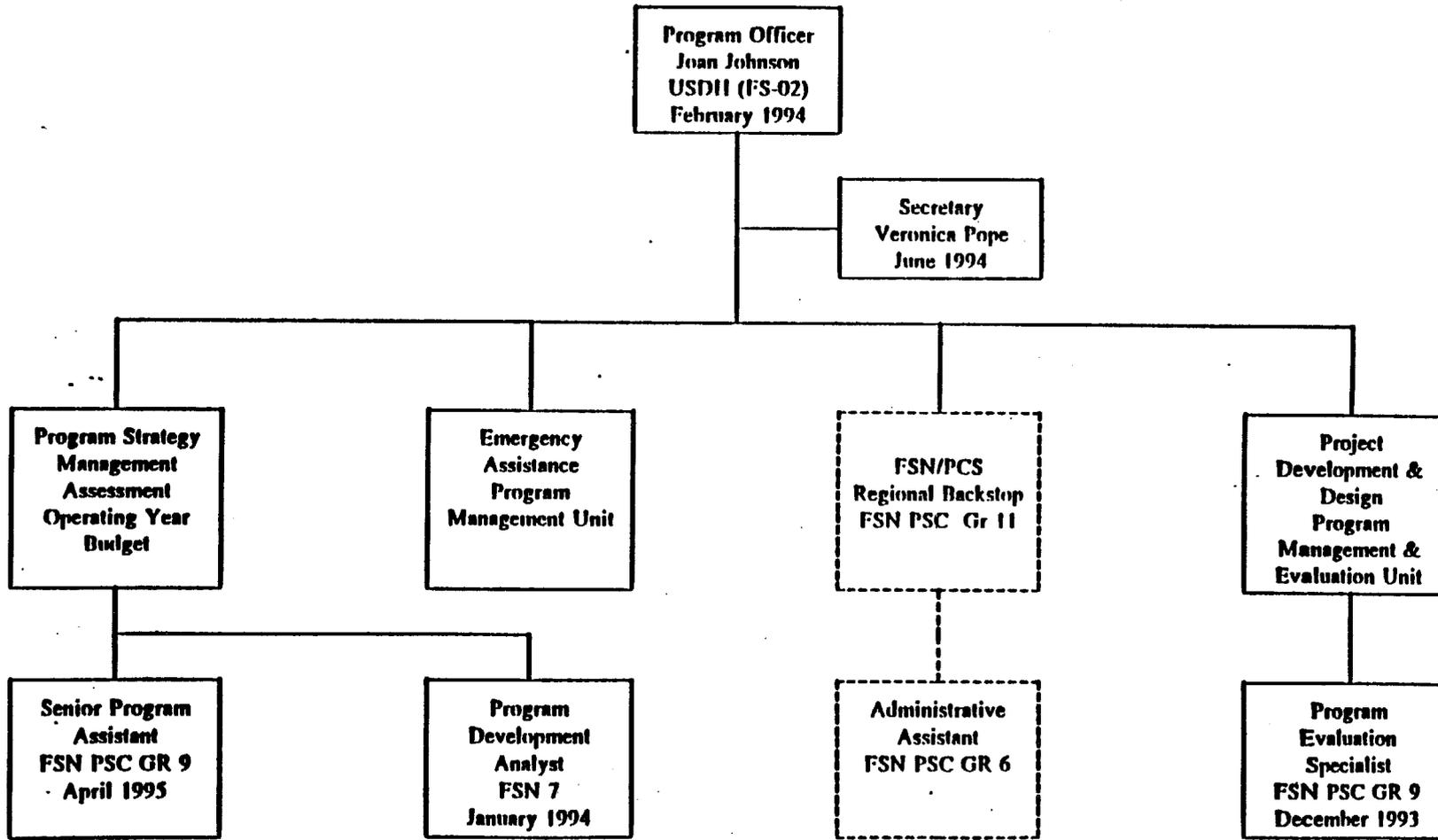
----- Indicates
proposed position

13

1/9

ANNEX E. 1b:

USAID/Namibia Organizational Chart
USAID/Namibia Program, Project Policy Division: Funding Option .

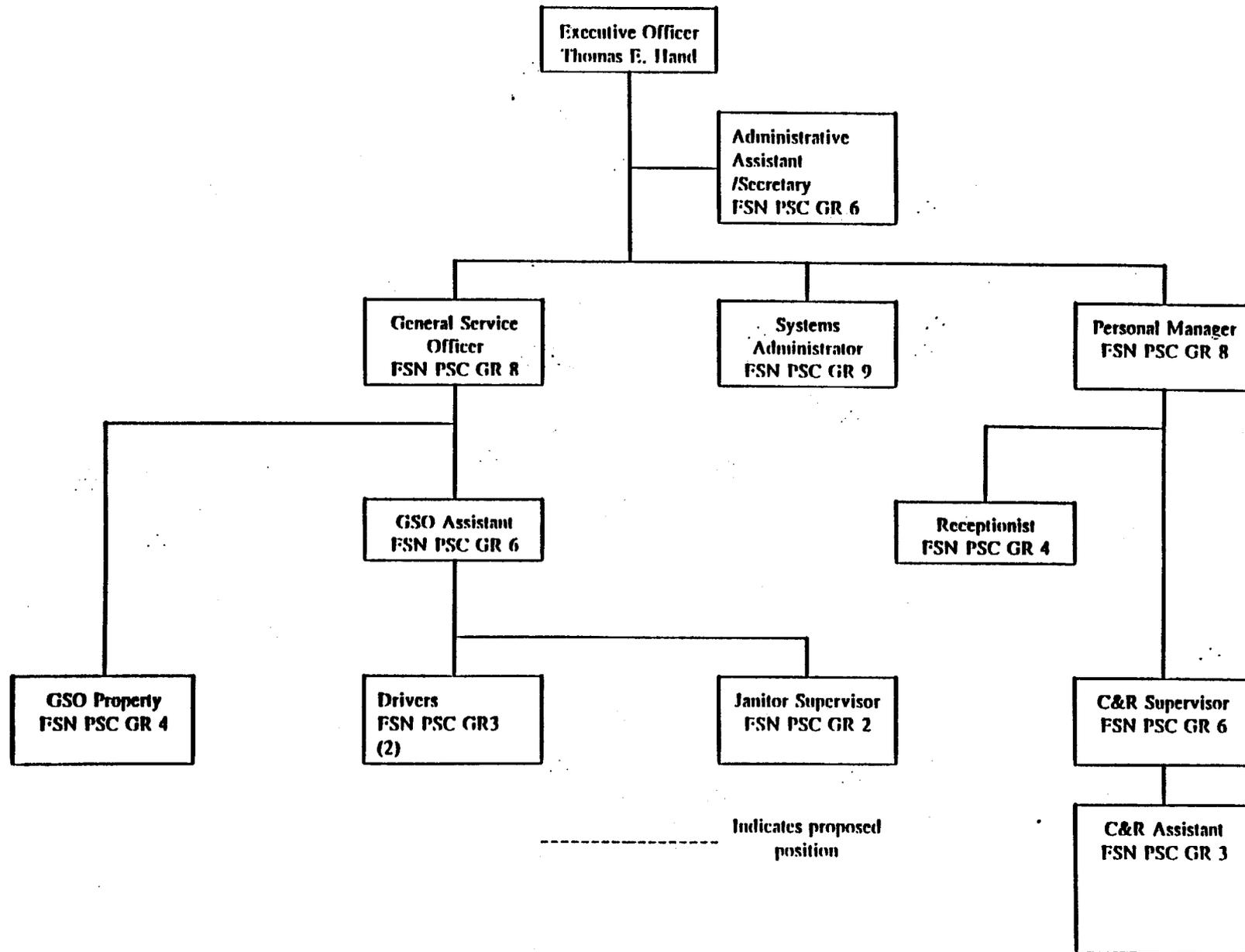


----- Indicates proposed position

E2

120

USAID/Namibia Organizational Chart
Executive Office Funding Option #1

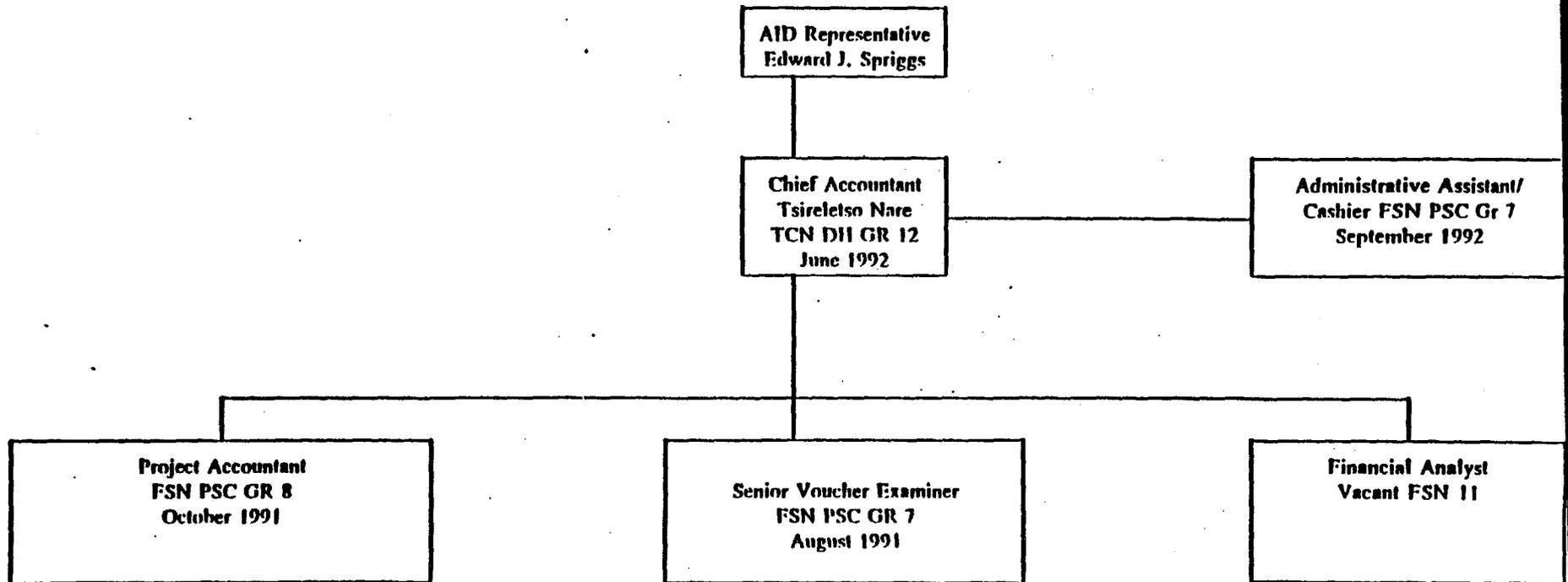


ES

12/1

ANNEX E. 1d:

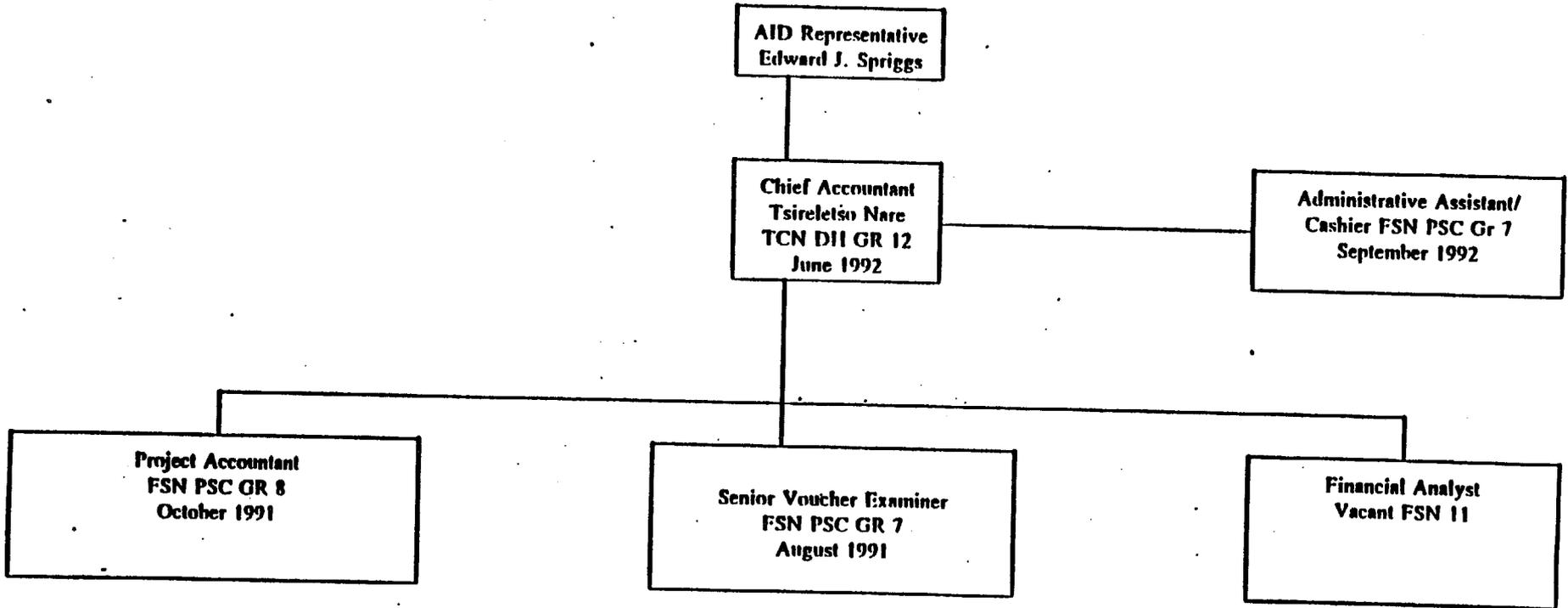
**USAID/Namibia Organizational Chart
Financial Management Division: Funding Option #1**



E4

122

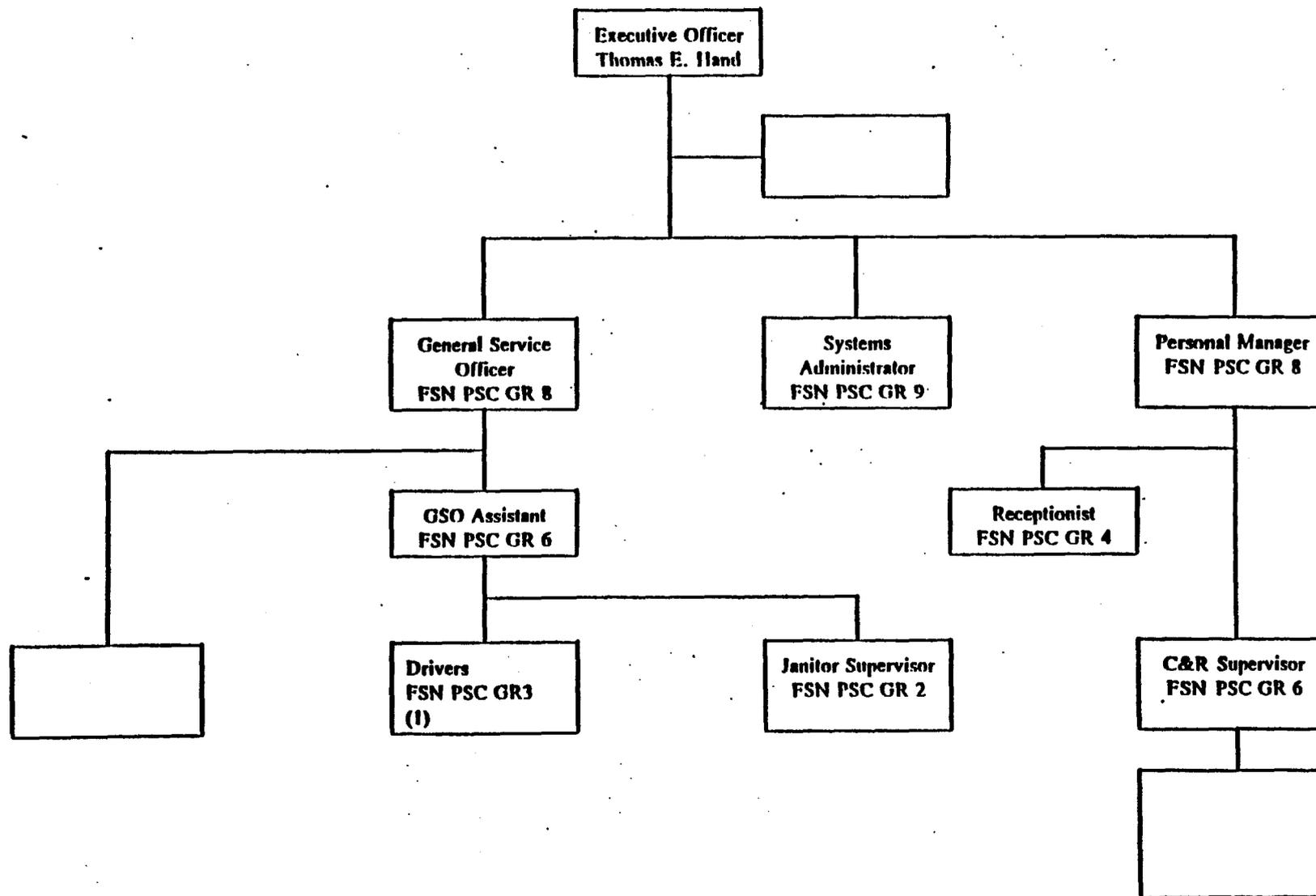
USAID/Namibia Organizational Chart
Financial Management Division: Funding Option #3



123

123

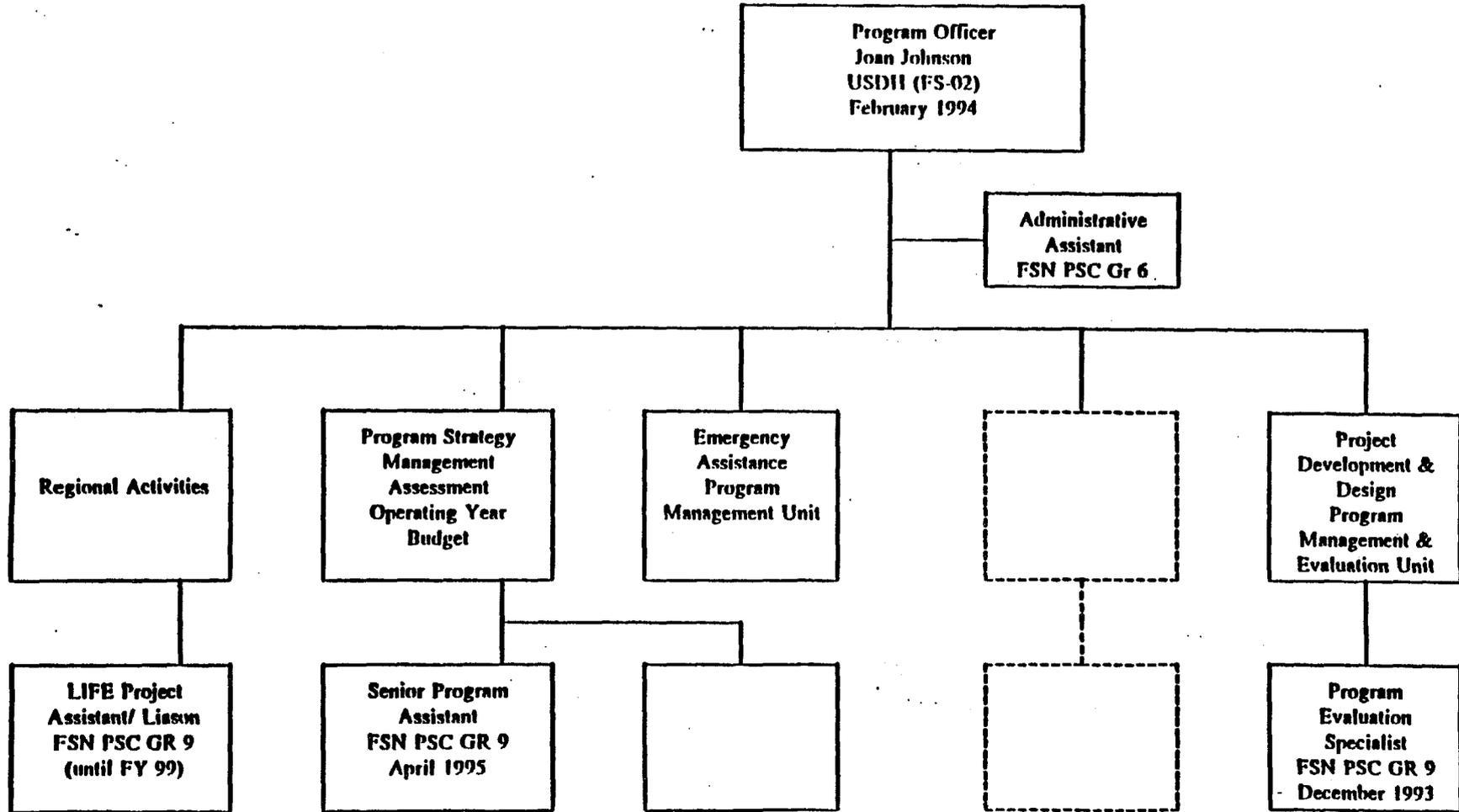
**APPENDIX E. 3c: USAID/Namibia Organizational Chart
Executive Office: Funding Option #3**



E11

124

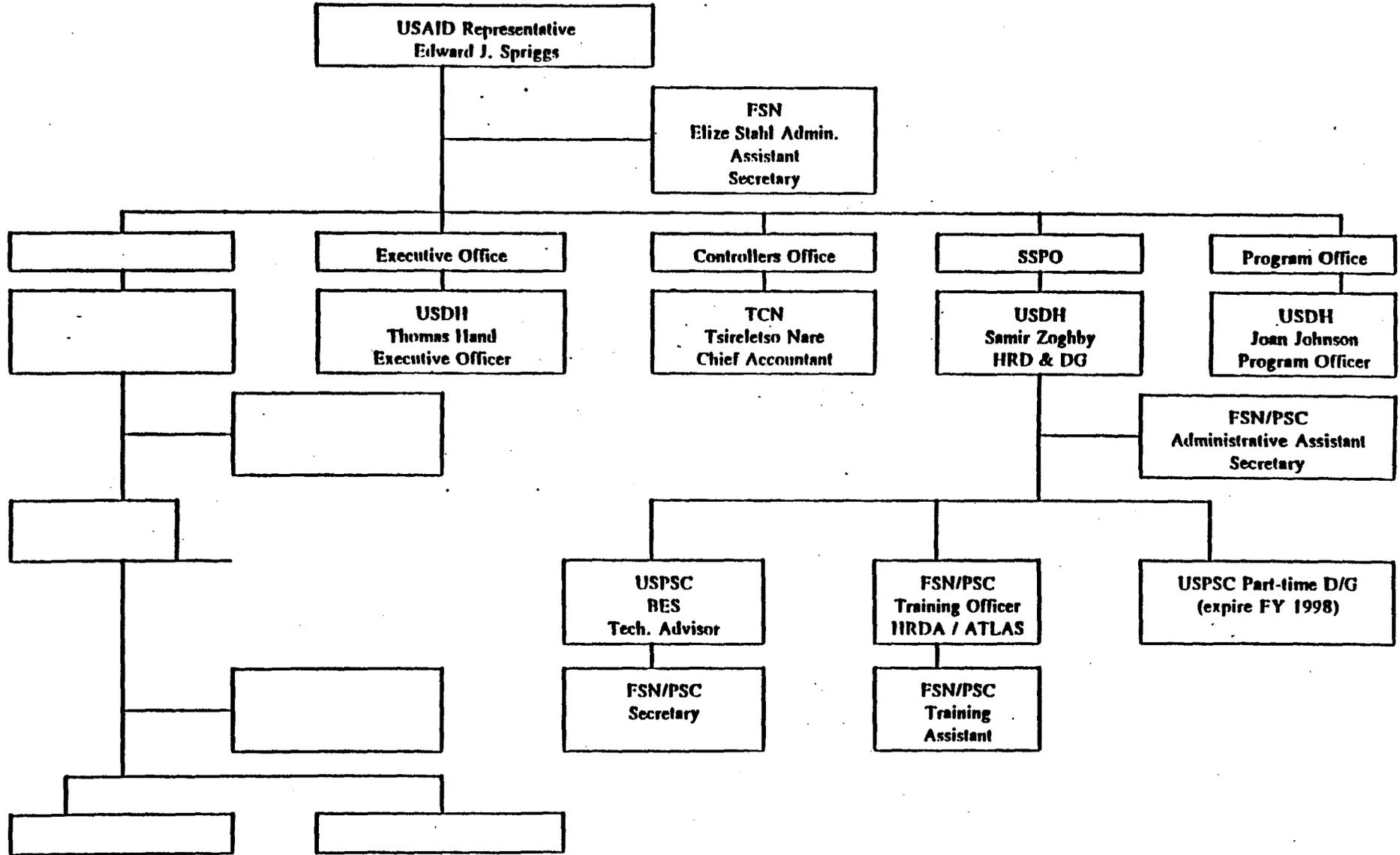
ANNEX E. 3b: USAID/Namibia Organizational Chart
USAID/Namibia Program, Project Policy Division: Funding Option #3



E10

125

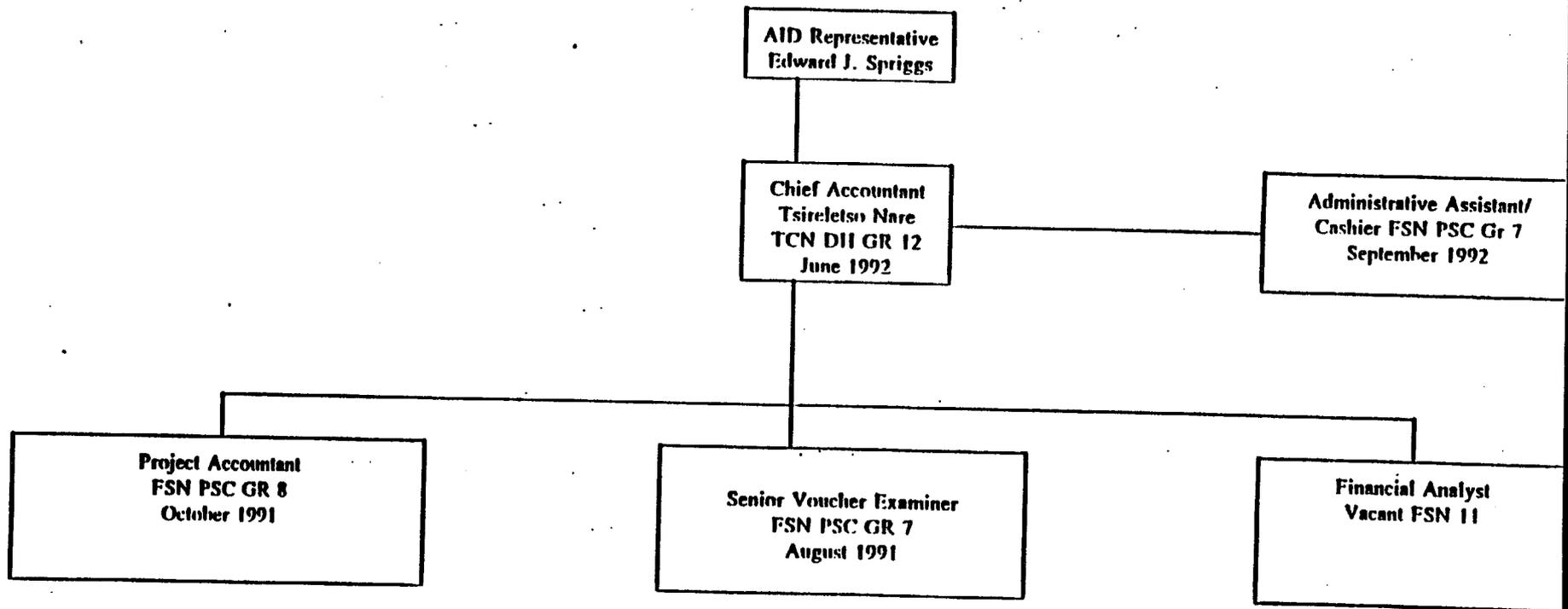
**USAID/Namibia Organizational Chart
Project Offices: Funding Option #3**



63

126

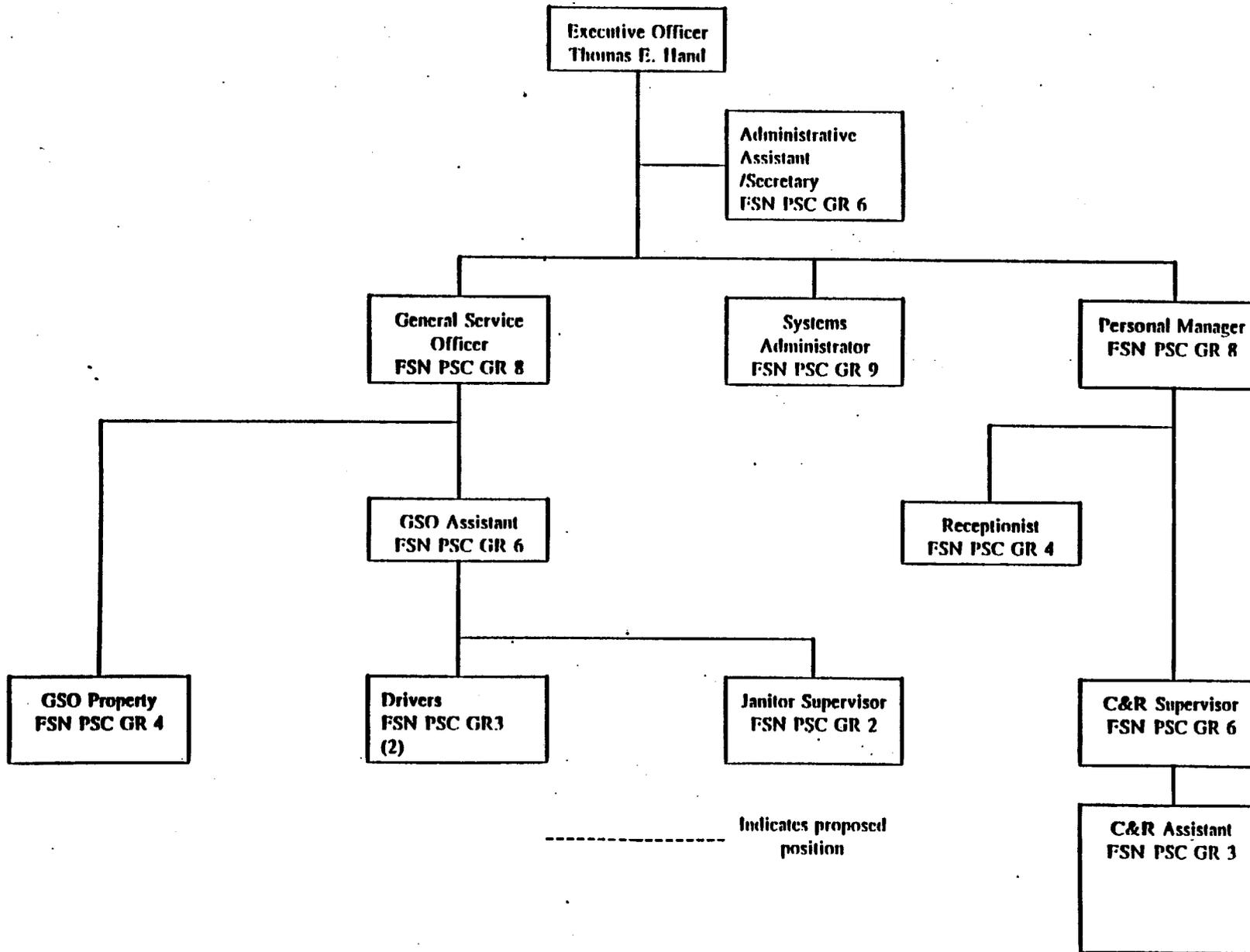
USAID/Namibia Organizational Chart
Financial Management Division: Funding Option #2



28

127

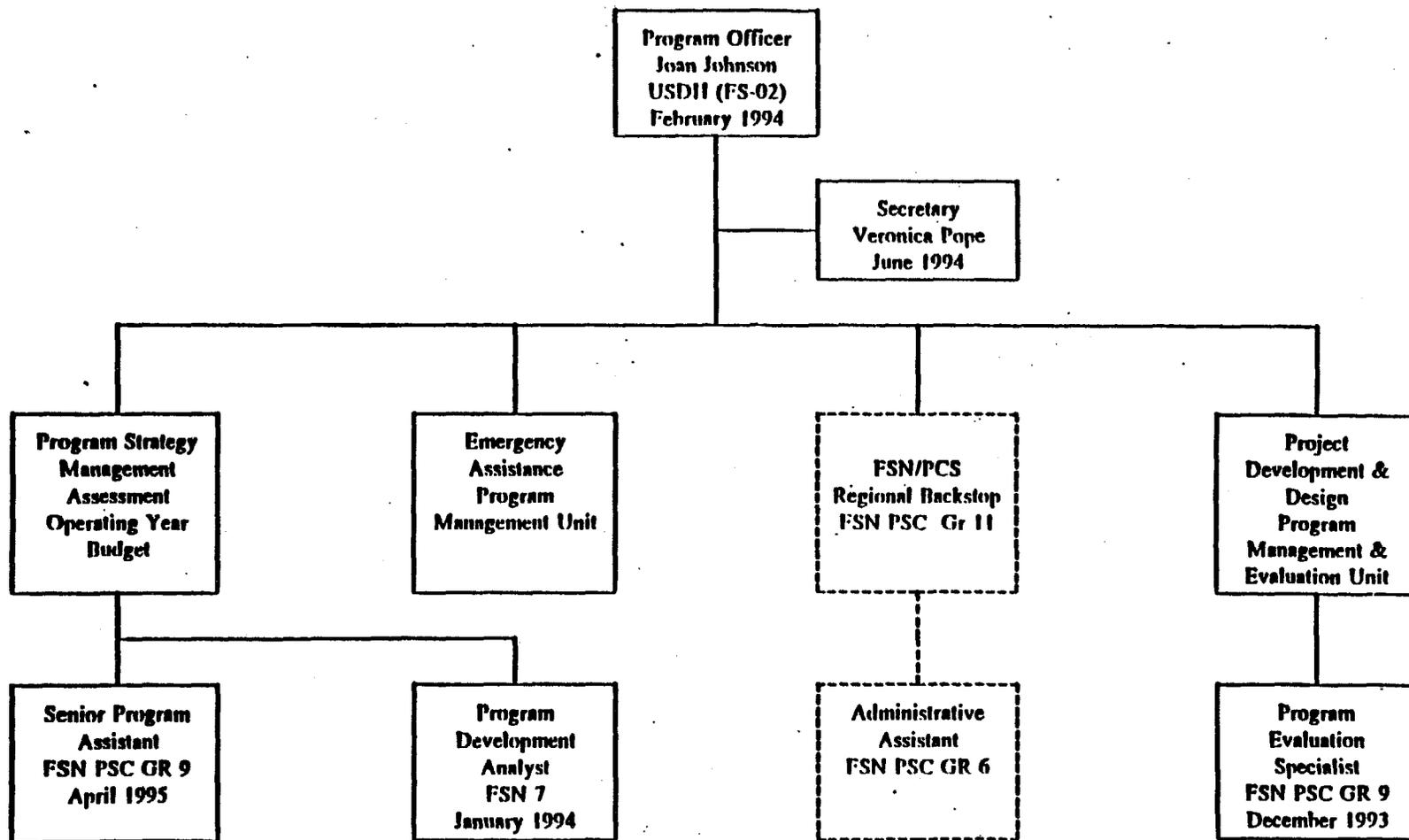
USAID/Namibia Organizational Chart
Executive Office Funding Option #2



E7

1988

USAID/Namibia Organizational Chart
USAID/Namibia Program, Project Policy Division: Funding Option 2

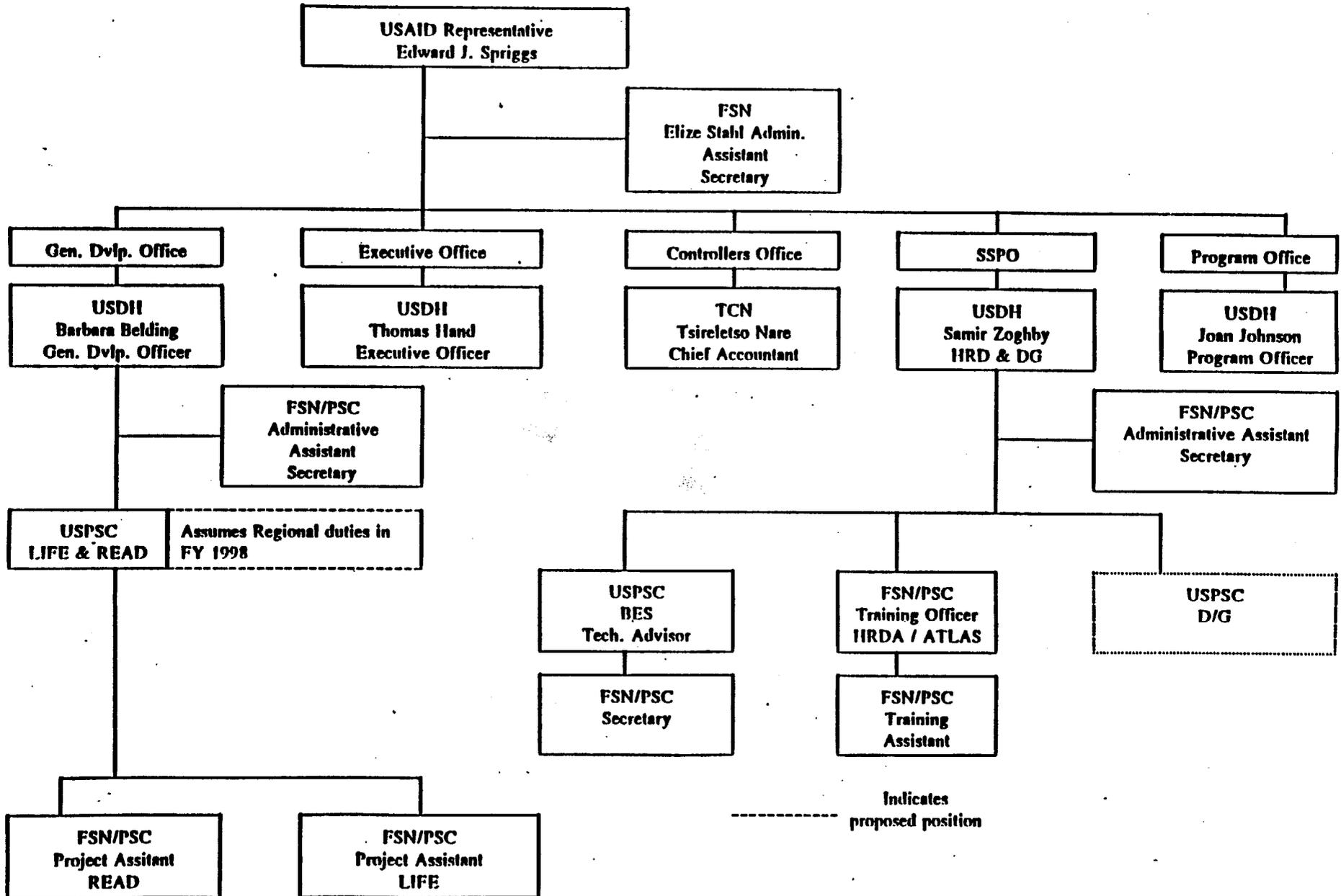


----- Indicates proposed position

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**ANNEX E 2a: USAID/Namibia Organizational Chart
Project Offices: Funding Option #2**



ES

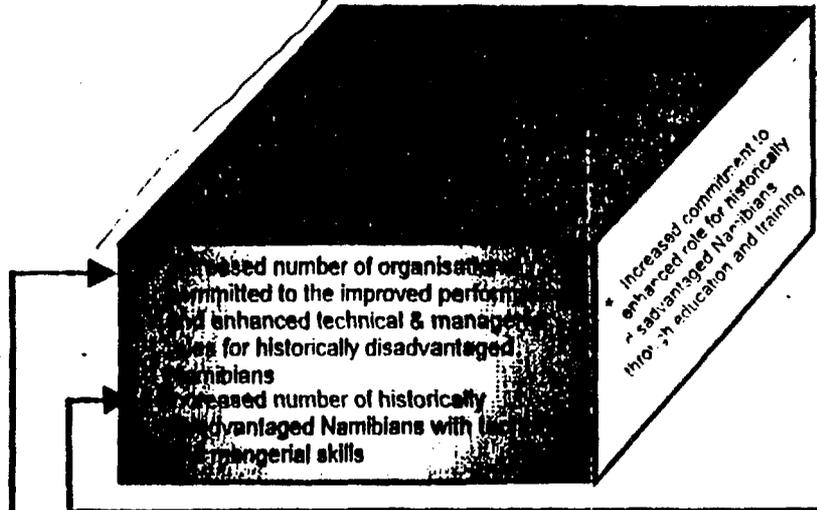
Indicates
proposed position

150

ANNEX F

**ILLUSTRATIVE ACTIVITIES
FOR THE RESULTS FRAMEWORK**

Annex F
Figure 1
INTERMEDIATE RESULT 1.1:
Illustrative Activities



- In country management training opportunities are made available for long and short-term training
GRN, UNAM 1990 - 2000
- Improved human resources development planning and coordination
GRN, 1995 - 1999
- Development of national affirmative action policies and strategies
GRN, 1995 - 2000
- Scholarship support
GRN, India, UNESCO, Australia, New Zealand, USAID, Belgium, ODA, NORAD SIDA, 1990 - 2000

• Training needs assessment for GRN companies and Ministries in developing strategic plans
USAID, 1993 - 2000

• Training needs assessment for private sector companies and Ministries in developing career plans for historically disadvantaged Namibians.
Public and Private Sector Advisory Boards, USAID; 1993 - 2001

• Encourage target organisations through the upgrading of technical and managerial skills of historically disadvantaged Namibians
Public and Private Sector Advisory Boards, USAID; 1993 - 2000

• Encourage training in the management and utilisation of historically disadvantaged Namibians
Public and Private Sector Advisory Boards, USAID; 1993 - 2001

• Encourage technical and managerial training opportunities for historically disadvantaged Namibians
Public and Private Sector Advisory Boards, USAID; 1993 - 2001

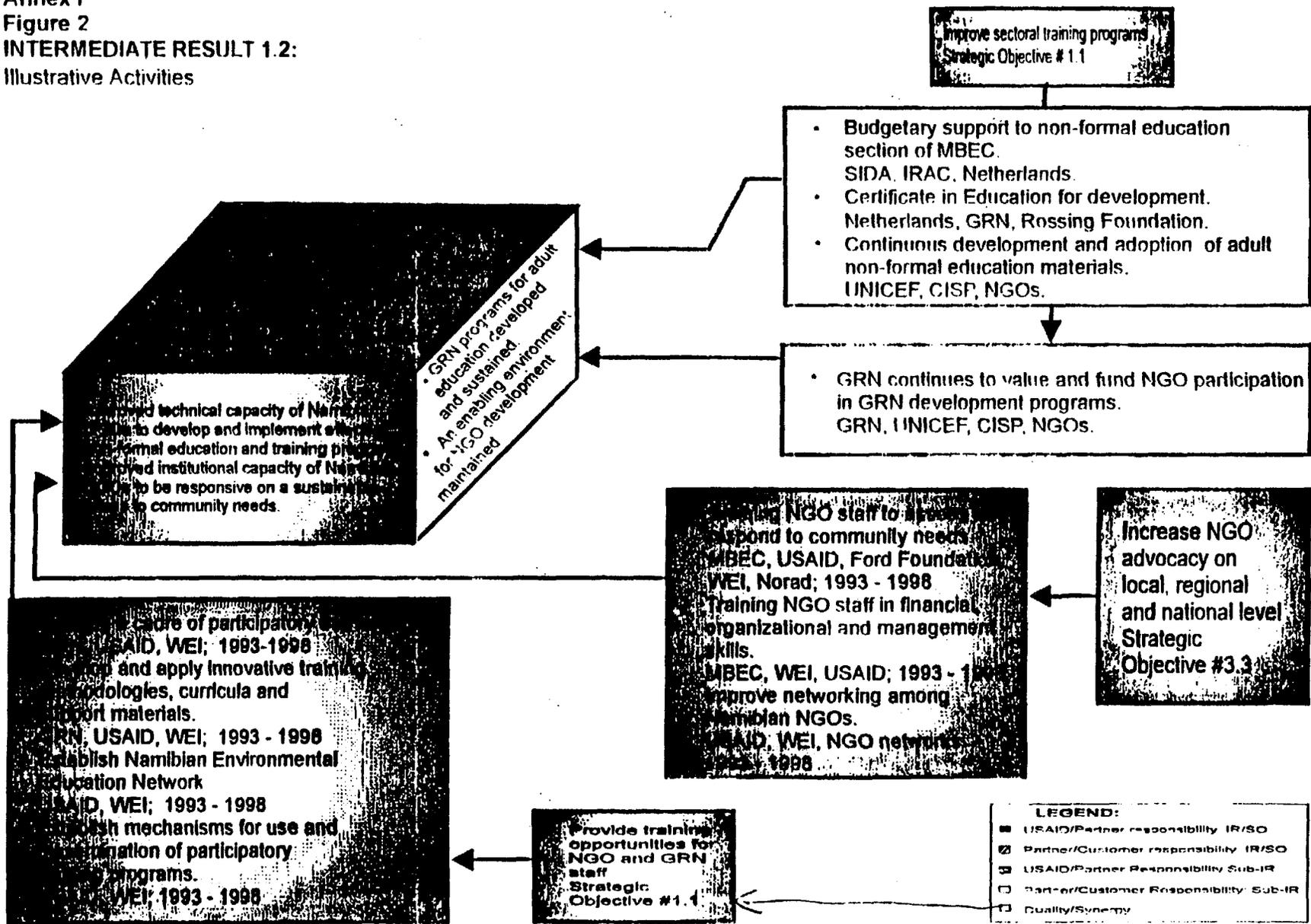
• Encourage institutional transformation in target organizations to accept and promote historically disadvantaged Namibians and provide related training to manage & value them
Public and Private Sector Advisory Boards, USAID; 1993 - 2001

Increased number of Namibians with technical and managerial skills
Strategic Objective 1.2, 1.3, 1.4, 2.1, 2.2, 2n, 3.2, 3a

LEGEND:

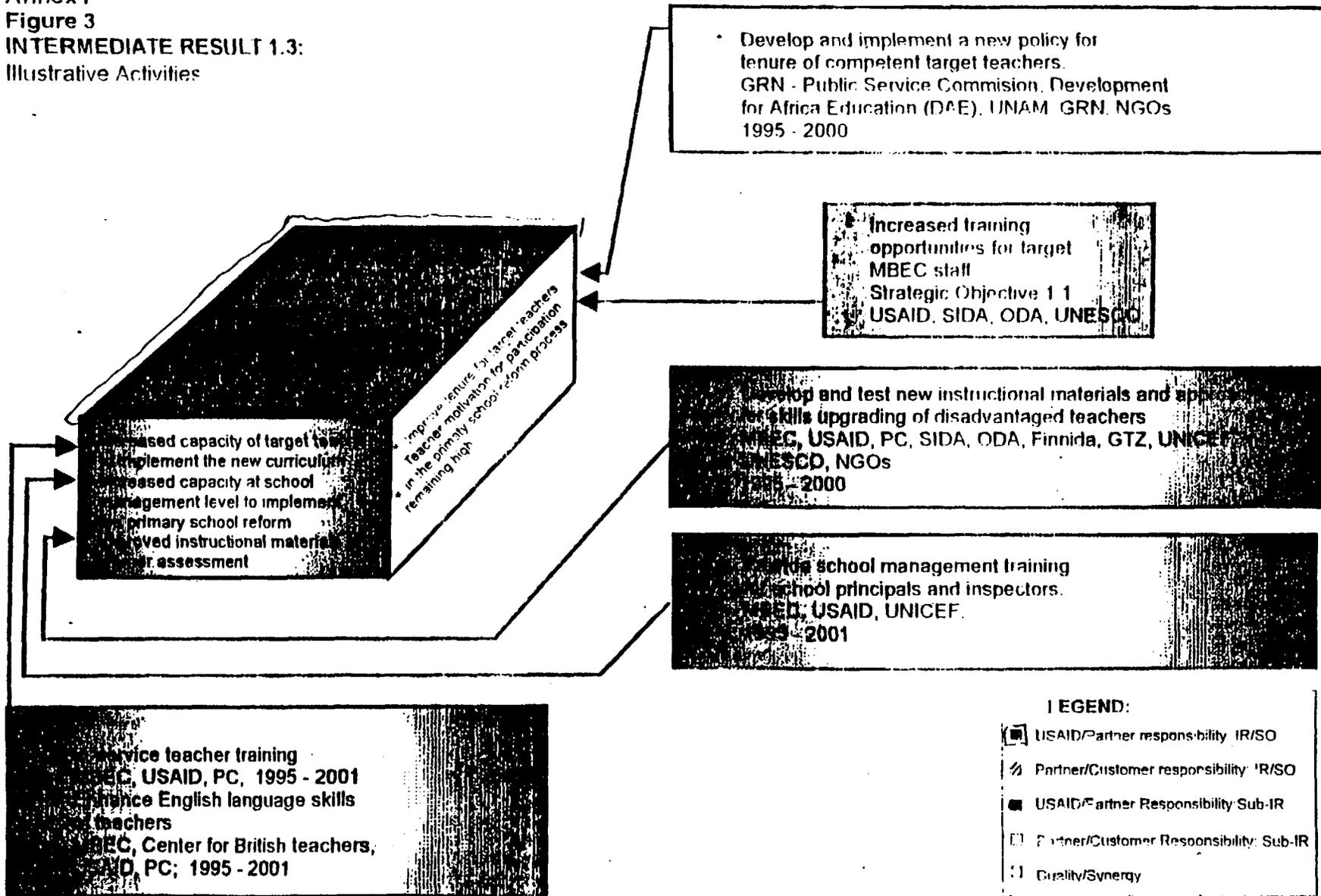
| | |
|--|--|
| | USAID/Partner responsibility IR/SO |
| | Partner/Customer responsibility IR/SO |
| | USAID/Partner Responsibility Sub-IR |
| | Partner/Customer Responsibility Sub-IR |
| | Duality/Synergy |

Annex F
 Figure 2
 INTERMEDIATE RESULT 1.2:
 Illustrative Activities

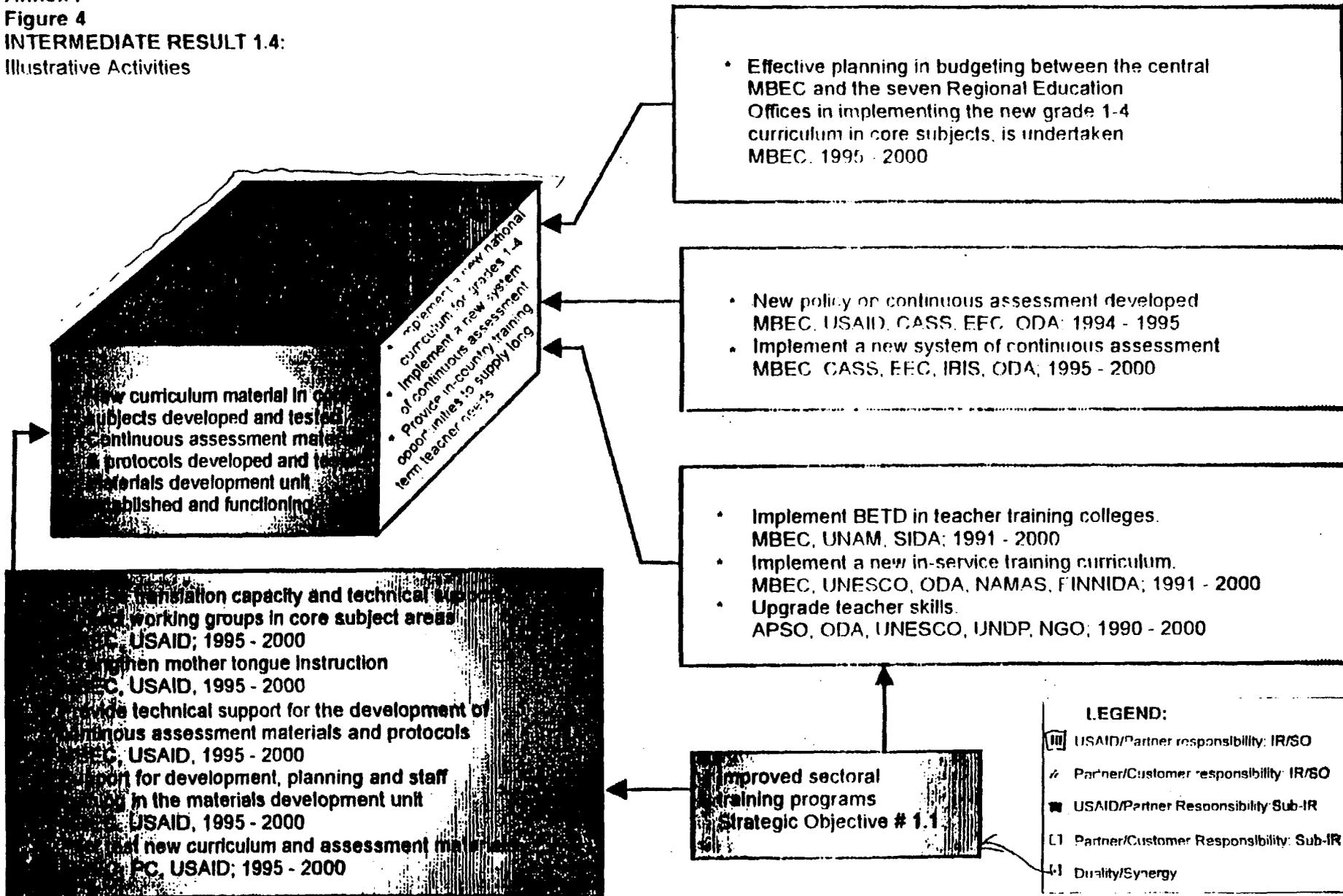


1025

Annex F
Figure 3
INTERMEDIATE RESULT 1.3:
Illustrative Activities

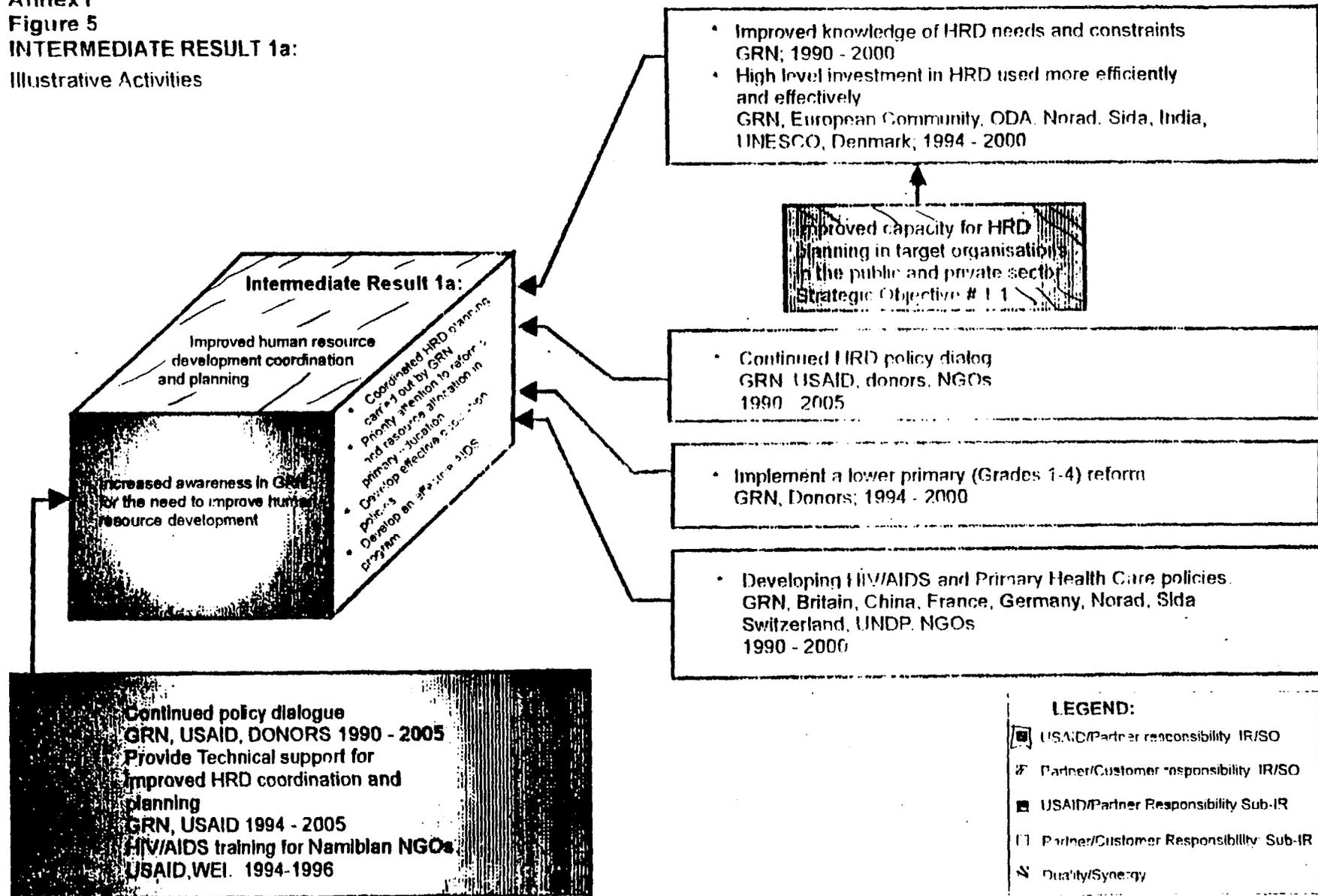


Annex F
Figure 4
INTERMEDIATE RESULT 1.4:
Illustrative Activities



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Annex F
 Figure 5
 INTERMEDIATE RESULT 1a:
 Illustrative Activities



EU

- Support the law reform and training of magistrates.

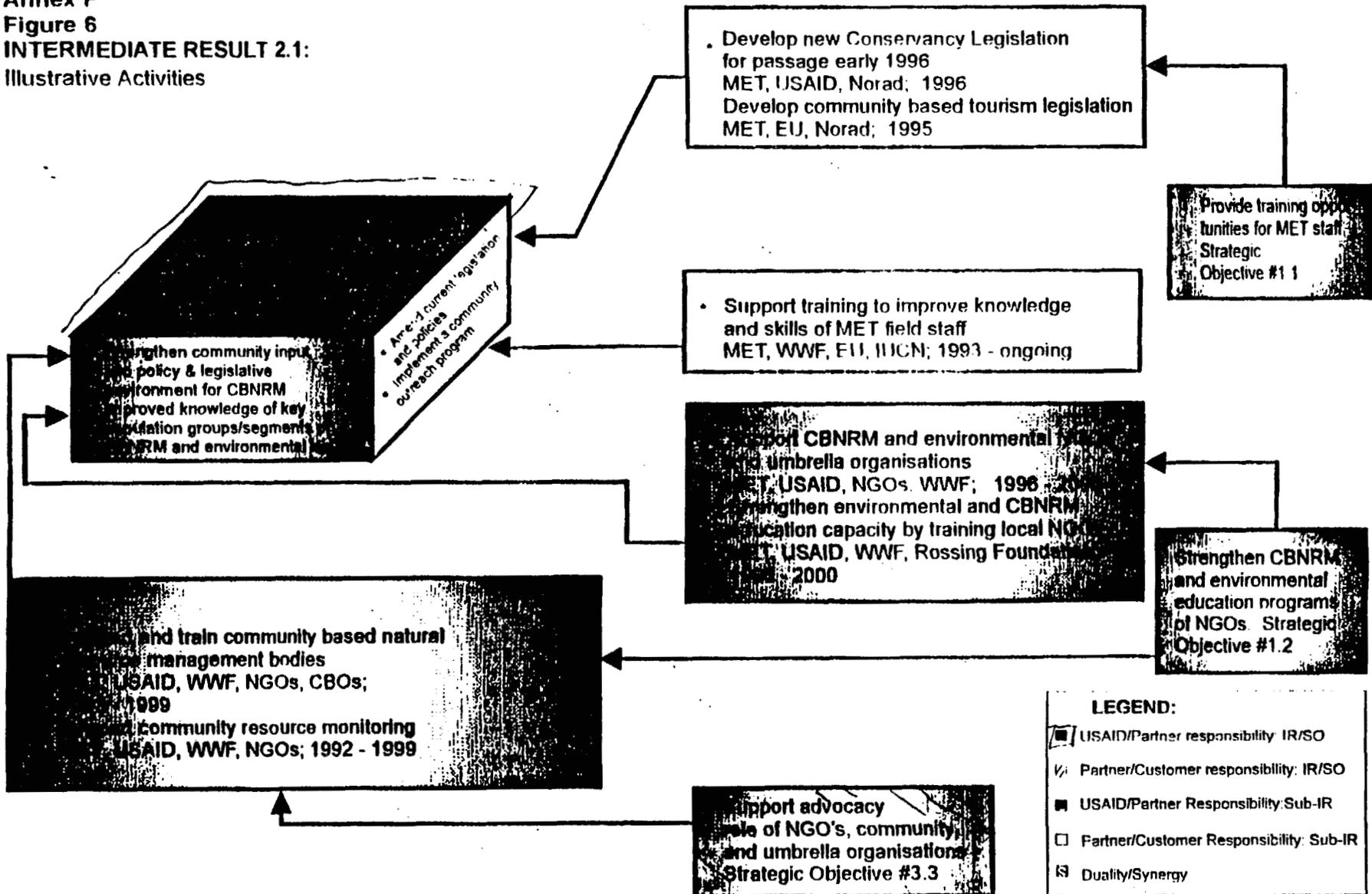
FRG

- Support the promotion of public legal institutions in Namibia.

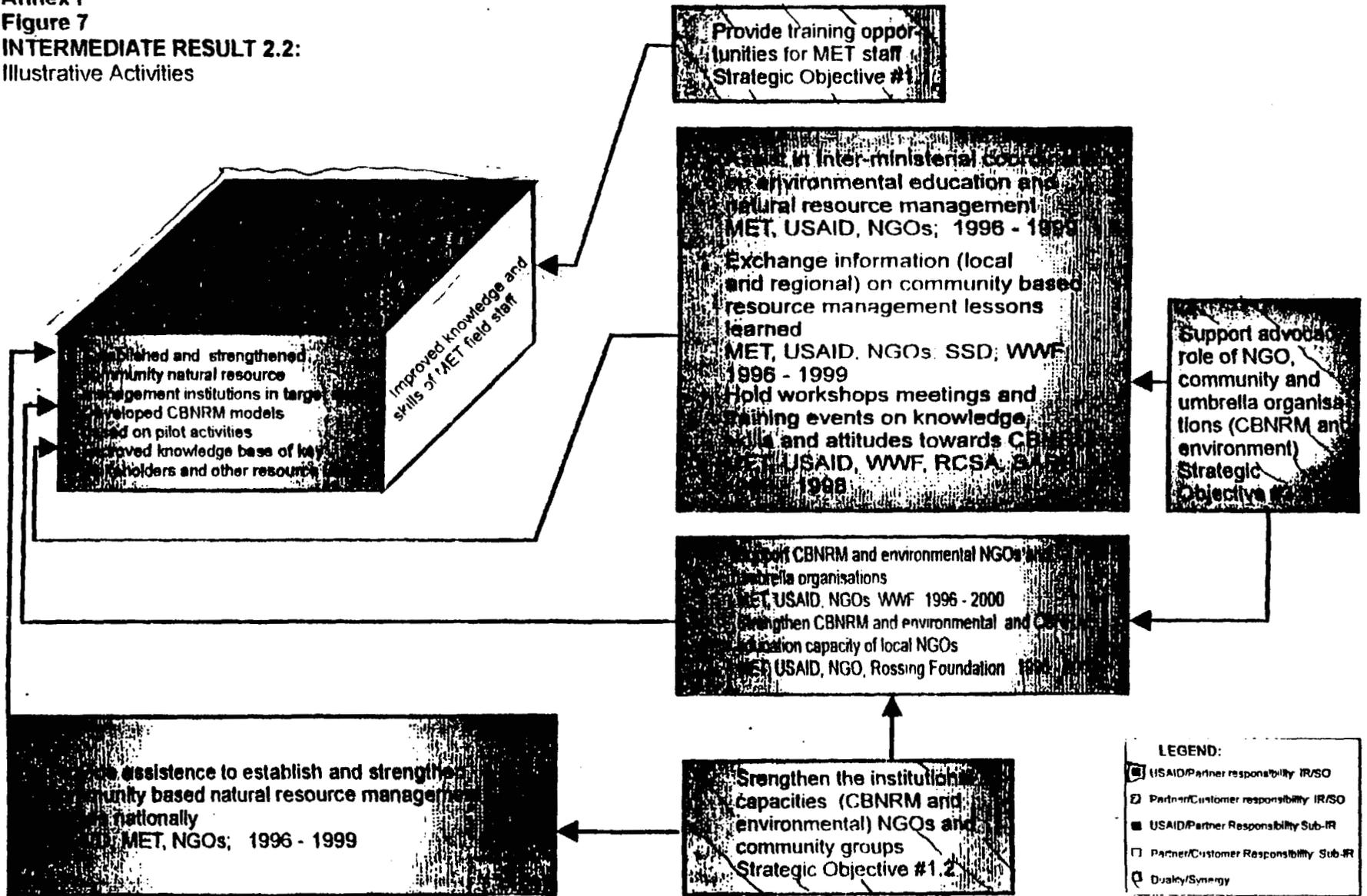
UK

- Support the public service reform & police training and training of parliamentarians.

Annex F
Figure 6
INTERMEDIATE RESULT 2.1:
Illustrative Activities

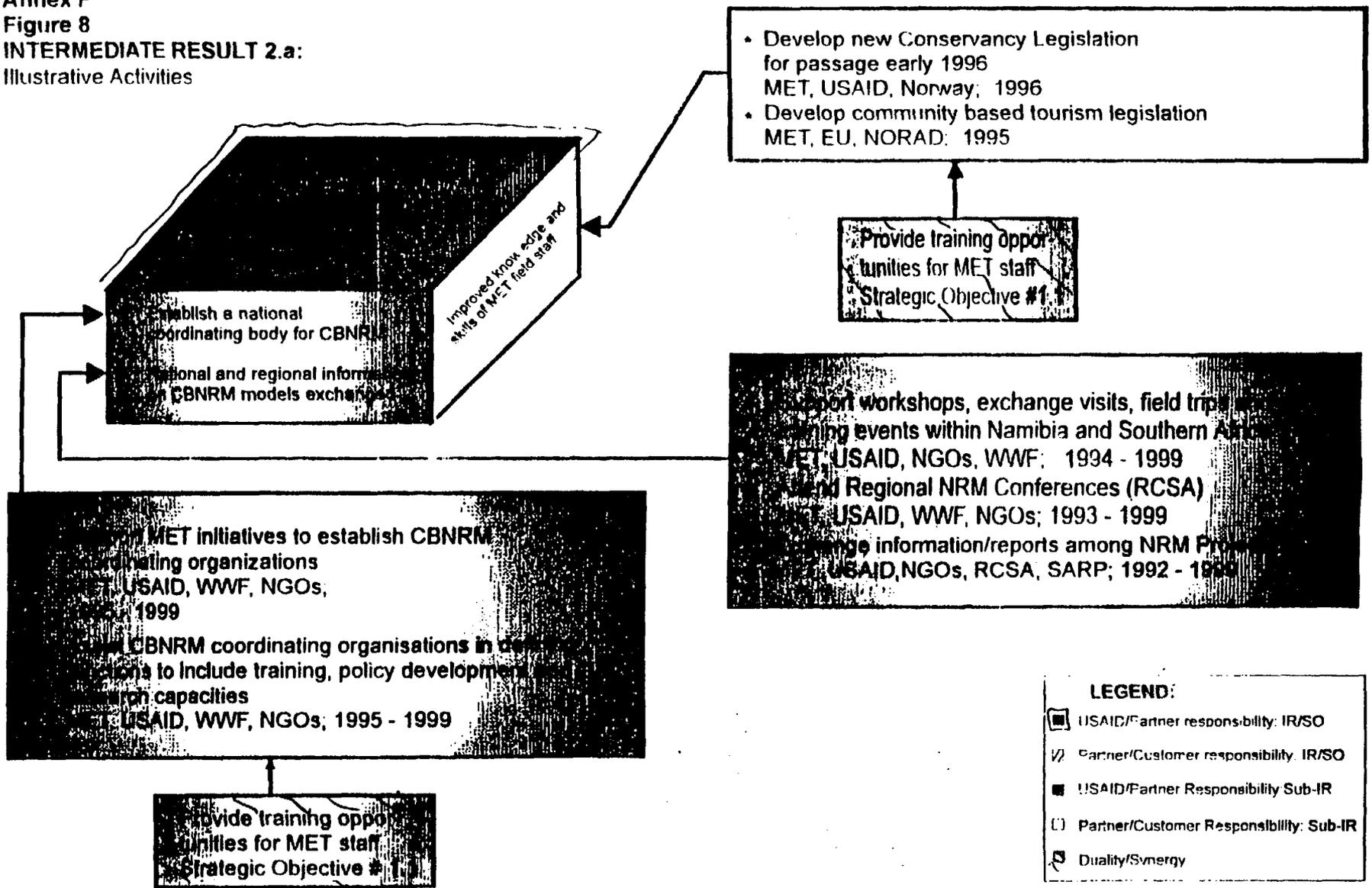


Annex F
 Figure 7
 INTERMEDIATE RESULT 2.2:
 Illustrative Activities

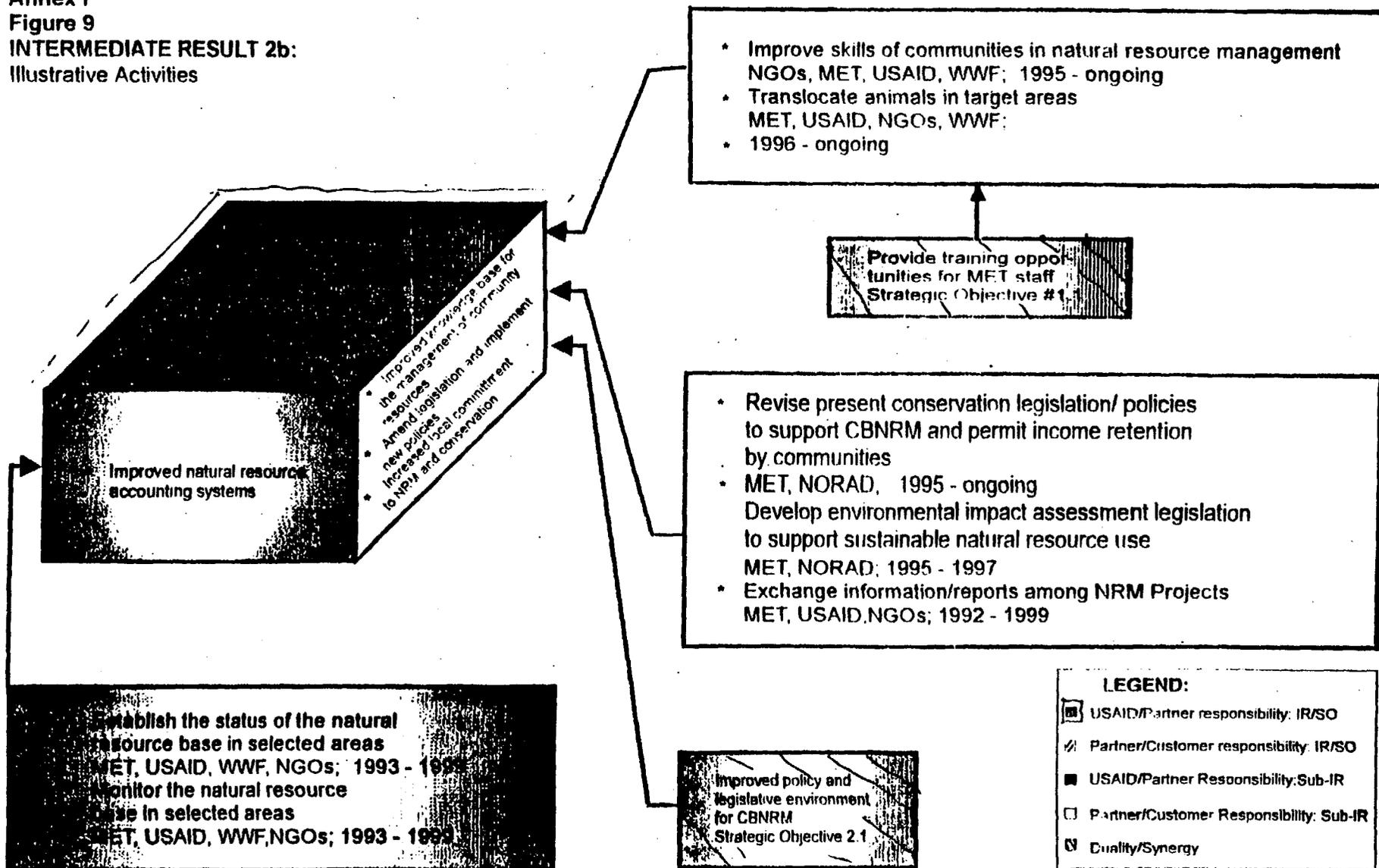


1999

Annex F
 Figure 8
 INTERMEDIATE RESULT 2.a:
 Illustrative Activities



Annex F
Figure 9
INTERMEDIATE RESULT 2b:
Illustrative Activities



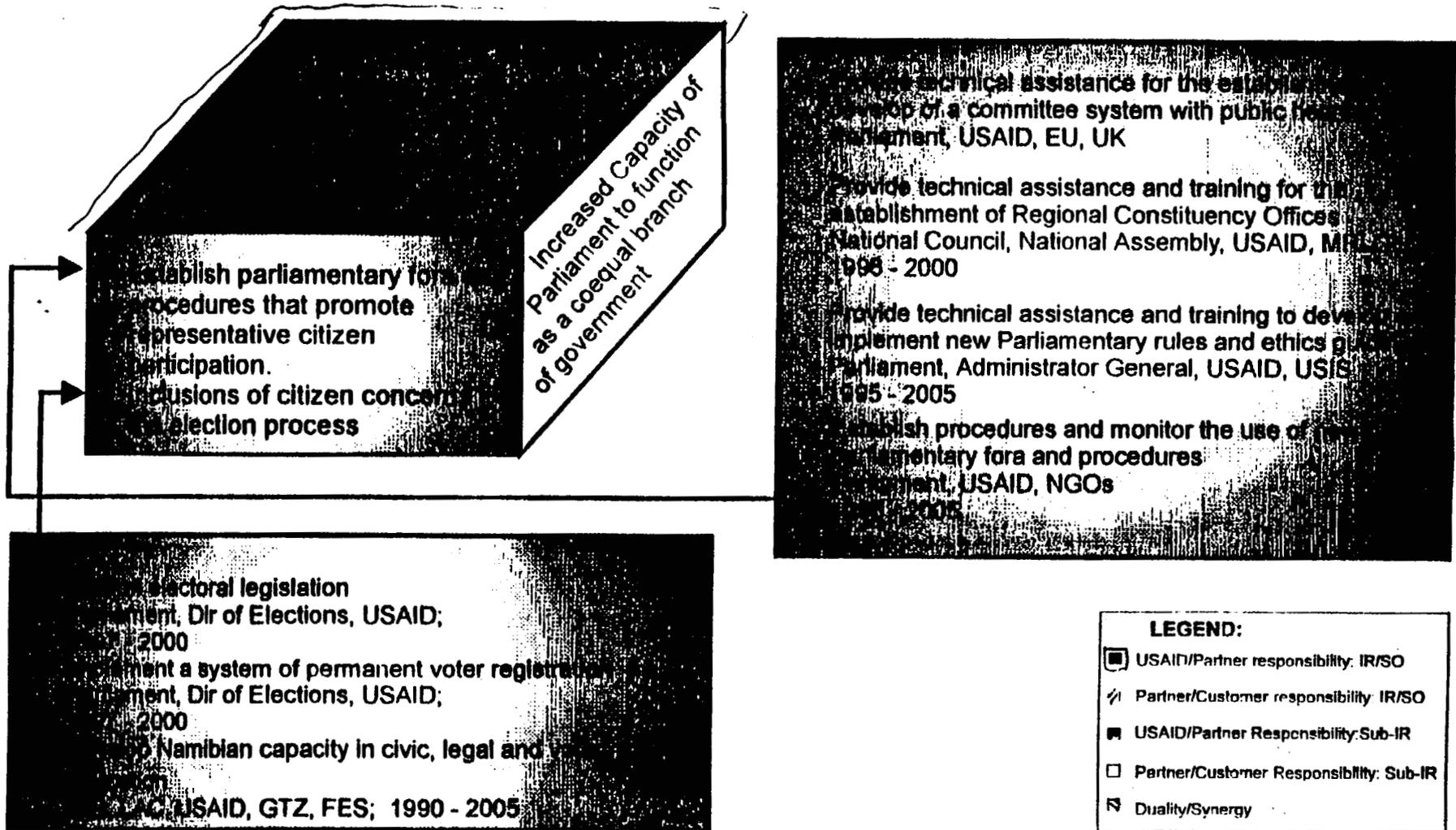
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Annex F

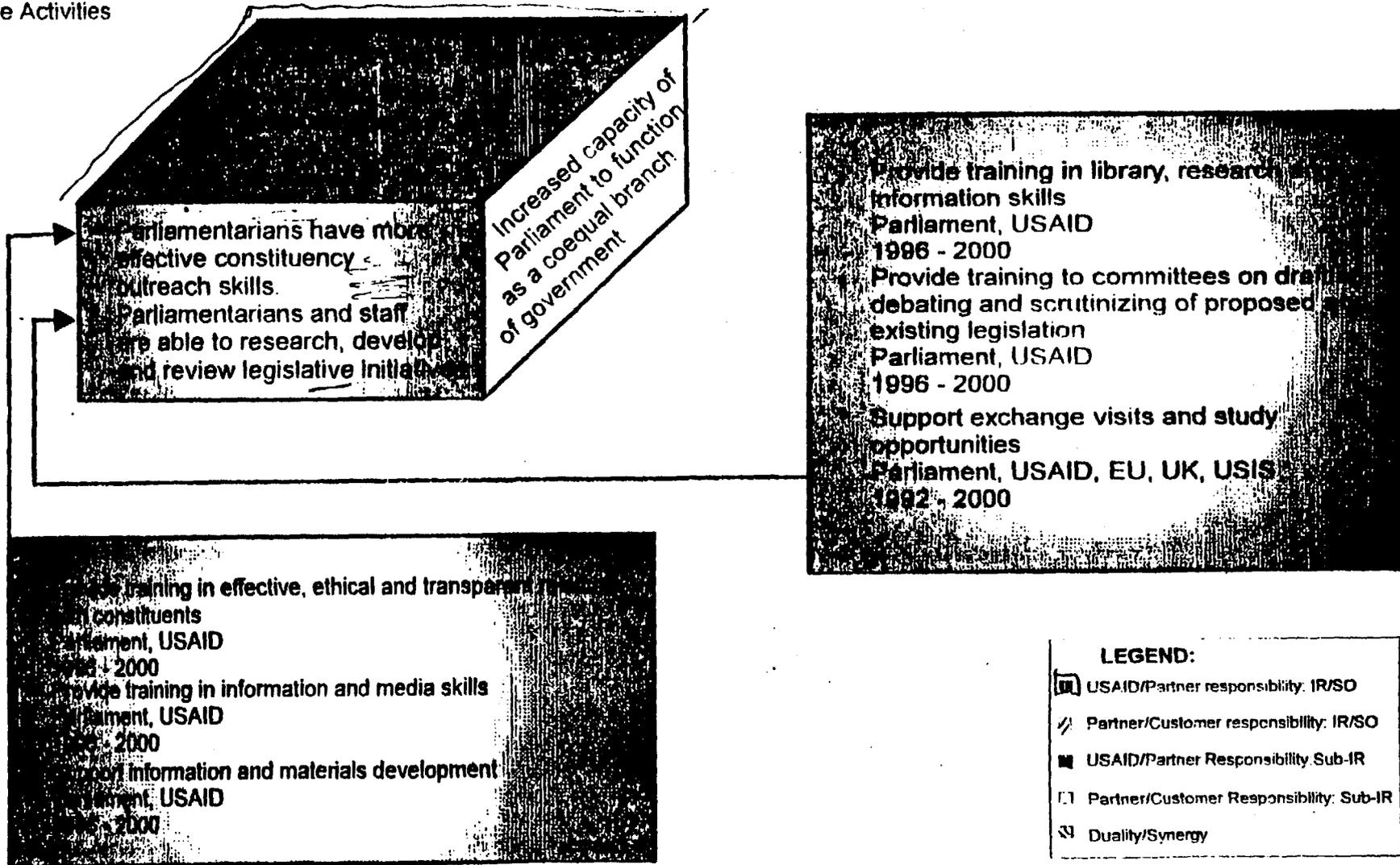
Figure 10

INTERMEDIATE RESULT 3.1:

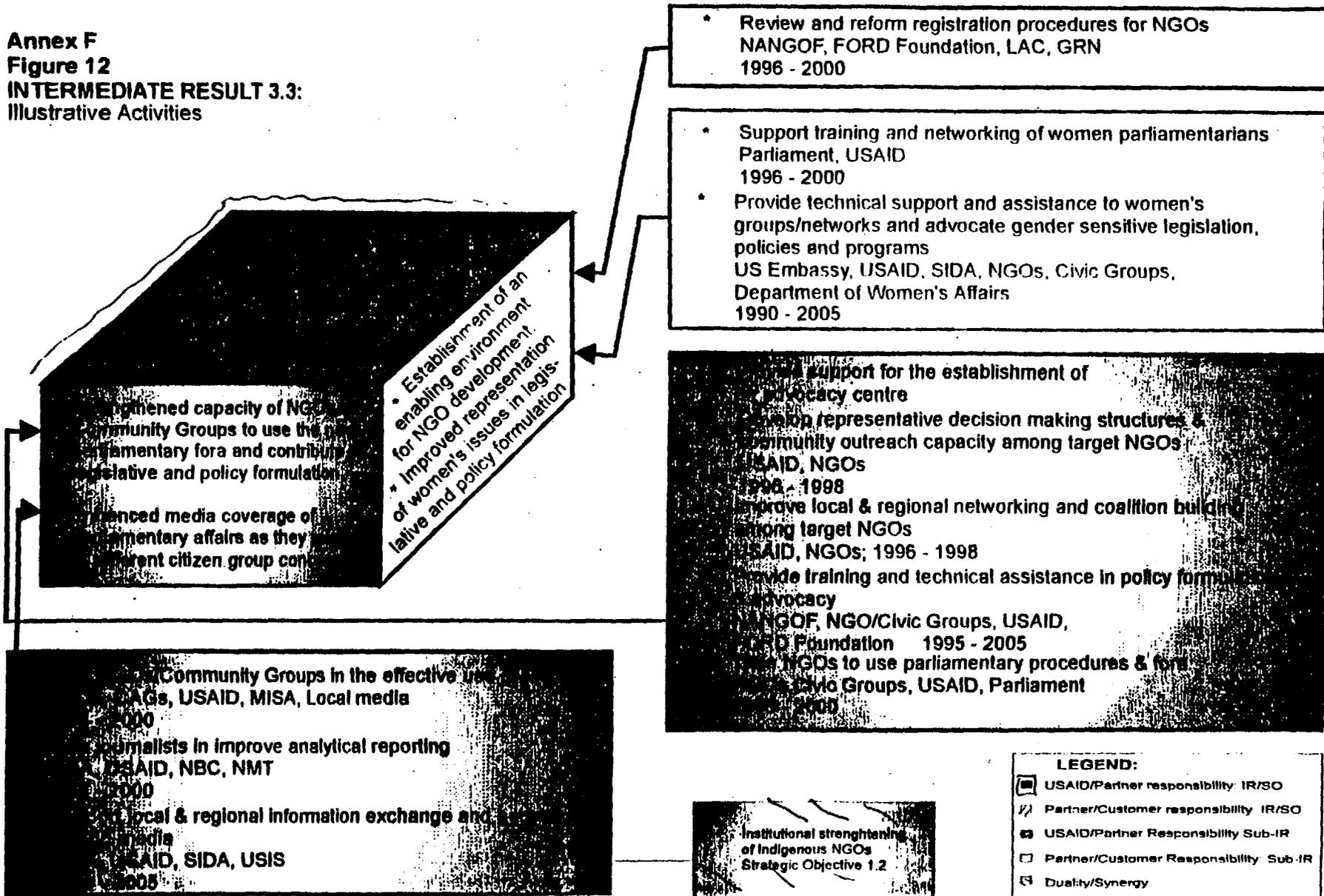
Illustrative Activities



Annex F
Figure 11
INTERMEDIATE RESULT 3.2:
Illustrative Activities



Annex F
Figure 12
INTERMEDIATE RESULT 3.3:
Illustrative Activities



- Review and reform registration procedures for NGOs
 NANGOF, FORD Foundation, LAC, GRN
 1996 - 2000

- Support training and networking of women parliamentarians
 Parliament, USAID
 1996 - 2000
- Provide technical support and assistance to women's groups/networks and advocate gender sensitive legislation, policies and programs
 US Embassy, USAID, SIDA, NGOs, Civic Groups, Department of Women's Affairs
 1990 - 2005

- Support for the establishment of an advocacy centre
- Develop representative decision making structures & community outreach capacity among target NGOs
 USAID, NGOs
 1996 - 1998
- Improve local & regional networking and coalition building among target NGOs
 USAID, NGOs; 1996 - 1998
- Provide training and technical assistance in policy formulation & advocacy
 NANGOF, NGO/Civic Groups, USAID, FORD Foundation 1995 - 2005
- Support NGOs to use parliamentary procedures & forums
 Civic Groups, USAID, Parliament
 1996 - 2000

- Support Community Groups in the effective use of mass media
 USAID, MISA, Local media
 1996 - 2000
- Support Journalists in improve analytical reporting
 USAID, NBC, NMT
 1996 - 2000
- Support Local & regional information exchange and media
 USAID, SIDA, USIS
 1996 - 2005

Institutional strengthening of Indigenous NGOs
Strategic Objective 1.2

ANNEX G

STAFFING PATTERN

December 16, 1995: 16:01

United States Agency for International Development (USAID)
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Quarter 04

Page 1

| SERIAL NUMBER | NAME/ ORGANIZATION | POSITION TITLE/ SERVICE COMP. DATE | POSDESC BKS/ADSC | POSPL/GRD PERPL/GRD | ARR/STRT DEP/END | RETSYS WORKMRS | EMPAUTH UNTRD | FUNDSCRE TOTCOST/CTR | ANMBASE PAY OT/MAMN COSTS | D/S |
|---------------|---|------------------------------------|-------------------|---------------------|----------------------|----------------|---------------|----------------------|---------------------------|-----|
| 2162700050 | SPRIGGS, EDWARD J. Aid Representative's Office | Aid Representative | 00001 01034004 | FE FDEC-4 | 02/12/94 | 40 | USFS | \$0 | \$0 | N |
| 2162700100 | JOHNSON, JOAN C. Program Office | Program Officer | 00006 02034501 | FS-01 FP-02 | 03/11/94 03/11/96 | 40 | USFS | \$0 | \$0 | N |
| 2162700200 | BELDING, BARBARA L. General Development Office | General Development | 00007 12030162 | FS-02 FP-03 | 09/02/92 | 40 | USFS | \$0 | \$0 | N |
| 2162700250 | HARD, THOMAS E. Executive Office | Executive Officer | 00004 03034101 | FS-04 FO-01 | 01/27/95 08/27/95 | 40 | USFS | \$0 | \$0 | N |
| 2162700300 | ZOGHBY, SAHIR M. Human Resources & Special Projects Office | Sup. Special Project | 30165 02030169 | FS-01 FO-01 | 06/14/95 06/02/96 | 40 | USFS | \$0 | \$0 | N |
| 2162710003 | GAVA, VICTORIA General Development Office | Administrative Assist 09/25/95 | 10003 03034108 | FSN 6 FSN 6 | 09/25/95 | OTM 40 | FNPS LO | PROG \$18,447 | \$14,388 \$4,058 | N |
| 2162710004 | PETERS, RUIH General Development Office | Project Assistant RE 06/14/93 | 10006 02034505 | FSN 11 FSN 9 | 06/14/93 | OTM 40 | FNPS LO | PROG \$23,187 | \$16,994 \$6,193 | N |
| 2162710007 | GOAGOSEB, MATTHEW W. General Development Office | Project Assistant LI 04/30/95 | 10007 02034501 | FSN 10 FSN 7 | 04/30/95 | HRC 40 | FNPS LO | PROG \$17,857 | \$13,556 \$4,301 | N |
| 2162720001 | ASINO, EMILY C. Executive Office | Administrative Assis 04/06/92 | 20001 05031801 | FSN 6 FSN 6 | 04/06/92 | HRC 40 | FNPS LO | FOEA \$15,172 | \$11,702 \$3,469 | N |
| 2162720002 | FLEDESBACHER, SUSANNA C. Executive Office | Personnel Officer/Ex 04/01/94 | 20002 03020105 | FSN 8 FSN 8 | 04/01/94 | HRC 40 | FNPS LO | FOEA \$23,478 | \$18,165 \$5,312 | N |
| 2162720003 | VAN DER COLFF, WILLEM C. Executive Office | General Services Off 04/01/94 | 20003 06034201 | FSN 8 FSN 8 | 04/01/94 | HRC 40 | FNPS LO | FOEA \$21,510 | \$14,539 \$6,972 | N |
| 2162720004 | VAN WYK, LILLIAN G.J. Executive Office | General Services Ass 08/05/91 | 20004 07110610 | FSN 6 FSN 6 | 08/05/91 | HRC 40 | FNPS LO | FOEA \$14,704 | \$11,319 \$3,385 | N |
| 2162720005 | VACANT Executive Office | General Services Cle | 20005 06034201 | FSN 3 | | 40 | FNPS LO | FOEA \$0 | \$0 | N |
| 2162720006 | SHAANIKA, SHANGELAO K. Executive Office | CER Supervisor 03/29/93 | 20006 07030501 | FSN 6 FSN 6 | 03/29/93 | HRC 40 | FNPS LO | FOEA \$14,236 | \$10,935 \$3,301 | N |
| 2162720007 | NKORE, ALFONS Executive Office | CER Clerk 06/17/91 | 20007 07030342 | FSN 4 FSN 4 | 06/17/91 | HRC 40 | FNPS LO | FOEA \$9,877 | \$7,360 \$2,517 | N |
| 2162720008 | CAREW, ROSY F.H. Executive Office | Receptionist 07/29/91 | 20008 05030302 | FSN 4 FSN 4 | 07/29/91 | HRC 40 | FNPS LO | FOEA \$12,488 | \$9,501 \$2,987 | N |

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Page 2

| SERIAL NUMBER | NAME/ ORGANIZATION | POSITION TITLE/ SERVICE COMP. DATE | POSDESC BKS/AOSC | POSPL/GRD PERPL/GRD | ARR/STRT DEP/END | RETSYS WORKMRS | EMPAUTH WHIRED | FUNDSRCE FOTCOST/CTR | ANNUBASE PAY OTMANN COSTS | D/S |
|---------------|--|------------------------------------|-------------------|---------------------|----------------------|----------------|----------------|----------------------|---------------------------|-----|
| 2162720009 | EKANDJO, JOHNSON Executive Office | Driver 01/22/95 | 20009 07030202 | FSN 3 FSN 3 | 01/22/95 | HRC 40 | FNPS LO | FOEA 88,198 | \$5,983 \$2,215 | N |
| 2162720010 | BARRY, PETER J. Executive Office | Chauffeur 08/07/94 | 20010 07030202 | FSN 3 FSN 3 | 08/07/94 | HRC 40 | FNPS LO | FOEA 88,464 | \$6,201 \$2,263 | N |
| 2162720011 | VACANT Executive Office | Maintenance Supervis | 20011 06034204 | FSN 4 | | | FNPS LO | FOEA 80 | \$0 \$0 | N |
| 2162720012 | OOSTHUIZEN, INGO Executive Office | Systems Manager 04/13/92 | 20012 03033401 | FSN 9 FSN 8 | 04/13/92 | HRC 40 | FNPS LO | FOEA \$26,784 | \$20,877 \$5,907 | N |
| 2162720013 | HANGE, AUGUSTINUS Executive Office | General Services Cle 09/03/91 | 20013 07110610 | FSN 4 FSN 4 | 08/03/91 | HRC 40 | FNPS LO | FOEA \$11,509 | \$8,698 \$2,810 | N |
| 2162720014 | MERERO, DANIEL S. Executive Office | Janitor Supervisor 06/20/94 | 20014 06034204 | FSN 2 FSN 2 | 06/20/94 | HRC 40 | FNPS LO | FOEA 86,910 | \$4,927 \$1,983 | N |
| 2162730001 | ILLONGA, VIRGINIA Controller Office | Administrative Assis 09/01/92 | 30001 07053005 | FSN 7 FSN 7 | 09/01/92 | HRC 40 | FNPS LO | FOEA \$17,857 | \$13,554 \$4,301 | N |
| 2162730002 | SHIPILA, MAGDALENA P. Controller Office | Voucher Examiner 08/27/91 | 30002 07054002 | FSN 7 FSN 7 | 08/27/91 | HRC 40 | FNPS LO | FOEA \$18,458 | \$14,049 \$4,410 | N |
| 2162730003 | MCCLUNE, RUTH S. Controller Office | Project Accountant 09/30/91 | 30003 07054002 | FSN 8 FSN 8 | 09/30/91 | HRC 40 | FNPS LO | FOEA \$26,784 | \$20,877 \$5,907 | N |
| 2162730004 | VACANT Controller Office | Financial Analyst | 30004 04050104 | FSN 11 | | | FNPS LO | FOEA 80 | \$0 \$0 | N |
| 2162730005 | VACANT Controller Office | Accountant Technicia | 30005 07052503 | FSN 8 | | | FNPS LO | FOEA 80 | \$0 \$0 | N |
| 2162730006 | VACANT Controller Office | Operating Expense Ac | 30006 04051021 | FSN 8 | | | FNPS LO | FOEA 80 | \$0 \$0 | N |
| 2162730007 | WARE, TSIRELETSO Controller Office | Chief Accountant 08/21/93 | 30007 04050502 | FSN 12 FSN 12 | 08/21/93 | | ICDH TR | FOEA \$38,902 | \$27,070 \$11,831 | N |
| 2162740001 | POPE, VERONICA D.C. Program Office | Administrative Assis | 40001 03036108 | FSN 4 | 06/06/94 06/05/96 | OTM 40 | USPS LO | FOEA \$20,498 | \$20,498 \$0 | Y |
| 2162740002 | MERORO, ALEXANDER K. Program Office | Senior Program Assis 04/21/95 | 40002 02034505 | FSN 11 FSN 8 | 04/21/95 | HRC 40 | FNPS LO | FOEA \$15,008 | \$11,471 \$3,538 | N |
| 2162740003 | VACANT Program Office | Administrative Assis | 40003 03036108 | FSN 7 | | HRC 40 | FNPS LO | PROG 80 | \$0 \$0 | N |

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| SERIAL NUMBER | NAME/ ORGANIZATION | POSITION TITLE/ SERVICE COMP. DATE | POSDESC BKS/AOSC | POSPL/GRD PERPL/GRD | ARR/STRT DEP/END | REISYS WORKMRS | EMPAUTH UNIREB | FUNDSRCE TOTCOST/CTR | ANNUBASE PAY OI/MANN COSTS | D/S |
|---------------|---|------------------------------------|-------------------|---------------------|----------------------|----------------|----------------|----------------------|----------------------------|-----|
| 2162740004 | ASHIKOTO, JOHN D. Program Office | Program Analyst 01/10/94 | 40004 03033401 | FSN 8 FSN 7 | 01/10/94 | HRC 40 | FNPS LO | FOEA \$19,060 | \$14,542 \$4,518 | N |
| 2162740005 | VACANT Program Office | Drought Relief Advis 10040103 | 40005 10040103 | FSN 9 | | 40 | FNPS LO | PROG \$0 | \$0 \$0 | N |
| 2162740006 | STUTTERWEIM, IRENE Program Office | Program Evaluation O 01/10/94 | 40006 02034505 | FSN 10 FSN 10 | 01/10/94 | HRC 40 | FNPS LO | PROG \$29,024 | \$20,719 \$8,304 | N |
| 2162750001 | STAHL, SARAH S.E. Aid Representative's Office | Executive Secretary 04/27/92 | 50001 01030143 | FSN 7 FSN 7 | 04/27/92 | HRC 40 | FNPS LO | FOEA \$24,480 | \$18,977 \$5,502 | N |
| 2162760001 | MUMITA, WINIFRIDAN Human Resources and Special Projects Office | Administrative Assis 11/07/94 | 40001 03034108 | FSN 6 FSN 6 | 11/07/94 | OTH 40 | FNPS LO | FOEA \$17,979 | \$14,005 \$3,974 | N |
| 2162760002 | STRAUSS, SHIREEN E. Human Resources and Special Projects Office | Assistant Participan 08/10/92 | 60002 60170102 | FSN 8 FSN 7 | 08/10/92 | HRC 40 | FNPS LO | FOEA \$20,261 | \$15,527 \$4,734 | N |
| 2162760003 | KANDJII-MURANGI, ITAN U. Human Resources and Special Projects Office | Participant Training 09/30/94 | 60003 60030192 | FSN 10 FSN 9 | 09/30/94 | HRC 40 | FNPS LO | PROG \$29,730 | \$22,361 \$7,370 | N |
| 2162766001 | POULTON, ELAINE Human Resources and Special Projects Office | Administrative Assis 08/06/95 | 66001 03034108 | FSN 6 FSN 6 | 08/06/95 | 40 | FNPS LO | PROG \$14,236 | \$10,935 \$3,301 | N |
| 2162767300 | VACANT Executive Office | General Services Con 06034201 | 67300 06034201 | FS-05 0 | | 40 | USPS LO | \$0 \$0 | \$0 \$0 | N |
| 2162767304 | CULLER, CAROL General Development Office | Project Manger LIFE/ 02/07/93 | 10002 02034517 | FS-02 FS-02 | 02/07/93 02/07/95 | FIC 40 | USPS TR | PROG \$450,000 | \$45,735 \$159,265 | N |
| 2162767306 | NILES, CATHY Basic Education Support Office | Senior Technical Adv 11/01/94 | 67306 02034516 | FS-02 FS-02 | 11/01/94 10/31/96 | OTH 40 | USPS TR | PROG \$450,000 | \$45,735 \$159,265 | N |
| 2162767308 | GIRVAN, LORIANH Human Resources and Special Projects Office | Democracy and Govern 09/25/95 | 67308 02034505 | FS-02 FS-02 | 09/25/95 09/24/97 | OTH 35 | USPS LO | PROG \$115,000 | \$45,500 \$11,318 | N |

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| SERIAL NUMBER | NAME/ ORGANIZATION | POSITION TITLE/ SERVICE COMP. DATE | POSDESC BKS/AOSC | POSPL/GRD PERPL/GRD | ARR/STRT DEP/END | RETSYS WORKHRS | EMPAUTH UNIRED | FUNDSRCE TOTCOST/CTR | ANDBASE PAY OTHAMM COSTS D/S |
|---------------|--------------------|------------------------------------|------------------|---------------------|------------------|----------------|----------------|----------------------|------------------------------|
|---------------|--------------------|------------------------------------|------------------|---------------------|------------------|----------------|----------------|----------------------|------------------------------|

SUMMARY FOR COUNTRY: 627 - NAMIBIA

| USDM SUMMARY | | FSN, TCN AND PSC SUMMARY | | TOTAL LIFETIME COST OF EXISTING CONTRACTS | | TOTAL ANNUAL BASE PAY | | TOTAL ALL OTHER COSTS | |
|------------------------|---|--------------------------|----|---|-------------|-----------------------|-----------|-----------------------|-----------|
| US Direct Hire Ceiling | 5 | FSN Direct Hire Ceiling | 0 | USPSC On Board | \$1,035,498 | FSNDM | \$0 | FSNDM | \$0 |
| USDM Deleted Positions | 0 | FSNDM On Board | 0 | FSNPSC On Board | \$465,698 | TCNDM | \$27,070 | TCNDM | \$11,831 |
| USDM on Board | 5 | FSNDM Vacant | 0 | TCNPSC On Board | \$0 | USPSC | \$197,468 | USPSC | \$329,848 |
| USDM Vacant | 0 | FSNDM Full Time | 0 | | | FSNPSC | \$354,164 | FSNPSC | \$111,532 |
| USDM Full Time | 5 | FSNDM Part Time | 0 | | | TCNPSC | \$0 | TCNPSC | \$0 |
| USDM Part Time | 0 | TCNDM On Board | 1 | | | | | | |
| | | USPSC On Board | 4 | | | | | | |
| | | USPSC No. Hired in US | 0 | | | | | | |
| | | USPSC No. Hired Locally | 2 | | | | | | |
| | | FSNPSC On Board | 26 | | | | | | |
| | | TCNPSC On Board | 0 | | | | | | |
| | | OTHER On Board | 0 | | | | | | |

GRAND TOTALS ON BOARD FULL AND PART TIME

| | |
|--------|----|
| USDM | 5 |
| FSNDM | 0 |
| TCNDM | 1 |
| USPSC | 4 |
| FSNPSC | 26 |
| TCNPSC | 0 |
| PASA | 0 |
| RSSA | 0 |
| JCCO | 0 |
| IPAO | 0 |
| AAAS | 0 |
| TACS | 0 |
| POPF | 0 |
| CSFP | 0 |
| NPSU | 0 |
| NPSF | 0 |
| TOTAL | 36 |

Retirement Summary for FSNM

| | |
|-------|---|
| CSR | 0 |
| NRP | 0 |
| YRC | 0 |
| PFR | 0 |
| AMU | 0 |
| FIC | 0 |
| OTHER | 0 |

Ceilings Comments:

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U.S. AGENCY FOR
INTERNATIONAL
DEVELOPMENT

M. Pope
PPC/CDIS/01
209 E SA-18

January 23, 1996

MEMORANDUM

TO: See Distribution *W.T.*
FROM: Wilbur Thomas, Director, AFR/SA
SUBJECT: The Namibia Proposed Country Strategic Plan and Review Schedule

The program week review of the Namibia Proposed Country Strategic Plan (CSP) is scheduled for **February 13 - 16, 1996**. This will be preceded by the issues meeting on Thursday, **February 8**. Information on these meetings can be obtained from the Namibia Country Development Officer, Meredith Scovill, at 647-4327.

I. Schedule of Meetings

ISSUES MEETING: Thursday, February 8, 1996
1:30 p.m. - 3:30 p.m., Room 6941 NS

PROGRAM WEEK: Tuesday, February 13, 1996
2 p.m -4 p.m., Room 6941 NS

Wednesday, February 14, 1996
2 p.m. - 4 p.m., Room 6941 NS

Thursday, February 15, 1996
2 p.m. - 4 p.m., Room 6941 NS

Friday, February 16, 1996
9:30 a.m. - 11:30 a.m., Room 6941 NS

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II. Introduction

The review of the USAID/Namibia program is uniquely significant for several reasons. Namibia is one of Africa Bureau's core sustainable development countries and is currently scheduled for graduation in 10 years. (Given that the program is slated for graduation, the CSP has exit goals that the Mission hopes will be realized over the next ten years.) This CSP is the first strategy to be reviewed by the Africa Bureau under the new reengineering guidelines which took effect October 1, 1995, and USAID/Namibia has worked hard to incorporate reengineering values and precepts into the plan as well as the results frameworks and results packages. This is the first time that program and budget "parameters" for a strategic plan have been formally discussed and agreed upon through a collaborative process involving all relevant offices and Bureaus in the Agency as well as the mission. This agreement was formalized and communicated to the mission via cable (attached). This CSP is also the first strategy for the Namibia program. (Although certain agreements between the mission and AFR/W on program direction have existed, USAID/Namibia has been operating without an approved Country Strategic Plan since the program began in FY 1991.) It is important to note, however, that this CSP is neither a radical departure from the past nor a whole new blueprint for the future. Rather, *it reflects, and provides the analytical underpinning for, USAID/Namibia's ongoing program.*

USAID/Namibia has three Strategic Objectives (SOs): (1) improved performance and education/training opportunities for historically-disadvantaged Namibians; (2) increased benefits to historically-disadvantaged Namibians from sustainable local management of natural resources; and (3) increased accountability of parliament to all Namibian citizens. The program address key Agency priorities in environment, democracy, and basic education.

The CSP is based on a realistic assessment of U.S. interests in the stability of Namibian democracy and reflects an appreciation of the necessity of bringing to all Namibians the benefits of democracy and a free-market economy. Namibia is blessed with an excellent infrastructure, a fine constitution, and a democratically elected government which is committed to fiscal prudence and sustainable development. Namibia is also cursed with the legacy of years of colonialism and apartheid, years in which the division of wealth and opportunity was so skewed that it now threatens to undermine the consensus and spirit of national reconciliation which binds the country together. The Government of the Republic of Namibia (GRN) has recognized that, while the gaps in wealth may not be instantaneously closed, the country must open up opportunity for all through education, health care, and sensible investment policy. Thus, in its CSP, the Mission has chosen to emphasize the social, economic, and political empowerment of the vast majority of Namibian citizens who were previously denied the promise of democracy and a free-market economy, since it is imperative to make that promise real if democracy is to survive. For that reason, USAID/Namibia has stressed basic education, human resources development, sustainable utilization of natural resources, and the essential elements of democratic government.

Namibia possesses the natural resources and the *potential* human resources -- combined with a consistent pro-growth policy environment and functioning multiparty democracy -- needed

to become a U.S. development aid "success story," just as it was a U.S. diplomatic success story at the time of its independence in 1990. This really *can* happen in Namibia; the country can truly "graduate" from U.S. assistance in ten years if we accomplish our objectives. Creating this "success story," by building Namibia's human resources, is really what the CSP is about.

Included with this memo are the USAID/Namibia CSP, Annexes, Customer Service Plan, and draft Performance Monitoring Plan. Because many of the color tables and figures did not reproduce well in black and white, we have provided a packet of color reproductions to each office. (See second distribution list.)

The Mission has also provided technical analyses, one for each strategic objective.

Strategic Objective 1

1. Human Resources Development Strategy
2. Technical Analysis for Basic Education Support Project
3. Summary of Technical Analyses from the Basic Education project (1994)
4. Re-cast amendment for Reaching Out With Education for Adults (READ) Project Design
6. HIV/AIDS activity
7. Training Needs Assessment
8. MOU for USAID Sponsored Training Activities

Strategic Objective 2: Environmental Review

Strategic Objective 3: The Consolidation of Democracy in Namibia.

These will be distributed to each office (see second distribution list) some time Wednesday, January 24.

III. The Strategy Review

Issues Meeting

The purpose of the Issues Meeting on February 8 is to reach agreement on issues and concerns for program week and to finalize the agenda. Centers and offices are invited to submit suggested issues or concerns and to attend this meeting. Agency centers and offices are encouraged to submit one set of issues for the center or office and to limit participation to one representative per center or office. Africa Bureau offices may be represented consistent with assigned functions vis-a-vis strategy review and support. Issues should be submitted via e-mail attachments to Meredith Scovill, AFR/SA, by COB Monday, February 5. We encourage you to draw your issues from your knowledge of Namibia and the proposed strategy.

To facilitate preparation of the issues paper, each suggested issue should be presented in the following standard format, and should be no more than one page in length:

- a. **Issue:** in a few words, state the issue you would like to see addressed during program week;
- b. **Discussion:** as briefly as possible, provide background for the issue and your reason for raising it;
- c. **Recommendation:** in a few words, state your recommendation or preferred option.

For concerns, describe what they are, using no more than a short paragraph for each.

Following the issues meeting, a final issues paper will be drafted for use during program week. This paper will be distributed prior to the first meeting of program week.

Program Week - Procedure and Purpose

Program week is designed to enable senior Agency and bureau management to review the operational unit's plan for programming assistance over the next few years and to agree on programs, priorities, and to some degree on implementation actions. We will also examine broader programmatic issues, especially those relating to policy dialogue, donor coordination, macro and sectoral analyses, and on the synergistic effects of various centrally - and other regionally - funded activities included in the Mission's proposed portfolio. The review of the strategic objectives also permits an assessment of the contributions of the Mission in achieving the DFA goal of sustainable, broad-based, market-oriented economic growth as well the five Agency strategic foci.

The strategic plan should be assessed based on guidelines in the attached "parameters" cable and the following six criteria:

- (1) the degree of analytical support evident;
- (2) the way the Mission proposes to match USAID/Namibia's needs and available resources, focusing on the consistency between the underlying analysis on the one hand and the selection of problems to be addressed and the proposed means of intervention (e.g., assistance for activities, technical support, policy dialogue) on the other;
- (3) the degree of focus that the proposed USAID/Namibia program achieves in defining several strategic objectives that are in the manageable interest of the Mission to achieve;
- (4) the extent to which the accomplishment of the objectives will be measurable;
- (5) how the USAID/Namibia program reflects the interests and unique capacities of the U.S. and the American people; and
- (6) the responsiveness of the proposed Namibian strategy to the Agency strategic foci and Africa Bureau priorities.

The outcome we seek from Program Week is a management contract.

Iv. Program Schedule and Objectives

Issues Meeting: Thursday, February 8, 1996, 1:30 p.m. - 3:30 p.m., Room 6941 N.S.

The purpose of this meeting is to identify issues and concerns for the strategy review and to finalize the agenda for Program Week.

- Introductory remarks by Chairperson: Wilbur Thomas, Director, AFR/SA
- Discussion of issues;
- Finalization of the Program Week Agenda.

PROGRAM WEEK

Tuesday, February 13, 1996, 2 p.m. - 4 p.m., Room 6941 N.S.

- Introductory remarks by the Chairperson: Carol Peasley, DAA/AFR;
- Presentation of the Country Strategic Plan by USAID/Namibia Mission Director and Mission staff.

Wednesday, February 14, 1996, 2 p.m. - 4 p.m., Room 6941 N.S.

- Introductory remarks by the Chairperson: Carol Peasley, DAA/AFR;
- Discussion of SOs 1 (Education/training) and 2 (NRM)

Thursday, February 15, 1996, 2 p.m. - 4 p.m., Room 6941 N.S.

- Introductory remarks by the Chairperson: Carol Peasley, DAA/AFR;
- Discussion of SO 3 (D/G)
- Discussion (as needed) of any remaining issues or concerns.

Friday, February 16, 1996, 9:30 a.m. - 11:30 a.m., Room 6941 N.S.

- Wrap-up
- Summary and Recommendations.
- Agreement on a USAID/Namibia - USAID/W contract.

Any additional meetings that are required between the issues meeting and the end of program week will be identified at the issues meeting, or during program week, and will be scheduled accordingly. Requests for such meetings should be directed to Meredith Scovill, AFR/SA, ext. 74327.

Attachments:

- 1. Namibia CSP**
- 2. Annexes**
- 3. Draft Customer Service Plan**
- 4. Draft Monitoring and Evaluation Plan**
- 5. State 287785, "Country Strategic Plan: Program and Budget Parameters"**

Distribution for Country Strategies

| Office | # of Copies | Room # |
|------------------------|----------------|---|
| AA/AFR, JHicks | 1 | 6936 NS |
| DAA/AFR, CPeasley | 1 | " " |
| DAA/AFR, GBombardier | 1 | " " |
| A-DAA/AFR, LTaylor | 1 | " " |
| AAA/AFR/DP, JGovan | 1 | 2495 NS |
| AFR/DP, DDay | 1 | " " |
| AFR/DP/POSE, JBreslar | 5 | " " |
| AFR/DP/PAB, GCauvin | 1 | " " |
| AFR/DP/PFP, DMcCloud | 1 | " " |
| AFR/DP/OEFM, BLeonard | 1 | 2484 NS |
| AFR/AM, BRyner | 1 | 2668 NS |
| AFR/SD, JWolgin | 5 | 2744 NS |
| AFR/DRC, DAdams | 1 | 3909 NS |
| GC/AFR, DLuten | 2 | 6889 NS |
| PPC/PC, DDelaney | 2 | 3952 NS |
| PPC/CDIE/DI, MPope | 1 | 209E SA-18 |
| PPC/CDIE/E/SS, GKerr | 1 | 309E SA-18 |
| PPC/CDIE/PME, HDestler | 2 | 305C SA-18 |
| M/B, SRyner | 1 | 3756 NS |
| M/B, DHarrison | 1 | 3841 NS |
| M/ROR, RByess | 2 | 200, SA-2 |
| G/PDSP, LDobbins | 12 | 319, SA-18 |
| G/DG, Melissa Brown | 1 | 5258 NS |
| G/EG/AFS, THardt | 1 | 402B, SA-2 |
| G/EG/EIR, MMcKnight | 1 | 501, SA-2 |
| BHR/FFP/D, H.R. Kramer | 1 | 337 SA-8 |
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SUBJECT: COUNTRY STRATEGIC PLAN: PROGRAM AND BUDGET
PARAMETERS

REFS: STATE 68992

1. SUMMARY

A. THE PURPOSE OF THIS CABLE IS TO RECORD AGREEMENT BETWEEN USAID/W AND USAID/NAMIBIA ON THE PROGRAM/BUDGET PARAMETERS AND SCENARIOS THAT THE MISSION WILL USE IN THE UPCOMING SUBMISSION OF ITS COUNTRY STRATEGIC PLAN (CSP). WHILE THE CSP PARAMETER-SETTING PROCESS, AS OUTLINED IN THE NEW ADS GUIDELINES ISSUED OCTOBER 1, IS IDEALLY THE FIRST-STEP IN CSP PREPARATION AND ONE WHICH GUIDES THE MISSION'S ANALYSES, IN NAMIBIA'S CASE WE RECOGNIZE THAT WE ARE SIMPLY PLAYING F "CATCH-UP" AND, FOR THE MOST PART, VALIDATING A "WORK IN PROGRESS". AS SUCH, WE ARE USING THIS EXERCISE, AND THE EXCELLENT DIALOGUE IT HAS PROMOTED WITHIN USAID/W AND WITH THE MISSION, TO RECORD OUR COMMON UNDERSTANDING OF THE PRINCIPAL ELEMENTS AND DIRECTIONS OF THE CSP, PRIOR TO THE PROPOSED JANUARY 2, 1996 CSP SUBMISSION AND LATE JANUARY/EARLY FEBRUARY REVIEW. OUR

ACCOMPLISHED ON THE CSP, OR TO ADD ANY UNDUE REQUIREMENTS THAT WOULD OVERBURDEN THE MISSION AND MAKE THE ABOVE SUBMISSION DATE UNOBTAINABLE.

B. USAID/NAMIBIA'S SUBMITTING ITS FIRST STRATEGIC PLAN, WHICH IS ALSO THE BUREAU'S FIRST TO BE REVIEWED UNDER THE REENGINEERING GUIDELINES ISSUED OCTOBER 1ST, 15 UNCLASSIFIED

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GROUNDS FOR CONSIDERABLE EXCITEMENT! WE NOTE, HOWEVER, THAT WHILE EXPECTATIONS REMAIN HIGH, ESPECIALLY GIVEN OUR KNOWLEDGE OF THE WORK THE MISSION HAS COMPLETED THUS FAR, USAID/W WILL NOT BE HOLDING THIS STRATEGY TO STANDARDS WHICH HAVE NOT YET BEEN FULLY DEVELOPED WITHIN THE BUREAU OR THE AGENCY AT LARGE. RATHER, THIS REVIEW, ALONG WITH OTHERS THAT WE WILL CONDUCT THIS YEAR, WILL BECOME PART OF OUR COLLECTIVE LEARNING PROCESS DURING THE REENGINEERING TRANSITION. IT IS THE SUM-TOTAL OF THESE NEW STRATEGIES THAT WILL HELP US DEVELOP THE STANDARDS AND BEST PRACTICES

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THAT WILL SET THE COURSE FOR FUTURE ONES.

C. AS PROPOSED INITIALLY IN MARCH 1995 (REFTEL) AND RESTATED IN THE FY 97 ACTION PLAN REVIEW IN JULY, USAID/W ANTICIPATES THAT FOR THE MOST PART THE CSP'S OVERALL STRATEGIC DIRECTION WILL CONTINUE ALONG EXISTING PROGRAMMATIC LINES. HOWEVER, THE CURRENT BUDGET SITUATION MAKES IT NECESSARY TO CONSIDER OTHER FUNDING SCENARIOS THAT ARE LOWER THAN THOSE PRESENTED IN THE FY 97 ACTION PLAN AND DISCUSSED WITH MISSION DIRECTOR SPRIGGS IN SEPTEMBER. AS SUCH WE REQUEST THE MISSION TO SUBMIT THREE PROGRAM/BUDGET SCENARIOS -- A HIGH" OF \$7.9 MILLION AND A LOW OF \$6 MILLION, WHICH REPRESENT CURRENT REALITIES; AND A "BEST CASE" SCENARIO OF \$9.4 MILLION. IT IS THIS BROAD RANGE THAT WILL ENABLE US TO CONSIDER VARIOUS PROGRAMMATIC AND OE/PERSONNEL OPTIONS AS WE CONTEND WITH LOWER FUNDING LEVELS AND NEW CONFIGURATIONS OF AGENCY AND CONGRESSIONAL PRIORITIES.

D. WITHIN THIS CONTEXT, AND NOTING THAT NAMIBIA IS ONE OF AFR'S CORE SUSTAINABLE DEVELOPMENT COUNTRIES SLATED FOR UNCLASSIFIED

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GRADUATION WITHIN THE NEXT TEN YEARS. WE REQUEST THAT YOUR FIVE-YEAR CSP HIGHLIGHT THE TRANSITIONAL NATURE OF THE PROPOSED PROGRAM AND DISCUSS EXIT GOALS ENVISIONED BY THE GRADUATION DATE OF 2005. END SUMMARY.

2. THE DEVELOPMENT CONTEXT

A. USAID/NAMIBIA REMAINS ONE OF THE AFRICA BUREAU'S CORE/FOCUS SUSTAINABLE DEVELOPMENT COUNTRIES AND, AS SUCH, COMPETES FOR HIGHER SHARES OF AFR DEVELOPMENT ASSISTANCE FUNDS. DURING THESE PAST FIVE POST-INDEPENDENCE YEARS, OUR DEVELOPMENT PARTNERSHIP WITH NAMIBIA HAS BEEN

EXCELLENT AT ALL LEVELS AND ACROSS THE SOCIAL AND INSTITUTIONAL SPECTRUM -- WITH THE GOVERNMENT, LOCAL NON-GOVERNMENTAL ORGANIZATIONS, THE PRIVATE SECTOR, AND NUMEROUS OTHER CUSTOMERS AND STAKEHOLDERS.

B. EQUALLY IMPRESSIVE IS THE ABILITY OF THIS YOUNG STATE TO TAKE A LONG-TERM AND SUSTAINABLE OUTLOOK ON DEVELOPMENT, ONE THAT CALLS FOR GETTING ECONOMIC AND SOCIAL POLICIES RIGHT; MAINTAINING A MINIMAL, OPEN AND EFFICIENT GOVERNMENT; AND WORKING HARD TO DEVELOP A SKILLED, HEALTHY, AND STABLE POPULATION WORKING IN AN ENVIRONMENTALLY SOUND WAY WITH NAMIBIA'S RESOURCES. INDEED, AS MENTIONED BY THE U.S. DELEGATION TO THE NAMIBIA ROUNDTABLE LAST MONTH, NAMIBIA'S RECENTLY DRAFTED "FIRST NATIONAL DEVELOPMENT PLAN" IS COMMITTED TO GROWTH THAT INVESTS IN PEOPLE, CREATES JOB OPPORTUNITIES, REDUCES INEQUALITIES IN INCOME DISTRIBUTION, AND ALLEVIATES POVERTY. THESE ARE ALL "CORE VALUES" OF USAID, ONES THAT UNCLASSIFIED

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WE SUPPORT IN OUR DEVELOPMENT ASSISTANCE TO NAMIBIA.

C. THE MOST IMPORTANT DEVELOPMENT "BACKDROP" OF THIS CSP IS THE CONCEPT OF TRANSITION. DURING RECENT AGENCY-LEVEL PROGRAM AND BUDGET REVIEWS, THE BUREAU STATED THAT NAMIBIA IS ONE OF FOUR SUSTAINABLE DEVELOPMENT PROGRAMS TARGETED FOR GRADUATION BY THE YEAR 2005. THE STRATEGY SHOULD REFLECT THIS TRANSITIONAL THEME, LAYING OUT "EXIT GOALS" AND THE KINDS OF CONDITIONS THE MISSION, ALONG WITH ITS CUSTOMERS AND PARTNERS, WOULD EXPECT TO SEE IN PLACE FOR A SUCCESSFUL GRADUATION TO TAKE PLACE. RECOGNIZING THAT WE ARE SUPERIMPOSING A TEN-YEAR PLANNING HORIZON ON A FIVE-YEAR CSP, WE AGREE WITH THE MISSION THAT THE MOST EFFICIENT AND CLEAREST WAY TO DO THIS WOULD BE TO ADD AN "EXIT GOALS" SECTION TO EACH STRATEGIC OBJECTIVE (S.O.), AND A SEPARATE "TRANSITION" OR "GRADUATION" SECTION IN THE EXECUTIVE SUMMARY.

3. THE REENGINEERING CONTEXT

A. ADS GUIDELINES: SECTION 201.5.6A OF THE STRATEGIC PLANNING ADS, WHICH THE AGENCY ISSUED ON OCTOBER 1, MANDATES THE SETTING OF PLANNING PARAMETERS FOR NEW COUNTRY STRATEGIC PLANS (CSP). THIS IS AN AGENCY-LEVEL COLLABORATIVE PROCESS DESIGNED TO GIVE OPERATING UNITS CLEAR PROGRAMMATIC AND BUDGETARY DIRECTION PRIOR TO DEVELOPING THE CSP, I.E., INDICATIVE RESOURCE LEVELS, GUIDANCE ON EARMARKS, AND ANY UPDATED GUIDANCE ON THE

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AGENCY'S GOALS AND OBJECTIVES OVER THE PROPOSED PLANNING PERIOD. THE AFR BUREAU MAY ALSO PROVIDE GUIDANCE ON STRATEGIC DIRECTION, KEY MANAGEMENT AND PERFORMANCE UNCLASSIFIED

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ISSUES, AND SPECIAL FOREIGN POLICY INTERESTS, AS

APPROPRIATE. FOR THE USAID/NAMIBIA CSP, NOTING THAT THE MISSION WAS WELL-ADVANCED IN ITS STRATEGIC PLANNING PROCESS PRIOR TO THE ISSUANCE OF THESE GUIDELINES, WE WILL USE THE PARAMETER-SETTING PROCESS AS A WAY TO REVALIDATE OUR UNDERSTANDING OF PROGRAM AND BUDGET DIRECTIONS, TAKING CARE NOT TO UPSET WORK THAT THE MISSION AND ITS PARTNERS HAVE ALREADY ACCOMPLISHED.

B. GUIDANCE TO DATE: REFTTEL, DATED MARCH 21, 1995, WAS AN AFRICA BUREAU INTERNAL PARAMETER-SETTING CABLE THAT LAID OUT THE BASIC PROGRAM ORIENTATION AND RESOURCE REQUIREMENTS FOR THE CSP. IT ESSENTIALLY VALIDATED CURRENT PROGRAM DIRECTIONS IN EDUCATION AND CRITICAL SKILL DEVELOPMENT (ECONOMIC GROWTH), COMMUNITY-BASED NATURAL RESOURCE MANAGEMENT (ENVIRONMENT), AND THE ACCOUNTABILITY OF PARLIAMENT (DEMOCRACY/GOVERNANCE). THE BUREAU AND THE MISSION "WENT PUBLIC", WITH THE PROPOSED STRATEGIC DIRECTION DURING THE FY 97 ACTION PLAN REVIEWS. WHILE PROGRAM AND BUDGET LEVELS REMAINED TENUOUS IN THE ABSENCE OF A CLEAR FY 1996 PICTURE, THE FOCUS OF THE STRATEGIC OBJECTIVES AND THE SECTORS IN WHICH THE MISSION PROPOSED TO WORK WERE ENDORSED BY THE AGENCY.

C. AGENCY-LEVEL ISSUANCE OF "STRATEGIES FOR SUSTAINABLE DEVELOPMENT" IN MARCH 1994, "GUIDELINES FOR STRATEGIC PLANS" IN FEBRUARY 1995, AND THE "STRATEGIC FRAMEWORK 1995/96 IN SEPTEMBER 1995, CAPTURE THE ESSENCE OF THE AGENCY'S GOALS, OBJECTIVES, AND PROGRAMMATIC UNCLASSIFIED

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APPROACHES, ALONG WITH CRITERIA FOR ASSESSING STRATEGIC PLANS. THE ADS CHAPTER 201 "MANAGING FOR RESULTS: STRATEGIC PLANNING" DIRECTIVE, ISSUED IN OCTOBER 1995, LAYS OUT THE REQUIREMENTS FOR AND COMPONENTS OF COUNTRY STRATEGIC PLANS. TAKEN TOGETHER, THESE FOUR DOCUMENTS (1) PROVIDE THE OVERARCHING POLICY, PROGRAMMATIC, AND STRATEGIC FRAMEWORK FOR THE NAMIBIA CSP, AND (2) REPRESENT CURRENT AGENCY GUIDANCE NOW IN EFFECT FOR ALL UPCOMING STRATEGIC PLANS. OVER THESE PAST MONTHS THE MISSION HAS CONFIRMED ITS UNDERSTANDING OF THIS NEW GUIDANCE AND HAS MOVED AHEAD TO INTEGRATE IT INTO THE CSP.

D. WHILE WE LOOK TO THE NAMIBIA CSP REVIEW, THE BUREAU'S FIRST UNDER THESE NEW ADS GUIDELINES, AS A REAL TEST OF REENGINEERING PRINCIPLES AND PROCESSES, WE RECOGNIZE THAT THIS IS THE FIRST OF SEVERAL AFR STRATEGIES TO BE REVIEWED THIS FY THAT WILL HELP THE BUREAU AND THE AGENCY DEFINE STANDARDS AND BEST PRACTICES FOR THE FUTURE.

4. PROGRAM AND BUDGET PARAMETERS

A. BUREAU PERSPECTIVES: NAMIBIA, EVEN AS A HIGH PRIORITY CORE FOCUS SUSTAINABLE DEVELOPMENT PROGRAM IN TRANSITION, CANNOT BE VIEWED IN ISOLATION FROM THE CURRENT BUDGET REALITIES FACING THE BUREAU AND THE AGENCY. WHILE WE STILL DO NOT HAVE AN APPROVED APPROPRIATIONS BILL, IT IS CLEAR THAT OUR PROGRAM AND OE BUDGET LEVELS WILL FACE SIGNIFICANT CUTS FOR FY 96 AND MORE THAN LIKELY BEYOND. NO AFR OPERATING UNIT WILL REMAIN UNTOUCHED BY THESE REDUCTIONS. OUR INTENT IS TO WORK MORE INTENSIVELY WITH OUR BEST DEVELOPMENT PARTNERS, CONTINUE CRAFTING BILATERAL UNCLASSIFIED

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AND REGIONAL PROGRAMS THAT ARE MUTUALLY SUPPORTIVE, AND TO USE OUR SCARCE PROGRAM AND HUMAN RESOURCES COST-EFFECTIVELY AND IN WAYS THAT MAXIMIZE RESULTS.

B. IT IS AFR'S INTENTION TO MAKE PROGRAM PARAMETERS FOR ALL OUR DEVELOPMENT ASSISTANCE PROGRAMS DIRECTIVE BUT NOT RESTRICTIVE. WITHIN THE PLANNING LEVELS PROVIDED BELOW, THE BUREAU BELIEVES THAT USAID/NAMIBIA SHOULD HAVE THE LATITUDE TO FASHION A STRATEGY THAT MEETS HOST COUNTRY NEEDS, AS WELL AS AGENCY CAPABILITIES, PRIORITIES, AND

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COMPARATIVE ADVANTAGES. LATITUDE, HOWEVER, MUST SUPPORT THE AGENCY'S POLICY TO FOCUS AND CONCENTRATE RESOURCES IN SECTORS WHERE EXPERIENCE AND SYNERGY CAN DELIVER THE HIGHEST IMPACT IN THE SHORTEST TIMEFRAME. THIS IS REFLECTED IN THE AGENCY'S STRATEGIC FRAMEWORK 1995/1996" AND IN ADS GUIDELINES, BOTH OF WHICH EMPHASIZE ALLOCATING RESOURCES TO SPECIFIC S.O.S IN A LIMITED NUMBER OF SECTORS. RECOGNIZING THAT S.O.S DO NOT ALWAYS LIVE IN ISOLATION FROM ONE ANOTHER, WE ENCOURAGE THE MISSION, WITHIN ITS CAPABILITIES, TO FORGE CROSS-SECTORAL LINKAGES THAT CAN HEIGHTEN PROGRAM INTEGRATION AND RESULTS. FINALLY, GIVEN THE RESOURCE CONSTRAINTS FACING THE BUREAU, NAMIBIA SHOULD CONTINUE CONSIDERING MANAGEMENT OPTIONS -- BOTH BILATERAL AND REGIONAL -- THAT CAN DELIVER SIGNIFICANT RESULTS WITH REDUCED FTE PRESENCE AND OE COSTS.

C. PROGRAM/BUDGET SCENARIOS: SINCE THE ACTION PLAN REVIEWS IN JULY AND TALKS WITH MISSION DIRECTOR SPRIGGS IN SEPTEMBER, IT HAS BECOME CLEAR THAT OUR FY 96 BUDGET LEVELS WILL BE SIGNIFICANTLY LOWER THAN THOSE IN PREVIOUS

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YEARS. EARMARKS WILL ALSO HAVE US CONCENTRATING IN SECTORS THAT COULD CONSIDERABLY CHANGE THE FOCUS AND BALANCE OF SEVERAL COUNTRY PROGRAMS. NO PROGRAM, CORE/FOCUS COUNTRIES INCLUDED, WILL GO UNAFFECTED. THESE ARE 'HARD TIMES', AND GIVEN IMPENDING RESOURCE REDUCTIONS THERE ARE SOME OFFICES IN USAID/W THAT QUESTION THE BREADTH OF THE MISSION'S PROGRAM.

WHILE WE DO NOT YET HAVE A FY 96 APPROPRIATION, THE

PROJECTED DECREASE IN OVERALL PROGRAM FUNDS HAS IN GENERAL TERMS RESULTED IN OUR CONVERTING THE "LOW1" OR "25% CUT" LEVEL OF THE ACTION PLAN TO A "HIGH" LEVEL SCENARIO FOR THE CSPS. FOR NAMIBIA, THIS WOULD MEAN USING AN \$7.9 MILLION LEVEL FOR THE HIGH SCENARIO, WHICH APPROXIMATES THE \$7.8 MILLION LEVEL OF THE ACTION PLAN. /IN ADDITION, NOTING THAT THE CSP IS A MULTI-YEAR DOCUMENT AND THAT FUTURE AFR LEVELS ARE UNCERTAIN, THE MISSION SHOULD DEVELOP A SECOND A "LOW SCENARIO" AT A \$6 MILLION LEVEL, REPRESENTING A FULL 25% REDUCTION FROM THE BASE. FINALLY, PER THE MISSION'S REQUEST, THE CSP SHOULD ALSO INCLUDE A THIRD AND "BEST CASE SCENARIO" AT A \$9.4 MILLION LEVEL, WHICH REFLECTS THE HIGHER FUNDING OPTION OF THE FY 97 ACTION PLAN.

THE PARAMETERS FOR EACH ARE AS FOLLOWS:

-- THE "HIGH SCENARIO": THIS IS BASED ON AN ANNUAL OYB OF \$7.9 MILLION OVER THE FIVE-YEAR CSP PERIOD. IT WOULD INCLUDE AT MOST THREE STRATEGIC OBJECTIVES REFLECTING CURRENT PROGRAM DIRECTIONS, E.G., BASIC

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EDUCATION/CRITICAL SKILLS DEVELOPMENT, LOCALLY-BASED NATURAL RESOURCES MANAGEMENT, AND PARLIAMENTARY/LEGISLATIVE ACCOUNTABILITY. SHOULD THE MISSION PROPOSE TO STAY INVOLVED IN ALL THREE SECTORS, PLEASE EXPLAIN HOW THE PROGRAM WILL ACHIEVE SIGNIFICANT AND SUSTAINABLE RESULTS ACROSS THE PORTFOLIO. ALSO, WHILE THE MISSION WILL PRESENT ITS OWN RATIONAL FOR SECTOR AND S.O. INVOLVEMENT, PLEASE NOTE FROM THE AFR BUREAU'S PERSPECTIVE THAT DEMOCRACY/GOVERNANCE ACTIVITIES WILL BE GIVEN HIGH PRIORITY. WE NEED TO KNOW HOW THIS IS VIEWED BY THE GRN AND LOCAL CIVIC GROUPS, AND WHETHER THERE ARE ANY SENSITIVITIES TO D/G EXPANSION. FINALLY, NOTING THAT WE WILL NOT IMPOSE ANY FTE LIMITS FOR THIS AND THE "LOW" SCENARIO BELOW, THE MISSION NEEDS TO JUSTIFY IN PARTICULAR ITS FTE USDH AND USPSC LEVELS, BEARING IN MIND THAT THE BUREAU PLACES GREAT EMPHASIS ON FTE AND OE "BELT-TIGHTENING".

-- THE "LOW SCENARIO": THIS IS BASED ON AN ANNUAL OYB OF \$6 MILLION OVER THE CSP PERIOD. IT WOULD INCLUDE AT MOST TWO SECTORS OR STRATEGIC OBJECTIVES, WHICH WOULD AGAIN REFLECT CURRENT PROGRAM DIRECTIONS. WHILE THE MISSION WILL PRESENT ITS OWN RATIONAL FOR SECTOR AND S.O. TRIAGE, PLEASE NOTE AGAIN THAT THE BUREAU GIVES IMPORTANCE TO NAMIBIA'S D/G ACTIVITIES.

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-- THE "BEST CASE SCENARIO": THIS IS BASED ON AN ANNUAL OYB OF \$9.4 MILLION OVER THE CSP PERIOD. IT UNCLASSIFIED

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WOULD INCLUDE ALL THREE SECTORS, AS OUTLINED IN THE FY 97 ACTION PLAN. PLEASE NOTE, HOWEVER, THAT THIS SCENARIO, IN TERMS OF AFR'S CURRENT "REALITY-CHECK", IS LAST, NOT FIRST, ON OUR SCREEN. THE BUREAU ENVISIONS NO CIRCUMSTANCES UNDER WHICH USDH FTE LEVELS WOULD EXCEED FIVE IN THIS SCENARIO.

D. AS THE MISSION WORKS THROUGH THE INDICATIVE OBLIGATION LEVELS AND ILLUSTRATIVE RESULTS PACKAGES FOR EACH S.O., PLEASE BE AWARE THAT THIS AND OTHER BUDGET LEVELS INCLUDE (1) ALL GLOBAL BUREAU FIELD SUPPORT REQUIREMENTS, OFTEN REFERRED TO AS "EX-G" FUNDS; AND (2) AS IN THE PAST, ANY AFR/SD AND RCSA PROGRAM-RELATED ACTIVITIES INITIATED BY THE MISSION. ADDITIVE TO THIS LEVEL WOULD BE (1) NAMIBIA-FOCUSED ACTIVITIES INITIATED BY AFR/SD OR THE RCSA, E.G., RCSA SUPPORT FOR THE NRMS SO; (2) ANY BHR/PVO CHILD SURVIVAL OR OTHER MATCHING GRANT PROGRAMS; AND (3) THE AMBASSADOR'S SELF-HELP AND 116E FUNDS.

E. IN DISCUSSING THESE SCENARIOS WE RECOGNIZE THAT THE FUNDING REDUCTIONS FROM \$9.4 TO \$7.9 TO \$6.0 MILLION MIGHT LEAD THE MISSION TO FOCUS ON THE NEGATIVE CONSEQUENCES OF MOVING FROM THE BEST CASE TO THE LOWEST SCENARIOS. WHILE WE FULLY EXPECT THAT THE STRATEGY WILL HIGHLIGHT PROGRESSIVE LOSSES IN RESULTS AND PROGRAM IMPACT OR, INVERSELY, THAT THE MISSION WILL USE THE "LOW" SCENARIO AS ITS BASE AND SHOW INCREASINGLY HIGHER-LEVEL RESULTS AS THE SCENARIOS EXPAND, WE ALSO EXPECT THAT EACH WILL PRESENT A COHERENT AND POSITIVE STATEMENT OF WHAT CAN BE UNCLASSIFIED

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ACCOMPLISHED AT THE PARTICULAR FUNDING LEVEL.

5. OTHER CONSIDERATIONS:

A. RCSA SUPPORT: WE ALSO UNDERSTAND FROM THE FY 1997 ACTION PLAN THAT UNDER WHAT IS NOW THE "BEST CASE SCENARIO" THE MISSION IS EXPECTING \$2.5-3.5 MILLION ANNUALLY IN RCSA FUNDS FOR THE COMMUNITY-BASED NRMS ACTIVITIES. WE NOTE THE DEPENDENCY OF THIS S.O. ON REGIONAL NRMS FUNDS BUT UNDERSTAND, OWING TO THE \$6.8 MILLION FY 1995 NRMS OBLIGATION FROM END-OF-YEAR FUNDS, THAT (1) THE URGENCY OF THE FY 1996 TRANCHE IS MINIMAL, AND (2) EXISTING RESOURCES MAY ALLOW NRMS ACTIVITIES TO CONTINUE UNTIL A FIRM RCSA NRMS STRATEGY IS IN PLACE.

GIVEN THIS STATUS, AND THE SUBSTANTIVE INVESTMENT ALREADY MADE TO THIS S.O., THE MISSION SHOULD INDICATE IN ITS CSP HOW LONG CURRENT FUNDS WILL CARRY THIS S.O. AND THE LAST POSSIBLE TIMEFRAME (FY) FOR RECEIPT OF ANY POTENTIAL FUTURE ROSA FUNDS THAT WOULD ENABLE THE MISSION TO ACHIEVE RESULTS UNDER THIS NRMS PROGRAM. NOTE THAT WHILE THE ROSA CSP IS NOT DUE UNTIL JANUARY 1997, WE UNDERSTAND THAT ROSA CONSIDERS THEIR CONTRIBUTION TO THE CURRENT NAMIBIA NRMS ACTIVITIES AS "FULLY FUNDED", AND THAT ANY REGIONAL COMMITMENT BEYOND FY 1998 WOULD BE TIED TO THEIR CSP APPROVAL. WE THUS ADVISE THE MISSION TO TREAT ANY ADDITIONAL REGIONAL FUNDS FOR NRMS AS INDICATIVE. FINAL YEAR DECISIONS WILL DEPEND ON GETTING A BETTER PICTURE OF THE FY 96/97 BUDGETS, AS WELL AS THE STRATEGIC UNCLASSIFIED

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PRIORITIES AND POSSIBILITIES OF THE ROSA'S FUTURE PROGRAM.

B. HIV/AIDS: WE UNDERSTAND THAT THE MISSION WILL CONTINUE ITS SUPPORT TO THE MULTI-DONOR FUNDED NATIONAL CONTROL PROGRAM THROUGH A LIMITED SET OF HIV/AIDS PREVENTION ACTIVITIES CARRIED OUT BY PVOS UNDER THE PREVENT READ PROGRAM. WHILE WE AGREE WITH THE MISSION'S MINIMAL INVOLVEMENT IN THIS SECTOR, IT WOULD BE USEFUL, AS MENTIONED IN REF (A), TO HAVE A BRIEF SYNOPSIS OF THE HIV/AIDS ASSESSMENT CONDUCTED PER THE AGREEMENT WITH

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USAID/W IN JANUARY 1994, TOGETHER WITH THE FUNDED CONDOM LOGISTICS STUDY AND THE SIAPAC STUDY ON KNOWLEDGE, ATTITUDES AND PRACTICES.

C. SECTOR ANALYSES: RECENT REVIEWS OF COUNTRY STRATEGIC PLANS HAVE SHOWN THAT THE QUALITY OF TECHNICAL ANALYSES, AND THE WAY IN WHICH THEY ARE DISCUSSED IN THE STRATEGY AND DURING PROGRAM WEEK, CAN "MAKE OR BREAK" A REVIEW. NEW REENGINEERING GUIDANCE, WITH ITS EMPHASIS ON CLARIFYING STRATEGIC FRAMEWORKS AND DEVELOPMENT HYPOTHESES, MAKES IT CRITICAL THAT THESE ANALYSES BE USED EFFECTIVELY IN EXPLAINING NAMIBIA'S DEVELOPMENT CHALLENGES AND THE WAYS IN WHICH USAID AND OTHER PARTNERS RESPOND TO THEM. IN THIS LIGHT, WE APPRECIATE THE MISSION'S RECENT E-MAIL CITING THE VARIOUS TECHNICAL ANALYSES CONDUCTED OVER THE PAST 18 MONTHS AND, PER THE JOAN JOHNSON E-MAIL OF NOVEMBER 27, 1995, THE MISSION'S WILLINGNESS TO COMPILE THEM AND SEND THEM IN AS PART OF THE CSP SUBMISSION.

D. PERFORMANCE MONITORING: WHILE WE HAVE NOT YET BENEFITTED FROM AN ASSESSMENT OF PROGRAM IMPACT (API) FOR UNCLASSIFIED

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NAMIBIA, WE VERY MUCH APPRECIATE THE MISSION'S EFFORTS IN TRACKING PERFORMANCE AND DOCUMENTING PROGRAM IMPACT IN THE FY 97 ACTION PLAN. WE ARE PLEASED THAT THE RECENT TDY OF HARRIET DESTLER (ODIE) WAS USEFUL IN HELPING THE MISSION WORK THROUGH ITS RESULTS FRAMEWORKS AND PERFORMANCE INDICATORS. AS THE MISSION DISCUSSES HOW THE ACHIEVEMENT

OF THE S.O.S WILL BE JUDGED, I.E., THE PROPOSED PERFORMANCE INDICATORS AND TARGETS FOR ACHIEVEMENT OF EACH SO. OVER THE CSP PERIOD (ADS SERIES 200, CHAPTER 203), PLEASE NOTE THE IMPORTANCE OF (1) CAPTURING PAST PERFORMANCE AND SETTING BASELINES AS FAR BACK AS FEASIBLE; (2) SETTING PERFORMANCE TARGETS FOR THOSE YEARS FOR WHICH ACTUAL DATA WILL BE AVAILABLE; AND (3) REPORTING ON KEY PERFORMANCE INDICATORS ON A REGULAR BASIS.

E. SPECIAL INITIATIVES: THROUGH THE FY 97 ACTION PLAN AND SUBSEQUENT PPC CORRESPONDENCE WITH MISSIONS, USAID/NAMIBIA IS AWARE THAT THE AGENCY HAS ENDORSED THE NEW PARTNERSHIPS INITIATIVE (NPI). DESIGNED TO USE PARTNERSHIPS TO BUILD LOCAL INSTITUTIONAL CAPACITY TO ADDRESS LOCAL PROBLEMS AND DEVELOPMENT ISSUES, NPI'S PRINCIPAL EMPHASIS IS ON DEMOCRATIC LOCAL GOVERNANCE, SMALL BUSINESS, AND NGO EMPOWERMENT. IN ADDITION TO NPI, THE BUREAU HAS RECENTLY LAUNCHED THE "LELAND INITIATIVE" UNDER THE AFRICA GIL GATEWAY PROJECT, DESIGNED TO ESTABLISH FULL END-TO-END CONNECTIVITY IN AFRICA AND PROMOTE THE USE OF INTERNET FOR SUSTAINABLE DEVELOPMENT GOALS. WHILE WE WILL NOT BURDEN THE MISSION WITH ANY ADDITIONAL ANALYSIS OR TEXT AT THIS LATE DATE, YOU MAY WISH TO CONSIDER, AS PART OF THE DISCUSSION DURING THE UNCLASSIFIED

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PROGRAM WEEK REVIEW, (1) HOW THE PROPOSED DIRECTIONS OF THE CSP SUPPORT NPI THEMES, AND (2) WHETHER "LELAND" COULD ADD VALUE TO THE PROPOSED STRATEGY AND, IF SO, HOW IT MIGHT BE INTEGRATED ACROSS THE PROGRAM OR IN SUPPORT OF PARTICULAR S.O.S.

F. LENGTH OF THE CSP: WE NOTE THAT MARCH 1995 REFTEL SET A LIMIT OF 30 PAGES FOR THE CSP. IN VIEW OF THE NEW REENGINEERING REQUIREMENTS AND THE NEED FOR THREE PROGRAM/BUDGET SCENARIOS, WE CAN ACCEPT THE MISSION'S PROPOSAL FOR A 50-PAGE DOCUMENT, WHICH WOULD INCLUDE THE EXECUTIVE SUMMARY. PLEASE DO NOT EXCEED THAT LIMIT IF AT ALL POSSIBLE OR, AS SOME MISSIONS HAVE DONE, REDUCE FONT-SIZE TO THE POINT OF ILLEGIBILITY.

6. TIMING OF THE CSP SUBMISSION AND REVIEW

USAID/W AND THE MISSION HAVE AGREED ON THE FOLLOWING DATES:

- SUBMISSION TO USAID/W:NLT JANUARY 2, 1996
- ISSUES MEETING(S) :WEEK OF JANUARY 29, 1996
- PROGRAM WEEK WEEK OF FEBRUARY 5, 1996

THE EXACT TIMING AND DETAILS OF THE PROGRAM REVIEW PROCESS WILL BE COMMUNICATED SEPARATELY, ONCE THE CSP IS RECEIVED.

7. USAID/W WISHES TO EXPRESS ITS APPRECIATION FOR THE

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EXCELLENT COLLABORATION WE'VE ENJOYED WITH THE MISSION IN
MOVING THE CSP PROCESS ALONG. PLEASE KNOW THAT WE
APPRECIATE THE BACK-AND-FORTH WE'VE HAD WITH MISSION
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PAGE 16 STATE 287785 140339Z
STAFF, AND THE FLEXIBILITY YOU HAVE SHOWN IN RESPONDING TO
MANY OF OUR CONCERNS. WE ARE WELL AWARE THAT LAST-MINUTE
CHANGES CAN BE DISRUPTIVE, AND WE HAVE DONE OUR BEST, IN
THIS RAPIDLY CHANGING BUDGET CONTEXT, TO MINIMIZE THEM.
THE DEDICATION AND TIME THAT MISSION STAFF HAVE GIVEN THIS
STRATEGY, AND THE WAY YOU HAVE INCORPORATED REENGINEERING
CORE VALUES AND PRINCIPLES AT EACH STEP OF THE WAY,
PROMISE TO MAKE THIS REVIEW A GOOD ONE.
TARNOFF

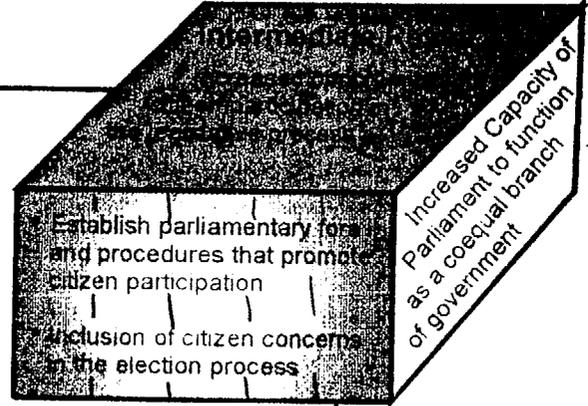
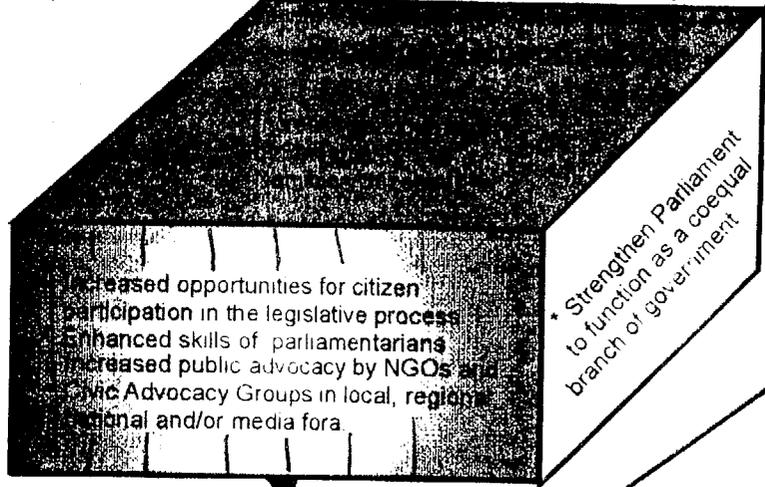
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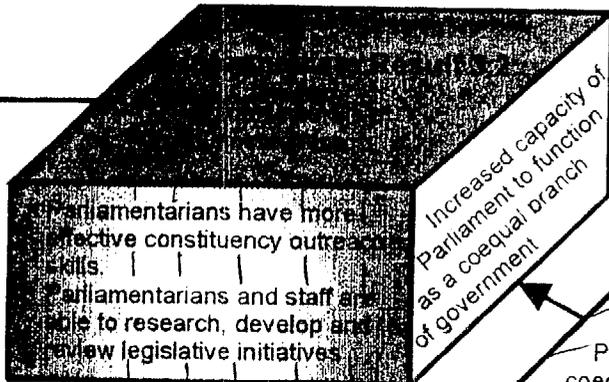
Figure 6

Strategic Objective 3
 Increased accountability of Parliament to all Namibian citizens

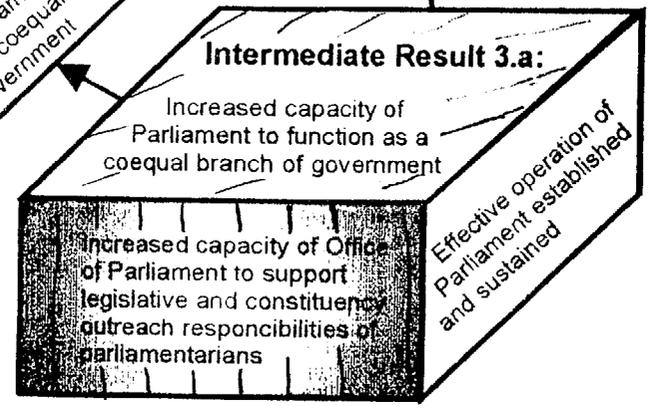
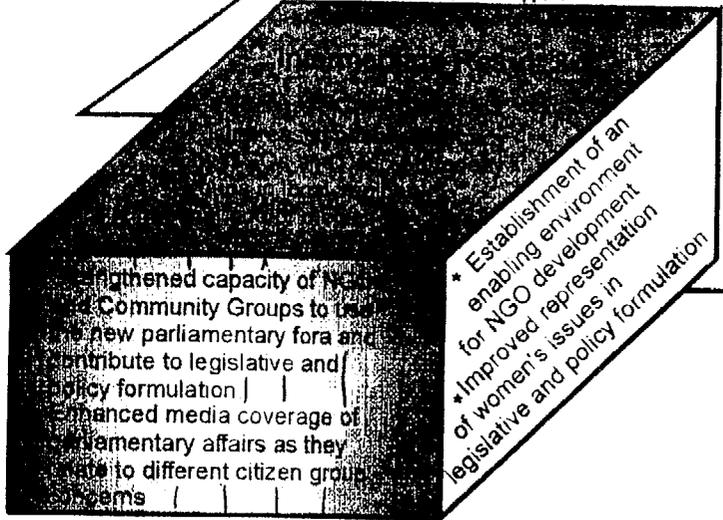
Intermediate Result 3.1
 Increased opportunities for citizen participation in the legislative process



Intermediate Result 3.2
 Enhanced skills of Parliamentarians



Intermediate Result 3.3
 Increased public advocacy by NGOs and Civic Advocacy Groups in local, regional, national and/or media fora



LEGEND:

- USAID/Partner responsibility: IR/SO
- ▨ Partner/Customer responsibility: IR/SO
- ▤ USAID/Partner Responsibility: Sub-IR
- ▥ Partner/Customer Responsibility: Sub-IR

**Environmental Review
in Support of
Preparation of USAID/Namibia's Country Program Strategic Plan
for
the Period 1995-2000**

Annexes

Annexes

- A. References**
- B. Persons Contacted**
- C. Scope of Work**
- D. Technical Annex B: Environment**
- E. State 032584: Guidance for Preparation of Background Assessments of Biological Diversity and Tropical Forests for Use in CDSSs or Other Country Plans**
- F. World Bank Guidelines for National Environmental Action Plans**
- G. Government Priorities and Future Directions**
- H. Background on the Establishment of a National Community-Based Natural Resource Management Program**
- I. Background on Additional Resource Requirements**

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Scope of Work

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ATTACHMENT A

TERMS OF REFERENCE

ENVIRONMENTAL SUPPORT FOR STRATEGY

I) Background

USAID has had no approved Strategy during its 5 years of operation. Several attempts have been made with AID/W, but nothing has been approved as yet. Although improving Community Based Natural Resource Management (CBNRM) has been proposed as a Strategic Objective, it has not received approval from Washington.

During the early start-up days of the Mission, it was decided that it was important to have a NRMS component in Namibia. In fact, Namibia had always been a part of the Regional plan for NRMS support. Our delayed project start date was due to a late start up of the Mission and a prolonged participatory design phase.

Now that the LIFE Project is 2 years into implementation, USAID/Namibia feels the inherited project remains a high priority for the Mission's Strategy. Namibia has a fragile environment, an explosive population rate, a high rural/urban migration rate in search of employment and a populace restless about unfilled promises of a new Democracy. These conditions (e.g. high expectations, land, poverty) have the potential for depleting natural resources throughout the country.

The CBNRM approach supports the empowerment theme of the Mission. As communities develop skills to meet, make decisions and work together, they are becoming empowered to take charge of their own lives. The experiences in CBNRM will carry over to other areas of community development and to advocacy at regional and national levels.

II) Statement of Purpose of Consultancy

The aim of the consultancy is to establish a baseline data source of CBNRM activities in Namibia to provide an overview and provide justification for strategies/ approaches for USAID to continue and/or increase support. It is proposed that a consultant who is an expert in natural resource management and who is familiar with the A.I.D. Regional NRMs projects conduct a study and write a paper on the environmental overview of Namibia and the reasons why USAID/Namibia is supporting this sector with the CBNRM approach. The information should be tailored to provide information relevant to the mission program, strategic objectives and logframes and will be used in the Strategy Document to justify the USAID/Namibia program in Washington in June. Mission PD&S funds will be used to support this consultant.

1. Review all LIFE Project documents relevant, Regional NRMS documents.
2. Review READ's Environmental Education project and activities.
3. Review MET documentation and on-going activities related to CBNRM.
4. Review regional ISA documentation on Ag/NRMs.
5. Review other relevant documents as appropriate.
6. Consult with REDSO/ESA Program Development Officer (PDO) regarding harmonization of LIFE Project documents.
7. Interview relevant Ministry officials and NGO staff.
8. Provide a broad overview of environmental issues and concerns in the national and regional context.
9. Develop analytical paper for inclusion in the Mission's Strategy Document.

IV) Topics for Inclusion

Specific items which should be addressed in the paper include:

1. Fragile natural environment of Namibia
2. Tourism is one of Namibia's growing industries and has the potential for being one of the strongest industries over the long run.
3. History and justification of Regional NRMs Projects
4. Need for coordination of natural resources in the region
5. Rationale for "Community Based" NRM rather than government or private sector led.
6. Need for Environmental Education in Namibia
7. Relationship to ISA's new objectives

V) Output

- a) The main output of the work will be a 25-30 page report with a 3-5 page summary of the background of CBNRM in the region with particular emphasis on Namibia and a justification for continuing the CBNRM program into the future.
- b) Develop a baseline data source for the purpose of USAID assessment of program impact and monitoring progress towards achieving objectives set out in the draft mission strategic objective logframe.
- b) Diskette containing Report and Executive Summary.
- c) Copies of all Reports/Documentation collected during the course of the consultancy.
- d) Receipts and statements of local expenses in support of payment.

VI) Finance

In general, payment is not made to a consultant until the product is completed. However, an advance of 80% of travel and per diem will be issued to defray expenses.

OUTLINE FOR ENVIRONMENT REPORT

SUGGESTED INFORMATION NEEDED FOR EACH STRATEGIC OBJECTIVE

The following are drawn from the February 1995 Guidance for Strategic plans, the November 1994 BAA core report and the May 1994 directive on setting and monitoring program strategies (refer to these including the annexes, the March 1994 strategies for sustainable development and the Administrators statement of principles on participatory development, Nov 16, 1993 for more information).

All of the following must include gender issues, people level impacts, participation and a discussion of how NGOs are/will be involved (cross cutting themes).

The OBJECTIVE is expressed in terms of a change that can be seen over a 5 to 8 year period and for which the mission accepts responsibility (ie it is within the manageable interest of the mission.)

1. The rationale and justification for selection. (Analytical basis and customers/partners)
 - a. Brief discussion of the development problem, evidence that it might be ameliorated, trends going on in the country that indicate the potential (opportunities) for achieving this objective, and proven models or approaches to address the problem. Explanation of how customer needs were identified and gender considerations.
 - b. If applicable, explanation of the synergism or complementary relationship with other strategic objectives.
 - c. Discussion of people level impacts. (timeframe, whether or not within manageable interest, ways one might determine these if not directly part of the program measurement system.)
 - d. Evidence that the SO represents an important achievement and lies within the manageable interest of the mission. (Also include a discussion of objectives and/or outcomes considered but not selected as part of the strategy and why.)
2. Key assumptions (underlying the selection of the strategic objective) and sustainability.

Assumptions may relate to partners' complementary efforts and the environment. What the host country and other donors are doing that relate to achieving the objective. Partners and customers critical to the achievement of the objective. Brief assessment of the risks associated with achievement (risks refer to those things in the external environment over which USAID has not control). Explain how results can be sustained, including human capacities and prospects for institutional political and financial sustainability over the long term.

3. Problem analysis and strategic results framework.
 - a. Summary of key problem areas to be addressed and evidence that the following have been considered in the selection of program outcomes:
 - the feasibility and appropriateness of the proposed approach

- USAID's comparative advantage and experience in that approach
- commitment of development partners to this approach suitable delivery mechanisms.

b. Program outcomes (POs) to be accomplished. Explanation of how these outcomes will be achieved (opportunities) with projected inputs and demonstration that these results bear a favourable relationship to costs. Description of the causal relationship between POs and hypothesis related to these.

c. Key assumptions and hypothesis that link achievement of the POs to achievement of the strategic objective. (Key assumptions here may also include a discussion of efforts of development partners and customers critical; to achievement of the outcome). Brief assessment of risks associated with achievement (risks refer to those things in the external environment over which USAID has not control). Discuss complementarity of resources and skill areas to other donors.

4. Relationship to agency goals and priorities (including cross cutting themes, new initiatives (small business initiative, New partnership initiative) and the ISA. Discussion of the relationship to the agencies 5 strategy areas and its emphasis on participation.
5. Performance indicators and targets. Present indicators, baseline data and targets for levels of achievement and/or a plan for how these will be developed.
6. The consultative/ participatory process. A discussion of the role of participant of customers. partners and other donors in determining the strategy and approaches. Identify ways in which the views of customers and partners will be sought in monitoring reviewing and/or evaluating the results over time (customer surveys).
7. The approach / approaches planned to achieve the outcomes and objective with some specificity about the purpose and a notion of the tactics and tools to be used.
8. The results framework (a matrix or text if not included above showing the results needed to achieve the objective, their causal relationship or the underlying assumptions and hypothesis about the relationships).

Tables:

1. The objective tree (goal, SOs, illustrative results packages/activities).
2. The logframe (SO, POs, indicators, data source and assumptions).
3. Performance measurement plan, similar to the log frame (SO, POs, indicators, data source method/approach of data collection, frequency of data collection by whom, where data is lodged at mission, analysis and reporting schedule and responsible office/officer).
4. Baseline, expected and actual results data matrix, similar to API reporting (SO, POs, indicator, baseline year and value, targets by year including final target/EOP).
5. Resources (human and financial) required by year under for the SO by program outcome.

Travel

- May 3 Briefing with Mission
- May 3-5 Read documentation and conduct interviews
- May 9 Meeting with Mission to present first Draft and discuss Progress
- May 11 Meeting with Mission to present final Draft and Executive Summary
- May 12 By COB, submit 5 copies of final Report and Executive Summary and diskette

Technical Annex B: Environment



U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

TECHNICAL ANNEX B:

ENVIRONMENT

- I. SETTING PRIORITIES FOR COUNTRY LEVEL PROGRAMS**
 - A. Country Level Environmental Objectives**
 - B. Indicators of Environmental Degradation**
 - C. Setting Priorities**

- II. ENVIRONMENTAL PROCEDURES**
 - A. Goals and Approaches**
 - B. Institutional Responsibilities**

I. SETTING PRIORITIES FOR COUNTRY-LEVEL PROGRAMS

Based on nearly two decades of experience, USAID has developed a strong program of environmental activities at the country level. These guidelines do not attempt to overhaul USAID's approach. Given the agency's increasingly limited resources and the increasing activity of other donors, however, a more analytical, transparent, collaborative, and participatory process of priority-setting at the country level is required. Simply put, USAID must be able to demonstrate to ourselves and to our stakeholders that we are not trying to do everything, and spreading ourselves too thin to be effective in the process.

Country strategic plans submitted for approval in FY95 and future years should be based on a comprehensive assessment of environmental threats and opportunities, using the priority-setting framework described in this annex. Assessments should address the "Key Factors in the Environment" identified in the main body of these guidelines and, where feasible and appropriate, include targeted research to improve empirical understanding of these factors. Environmental strategic objectives identified in country strategic plans should be selected according to the priorities identified through these assessments.

A. Country Level Environmental Objectives

USAID's *Strategies for Sustainable Development* identifies two strategic goals:

- *Reducing threats to the global environment, particularly loss of biodiversity and climate change; and*
- *Promoting sustainable economic growth locally, nationally, and regionally by addressing environmental, economic, and developmental practices that impede development and are unsustainable.*

This annex provides guidance on the agency's efforts to pursue the second of these two goals at the country level.

In USAID's core "sustainable development countries" we will pursue three environmental objectives:

- *Safeguarding the environmental underpinnings of broad-based economic growth;*
- *Protecting the integrity of critical ecosystems; and*
- *Ameliorating and preventing environmental threats to public health.*

(Examples are provided in the main body of these guidelines under "Key Factors in the Environment.")

In identifying environmental strategic objectives at the country level, USAID will assess the full range of environmental and natural resource threats and seek to prioritize them against these three objectives. Section C of this annex provides guidance for setting priorities.

USAID pursues its global environmental goals (conservation of biodiversity and mitigation of global climate change) in selected "key" countries, as described in *Strategies for Sustainable Development* and in the main body of these guidelines. This annex does not address these global goals. Separate guidance on USAID's climate change activities can be found in our June 1994 report to Congress, *Global Climate Change: The USAID Response*. PPC and G/ENV intend to provide subsequent strategic guidance on biodiversity.

B. Indicators of Environmental Degradation

The main body of these guidelines identifies "Key Factors in the Environment" that indicate severe environmental degradation. These indicators correspond to the three environmental objectives described above. Where any of these factors are present, USAID will give serious consideration to programmatic interventions that seek to address their root causes.

Many of these factors in many countries are not currently measured. Expert judgement will often be required in lieu of actual data. Moreover, these guidelines include only a limited number of illustrative indicators. For example, measures of fecal coliform concentrations are only one of many indicators of water quality. Again, these indicators should be taken as illustrative and should be applied along with others on a case-by-case basis using expert judgement.

Where data is limited, missions, with support from G/ENV, should seek to work with host country counterparts and other donors to strengthen empirical understanding of these factors through strategically targeted research. For example, research efforts in environmental accounting can produce rough estimates of GDP losses from environmental degradation, which can aid policy-making and priority-setting by host countries, USAID, and other donors.

C. Setting Priorities

USAID, in its core "sustainable development countries," will pursue the three environmental objectives described above by addressing the root causes of high-priority environmental problems that can be effectively and sustainably impacted by our assistance. In preparing country strategies, missions, with support from G/ENV, will assess the full range of environmental threats and identify priorities using the integrated assessment approach outlined below. Where possible, USAID should support priorities identified by host country governments, NGOs, and other donors through participatory processes, such as National Environmental Action Plans. At minimum, relevant government agencies and a broad range of NGOs should be involved in USAID's priority-setting exercise.

USAID missions are expected to evaluate – at least qualitatively – the severity of environmental problems in terms of the three environmental objectives identified above. Environmental strategic objectives in country strategic plans must relate to at least one of the three objectives. Country strategic plans must also describe how a chosen priority relates to the activities of other donors and how sustainable impacts can be assured through domestic policies, priorities, and resource allocations. If a mission concludes that it cannot pursue an environmental strategic objective, it should consider opportunities to address priority environmental issues through its pursuit of strategic objectives in other sectors (e.g. support for environmental advocacy NGOs, support for economic policy reforms that encourage sustainable management of natural resources).

USAID regional bureaus may prepare regional strategies that provide further guidance for country strategic plans. Regional strategies should also demonstrate an integrated response to the three objectives described above – safeguarding the environmental underpinnings of broad-based economic growth; protecting the integrity of critical ecosystems; and preventing environmental threats to public health.

Missions' assessments of environmental priorities should include the following three steps: (1) assess the relative severity of environmental problems according to USAID's three country-level environmental objectives; (2) evaluate the potential effectiveness and sustainability of strategies available to address these problems; and (3) identify USAID's best opportunities for sustainable impact. These steps should be regarded as sequential screens that result in the identification of priority environmental problem areas that USAID can address effectively and sustainably. This analysis should form the basis for the selection of environmental strategic objectives in country strategic plans.

Guidelines for this three-step analysis follow. Missions are encouraged to experiment and adapt this analytical framework to serve their needs and circumstances.

Step 1: Assess the relative severity of environmental problems according to USAID's three country-level environmental objectives.

Setting country-level environmental priorities begins with an assessment of which environmental problems represent the most severe threats to economic growth, critical ecosystems, and public health. The nature of this assessment can range from a quick and inexpensive synthesis of existing information, stakeholder opinion, and professional judgement, to a formal comparative environmental risk assessment including targeted research. USAID country assessments will likely fall in between these two extremes, involving a multi-week focussed assessment by an inter-disciplinary team of experts, but typically not involving new research. In any case, the relative severity of environmental problems will typically be classified no more precisely than "high," "medium," "low," "tolerable," or "uncertain."

Figure 1 presents a suggested format for assessing the severity of environmental problems according to USAID's three environmental objectives. The examples of environmental impacts

and their levels of severity are only illustrative, and the cutoffs between problem classes (high, medium, low, tolerable) are somewhat arbitrary. Thus, the scheme is not intended to be followed rigidly but should assist missions in constructing their own frameworks to prioritize among disparate environmental issues.

Environmental problems classified "high" under all three objectives would rank highest in an integrated assessment, followed by those ranked "high" under two objectives, and so on. As a general rule, a problem ranked "high" under any single objective or as intolerable (high, medium, or low) under more than one objective should be thoughtfully considered. Missions may also want to weight certain problems according to their impacts on particular human populations (e.g. women, indigenous peoples, the poor) or productive sectors (e.g. leading exports, major food crops) of special interest to USAID or the mission.

The relative severity of problems need not necessarily dictate environmental priorities and assistance strategies. Some severe problems may be intractable or so costly to ameliorate that greater environmental benefits may flow from tackling problems of lesser magnitude. Conversely, some problems may rank low in severity precisely because prior investments in environmental management have been effective. Maintaining such investments may thus be judged a high priority. Finally, assessing the relative severity of environmental problems should not dictate the strategic means of assistance (e.g., human resource development, institutional capacity building, policy reform, technology transfer, etc.). These considerations should be addressed in the subsequent two steps of the analysis.

Step 2: Evaluate the potential effectiveness and sustainability of strategies available to address the most severe problems.

The purpose of this step is to identify the major problems that may be addressed most effectively and sustainably, beginning with an evaluation of the environmental problems classified as most severe. This analysis will rely on the technical judgement of USAID's assessment team and their consultations with relevant in-country stakeholders. Consideration should be given to technical, institutional, policy, political, social, financial, and other constraints in the host country environment. The chapter on "Protecting the Environment" in *Strategies for Sustainable Development* and G/ENV's strategic plan both provide general guidance on the types of interventions appropriate for different environmental priorities (sustainable agriculture, urban and industrial pollution, energy, natural resources management). Subsequent guidance may clarify and update existing policies and guidance on programmatic approaches to these issues.

Cost-effectiveness may be considered as a criterion for comparing available strategies to address competing environmental priorities of similar severity. However, environmental planning should not be held hostage to present costs of environmental protection since, in many cases, the cost-effectiveness of environmental management will improve over time as the learning curve rises. Missions should pay particular attention to the sustainability of alternative strategies from financial, institutional, and political perspectives.

Step 3: Identify USAID's best opportunities for sustainable impact.

The final step in the assessment process focusses on USAID's comparative advantages in addressing competing environmental priorities. Mission staff, in consultation with USAID/W, will need to take primary responsibility for this step. Missions should evaluate USAID's technical capabilities to address the priorities that emerge from the first two levels of analysis (severe environmental problems that can be effectively and sustainably addressed). This evaluation should also include consideration of the existing and planned programs of other donors and their comparative advantages.

II. ENVIRONMENTAL PROCEDURES

The Environmental Strategy Paper states that "USAID will strengthen its institutional capacity to ensure that all Agency-supported efforts, whether projects or program-related investments, are environmentally sound. Where necessary, it will require mitigating measures or project redesign. Ensuring the environmental soundness of every USAID program, project, and activity is a prerequisite for sustainable development. It is also a legal obligation under the agency's regulations.¹

A. Goals and Approaches

These regulations will continue to provide the legal and policy framework to ensure that all activities undergo appropriate environmental analysis. Environmental officers and advisors will provide leadership and technical expertise, but responsibility for the success of the process will belong to every officer in the agency. Environmental work will continue to be done at the earliest practical point in the project identification and design process and be fully integrated. This allows for full integration of environmental and other project objectives and minimizes possible delays in project approval. While not formally required in USAID's regulations, the agency as a matter of policy will pay particular attention to ensuring the development, implementation and monitoring of appropriate plans to mitigate environmental impacts. Similarly, while not required under USAID's regulations, the agency will seek to undertake environmental analysis at the programmatic and sector level.

USAID will seek to assist host governments in creating the capacity to undertake high quality environmental impact assessments (EIA) of all development programs. USAID's country strategies will examine opportunities and where feasible support activities to strengthen local laws and regulations on EIA, train regulatory officials in EIA techniques, and strengthen public participation in the EIA and project design process. USAID will use its own environmental assessments (EAs) and environmental impact statements (EISs), where required, as models and training opportunities. USAID will also seek to assist other donors and lending institutions to strengthen their EIA procedures with a goal of helping them to match USAID's own standards. Weak environmental procedures within other donor agencies and lending institutions undercuts the efforts of USAID's and its partners. Absolute harmonization of EIA standards would be unworkable, and probably unwise. However, comparable standards are essential.

USAID will strengthen public participation in the EIA process, in keeping with the agency's strengthened commitment to participation and democracy. USAID will ensure that interested and affected peoples -- both women and men -- are consulted in the process of

¹ 22 CFR § 216 codifies USAID's procedures "to ensure that environmental factors and values are integrated into the A.I.D. decision making process." These regulations are consistent with Executive Order 12114 ("Environmental Effects Abroad of Major Federal Actions") and with the purposes of the National Environmental Policy Act (NEPA).

Figure 1. Suggested format for assessing the severity of environmental problems.

| Hazard Level | Potential Consequences | | | Certainty/Frequency of Occurrence | | | |
|--------------|--|--|---------------|-----------------------------------|------------------------|----------------|---------------------|
| | Human Health | Ecosystem Damage | Monetary Loss | High Repeatable | Moderate Several Times | Low Occasional | Remote but Possible |
| Catastrophic | Hi mortality (5% total life-years lost), prolonged epidemic, widespread injury | Complete, irreversible loss of critical habitat or critical ecosystem function | >5% GDP | | | | |
| Critical | Moderate mortality (2-5% total life-years lost), hi illness or injury (5% total) | Widespread conversion of critical habitat, loss of keystone species, substantially impaired ecosystem function | 2-5% GDP | | | | |
| Marginal | Low mortality (1-2% total life-years lost), moderate illness or injury (2-5% total) | Moderate but reversible degradation of critical habitat or ecosystem function | 1-2% GDP | | | | |
| Negligible | Negligible mortality (<1% total life-years lost), low illness or injury (2-5% total) | Alteration of noncritical habitat, slight or quickly reversible damage to few species or ecosystem function | <1% GDP | | | | |

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preparing EAs and EISs and that they have an opportunity to review and comment on the draft document prior to final approval by the Bureau Environmental Officer. USAID will also seek to consult with and provide draft environmental documentation to interested parties in the U.S.

President Clinton has asked the National Security Council in PRD-23 to chair an inter-agency review of the Administration's policy on the applicability of the National Environmental Policy Act (NEPA) to Federal actions abroad. NEPA provides the statutory framework for EIA by the Federal government. USAID's own environmental procedures resulted from the 1975 settlement of a lawsuit concerning the agency's compliance with NEPA. PPC is representing USAID in the inter-agency process under PRD 23 and will take the lead on any changes that may be needed in 22 CFR § 216 as a result of this review.

B. Institutional Responsibilities

Responsibility for USAID's environmental procedures will be shared among missions, regional bureaus, G, BHR, PPC, GC and other operational units that manage programs, projects, or activities:

- Missions and other operational units will continue to be responsible for compliance with the environmental procedures in the activities that they manage. After approval of environmental documentation, Missions will be responsible for implementation of any resulting decisions or mitigation measures. Missions will also assess compliance with the environmental procedures in all interim and final project evaluations.
- Each regional bureau, G, and BHR will appoint a Bureau Environmental Officer to oversee, and provide technical support for, compliance with the procedures, and to approve environmental documentation pursuant to the procedures.
- PPC will oversee implementation of the procedures across bureaus and resolve disputes or other issues concerning the procedures.
- GC will appoint an attorney to be the agency's principal legal advisor on 22 CFR § 216.22.

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State 032584: Guidance for Preparation of Background Assessments of Biological Diversity and Tropical Forests for Use in CDSSs or Other Country Plans

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ORIGIN OFFICE POPR-01
INFO ARAF-03 AFEA-03 AFSA-03 AFVU-04 AFCU-03 AFOP-06 AMPD-05
AALA-01 LACE-02 LASA-02 GC-01 GCAF-01 GCMH-02 STPH-02
SAST-01 ES-01 ANTE-03 RELO-01 LACA-03 AUEA-02 ANEG-02
ARCA-01 ANSA-03 /056 62 1004

INFO LOG-08 EUR-08 AF-08 10-19 NEA-04 ARA-08 EAP-00
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SUBJECT: GUIDANCE FOR PREPARATION OF BACKGROUND
ASSESSMENTS ON BIOLOGICAL DIVERSITY AND TROPICAL FORESTS
FOR USE IN CDSOS OR OTHER COUNTRY PLANS

REF: (U) STATE 118324

1. SUMMARY

ISSUANCEMENTS TO SECTIONS 110 (TROPICAL FORESTS) AND
115 (BIOLOGICAL DIVERSITY) OF THE FOREIGN ASSISTANCE ACT
(FAA) REQUIRE THAT CDSOS OR OTHER COUNTRY PLANS INCLUDE
AN ANALYSIS OF (A) THE ACTIONS NECESSARY IN THAT COUNTRY
TO CONSERVE BIOLOGICAL DIVERSITY AND TROPICAL FORESTS
AND (B) THE EXTENT TO WHICH CURRENT OR PROPOSED AID
ACTIONS (IF ANY EXIST IN THAT COUNTRY) MEET THOSE
NEEDS. IN COUNTRIES WHERE NECESSARY INFORMATION FOR
PREPARATION OF THE CDSOS OR OTHER COUNTRY PLAN IS NOT
AVAILABLE, MISSION MAY ELECT TO SUPPORT A BACKGROUND
ASSESSMENT ON TROPICAL FORESTS AND BIOLOGICAL
DIVERSITY. THIS CABLE PROVIDES GUIDANCE AND A POTENTIAL
MODEL FOR CONDUCTING SUCH A BACKGROUND ASSESSMENT.

2. INTRODUCTION

PPC RECENTLY ISSUED GUIDANCE ON THE NEW STATUTORY
REQUIREMENT FOR MISSIONS TO ADDRESS BIOLOGICAL DIVERSITY
AND TROPICAL FOREST CONSERVATION IN THEIR CDSOS AND
OTHER COUNTRY PLANS (REFERENCE A). IN RESPONSE, A
NUMBER OF CDSOS AND OTHER COUNTRY PLAN TREATMENTS OF
BIOLOGICAL DIVERSITY AND TROPICAL FORESTS HAVE BEEN RECEIVED BY
AID/V IN A RANGE OF FORMATS AND LEVELS OF DETAIL.

IN MANY COUNTRIES, SUFFICIENT INFORMATION MAY NOT BE
AVAILABLE TO COMPLETE THE CDSOS OR OTHER COUNTRY PLAN
SECTION ON BIOLOGICAL DIVERSITY AND TROPICAL FORESTRY. IF
SUFFICIENT INFORMATION IS NOT AVAILABLE, THE AGENCY'S
BIOLOGICAL DIVERSITY WORKING GROUP RECOMMENDS, WHERE
APPROPRIATE, PREPARATION OF A COMBINED
BIOLOGICAL DIVERSITY/TROPICAL FORESTRY BACKGROUND ASSESSMENT.
SUCH BACKGROUND ASSESSMENTS SHOULD PROVIDE THE BASIS FOR
THE REQUIRED BIOLOGICAL DIVERSITY/TROPICAL FORESTRY SECTION IN
MISSION CDSOS AND OTHER COUNTRY PLANS. THE BACKGROUND

ASSESSMENT SHOULD ALSO IDENTIFY NEEDS AND PRIORITY
ACTIONS IN ASSISTED COUNTRIES, AND BE USEFUL TO OTHER
DONORS, THE HOST COUNTRY GOVERNMENT (HCG) AND NGOs IN
ESTABLISHING PRIORITIES AND IDENTIFYING OPPORTUNITIES
FOR SUPPORTING BIOLOGICAL DIVERSITY ACTIVITIES. THE
CDSOS OR OTHER COUNTRY PLAN SECTION ON BIOLOGICAL
DIVERSITY AND TROPICAL FORESTS SHOULD SUMMARIZE THE
MAJOR ISSUES IDENTIFIED BY THE BACKGROUND ASSESSMENT OR
ANALYSIS AND RECOMMEND REMEDIAL ACTIONS, AS APPROPRIATE,
THAT MAY BE TAKEN. IN REVIEWING ACTIONS THAT MAY
ADDRESS ISSUES IDENTIFIED IN THE BACKGROUND ASSESSMENT,
MISSION SHOULD GIVE SPECIAL CONSIDERATION TO THOSE THAT
CAN BE UNDERTAKEN BY THE PRIVATE SECTOR (INCLUDING PVOS,
AND NGOs), OR IN COLLABORATION WITH THE PEACE CORPS, AND
THAT CAN BE FINANCED BY LOCAL CURRENCY.

IT MUST BE EMPHASIZED THAT THIS CABLE IS TO PROVIDE
GUIDANCE AND A POTENTIAL MODEL TO MISSIONS IN COMPLETING
OR IN CONTRACTING TO COMPLETE A BACKGROUND ASSESSMENT.
THE ILLUSTRATIVE SCOPE OF WORK PROVIDED BELOW IS NOT,
REPEAT, NOT INTENDED AS A MINIMUM REQUIREMENT FOR ALL
MISSIONS, BUT IS ONLY SUGGESTIVE OF THE TYPE OF
INFORMATION THAT WOULD BE COLLECTED IF POSSIBLE, AND
ANALYZED IF AVAILABLE. THIS INFORMATION MAY FACILITATE
PREPARATION OF THE REQUIRED CDSOS OR OTHER COUNTRY PLAN
SECTIONS. MISSIONS ARE ASKED TO COMPILER ONLY AS MUCH OF
THE INFORMATION AS FEASIBLE. TO PREVENT REPETITION OF
EFFORT, EXISTING INFORMATION SHOULD BE USED WHENEVER
POSSIBLE.

THE LEVEL OF EFFORT FOR RECENT BACKGROUND ASSESSMENTS
HAS BEEN ON THE ORDER OF 6 TO 12 PERSON-WEEKS AT A COST
OF UP TO U.S. DOLLARS 30,000. FUNDING FOR THESE
ASSESSMENTS SHOULD IN MOST CASES BE PROVIDED BY
MISSIONS. HOWEVER, ASSISTANCE FROM AID/V CAN BE
DISCUSSED ON A CASE BY CASE BASIS.

FINALLY, ALTHOUGH SECTIONS 110 AND 115 REQUIRE ONLY THAT
THE CDSOS OR OTHER COUNTRY PLAN INCLUDE AN ANALYSIS OF
(A) THE ACTIONS NECESSARY IN THAT COUNTRY TO CONSERVE
BIOLOGICAL DIVERSITY AND TROPICAL FORESTS AND (B) THE
EXTENT TO WHICH CURRENT OR PROPOSED AID ACTIONS MEET
THOSE NEEDS, THE BIOLOGICAL DIVERSITY WORKING GROUP
RECOMMENDS THAT THE CDSOS OR OTHER COUNTRY PLAN ANALYSIS
ALSO SUMMARIZE THE MAJOR ISSUES IDENTIFIED IN THE
BACKGROUND ASSESSMENT AND RECOMMEND ACTIONS THAT THE
MISSIONS AND AID/V SHOULD CONSIDER. SPECIAL ATTENTION
SHOULD BE GIVEN TO THE PRIVATE SECTOR INCLUDING NGOs,
THE USE OF LOCAL CURRENCIES, AND COLLABORATION WITH THE
PEACE CORPS. A SUMMARY OF THE BIOLOGICAL
DIVERSITY/TROPICAL FORESTRY SECTIONS OF THE CDSOS OR
OTHER COUNTRY PLAN WILL BE PROVIDED TO CONGRESS.

3. FUNDING FOR BIODIVERSITY PROJECTS

MISSIONS SHOULD BE AWARE THAT THE AGENCY IS COMMITTED TO
OBLIGATING U.S. DOLLARS 4.5 MILLION FOR BIOLOGICAL
DIVERSITY IN FY 88. ALTHOUGH A PORTION OF THIS IS
PROGRAMMED THROUGH OTHER MECHANISMS, LAC AND ANE COULD
HAVE APPROXIMATELY U.S. DOLLARS 500,000 AVAILABLE FOR
BIOLOGICAL DIVERSITY, ADDITIVE TO BUREAU OYES. AFR FUNDING IS
STILL UNDER REVIEW. FUNDS WILL BE DISBURSED IN A MANNER
SIMILAR TO FY 87. MISSIONS SHOULD COMMUNICATE WITH
REGIONAL BUREAU ENVIRONMENTAL OFFICERS ABOUT PROJECTS
WORTHY OF SUPPORT AS SOON AS POSSIBLE. AMONG OTHER
RESTRICTIONS, THIS REGIONAL BUREAU MONEY MAY NOT BE USED
TO FUND EXISTING PROJECTS AND SHOULD BE MATCHED WITH
NONA, I, D. SOURCE FUNDS.

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4. THIS GUIDANCE AND POTENTIAL MODEL IS PROVIDED TO ALL MISSIONS FOR THEIR INFORMATION, BUT IS INTENDED MORE SPECIFICALLY FOR THOSE THAT WILL SUBMIT THEIR COSC OR OTHER COUNTRY PLAN IN FY83, OR THAT WILL PROVIDE ANNEXES TO DOCUMENTS SUBMITTED IN FY87, AND THEREBY MEET THE REQUIREMENTS OF FAA SECTIONS 118/119. IN AEC AND LAC,

MISSIONS THAT HAVE NOT YET COMPLETED THEIR COSC OR OTHER COUNTRY PLAN TREATMENT OF FAA SECTIONS 118/119 ARE:

ASIA BUREAU: BANGLADESH, BURMA, AND INDIA,

LAC BUREAU: BOLIVIA, COSTA RICA, DOMINICAN REPUBLIC, ECUADOR, EL SALVADOR (FORESTRY), GUATEMALA, HAITI, AND ROCAP

5. FYI, AID/V RECORDS SHOW THAT THE FOLLOWING MISSIONS HAVE COMPLETED, ARE CONDUCTING, OR HAVE SCHEDULED THE REQUIRED COSC OR OTHER COUNTRY PLAN ANALYSIS OF BIOLOGICAL DIVERSITY AND TROPICAL FORESTS:

AFR: MADAGASCAR, NIGER, RWANDA, AND SUDAN
 ANE: EGYPT, INDONESIA, JORDAN, MOROCCO, NEPAL, OMAN, PAKISTAN, PHILIPPINES, SOUTH PACIFIC, SRI LANKA, THAILAND, TUNISIA, AND YEMEN.
 LAC: BELIZE, EL SALVADOR (BIODIVERSITY), HONDURAS, JAMAICA, PANAMA, PERU, AND ROCAP.

SHOULD THE INFORMATION IN PARAS 3 AND 4 BE INCORRECT, PLEASE ADVISE ASAP.

6. AFRICA-SPECIFIC INFORMATION. THE AGENCY RECOGNIZES THAT THE AFRICA BUREAU'S PROGRAMMATIC CATEGORY 3 MISSIONS DO NOT SUBMIT EITHER A COSC OR AN ACTION PLAN. THIS DOES NOT OVIATE THE NEED TO MEET THE REQUIREMENTS OF THE LEGISLATION. HOWEVER, THE GUIDANCE AND POTENTIAL MODEL PROVIDED HEREIN MAY NOT BE APPROPRIATE FOR THESE MISSIONS. NEVERTHELESS, PROGRAMMATIC CATEGORY 3 MISSIONS SHOULD SUBMIT AN ANNEX TO THEIR 10 PAGE COUNTRY PROGRAM STATEMENT. THIS STATEMENT SHOULD INDICATE, TO THE EXTENT POSSIBLE, AND FROM THE BEST INFORMATION AVAILABLE, THE ACTIONS NEEDED IN THAT COUNTRY TO CONSERVE BIOLOGICAL DIVERSITY AND TROPICAL FORESTS, AND INDICATE CURRENT OR PROPOSED ACTIVITIES THAT MEET THOSE NEEDS.

7. ASSISTANCE AVAILABLE FROM AID/V

A NUMBER OF COUNTRIES NOW HAVE LOCAL ORGANIZATIONS THAT CAN BE CONTRACTED TO UNDERTAKE THESE BACKGROUND ASSESSMENTS. ALSO, THERE ARE TWO ENVIRONMENTAL IQCS AND OTHER U.S. MECHANISMS FOR UNDERTAKING SUCH STUDIES.

SUPPLEMENTARY SHORT-TERM TECHNICAL ASSISTANCE TO MISSIONS FOR THESE ASSESSMENTS IS AVAILABLE FROM A

NUMBER OF SOURCES:

FIELD AND AID/V ENVIRONMENTAL AND NATURAL RESOURCES STAFF OF REGIONAL BUREAUS AND THEIR SUPPORT PROJECTS.
 BUREAU FOR SCIENCE AND TECHNOLOGY TECHNICAL SUPPORT PROJECTS WHICH INCLUDE:

ENVIRONMENTAL PLANNING AND MANAGEMENT PROJECT
 0365517; ST/FEMR WITH IIEDI
 FOREST RESOURCES MANAGEMENT PROGRAM (FORESTRY SUPPORT PROGRAM), 036-5519; ST/FEMR WITH USDA
 BIOLOGICAL DIVERSITY CONSERVATION PROJECT
 0365534; ST/FEMR WITH IIEDI
 DESFIL, FRAGILE LANDS PROJECT (IN LAC ONLY;

IN SOME COUNTRIES, FOR EXAMPLE IN MOROCCO AND TUNISIA, BACKGROUND ASSESSMENTS HAVE BEEN PREPARED IN COOPERATION WITH THE PEACE CORPS.

ASSISTANCE WOULD INCLUDE TOYS AND CONSULTANT SERVICES, AND HELP IN IDENTIFYING AND PROVIDING BACKGROUND INFORMATION, SUCH AS COUNTRY ENVIRONMENTAL PROFILES, NATIONAL CONSERVATION STRATEGIES, AND FORESTRY SECTOR REVIEWS. ASSISTANCE MAY ALSO BE PROVIDED IN CONDUCTING LITERATURE REVIEWS AS THE BASIS FOR FIELD WORK. FUNDING SOURCES FOR THIS ASSISTANCE (AID/V, PROJECT, OR MISSION) WILL BE DISCUSSED ON A CASE BY CASE BASIS.

8. ILLUSTRATIVE SCOPE OF WORK

THE FOLLOWING RECOMMENDED OUTLINE FOR THE BACKGROUND ASSESSMENT FOCUSES ON THE GATHERING OF EXISTING DATA AND INFORMATION TO REVIEW THE STATUS OF BIOLOGICAL DIVERSITY AND TROPICAL FOREST CONSERVATION IN MOST COUNTRIES. THE BACKGROUND ASSESSMENT SHOULD IDENTIFY NEEDS AND PRIORITIES FOR FUTURE BIOLOGICAL DIVERSITY AND TROPICAL FOREST CONSERVATION ACTIONS BY AID, OTHER DEVELOPMENT ASSISTANCE DONORS, THE HOST-COUNTRY GOVERNMENT, AND THE NONGOVERNMENTAL CONSERVATION COMMUNITY. THE IDENTIFICATION OF NEEDS AND PRIORITIES SHOULD BE AS COMPREHENSIVE AS POSSIBLE, KEEPING IN MIND THAT THE AGENCY IS NOT COMMITTED TO MEETING ALL OF THE NEEDS IDENTIFIED.

AGAIN, IT IS EMPHASIZED THAT THIS ILLUSTRATIVE SCOPE OF WORK IS INTENDED ONLY AS A SUGGESTIVE MODEL TO HELP THE MISSION IDENTIFY THE TYPE OF INFORMATION THAT SHOULD BE

GATHERED AND ANALYZED IF POSSIBLE.

A. INTRODUCTION

THE BIOLOGICAL DIVERSITY AND TROPICAL FOREST CONSERVATION ASSESSMENT SHOULD DESCRIBE THE HOSTCOUNTRY'S BIOLOGICAL RESOURCES, EVALUATE THEIR STATUS, IDENTIFY PRESSURES AFFECTING THOSE RESOURCES, AND PROPOSE COST-EFFECTIVE AND IMPLEMENTABLE ACTIONS WHICH CAN BE TAKEN TO ASSURE THE SUSTAINABLE USE OF THOSE RESOURCES. EXPERIENCE HAS SHOWN THAT AN EFFECTIVE WAY TO CONDUCT THE BIODIVERSITY/TROPICAL FORESTRY ASSESSMENT IS, IN THE FIRST PHASE, TO COLLECT RELEVANT BACKGROUND INFORMATION AND REPORTS. THIS INFORMATION IS MOST USEFUL IF IT IS SUMMARIZED AND AVAILABLE BEFORE THE ARRIVAL OF THE ASSESSMENT TEAM. AID/V ASSISTANCE IDENTIFIED IN PARAGRAPH 7 CAN BE USED IN THIS PRELIMINARY PHASE). THE ASSESSMENT SHOULD INCLUDE PARENTHEMETICAL REFERENCES TO THE SOURCES OF ALL INFORMATION AND A BIBLIOGRAPHY.

B. OUTLINE

THE SCOPE OF WORK FOR THE BIOLOGICAL DIVERSITY AND TROPICAL FOREST ASSESSMENT FOR EACH COUNTRY SHOULD INCLUDE, BUT NOT BE LIMITED TO, ITEMS IDENTIFIED IN THE OUTLINE PROVIDED BELOW. WHILE ALL OF THE INFORMATION OUTLINED BELOW WOULD BE DESIRABLE, IT IS UNDERSTOOD THAT MISSIONS MAY NEED TO MODIFY THE OUTLINE IN RESPONSE TO ACTUAL INFORMATION AVAILABLE AND INSTITUTIONAL STRUCTURE IN MOST COUNTRIES, AND MAY WISH TO UPDATE IT IN THE FUTURE.

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2. DETAILS FOR SPECIFIC SECTIONS OF THE ABOVE OUTLINE

A. INTRODUCTION

THIS SECTION OF THE ASSESSMENT WILL PROVIDE AN OVERVIEW OF THE INFORMATION AVAILABLE AND USED IN THE ASSESSMENT. IT SHOULD IDENTIFY SIGNIFICANT GAPS IN INFORMATION ON THE STATUS AND MANAGEMENT OF BIOLOGICAL DIVERSITY AND TROPICAL FOREST RESOURCES IN THE HOST COUNTRY.

B. LEGISLATIVE AND INSTITUTIONAL STRUCTURE:

THE BACKGROUND ASSESSMENT SHOULD INCLUDE A REVIEW OF THE CURRENT LEGISLATIVE INSTITUTIONAL STRUCTURE FOR THE MANAGEMENT OF BIOLOGICAL DIVERSITY AND TROPICAL FORESTS. THIS REVIEW SHOULD INCLUDE A DESCRIPTION OF MAJOR ORGANIZATIONS, BOTH PUBLIC AND PRIVATE, WHICH HAVE A ROLE IN THIS PROCESS.

(1.) HOSTCOUNTRY GOVERNMENT

THE BACKGROUND ASSESSMENT SHOULD INCLUDE A REVIEW OF THE LEGISLATIVE BASIS, BOTH NATIONAL AND LOCAL, FOR THE PROTECTION AND MANAGEMENT OF BIOLOGICAL RESOURCES, INCLUDING TROPICAL FORESTS, IN THE HOSTCOUNTRY. THIS SHOULD INCLUDE A REVIEW OF INTERNATIONAL TREATIES AND AGREEMENTS WHICH HAVE BEEN RATIFIED BY HCG (CITES, RAMSAR, ETC.) AND THE EFFECTIVENESS OF NATIONAL IMPLEMENTATION. A DESCRIPTION SHOULD BE PROVIDED OF THE INSTITUTIONS RESPONSIBLE FOR BIOLOGICAL DIVERSITY AND

TROPICAL FOREST ISSUES, AND MANAGEMENT OF ALL NATURAL RESOURCES, WITHIN THE HCG. IT SHOULD ASSESS THE INTEREST AND COMMITMENT OF THE GOVERNMENT TO THE CONSERVATION OF BIOLOGICAL DIVERSITY AND TROPICAL FORESTS, AND SUMMARIZE HCG FUNDING DIRECTED TOWARD THESE ISSUES. NOTE WHETHER ENVIRONMENTAL PROFILES OR NATIONAL CONSERVATION STRATEGIES HAVE BEEN PRODUCED OR ARE CURRENTLY UNDERWAY.

(2.) NONGOVERNMENTAL ORGANIZATIONS

THIS SECTION SHOULD INCLUDE A DESCRIPTION OF MAJOR ORGANIZATIONS, BOTH PUBLIC AND PRIVATE, WHICH HAVE A ROLE IN CONSERVING BIOLOGICAL DIVERSITY AND TROPICAL FORESTS AND THE LEVELS OF FUNDING THEY CONTRIBUTE TOWARD THIS ISSUE.

(3.) AID, OTHER DONORS AND INTERNATIONAL ORGANIZATIONS

THIS SECTION SHOULD INCLUDE A DESCRIPTION OF OTHER DONORS AND MAJOR INTERNATIONAL ORGANIZATIONS, BOTH INDIGENOUS AND EXTERNAL, WHICH HAVE A ROLE IN CONSERVING BIOLOGICAL DIVERSITY (INCLUDING TROPICAL FORESTS) AND THE LEVELS OF FUNDING THEY RECEIVE OR CONTRIBUTE TOWARD THIS ISSUE. THEIR RELATIONSHIP WITH THE GOVERNMENT, MEMBERSHIP, AND PRINCIPAL PROGRAMS SHOULD BE IDENTIFIED.

C. STATUS AND MANAGEMENT OF PROTECTED AREAS

THIS SECTION SHOULD INCLUDE AN INVENTORY OF DECLARED AND PROPOSED NATIONAL PARKS, WILDLIFE REFUGES, FOREST RESERVES, SANCTUARIES, HUNTING PRESERVES AND OTHER PROTECTED AREAS. THE GOVERNMENT AGENCY OR NONGOVERNMENTAL ORGANIZATION CONTROLLING EACH OF THE TYPES OF PROTECTED AREA SHOULD BE IDENTIFIED. A COUNTRY MAP WITH THE LOCATION OF ALL EXISTING AND PROPOSED PROTECTED AREAS WOULD BE USEFUL. AN ASSESSMENT SHOULD BE MADE OF THE EFFECTIVENESS OF THESE AREAS IN

PROTECTING PLANT AND ANIMAL RESOURCES, AND OF THEIR IMPORTANCE TO HOSTCOUNTRY'S ECONOMY (E.G. FOR PROVIDING TOURIST OPPORTUNITIES OR FOR PROTECTING IMPORTANT WATERSHEDS). AN ANALYSIS OF THE MANAGEMENT EFFECTIVENESS IN THESE AREAS SHOULD BE INCLUDED.

D. STATUS AND PROTECTION OF ENDANGERED SPECIES

THIS SECTION SHOULD INCLUDE AN INVENTORY OF RARE AND ENDANGERED SPECIES FOUND IN HOST-COUNTRY AND ITS TERRITORIAL WATERS. IT SHOULD IDENTIFY THEIR CRITICAL HABITATS AND EVALUATE PRESSURES ON THESE HABITATS. IT SHOULD REVIEW EFFORTS WHICH HAVE BEEN ADOPTED FOR PROTECTION OF THESE SPECIES AND THEIR HABITATS AND ASSESS THEIR EFFECTIVENESS.

E. CONSERVATION OUTSIDE OF PROTECTED AREAS

THIS SECTION SHOULD INCLUDE A DESCRIPTION OF CONSERVATION ACTIVITIES IN HOST-COUNTRY WHICH ARE BEING UNDERTAKEN OUTSIDE DESIGNATED PROTECTED AREAS. THIS SHOULD INCLUDE, BUT NOT BE LIMITED TO REVIEW OF THE FOLLOWING ISSUES:

(1.) MANAGED NATURAL ECOSYSTEMS

THIS SECTION SHOULD INCLUDE A DESCRIPTION OF THE MAJOR ECOSYSTEMS OF HOSTCOUNTRY AND AN ANALYSIS OF THEIR PRESENT CONSERVATION STATUS. A COUNTRY MAP (TO THE SAME SCALE AS THE PROTECTED AREA MAP) OF THE NATURAL

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- FOREST RESOURCES
- RANGELAND RESOURCES
- COASTAL AND MARINE RESOURCES
- WETLANDS
- AGRICULTURAL SYSTEMS

THE TEXT SHOULD INCLUDE A DISCUSSION OF THE ECONOMIC, ECOLOGICAL AND SOCIAL IMPORTANCE OF THESE ECOSYSTEMS TO HOSTCOUNTRY, IT SHOULD ADDRESS THEIR ROLE IN THE REGULATION OF EROSION, MANAGEMENT OF WATER FLOW, AND THE MAINTENANCE OF PRODUCTIVE SOILS. THE ASSESSMENT SHOULD PLACE SPECIAL EMPHASIS ON THE REVIEW OF THE FOREST RESOURCES AND WETLANDS OF HOST-COUNTRY AND DESCRIBE THEIR STATUS AND CURRENT THREATS. THE RELATIONSHIP

BETWEEN LAND OWNERSHIP PATTERNS AND EFFECTIVE CONSERVATION SHOULD BE ADDRESSED.

(2.) IMPACTS OF DEVELOPMENT PROJECTS

THE TEXT SHOULD INCLUDE A REVIEW, BY MAJOR ECOSYSTEM, OF THE IMPACTS OF INTERNATIONALLY AND LOCALLY FUNDED MAJOR DEVELOPMENT PROJECTS ON BIOLOGICAL DIVERSITY AND TROPICAL FOREST RESOURCES. THE TEXT SHOULD REVIEW THE REGULATORY FRAMEWORK CONCERNING THE IMPLEMENTATION OF DEVELOPMENT PROJECTS AS THEY AFFECT BIOLOGICAL DIVERSITY, INCLUDING TROPICAL FORESTS. THE TEXT SHOULD SPECIFY THE ENVIRONMENTAL REVIEW AND PERMITTING REQUIREMENTS OF THE HOST-COUNTRY GOVERNMENT AS THEY CONCERN MAJOR PROJECTS.

(3.) EX-SITU CONSERVATION

THIS SUBSECTION SHOULD PROVIDE A DESCRIPTION OF EX-SITU SPECIES CONSERVATION EFFORTS BEING UNDERTAKEN AND/OR PLANNED IN HOSTCOUNTRY, IT SHOULD REVIEW THE PROGRAMS OF NATURAL HISTORY MUSEUMS, HERBARIUMS, BOTANICAL GARDENS, ZOOS, AND CAPTIVE BREEDING PROGRAMS AND INCLUDE A SUMMARY OF ANY EXISTING CONSERVATION DATA BASES.

F. CONSERVATION OF ECONOMICALLY IMPORTANT SPECIES AND GERMPASM

THIS SECTION SHOULD PROVIDE A DESCRIPTION OF THE ACTIVITIES BEING UNDERTAKEN IN HOSTCOUNTRY FOR THE CONSERVATION OF ECONOMICALLY IMPORTANT SPECIES AND GERMPASM. IT SHOULD REVIEW THE STATUS OF GENE BANKS FOR CROP AND LIVESTOCK SPECIES, NATIVE SEED COLLECTION, AND ACTIVITIES BEING UNDERTAKEN TO SUPPORT THE SUSTAINED PRODUCTION OF COMMERCIALLY IMPORTANT WILD PLANT AND ANIMAL SPECIES (E.G. FOR FORESTRY PRODUCTION, HUNTING, FISHING OR COMMERCIAL TRADE), AND IN-SITU CONSERVATION OF LAND RACES AND WILD RELATIVES OF IMPORTANT CROPS.

G. MAJOR ISSUES IN BIOLOGICAL DIVERSITY AND TROPICAL FOREST CONSERVATION

THIS SECTION OF THE ASSESSMENT SHOULD PROVIDE A SUMMARY OF THE MAJOR ISSUES REQUIRING ATTENTION IN ORDER TO IMPROVE THE CONSERVATION OF BIOLOGICAL DIVERSITY AND FOREST RESOURCES. THE PRESENT AND FUTURE REQUIREMENTS FOR THE DEVELOPMENT OF LOCAL INSTITUTIONS AND TRAINING, BOTH GOVERNMENT AND NONGOVERNMENTAL, SHOULD BE

ADDRESSED. ISSUES CONCERNING THE MANAGEMENT OF PROTECTED AREAS SHOULD BE REVIEWED. SPECIAL ATTENTION

(E.G. DO EXISTING PROTECTED AREAS ENCOMPASS MOST SIGNIFICANT BIOLOGICAL RESOURCES?). AN ATTEMPT SHOULD BE MADE TO PRIORITIZE ISSUES REQUIRING MOST IMMEDIATE ATTENTION.

H. RECOMMENDATIONS FOR PROPOSED ACTIONS

THIS SECTION SHOULD INCLUDE A REVIEW OF PROPOSED ACTIONS TO ADDRESS ISSUES CONCERNING BIOLOGICAL DIVERSITY AND TROPICAL FORESTS WHICH MAY BE IMPLEMENTED, WITH SUPPORT FROM AID, THE HCG, INTERNATIONAL DEVELOPMENT ORGANIZATIONS, AND LOCAL AND INTERNATIONAL NON-GOVERNMENTAL ORGANIZATIONS. RECOMMENDATIONS SHOULD BE IDENTIFIED WITH REGARD TO THEIR RELATIVE PRIORITY AND LENGTH OF IMPLEMENTATION PERIOD. IF AVAILABLE, PROPOSED ACTIONS SHALL INCLUDE A BRIEF DESCRIPTION OF THEIR OBJECTIVE AND ANTICIPATED BENEFITS. THIS SHALL INCLUDE A CONCISE ANALYSIS OF COST (FOREIGN AND LOCAL CURRENCY), IDENTIFICATION OF THE APPROPRIATE INSTITUTION (S) FOR IMPLEMENTATION, ESTIMATED IMPLEMENTATION PERIOD, AND OUTLINE REQUIREMENTS FOR INSTITUTIONAL DEVELOPMENT AND TRAINING TO ASSURE THE SUSTAINABILITY OF THE PROPOSED PROGRAM.

THIS SECTION SHOULD ALSO INCLUDE THE IDENTIFICATION AND ASSESSMENT OF THE HCG AND NGO INSTITUTIONAL AND EDUCATION AND TRAINING PROGRAMS TO PRESERVE AND AID TO BIOLOGICAL DIVERSITY AND TROPICAL FORESTS, ESPECIALLY WHERE ENDANGERED SPECIES ARE APPARENT. THE ASSESSMENT WILL ADDRESS PROGRAM CONSTRAINTS, INCLUDING THE NEED TO CONSIDER CONDITIONING CERTAIN ASSISTANCE UPON HCG LEGISLATIVE OR ADMINISTRATIVE ACTION IN ORDER TO OFFICIALLY DESIGNATE AND STRENGTHEN HCG COMMITMENTS FOR PROTECTED AREAS, AND FOREST CONSERVATION.

I. APPENDICES

THE ASSESSMENT SHOULD INCLUDE, BUT NOT BE LIMITED TO THE FOLLOWING APPENDICES:

- (1.) BIBLIOGRAPHY AND A LIST OF RELEVANT GOVERNMENT AGENCIES AND NGOs
- (2.) BIOGATA SKETCH OF TEAM MEMBERS
- (3.) LIST OF PERSONS AND INSTITUTIONS CONTACTED

OTHER APPENDICES MAY BE ADDED AS APPROPRIATE TO THE OBJECTIVE OF THE BIOLOGICAL DIVERSITY/TROPICAL FOREST ASSESSMENT. SHULTZ

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Guidelines for National Environmental Action Plans

**MOVING TOWARDS A COMPREHENSIVE FRAMEWORK FOR
ENVIRONMENTAL PLANNING AND MANAGEMENT:
THE NATIONAL ENVIRONMENTAL ACTION PLAN PROCESS (NEAP)**

1. This memo presents a general outline of what a NEAP should consist of. It is a general model, which can be modified depending upon the individual country, its specific environmental issues and the existing institutional structures. It is meant to provide guidance for the steps which must be taken once the NEAP—a country's framework for environmental planning and management—is approved, in order for it to be implemented. Keep in mind that there is no "model" NEAP and that what is presented here is indicative.
2. The preparation of the NEAP is the responsibility of the government, though for the process to be successful, there should be broad-based input from the private sector, the NGO, university and academic communities as well as input from those local-level communities whose activities frequently have a deleterious effect on the environment. Ideally, the NEAP should originate with and be prepared by appropriate agencies within the government since its implementation will be satisfactory only if these agencies support the process.

Definition and Objectives of the NEAP

3. A NEAP analyzes a country's environmental issues in a comprehensive, multi-sectoral framework and sets forth a long-term strategy for sustainable development that does not degrade the country's natural environment. In proposing practical remedial measures, the analysis considers cross-sectoral linkages that affect renewable and non-renewable resources. It also considers the effects on human activity as well as the effects of such activity. Although the term NEAP often refers to a specific document formally designated as such, many other approaches can achieve the same objective of preparing a comprehensive environmental analysis and setting forth a long-term national public policy and investment strategy.
4. The NEAP examines the quality of the environment and the use of natural resources. It also assesses the economic and institutional issues associated with the management of these resources to enable sustainable development and the maintenance of human health and well-being. Based on the results of this analysis, the NEAP should set forth priorities and related policy recommendations in the following areas: (a) government and public awareness of environmental issues; (b) a national strategy for environmental protection; (c) specific programs and investment projects to address priority problems; (d) an information system for monitoring the state of the environment; (e) the management of natural resources, particularly endangered species and habitats; (f) the reversal of environmental degradation; and (g) protection of the public from environmental pollution and hazards.

Scope of the NEAP

5. A comprehensive NEAP would cover the following:

(a) a summary of the country's overall environmental situation relative to its development strategy. It should identify the relevant policies and legislation that provide a framework

(b) an analysis of major demographic, public health and safety, cultural heritage and other sociocultural and socioeconomic factors important to the environment and resource use. Basic information on these cross-sectoral items should be required as inputs for analyses of problems and solutions proposed.

(c) an analysis of the legal and institutional framework. Legal and institutional factors for dealing with the priority problems would address key strengths and weaknesses in such areas as the regulatory and administrative framework, training and experience of civil servants, enforcement capabilities, availability of technical specialists and of education and training opportunities within the country, commitment of government to the environment, activities of NGOs and environmental awareness of private business and the general public.

(d) analysis of major development activity and trends of economic growth, resource use, and conservation. This analysis should cover major sectors--agriculture, forestry, industry, transportation, energy, housing, infrastructure, education, health and social services, mining, parks and tourism--all with special reference to the environment. The analysis should also identify specific constraints on future economic growth, including restrictions on land and water, reductions in human capital, shortages of arable land and water, limitations of skilled personnel, depletion of forests, soils, energy and other natural resources and the effects of population growth.

(e) analysis of key environmental and natural resource issues that threaten public health, social welfare, biological diversity and sustainable development. For each issue an analysis should be made of such causal factors as population pressure, improper farming methods, forced and voluntary resettlement, improper management of forests, land and other resources, price distortions or other market failures, technical insufficiencies, inadequate education and training and failure to have or to enforce pollution control measures. The relative importance of each issue should be determined in terms of its impact on sustainable development, based on quantitative analysis wherever possible.

(f) need for natural resource information management. In addition to the basic information required for the analysis of cross-sectoral problems and solutions, a NEAP would require a systematic determination of the types of data to be gathered, maintained, updated, analyzed and disseminated. The data encompass a wide variety of information from many fields, e.g., legal and fiscal cadastral systems, environmental indicators, geographic data and health records. The data have an equally wide range of applications from food security and preparedness for responding to natural disasters to erosion control and the monitoring of endangered species. The data would be generated by a broad spectrum of techniques ranging from door-to-door surveys to satellite imagery. The availability of data, difficulty of access and compilation, frequency of updating, and the cost of compilation and maintenance are all important concerns for the NEAP.

(g) strategy and recommendations for specific actions (macro, sectoral, project investment) for dealing with each of the issues identified. Specific recommendations may be required for legislation and other regulatory measures on management of land and other natural resources; economic policies that affect incentives for the private sector;

sectoral investment priorities.

(h) recommendation of an overall development strategy. This statement should indicate how environmental policy and investment strategies will affect the priority issues defined in the rest of the NEAP. The recommendations for the development strategy should be closely integrated with the specific recommendations for environmental protection and improvement. The recommendations should also complement those for resource management that the government believes will put the country on a path of sustainable development. The NEAP should also identify a number of programs and projects for external donor financing which will support this development strategy.

(i) a work plan or matrix. This should indicate the specific steps or timetable for carrying out all recommended actions.

Institutional Support Structures for NEAP Preparation

6. Given the frequent distribution of responsibilities for environmental issues and natural resource management throughout different sectoral ministries and technical services, preparation of an NEAP should be coordinated by a special secretariat set up with this as major responsibility. Given the cross-sectoral nature of environment protection and natural resource management, it will be difficult to assign this task to any one sectoral ministry. The NEAP secretariat should have a neutral position and be attached administratively to a higher body, such as a prime minister's or president's office, or a ministry of plan responsible for coordination of development assistance and inter-sectoral coordination. The NEAP secretariat should have a full-time coordinator to organize the work programs as well as an administrative staff. The secretariat should remain small and tightly organized. Its work should focus on bringing together the sectoral ministries, other branches of government, the private sector, the NGO and academic communities and representatives of community organizations and other local grass-roots based groups to contribute to the NEAP process through the task forces. It should function as the secretariat for the inter-ministerial coordinating committee.

7. It is useful to have an inter-ministerial coordinating council or committee, which has the authority to implement the recommendations of the secretariat and can generate cooperation across government structures. The coordinating committee would: (a) provide policy direction; (b) exercise authority for coordination through the work of the secretariat; (c) assure full government participation and commitment to the NEAP effort; (d) ensure that Cabinet remains fully and regularly briefed on NEAP progress and (e) provide high-level backup for the executive secretariat, legitimizing its interim role. The functions of this body require that it be a separate, specially constituted group, rather than another duty delegated to an existing body. The membership of the Council should include the main sectoral ministries. This group should meet at least quarterly and, whenever necessary on an ad hoc basis. It should be chaired by a high-level government official, such as a prime minister, minister of plan or a president.

8. The major responsibility of the NEAP secretariat would be to guide the preparation of the NEAP through management of individual task forces. Each task force would study selected environmental issues. They would enlist national expertise in the identification and description of natural resource management and environment protection issues and problems. They would analyse their causes, prioritize them and propose recommendations for dealing with those issues. The work of the various task forces would form the body of the NEAP and their recommendations

countries which have or are going through the NEAP process, each task force focuses on a major environmental issue or group of issues. Non-governmental participation is essential on the task forces. Major participants should include the university and academic communities, local NGOs, the private sector, local government bodies, local consultants and the civil society (including local communities, village organizations, etc.). The task forces should have designated chairmen, who could be the Permanent Secretaries of the ministries relevant to the subject of the task force, other government officials or individuals from outside the government with special expertise in the subjects under study. The NEAP secretariat would be the overall coordinator for this work, would be responsible for preparing the terms of reference for the task forces, developed in conjunction with them and with other technicians. An assessment of the local NGO capacities should be one of the early tasks of NEAP preparation, to maximize input from outside of government agencies. The NEAP secretariat would also be responsible for the final summarization of all the task force findings into the eventual NEAP document.

9. It is essential that the secretariat and the task forces bring together all relevant studies, surveys and planning efforts which have been done in the past. This includes studies such as the Tropical Forestry Action Plan (TFAP) or National Conservation Strategies (NCS). These should be critically analyzed for their potential contribution to the NEAP process, their base documents and results studied in order to avoid useless duplication of effort, and their proposed investment programs or implementation strategies integrated into the overall NEAP implementation strategy. It is critical that all the analytical work done in the different sectors with relevance to the environment be brought together and utilized in the process.

10. The process is really the most important element in developing an NEAP. The document itself should not be considered static and finished once it is printed; it should be continually revised as the NEAP is implemented, as better ways of addressing the issues become evident. The process, however, is critical to the success of the NEAP, and any actions arising from it, whether they be policy and legislative changes or project activities. The process should serve to convince those not directly involved in environment and natural resource activities, particularly those with an important deciding role within government, of the importance of natural resource and environment issues to the national development process. If this does not occur, then the results anticipated will not be readily forthcoming.

The Next Step: Preparing an Investment Program for NEAP Implementation

11. Once the NEAP document has been prepared with the consensus of all parties and has been accepted by government as the foundation for the strategy for environmental planning and management, the critical work begins. How to implement the NEAP and design a series of actions which address the issues identified during the analysis phase of the work is really the most complex part. The investment program must follow logically from the analysis contained in the NEAP and the project actions identified should correspond to the types of actions broadly identified in the NEAP as those necessary to begin tackling the priority issues.

12. The NEAP design process usually generates many project ideas, not all of which follow the strategy lines laid down in the NEAP. Given the cross-sectoral nature of the work and the input from many public sector sources, this can be expected. The initial stages of preparing the investment program consists in prioritizing the activities which will be proposed to the donor community for

13. It is usually during this phase of the work that issues such as the review and reform of the legislative and regulatory framework for environmental management are addressed (frequently as part of the project activity within the investment program--this also includes the regulatory guidance for environmental impact assessments) and final decisions concerning the institutional framework for environmental management are taken. Work on the investment program provides the opportunity to take a realistic look at what can and cannot be achieved within a given time frame.

14. During the development of the investment program, there should be a focus on donor coordination and support of the priorities as identified by government. The NEAP as approved provides official guidance on those areas which the government feels are priorities for action on the environmental front. Donors wishing to work in the environmental area in a given country should work within the framework established by government as a partner supporting those activities, sectors or objectives which interest them and in which they can provide specific expertise. Once a country has an NEAP, it is difficult for a donor to develop and successfully implement environment-related programs which do not respond to the issues as identified in the NEAP. Given the NEAP framework, coordinated action by the donor community is made easier: guidance exists and the donors have a plan around which to design their own programs. This can facilitate pooling of intellectual and financial resources for greater effectiveness of action. It can also ensure that government will not have to contend with a multitude of different programs with different objectives proposed for the same sector and addressing the same issues.

15. A donor roundtable is a necessary step to begin formalizing the level of support that the NEAP will attract. The roundtable, at which the NEAP will be discussed and the proposed investment program reviewed initially, will usually result in indications of interest from different donors for different actions proposed in the initial investment proposal. Once it is fairly certain which donors will be supportive and what areas interest them, they develop projects or programs in coordination with the government and along the broad policy directions outlined in the NEAP. In this way, during the roundtable process and during the in-country negotiations which follow as projects are designed, a donor coalition is created to support the NEAP. This coalition should be supported by regular in-country meeting between donors and between donors and the government agencies involved in the actions under the mantle of the NEAP. Given that the NEAP is a continuing governmental process for planning and implementation of environmental management, there is a need for permanent dialogue on the success of the varying approaches taken to address the issues.

NEAPs in Africa

16. At this point, there are over twenty countries in Africa which have either prepared or are now preparing NEAPs. Only a few have been completed and accepted by government and are under implementation. Others are still in the design stage while others are just at the point of determining how to implement the NEAP. Senegal is, therefore, part of a wider movement across the continent.

17. There is a NEAP support network in Africa, recently created at the initiative of representatives of the twenty countries now engaged in the NEAP process. This network is called the Club of Dublin (so named because the first meeting of the African managers of NEAPs was held in Dublin, Ireland in December 1990). The Club has been conceived of as an open forum to provide support to the development of NEAPs and, more generally, to contribute to full incorporation of the environment into the development process in Africa. It involves African experts in environmental strategy and planning,

drawn from the donor community. The Club particularly contributes to: (a) the sharing of experiences and views among the national teams which have been involved in NEAP processes in Africa and elsewhere; (b) the dissemination of lessons to the new teams initiating NEAPs; (c) the enhancement of NEAP quality through monitoring and evaluation; and (d) above all, the development of human resources. The Club is the environmental arm of the Global Coalition for Africa (GCA) and is coordinated by a small secretariat based in Abidjan and hosted by the African Development Bank. Financing for the activities of this secretariat is provided by UNSO and the Royal Norwegian government, under World Bank coordination. The coordinator of the Club of Dublin is Professor Abdoulaye Sawadogo of Cote d'Ivoire.

18. The Multi-Donor Secretariat (MDS) works in close coordination with the Club of Dublin secretariat in Abidjan. The MDS was established to assist African countries in the preparation and implementation of their NEAPs with a special focus on donor coordination and helping countries prepare the investment programs for financing NEAP implementation. The MDS focuses on facilitation of communication both between donors and between donors and the national agencies responsible for NEAP preparation and implementation. The MDS provides special assistance to countries grappling with institutional issues for environmental management as well as the legislative questions, drawing upon lessons from other countries in Africa which have already pondered the same issues. The MDS provides information internationally on the NEAP process in various countries, helping to stimulate interest in individual NEAPs and help the countries identify appropriate sources for financial and technical assistance for NEAP implementation. The MDS is based in Washington DC at World Bank headquarters and is supported by a grant from the US Agency for International Development.

The coordinator of the MDS is Dr. Albert Greve.

Government Priorities and Future Directions

5. GOVERNMENT PRIORITIES AND FUTURE DIRECTIONS (32)

Prior to Independence (in 1990) environmental matters were treated with very little regard in Namibia. There was a very serious lack of planning in natural resource management and water, land and wildlife were not managed sustainably. There was no mechanism in place for ensuring that the private sector utilise Namibia's resources in an environmentally responsible way. There was a lack of information, awareness and training at all levels of society and decision-makers were often poorly informed. Conservation was seen as an issue of parks and wildlife and rural people were alienated from conservation matters.

Since the creation, at the time of Independence, of a ministry in control of environmental affairs (the Ministry of Wildlife, Conservation and Tourism, subsequently re-named the Ministry of Environment and Tourism) and the Directorate of Environmental Affairs within this ministry (in 1992) there has been a very distinct and impressive attempt to address environmental concerns in a logical and comprehensive fashion. Policies, programmes and legislation are being put into place which should ensure a well managed environment in future years. However problems of poverty, population pressure, unequal land distribution and a fragile environment which has already suffered fairly severe degradation and overexploitation in places should not be under emphasised.

The Directorate of Environmental Affairs put together a "12 Point Plan for Integrated and Sustainable Environmental Management" which sets out Namibia's Environmental Management Plan from the year of Independence (1990) until 1995. These 12 points are:-

1. Constitution. The environmental clauses in the Constitution (see 4.1) establish the framework for environmental protection in Namibia.
2. Environmental policies. The development of environmental policies has been targetted by the DEA as an essential step in sound environmental management. To date a large number of important policies have been drawn up, and this is an ongoing process.
3. Environmental legislation. Namibia's environmental legislation is to receive attention in a three year programme run jointly by the Directorate of Environmental Affairs and the Office of the Attorney-General. A full time environmental lawyer has been appointed as team leader.
4. Environmental Action Plan. This is a programme which has been developed to identify priority activities within different sectors in the country that need to be developed to achieve environmentally sustainable development. The first step in this process has been completed with the publication of Namibia's Green Plan. The Green Plan highlights a number of social, environmental and cross-cutting issues that require priority attention. It identifies the main environmental issues facing Namibia and the actions required, the most important of which are given as being:-
 - helping to ensure that Namibia has clean air, water and land
 - supporting the sustainable use of natural resource
 - protecting special spaces and species
 - preserving the integrity of the Namib desert

- highlighting the importance of protecting wetlands in arid regions
 - guarding against the threat of desertification
 - promoting global environmental security
 - encouraging environmentally responsible decision-making at all levels, through information and democratisation.
5. **Biodiversity Information Systems.** A Biodiversity task force has been established to co-ordinate biodiversity research, monitoring, publication and activities with neighbouring countries and the international community.
 6. **Partnership Programmes.** Partnerships between the Ministry of Environment and Tourism and other government ministries, non-government organisations and local communities are encouraged by the development of several cross-cutting programmes.
 7. **Environmental Profiles.** A series of regional profiles are to be developed to facilitate properly informed planning for (a) regional land use planning, (b) industrial and infrastructural development, and (c) further development of community based natural resource management programmes
 8. **Protected Area Network.** A task force is to be established to evaluate the protected area network and to assess what areas need better representation and how this could be achieved. In addition integrated Park Management Plans, which integrate short and long term goals for Namibia's parks, are being drawn up.
 9. **Environmental Education and Training.** The Ministry of Environment and Tourism together with the Ministry of Education and Culture and various non-governmental organisations are developing a co-ordinated environmental education network. Training programmes (and related bursaries) for different levels of environmental management will also receive attention.
 10. **Environmental Protection.** The Directorate of Environmental Affairs has initiated an "Industries Project", aimed at collecting data on toxic and hazardous waste production, and management procedures in different industries within the country. The Directorate of Environmental Affairs is also developing a national policy and strategy relating to pollution.

The Directorate of Environmental Affairs has drawn up a national Environmental Assessment Policy for use in development projects. An Environmental Commissioner, employed by the directorate, will work within the National Planning Commission, to review projects, policies and programmes and facilitate environmental assessments.

The Directorate of Environmental Affairs also has plans to establish a national environmental auditing procedure and natural resource accounting.

11. **Special Issues Programme.** Projects of special importance, such as resource programmes relating to wetlands or water, or large national issues such as desertification are addressed, e.g. Ministry of Environment and Tourism, together with the Desert Research Foundation of Namibia are convening a "Desertification" programme.
- Another important programme which is to be initiated is one on "State of the Environment Reporting".

12. **International Programmes.** Namibia is an active participant in a wide variety of regional and global conservation programmes.

Namibia is committed to the fundamental objectives of Agenda 21, resulting from the United Nations Conference on the Environment and Development (Rio, June 1992). All the activities listed in the "12-point plan" are in direct support of these processes.

**Background on the Establishment of a National Community-
Based Natural Resource Management Program**

Approaches to the Establishment of a Communal Areas Resource Support Body

During the assessment process MET and the WWF Program Team generated a concept paper suggesting the establishment of a national coordinative and implementational CBNRM body, notionally called the Communal Areas Resource Support Institute of Namibia, or "CARMS". While it could in time incorporate some activities currently conducted by the LIFE Steering Committee, it could be different in that it would be:

- National in scope
- Multi-donor supported
- Not limited to the LIFE Project time frame

The Internal and External Assessment Team arguments for this type of body included the following:

Expected Outcomes:

1. Greatly enhanced likelihood of institutional, financial, and political sustainability of LIFE outcomes within target areas.
2. Strengthening of national CBNRM Programme and movement.
3. Greater likelihood of non-target communities succeeding in conservancy efforts (via greater TA to communities pursuing conservancies).
4. Stronger political and public support for CBNRM through publicity/advocacy representation for CBNRM in Windhoek.
5. Greater likelihood of replication beyond target areas/communities.

This analysis of factors to be considered in the development of a "CARMS - type" organization considers the following issues:

- Functions
- Membership
- Phased development

Functions:

Arguments for the establishment of a national coordinative body for CBNRM can be advanced on the basis of need for the following:

1. Policy and programme coordination and development

2. Policy advocacy by CBNRM constituencies
3. Publicity and public relations
4. International representation
5. Fund raising (national and international)
6. Financial management, conduit for donor grants
7. Provision of services (logistics, information exchange, marketing, etc.)
8. Provision of extension and organizational capacity building
9. Provision of formal training
10. Provision of research

It should be noted however that, by their nature, only the first four on this list are functions that require a national body to carry them out. The rest are functions which could be carried out by two or more organizations and advocacy for their inclusion in the mandate of a national body must rest on such secondary considerations as organizational efficiency or economies of scale. These arguments must be carefully substantiated, in recognition that the more inclusive in function a national organization is the more diffuse will be its focus and the more bureaucratized will be its operations.

Approaches to National Coordination:

Three types of approach to national coordination in programs of this type can be possible:

1. Loose Coalition under government authority:

Various institutional actors operate semi-autonomously of each other performing disaggregated functions and coordinated primarily by the government agency concerned.

Advantages:

- Each organization operates under a discrete form depending on its mandate.
- Organizations able to innovate and respond rapidly to new problems or opportunities.

Disadvantages:

- Coordination rests with government agency and is relatively loose.
- Duplication and lack of complementarity.
- Lack of synergy and communication between agencies.
- Low profile for a national programme.

2. Tight Coalition Involving Government and other Centrally-Involved Organizations:

Disaggregated functions are carried out by different agencies, integrated by a coordinative body with specific directive mandates.

- Advantages:
- Discreet functional foci for each organization, but with greater complementarities and synergy than in No. 1 above.
 - Incorporates a wide spectrum of stakeholders in policy discourse and implementation.
 - Less integrative burden on government.

- Disadvantages:
- Possibly inadequate control of discrete activities.
 - Possible conflict in accountability lines of cooperative agencies.
 - Possible exclusion of important organizational actors.

3. Organizational Amalgamation:

All CBNRM organizational actors operate under the tight direction of one agency to which they are primarily accountable.

- Advantages:
- Tight integration and complementarities in programme.
 - High profile.
 - Possible donor preference.

- Disadvantages:
- Lack of flexibility, inhibits innovation by member organizations.
 - Organizations may have multiple accountabilities difficult to reconcile.
 - High transaction costs, bureaucratic hypertrophy.

The current situation with respect to national coordination is characterized by the "loose coalition" approach; while in the LIFE Project the "tight coalition" situation applies. Decisions will have to be made as to whether strategy will be to move national coordination to a "tight

coalition" position (taking over Steering Committee functions in the process) or to aim for the "organizational amalgamation" model. There appears to be support for both approaches.

In considering this strategic question Namibian CBNRM interests will have to consider whether the national coordinative body is to be an extension and development of the current Collaborative Group or a reincarnation, on a national scale, of the Steering Committee after LIFE. The first is a prototype of the "tight coalition" approach, which limits itself primarily to function 1, (policy, programme and coordination). The LIFE Steering Committee is the prototype for the "organizational amalgamation" model which is inclusive in functions. Permutations within this spectrum are also possible. Whichever model is chosen, it will be important that the new body is not conceptualized as an extension or expansion of LIFE and the Steering Committee. Nor should it give the appearance of being so, and should have its secretariat located outside LIFE offices.

Membership and Special Function:

Functions 1, 2 and 4, and to a large extent functions 3 and 5, are national responsibilities suggesting that they should be carried out by a body which is exclusively national in its membership. Function 2 requires an even narrower representational base. No one can represent communal natural resource managers with adequate political salience other than a body which is directly accountable to them. This therefore is a "stand alone" function to be carried out by an organization separate from, but linked to, a national coordinative body.

These considerations suggest that the national CBNRM coordinative body should consist of core representation from the following:

- Relevant Government ministries (MET, MAWRD, MLRR, LGH)
- The Conservancy Association
- The Environmental Investment Fund
- National participating NGOs and CBOs

This profile of representation provides the basis for a national coordinative body with a mandate to carry out directly functions 1,3,4 and 5, and to indirectly assist one of its members (The Conservancy Association) in its performance of function 2.

Such a body, with this kind of mandate, would provide the essential requirements for a national coordinating body in the "tight coalition" model. Functions 6-10 are not essential functions for a national coordinating body, although it should exercise a coordinating control over them. If it is deemed appropriate to include operational activities in these functions in the mandate of the coordinative body, then a "second tier" membership of organizations involved in these activities could be considered.

Phased Development:

The Assessment Team meeting 20 March 1995 on this topic recommended that the body proposed be developed in a phased build-up, a first stage being focused on functions 1, 3, 4 and 5, with some extension capacity as well, this step to be initiated as soon as the Collaborative Group endorses the initiative. Staffing levels required include one administrator, a professional in media publicity and information dissemination, a secretary and one extension officer. Other requirements are budgets for consultancies and publications, office and travel equipment. A second stage, adding other implementational functions, should be considered and if accepted should be planned for. Financing of the body should be considered from LIFE Project funds and consideration also given to the establishment of a long-term endowment to ensure sustainability.

LIFE Program Team cost projections are:

| <u>Level of intensity</u> | <u>Through PACD</u> | <u>15-Year Endowment</u> |
|----------------------------|---------------------|--------------------------|
| Basic tech./policy support | USD \$412K | USD \$555K |
| Full Grants Management | USD \$825K | USD \$5m. |

LIFE Program Team Recommendations are:

- Existing\$\$
1. Fund CARMS start-up sub-grant via Steering Committee for USD \$425,000 through PACD for modest scale of operations and development using existing grant funds, or a portion of the remaining ZSSD Grant.
 2. Earmark grant funds of USD \$125,000 to support other niches that the CARMS decides to enter.
- New\$\$
- Seek to endow continuation of CARMS, with grant-making capacity to begin Jan 1998. If CARMS declines, provide additional grant funds through multi-donor support.

Other Considerations:

- Consider a possible change in name. an "institute" implies a focus on training and research in popular vocabulary. It also emphasizes service and implementational activities, while the central rationale for the body is coordination. "Agency" might be a better term.

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- Decisions on the establishment and form of such a body lie with the Collaborative Group, not the Steering Committee. Before the Steering Committee and LIFE can make any firm decisions, prior determination must be made by the Collaborative Group.
- Being a proposal primarily aimed at national CBNRM, this development could be considered to fall largely outside the orbit of LIFE Program activities and an item which MET and Namibian NGOs should initiate through other channels, LIFE Program support being limited to initiatory institution building if requested. However, the possibility of LIFE grant support being provided to a national CBNRM entity in the future should be kept open.

Government Priorities and Future Directions

Background on Additional Resource Requirements

| | | | | Current PACD | | Suggeste PACD |
|-----|------|------|------|-----------------|------|------------------|
| '95 | 7/95 | | 7/96 | | 7/97 | |
| | 9/95 | 3/96 | | 12/96 | | 7/98 |
| | | | | | | 7/99 |

Grants to NGOs, CBOs, and MET in the target areas made by LIFE Programme Team

Conflicts with NRE Funding

\$1

\$0.6m. Extend NRE FM CBNRM TA thru current PACD

NRE CBNRM TA to 7/98; COP FM crossing staff to 7/99

\$0.55m Grant to CARMS to develop

Grant to CARMS to take on more implementation grants included in detailed. If not LIFE Prog team does grants

\$0.2m Funding to provide for persons to arrange CBNRM exchanges and to pay for them

CARMS endowment

\$

MET environmental Trust Fund Established and prepared to accept funds from CBNRM accounts (CARMS, CBOs, etc.)

\$0.6m MET HRD Developemt, data base, MET-wide training, scope of work revisions, etc. thru current PACD

Continuation of training program

\$0

ded:
achment
icy Support Unit

Legend

executed with existing funds

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Activity: **Extension of PACD from 7/97 → 7/99**

Expected Outcomes:

1. Greatly enhanced likelihood of ecological, institutional, financial, and political sustainability of LIFE outcomes within target areas
2. Strengthening of national CBNRM Programme and movement
3. Greater likelihood of non-target communities succeeding in conservancy efforts (via greater TA to communities pursuing conservancies)
4. Stronger political and public support for CBNRM through Publicity/Advocacy representation for CBNRM in Windhoek
5. Greater likelihood of replication beyond target areas/communities
6. Enhanced likelihood of "life after LIFE" through further strengthening of CARMS

Consequences of non-funding:

- Sustainability of target areas efforts less certain
- Spread effect of policy/institutional/technical changes from target areas to wider population in Namibia less likely

Cost: Depends on features included in extension

Time Frame: Beginning 7/97 to 9/99

Issues:

- To institutionalize CBNRM and have national impact, some inputs will occur outside target areas

LIFE Programme Team Recommendations:

Seek NRMP \$\$\$ to:

Extend LIFE to 7/99; terminate IS/PME position as scheduled; extend NRE and CBNRM/TA through 7/78; and extend Rossing Staff, FM and COP to 7/99. Attempt to fold as many functions and staff into CARMS as is appropriate at PACD (7/99). All other expatriate staff to be eliminated by 7/97.

Activity: Extension of Programme Team, Except MSI

| Position | Advantages of Extension | Disadvantages of Extension | Recommendation |
|-----------------------|--|--|---|
| COP | <ul style="list-style-type: none"> Permits continuity in management Assures COP familiar with USAID Assures COP with CBNRM Crucial in prudent development of CARMS | <ul style="list-style-type: none"> Could delay hand-off to CARMS Cost | Keep position until extended PACD (1999) |
| FM | <ul style="list-style-type: none"> Assures high FM standard Enables training of counterpart Reduces implementing organizations' financial vulnerability | <ul style="list-style-type: none"> Could delay hand-off to counterpart Cost | Keep position until extended PACD (1999) |
| CBNR M/TA | <ul style="list-style-type: none"> Enables training of 2nd Namibian staff in CBNRM Allows critical training of community mgt. bodies | Cost | Extend position thru 7/98, with intensive training of 2nd Namibian CBNRM/TA |
| NRE | <ul style="list-style-type: none"> Enables MET to obtain more economic analysis Allows LIFE input into critical CBNRM/Tourism policy development | <ul style="list-style-type: none"> MET has not shown support for maintaining position by appointing counterpart Cost | Only extend if MET provides counterpart prior to 3/96 |
| Local CBNR M/TA | <ul style="list-style-type: none"> Permits more community-level inputs Increases Namibian CBNRM skills | Cost | Keep on until extended PACD, with training from CBNRM/TA expatriate |

Cost:

| Projection | Additional Level of Effort | Cost (USD) | PACD |
|------------|---|----------------------|------|
| A | Nothing, status Quo | none, likely savings | 1997 |
| B | Extension of following positions to current PACD: 1. TA/CBNRM (Barbara) 2. NRE (Jon) 3. FM (Estelle) 4. NEW Local Hire for CBNRM/TA 1995-1997 | \$600,000 more | 1997 |
| C | Same as B with grants extended till 1999; NRE and CBNRM/TA to 7/98; FM, COP, and Rossing Staff till 7/97 | 3.7m. more | 1999 |

Time Frame: Beginning immediately, through extended PACD (1999)

Issues:

- Reconciling need to transfer ownership and management of LIFE functions to Namibians with desire to assure maintenance of USAID/WWF standards
- How much can we transfer of LIFE management to CARMS?

Current
PACD

Sug
P/

3/95

7/95

7/96

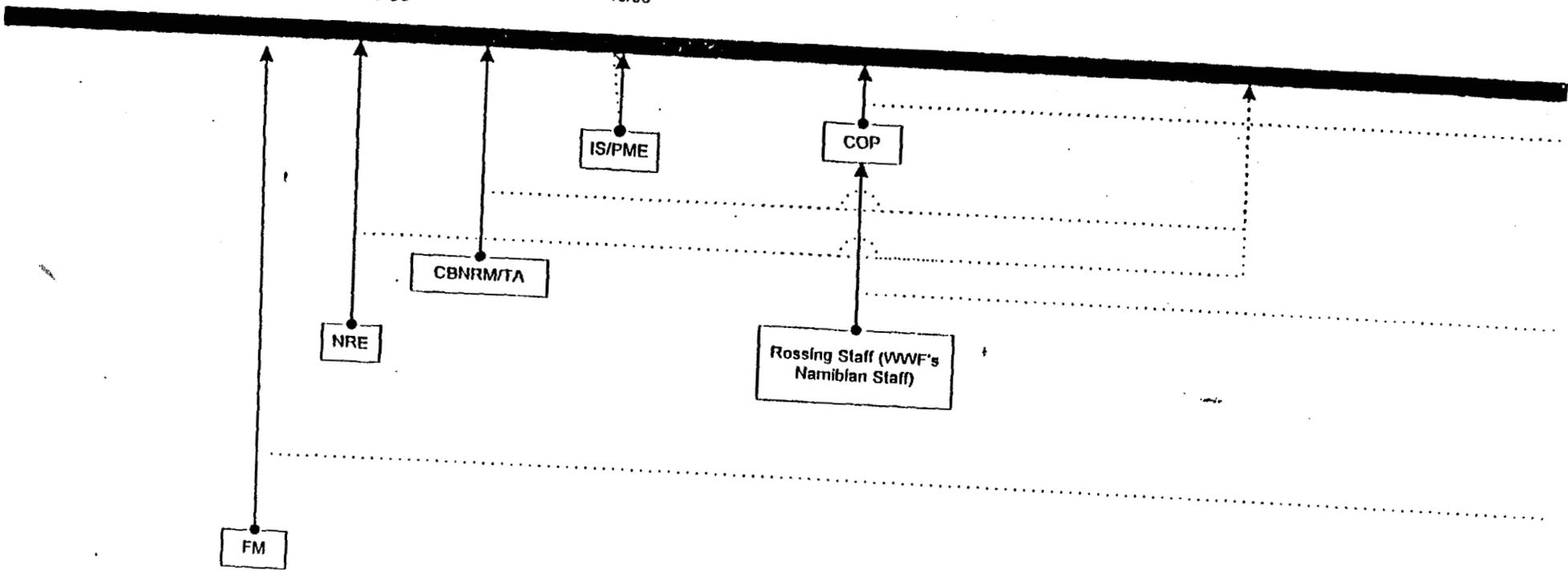
7/97

7/98

9/95

3/96

10/96



● ———> Current terminatic
● ·····> Proposer terminatic

22

Activity:

MET Training Programme

Expected Outcomes:

- Improved planning and implementation capacity of MET through better-trained and motivated staff
- MET will have HRM data base, training modules
- Training modules will be applied to target areas, increasing effectiveness of MET staff there
- Expediting of process of advancing of disadvantaged Namibians to middle management via affirmative action programs
- Model for rest of Namibia for competency-based and affirmative action human resource development
- Supports USAID/Namibia empowerment strategic objective

Consequences of non-funding:

- Missed opportunity for increasing LIFE project impact on addressing inequities remaining from apartheid era
- Reforms suggested in Training Needs assessment will need to be implemented with MET or other donor funds

Cost: USD 1 million

Time Frame: Beginning 9/95 to 7/98

Issues:

- Not directly related to purpose statement of LIFE Programme
- Further augments shift of resources to MET

LIFE Programme Team Recommendations:

Existing \$\$ Apply USD 600,000 of ZSSD grant to fund through 7/97 (if assured of additional funds to continue through 7/98)

New \$\$ Seek additional NRMP funding of USD400,000 to fund from 7/97-7/98.

**THE CONSOLIDATION OF DEMOCRACY IN NAMIBIA:
ASSESSMENT AND RECOMMENDATIONS**

Joel D. Barkan
Gretchen Bauer
Carol Lynn Martin

Final Report of July 28, 1994

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EXECUTIVE SUMMARY

This assessment of the prospects for the consolidation of democracy in Namibia was researched and written by Joel D. Barkan, professor of political science at the University of Iowa, Gretchen Bauer, assistant professor of political science at the University of Delaware and Carol L. Martin of the department of political science at Yale University. Research for the assessment commenced on July 1, 1994, with the final report completed on July 28, 1994. During the intervening period, the assessment team visited nine of Namibia's 13 administrative regions and interviewed more than 170 leaders of a wide array of Namibian institutions and organizations. A list of these individuals by region and affiliation appears in Annex A.

The purpose of this assessment is to provide the USAID mission to Namibia with a comprehensive analysis of the Namibian political system in order to enable the mission to arrive at a final design and project paper for a four year program to consolidate democracy in the country. As such, the assessment team commenced its work with no preconceptions of what specific initiatives it would ultimately recommend. The main criterion was that the recommendations should facilitate the long-term development of those institutions that we would identify as being most critical for the consolidation of Namibian democracy. We also determined that we should pay particular attention to the array of organizations and governmental structures that operate as intermediaries between the central government and local communities. Based on our past knowledge of Namibia, we were concerned that there exists a vast institutional gap between central government agencies and most Namibian citizens. We therefore decided that our inquiry should explore the dimensions of this gap to determine its extent, and quality, as well as the actions that should be taken to close the gap.

In the course of our investigations we confirmed that there is indeed a serious institutional gap between central political authorities and the population they purport to govern; so much so, that the state is virtually "suspended" over Namibian society. This problem is exacerbated by our second principal finding: that there is a widespread lack of advocacy capacity on the part Namibian citizens and local and regional leaders, as well as of leaders of major interest groups and NGOs, to articulate and lobby for their needs vis-a-vis the state. The Namibian political system is sufficiently open that most groups and associations have opportunities to assert their interests, but they are unable to take advantage of these opportunities. For example, Parliament debates issues of policy on a daily basis, but public galleries are empty; NGOs have the opportunity to make input into the work of the National Planning Commission, but cannot articulate such input in a manner that is digestible by the Commission; there is a system of district labor courts, but the trade unions have no legal expertise to defend their members who wish to seek remedies through these courts, etc.

The two problems of a lack of advocacy capacity and the lack of intermediary institutions between state and society are interrelated, and to some degree mutually reinforcing. The lack of advocacy capacity means that there is an absence of the kind of activities such as lobbying by interest groups that give rise to vibrant political parties and other institutions for holding the state accountable to the governed. Conversely, because there are few existing linkages, both the government and centrally based

NGOs face great obstacles in mobilizing citizens for a variety of forms of community and collective action.

In the assessment that follows we begin with an overview of the current state of the Namibian political system and economy. We then turn to a systematic review of all but one of the institutions and organizations, both public and private, whose activities directly affect the consolidation of democracy in Namibia. The one exception is the security forces which, for reasons stated in the narrative, were beyond the scope of our investigations. The review of both governmental institutions and civil society describes—organization by organization—why the absence of institutional linkages and an advocacy capacity are the two principal obstacles to the consolidation of democracy in the country.

After a discussion of the criteria USAID should employ when identifying specific areas for its programmatic initiatives in support of democracy, we turn to an extended discussion of our principal recommendations in section V. Here, we both describe what these initiatives should entail and discuss, to the extent that we are able, the methods by which the USAID mission to Namibia, together with the U.S. Embassy and USIS, might implement these recommendations.

Our recommendations cluster into five interrelated realms of activity which, if pursued, will result in an integrated program to support the consolidation of democracy in Namibia by addressing its principal constraints. The program areas are (1) building advocacy capacity; (2) facilitating decentralization; (3) enhancing the transparency and accountability of Parliament; (4) strengthening the rule of law and human rights; and (5) supporting the media.

To build advocacy capacity in Namibia, we recommend the establishment of an Advocacy Center in Windhoek which would provide an array of specialized and needed resources to the NGO community, the trade unions, and church based development organizations as well as to other actors in the Namibian political system. The center probably would be established under NANGOF, the Namibia Non-Governmental Organisation Forum. The center, which would serve as a base for specialists in public interest law, labor relations, community organizing, etc., would have a small library and an E-mail capacity to link member organizations and to provide information rapidly. Indeed, the establishment of E-mail in Namibia, while not a programmatic area itself, was mentioned again and again in the course of our investigations as a priority need by the key institutions that we recommend supporting in all five programs. The strengthening of advocacy capacity will also require the establishment of more modest, yet much needed, centers at the regional and constituency level across Namibia. In our discussion, we suggest how such centers might be established, by whom, etc.

The second major area of emphasis is decentralization. Stated simply, until meaningful decentralization takes place in Namibia—that is to say until there is a real devolution of power to the existing and elected local and regional councils—the institutional gap between the central government and individual Namibians will remain acute. In the course of our investigations we were constantly made aware of a rising level of frustration on the part of most locally elected leaders and their constituents—that they are unable to deal with the problems of their communities, because they are kept on a short leash by the central government, especially the Ministry of Local and

Regional Government and Housing, and because they have no independent sources of revenue. Both the constitution and the legislation which specifies the role and authority of local and regional government are vague, but the redrafting of both is obviously beyond the scope of what USAID might do to strengthen these institutions. We therefore recommend several programs which could be pursued under the auspices of the Ministry of Regional and Local Government and Housing to strengthen and increase the autonomy of these local bodies. Some involve training. Others involve the development procedures for regional planning, finance, and improved public management.

Our recommendations to enhance both the National Assembly and the National Council focus on the need to improve the capacity for policy research analysis so that the members of both houses will have a better understanding of pending legislation. We also suggest that support be provided to improve and extend media coverage of the legislature, and that some attention be paid to strengthening MP skills at constituency service. These recommendations build upon several successful, albeit short term programs which the United States has sponsored in this area since 1991.

The fourth area of emphasis is the rule of law, especially the strengthening of the lower courts. Two types of courts are responsible for the administration of basic justice in Namibia—community courts and magistrate courts. Unfortunately, the number of trained Namibian magistrates is too few, and the courts over which they preside lack basic reference materials such as handbooks, complete sets of statutes, etc. To overcome these deficiencies, the assessment team recommends support for the Justice Training Centre, a small institute established for the sole purpose of upgrading skills of those who staff the lower courts, as well as training of the police. We also suggest that support be provided to the Legal Assistance Centre, and possibly to the Human Rights and Documentation Centre at the University of Namibia.

Finally, we complete our discussion of recommended programs by suggesting what USAID can do to strengthen the broadcast and print media. The most fundamental problem is the dearth of trained journalists, especially journalists in specialized fields of reporting such as economic policy and finance. To this end we recommend a number of initiatives in support of the Media Institute of Southern Africa—Namibia. These include provision of a core grant to facilitate the establishment of the Namibia branch, support for a legal defense fund for the media, provision of an E-mail facility to MISA-Namibia as well as a subscription to the on-line news service Nexus. A primary task of MISA will also be to provide training opportunities to upgrade the skills of Namibian journalists, and the team recommends that technical assistance be provided to provide such training. The assessment also recommends support to the Namibia Broadcasting Corporation in a number of discrete areas. These includes the provision of cameras and other necessary equipment for a live broadcast television facility from the National Assembly and National Council, and to strengthen community based broadcasting.

Our assessment concludes with a short section on the implications our proposed program will have for USAID. We strongly recommend the appointment of a resident democracy and governance advisor to direct the program, and of a project manager who would be responsible for handling a substantial amount of paperwork. A

discussion of the type of person who should be recruited to serve as the DG advisor is outlined.

We believe that this paper will enable the mission to move quickly towards a final project paper in time to mount a country DG program by February or March of next year. To facilitate the development of the project paper, the assessment team has taken great pains to collect an array of documents and materials on local organizations and establish a file of these materials. These files should form the core of a mission library for democratization and governance issues in Namibia.

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Acronyms

| | |
|--------|---|
| AG | Attorney General |
| ACN | Action Christian National |
| CASS | Centre for Applied Social Sciences |
| CBO | Community Based Organization |
| CCN | Council of Churches of Namibia |
| DTA | Democratic Turnhalle Alliance |
| DWA | Department of Women's Affairs |
| ELCIN | Evangelical Lutheran Church in Namibia |
| FCN | Federal Convention of Namibia |
| FES | Friedrich Ebert Stiftung |
| GRN | Government of the Republic of Namibia |
| HRDC | Human Rights and Documentation Centre |
| ICFTU | International Confederation of Free Trade Unions |
| IMLT | Institute for Management and Leadership Training |
| JTC | Justice Training Centre |
| LAC | Legal Assistance Centre |
| LAUN | Local Authorities Union of Namibia |
| MANWU | Metal and Allied Namibian Workers Union |
| MISA | Media Institute of Southern Africa |
| MOJ | Ministry of Justice |
| MRLGH | Ministry of Regional and Local Government and Housing |
| MUN | Mineworkers Union of Namibia |
| NAFAU | Namibia Food and Allied Union |
| NAFWU | Namibia Farmworkers Union |
| NANAWO | National Namibian Women's Organisation |
| NANGOF | Namibia Non-Governmental Organisation Forum |
| NANGOS | Namibian Association of Non-Governmental Associations |
| NANSO | Namibia National Students Organisation |
| NANTU | Namibia National Teachers Union |
| NAPWU | Namibia Public Workers Union |
| NATAU | Namibia Transport and Allied Union |
| NAU | Namibia Agricultural Union |
| NBC | Namibia Broadcasting Corporation |
| NBWU | Namibia Building Workers Union |
| NCSL | National Council of State Legislatures |
| NDAWU | Namibia Domestic and Allied Workers Union |
| NDF | Namibia Defence Force |
| NDT | Namibia Development Trust |
| NEPRU | Namibian Economic Policy Research Unit |
| NEF | Namibia Employers Federation |
| NGO | Non-governmental Organization |
| NID | Namibia Institute for Democracy |
| NIED | National Institute for Educational Development |
| NISER | Namibian Institute for Social and Economic Research |
| NNCCI | Namibia National Chamber of Commerce and Industry |
| NNF | Namibia National Front |
| NNFU | Namibia National Farmers Union |

| | |
|--------|--|
| NNRCCI | Northern Namibia Regional Chamber of Commerce and Industry |
| NPC | National Planning Commission |
| NPF | National Patriotic Front |
| NPSM | Namibian People's Social Movement |
| NWRWU | Namibia Wholesale and Retail Workers Union |
| NUNW | National Union of Namibian Workers |
| PLAN | People's Liberation Army of Namibia |
| PSC | Public Service Commission or Public Service Contractor |
| PSF | Private Sector Foundation |
| PSUN | Public Service Union of Namibia |
| PVO | Private Voluntary Organization |
| RISE | Rural People's Institute for Social Empowerment in Namibia |
| SADC | Southern African Development Community |
| SIDA | Swedish International Development Agency |
| SWAMU | South West Africa Mineworkers Union |
| SWANU | South West Africa National Union |
| SWAPO | South West Africa People's Organisation |
| SWATF | South West African Territorial Force |
| UDF | United Democratic Front |
| UNAM | University of Namibia |
| UNIN | United Nations Institute for Namibia |

I. PURPOSE AND PERSPECTIVE OF THIS ASSESSMENT

The purpose of this assessment is to provide the USAID mission to Namibia (as well as the US Embassy and USIS) with a comprehensive analysis of the Namibian political system to enable the mission to arrive at a final design and project paper for an integrated program to support the consolidation of democracy in Namibia. As such, this assessment examines all areas of Namibian politics except civil-military relations. The assessment is thus purposely broad and open-ended. Although we conclude this assessment with a discussion of five programmatic areas that we believe should be the focus of USAID's support, it is important to emphasize at the outset that these areas and the specific activities within them are the result of our effort to consider the widest range of opportunities available to the mission. Not all of the programs we propose will be equally feasible for USAID to pursue in the short term. Some may need to be initiated on a pilot basis, and expanded over the course of the project. Still others may require coordination and/or co-financing with other donors. All, however, are "doable" over the expected duration of the mission's democracy and governance program. None should be excluded simply because they appear complicated and experimental compared to USAID's conventional portfolio.

This assessment seeks to answer three basic questions: (1) What is the current condition of Namibia's nascent democracy and the institutions and organizations which comprise the Namibian polity? (2) What needs to be done to consolidate the democratic process in Namibia? (3) What specific activities can USAID support to address the most pressing needs given the available personnel and delivery mechanisms available to the mission? To arrive at the answers to these questions we have interviewed more than 170 Namibians from a wide range of organizations, both public and private in nine of the country's 13 regions.¹ The consistency of their responses regarding the current situation in Namibia, and what needs to strengthen democracy in the country was itself one of the principal findings of this assessment. Time and time again, albeit in varying ways, we were told that there is a danger that the Government of Namibia (GRN) is losing touch with the governed, that the government is overcentralized, and that it is in many respects "suspended" over the society it purports to rule. While the era of good feeling derived from independence continues, the honeymoon is nearing its end as an increasing number of citizens at the grassroots of Namibian society, and especially their local leaders, believe that their voices are not heard or respected by the center. Any program mounted by USAID to consolidate Namibian democracy will need to address this basic problem head-on.

Three assumptions have guided us in this assessment. First, it is assumed that USAID Namibia will mount an integrated program to support the consolidation of Namibian democracy of four years duration with the possibility of renewed assistance if measurable results are achieved during the life of the project. Second, it is assumed that most of the activities initiated by the mission will be sustained over the life of the project in order to strengthen key democratic institutions, especially those which comprise civil society. The activities proposed in the five areas recommended for support have not been conceived as "single shot" efforts of short term duration, but rather as clusters and sequences of activities to nurture the evolution of selected

¹ A complete list of individuals interviewed by region and position is provided in Annex A.

democratic institutions of countervailing power. This is the essence of nurturing pluralism in Namibia. Our perspective is explicitly developmental and medium to long-term in perspective, because there are no short cuts to democracy.

Our perspective and recommendations reflect USAID's policy in this new and experimental area of development assistance. As set forth in the Agency's policy paper, *Strategies for Sustainable Development*, USAID's strategic objective of achieving the transition to and consolidation of democracy through the world will be realized "through the establishment of democratic institutions. . . the promotion of democracy is [therefore] a long-term process that will require sustained commitment and timely and politically adept interventions."² While our recommendations to USAID Namibia are framed in terms of what the mission can reasonably accomplish during the time-frame of its initial democracy and governance program, the proposed program should be regarded as first steps towards a sustained commitment to the consolidation of Namibian democracy that may last up to ten years.

Finally, we have assumed that the mission's program to consolidate Namibian democracy will be guided by the presence of a full-time resident democracy/governance (DG) advisor assisted by a part or full-time project manager who will move the relatively large amount of paper (mainly purchase orders for grants and technical assistance) that will be required to implement the envisioned program. Discussion of the background and skills of the type of person required to be the DG advisor is found in section VI of this assessment.

² *Strategies for Sustainable Development* (Washington: U.S. Agency for International Development, March, 1994), p. 18. See also the penultimate draft of USAID's "Democracy Implementation Guidelines," June 6, 1994.

II. THE POLITICAL AND ECONOMIC CONTEXT

1. HISTORICAL OVERVIEW OF NAMIBIAN POLITICS AND POLITICAL CULTURE

The Pre-Independence Period

The name, "Namibia," originates from the word "/Namib/", which means "protective shield" in one of the country's local languages. It is significant that the Namib Desert derives its name from this same expression: that is, "the shield that protected the territory and the inhabitants, the people on or in it from foreign encroachment and occupation for at least some time."³

Germany occupied the territory of Namibia in 1883, later establishing a colonial administration. German administration ended during W.W.I, when the territory was occupied by South African forces in 1915. On December 17, 1920, South Africa undertook the administration of South West Africa under the terms of the Covenant of the League of Nations. Although the United Nations revoked the League of Nations' mandate in 1966, South Africa continued to rule the Namibian territory, even following a 1971 advisory opinion in which the International Court of Justice determined that the South African presence in Namibia was illegal, and that South Africa should therefore immediately withdraw from the territory.

In 1977, Western members of the UN Security Council - Canada, France, Federal Republic of Germany, United Kingdom, and the United States -(known as the Western Contact Group) launched a joint diplomatic effort to bring a peaceful transition to independence for Namibia. Their efforts resulted in the an April 1978 proposal, approved as Security Council Resolution 435. Resolution 435 *inter alia* provided for Namibia's independence following free and fair elections to be supervised by the United Nations. South Africa, nevertheless, defied the UN, holding elections in December 1978 and continuing to administer Namibia.

The catalyst for the implementation of Resolution 435 was the quadripartite talks held in 1988 between Angola, Cuba, South Africa, and the United States. The resulting Brazzaville Accord signed by Angola, Cuba, and South Africa pledged that Cuban troops would be withdrawn from Angola in conjunction with the implementation of Resolution 435. On April 1, 1989, the United Nations Transitional Working Group (UNTAG) led by UN Special Representative for Namibia, Martti Ahtisaari, established its presence in Namibia to monitor the electoral process and the transition to Namibia's independence.

³See, Debates of the Constituent Assembly, "Motion on the Name, Namibia," November 29, 1989, pp. 41-43, p. 41. The name "South West Africa" or the name SWA/Namibia were rejected on the grounds that they are meaningless and colonially imposed, in addition to being merely geographical expressions.

The Constituent Assembly and Independence

The elections for a Constituent Assembly took place November 7-11, 1989, and were certified as free and fair by the UN Special Representative. The members of the Constituent Assembly drafted the Constitution of the Republic of Namibia, which it adopted on February 9, 1990, and elected Sam Nujoma as President. Namibia joined the international community of sovereign states on March 21, 1990. Namibia's three branches of government are subject to checks and balances and provision is made for judicial review. The judicial structure is based on Roman-Dutch law, which was declared the common law of the territory in 1919. The Constitution also states that Namibia shall have a mixed economy.

The government of independent Namibia, however, continued to be compelled to contest South Africa's territorial claim on the port enclave of Walvis Bay. Walvis Bay finally was integrated into Namibia on February 28, 1994. Voter registration continues to the present in preparation for municipal elections August 15-16, 1994. The newly elected municipal officers will be installed on August 17, 1994.

Independent Namibia would face a variety of difficult issues. The challenges are summarized in the *White Paper on National and Sectoral Policies*, the government's first major national policy statement:

"The first challenge relates to political issues embracing problems such as: dealing with the vestiges of apartheid and other existing aspects of colonialism; the need for land reform; the issue of Walvis Bay; and the challenge of molding one nation out of eleven splintered administrations ... The second challenge is that of...promoting peace and unity through reconciliation ... The third challenge is to promote and sustain economic and social development ... The fourth challenge is that of overcoming the impact of years of isolation ... The fifth challenge involves reforms in the organization and functioning of the machinery of government ... The sixth challenge relates to tackling crime by addressing the complex issues that have contributed to it ... the seventh challenge is to promote the internalization of the Constitution of the Republic of Namibia amongst our people."⁴

In the words of the Prime Minister, Hage Geingob, the *White Paper* was intended to be seen as a "plan of action;" it also aimed "to provide a framework for debate on the direction of government policies," thus inviting the participation of all Namibians, and subjecting the government to the demands of accountability.⁵

The choice of English as the official language as a means to facilitate access to the international community posed challenges for a country in which nearly all whites are literate (although very few whites speak English as a first language) while an estimated 60 percent of blacks are illiterate. Debate still continues concerning how to integrate English into the school curriculum so that all Namibians eventually will be fluent in their official language.

⁴Debates of the National Assembly, March 11, 1991, pp. 226-227.

⁵Statement by the Prime Minister, Debates of the National Assembly, March 20, 1991, p. 169.

The choice of English also created additional tensions: the majority of Namibians who were educated in exile received training in English, which gave them an advantage over those who studied within Namibia who could not attend alternative schools (such as the independent schools in the south). Moreover, those in exile were afforded the opportunity to acquire professional skills (becoming lawyers, doctors, engineers, etc.) and technical skills (acquiring skills in plumbing, motor mechanics, etc.). Nevertheless, even the skilled would feel that they were neglected by the government. In the spirit of national reconciliation, the new government pledged to retain civil servants employed during the colonial period. As a result, there were very few openings for the newly returned, especially given that the government simultaneously was embarking on the rationalization and restructuring of the different colonial administrations, and therefore was freezing posts.

National Reconciliation

The issue of national reconciliation continues to be a contentious one, especially in the context of the apartheid legacy of the wide disparity in income levels between white and black Namibians. Black Namibians suffer severe inequalities in access to services and productive resources in all sectors, including agricultural extension services and credit, educational resources, and housing and employment opportunities. In this context, and given the previous history of the different constituent political groups in Namibian society, the issue of national reconciliation is sure to arise periodically, if only as a check on the pulse of progress towards nation-building. In the words of Prime Minister Hage Geingob,

"Reconciliation is rooted in pragmatism and hard facts. The Government's reconciliation effort is based on bringing together estranged communities, whether political, military, or social, into one non-antagonistic whole - all working towards a common goal of making a better Namibia. Reconciliation for us is to heal the wounds of war and of many years of discrimination."⁶

The Minister of Mines and Energy describes the government's policy of national reconciliation as "the only viable option to nation-building."⁷ Still, as inequalities persist and black Namibians feel that their objective situation has improved little since independence, there is increasing feeling that national reconciliation is a one-way street - the government is reaching out to the white minority at the expense of the black majority.

Affirmative Action

Related to the policy of national reconciliation is the issue of affirmative action. In the words of an opposition MP,

"The founding fathers of our Constitution, spurred on by the troubles of our past, and espousing the most basic principles of democracy, unanimously agreed to

⁶Debates of the National Assembly, March 20, 1991, p. 176.

⁷Debates of the National Assembly, Vol. 2, June 1-July 11, 1990, p. 160.

build into the law of the land a mechanism by which those of our nation who have been deprived through the ages, could be brought in from the cold, to enjoy the fruits of life which have been given to them by the Creator. This mechanism became known as Affirmative Action, which is embodied in our Constitution."⁸

He adds, "Affirmative Action must take place but must be a gradual process - though not an eternal undertaking ... The principle of merit must be the accepted norm in all appointments and promotions in the Public Sector."⁹ As with the policy of national reconciliation, the meaning of affirmative action is open to interpretation and the issue of how to implement it is guaranteed to be a perennial challenge.

Human Rights Issues

In October 1990, Amnesty International recommended that the Namibian government conduct an inquiry into alleged violations of human rights by SWAPO during the struggle for independence. At least 350 people who had been imprisoned by SWAPO during the struggle were reported to be unaccounted for in late 1990. In November 1990, the National Assembly voted to request the International Committee of the Red Cross (ICRC) to ascertain the status of the missing detainees. In June, the ICRC issued its final report on its tracing efforts. The ICRC noted that SWAPO responded to only a small fraction of the ICRC's inquiries - the number of SWAPO detainees still unaccounted for ranges from 154-256 - and urged family members to approach SWAPO directly for additional information. The controversy that surrounds this issue is likely to continue until the government conducts and releases the results of a full investigation.

A related issue, and one that was particularly acute at independence, is whether persons deemed responsible for past human rights abuses should be held legally accountable, and whether government officials credibly linked to serious human rights abuses in the pre-independence period should be permitted to remain in office. Certain legal constraints apply, however. Prior to independence, certain indemnities and amnesties were granted which could have the effect of ruling out any possible prosecutions - although there may be a basis in law for contesting the validity of these amnesties granted by the South African government. Moreover, there is the possibility that prosecutions would be counterproductive in the context of a government policy of national reconciliation. Ultimately, however, national reconciliation may best be served by thorough investigations of past abuses, an exercise that can be achieved without involving and resulting in prosecutions. In this manner, the truth, once established and publicly proclaimed, can be a catalyst to the healing process that is important not only to the victims and their families, but also to Namibian society as a whole.

Notwithstanding the above, Namibians enjoy a wide range of political and civil liberties. During 1993, there were no reports of political or other extrajudicial killings; there were no reports of disappearances occurring during 1993; and there were no reports of Namibians being exiled for political reasons. There were, however, over 20

⁸Mr. Matjila, DTA, Debates of the National Assembly, Vol. 10, April 19, 1991, p. 143.

⁹Mr. Matjila, DTA, Debates of the National Assembly, Vol. 10, April 19, 1991, p. 149.

allegations of torture and other abusive treatment by police and security forces during 1993, incidents that were all highly publicized locally. Civil liberties, including the freedom of speech and press, freedom of assembly and association, and freedom of religion, were all respected in practice during 1993. The government's handling of citizenship and refugee issues, however, has come under repeated criticism by the local press, local NGOs, and opposition parties. Much of the criticism focused on the lack of a consistent refugee or asylum policy. As of March 1993, the Namibian government had neither acceded to the 1951 Convention relating to the status of refugees, nor adopted domestic legislation to regulate the situation.

Major Achievements of the Namibian Government

It is useful to remember that Namibia is a young nation, and one that faces particular challenges that originate from its colonial legacy. Since independence, Namibia has acquired the symbols of a nation, adopting a flag, a presidential seal and a coat of arms, and a national anthem resulting from an open competition to compose the lyrics and the music. In addition, many institutions have been inaugurated, including the establishment of the Supreme Court of Namibia, the Bank of Namibia, and the National Council.

Some of the government's major achievements include: promoting the policy of national reconciliation by inviting members of the opposition to become ministers and deputy ministers in the new government; integrating and unifying two previously antagonistic fighting forces, namely the People's Liberation Army of Namibia (PLAN) and the South West African Territorial Force (SWATF) into one force, the Namibia Defence Force; and ending international isolation, becoming the 160th member of the United Nations on April 3, 1990, the 50th member of the Commonwealth at Independence, and the 10th member of the Southern African Development Community (SADC), in addition to joining the Organization of African Unity, the African, Caribbean, and Pacific Group of Countries, the International Monetary Fund, and the World Bank. Namibia has also reached a favorable Lome agreement and the limits of the country's off-shore exclusive economic zone have been established.

In the policy arena, the government has addressed the major issue of redressing colonial inequalities by focusing on income generation through job creation; land tenure; and fair labor practices. Thus, the government has:

- Organized a successful Investors Conference in February 1991 and has since produced an Investment Code in keeping with the country's commitment to a mixed economy;
- Organized a National Conference on Land Reform and the Land Question in June-July 1991, to attempt to resolve the land issue within the framework of the policy of national reconciliation and the obligations enshrined in Article 16 and 23 of the Constitution pertaining to property rights, apartheid and affirmative action. Efforts currently are underway to table a Land Act in the National Assembly;
- Promulgated a Labor Act

Although all these initiatives require additional attention, and some are likely to remain contentious for a long time to come, they at least form the foundation for future implementation. It is in this context of the deepening and consolidation of institutions and conventions that programs for strengthening democracy and promoting effective governance in Namibia should take place.

The Challenges Ahead

A frequent observation offered at all levels of government as well as in the non-governmental sector, is that democracy is a new concept in Namibia. As such, Namibians require intensive and long-term civic education, not only to understand what rights they possess, but also the mechanisms by which to exercise those rights, and how to be an effective advocate if rights are compromised or denied. The extent to which democracy will flourish in Namibia, therefore, is to a great extent dependent upon the ability of the Namibian people to exercise their constitutional commitment to democratic principles, including civil, political, and economic liberties. At present, the Parliament is engaged in passing enabling legislation to further enhance the protection of those rights. Once passed, the legislation must be implemented, and enforced, and the implementation and enforcement mechanisms must be strengthened if the exercise of the laws are to become common practice and convention.

In addition, civic education in the context of voting, that is, the understanding of voting as being a cyclical activity to renew government representatives, is needed. The overwhelming majority of Namibians participated in the 1989 elections. In 1992, for the local and regional elections, although participation remained quite high, Namibians seemed uninformed about the meaning and the purpose of the elections, expressing surprise that they were voting, "again." Preparations for the 1994 National Assembly elections, scheduled for December, are only just getting underway, with many political parties yet to devise a manifesto and develop a campaign strategy. This being the case, Namibian voters may again be caught by surprise. The development of a voting culture takes time, and encompasses many issues: the intricacies of the registration process, the need for timely registration, the differences between the local, regional, and national levels of government, the electoral law, the rights of voters, how to vote, the conduct of political parties and candidates in an election campaign, and the meaning of free and fair elections. In sum, Namibians require greater understanding of the participatory role of the voter in a democracy.

The 1989 elections resulted in a National Assembly composed of seven political parties, in order of representation, SWAPO (41 of 72 seats), the DTA (21 seats), the UDF (4 seats), the ACN (3 seats), and the FCN, NNF, and NPF (1 seat apiece). The 1992 elections resulted in a National Assembly composed of just two parties, SWAPO, with 19 of 26 seats, with the remainder being occupied by the DTA. The 1992 results seem to indicate that SWAPO has emerged as a national political party with a national agenda. In the context of the forthcoming 1994 elections, however, fears have been expressed of the possibility of a de facto one-party state, especially since the opposition parties are considered to be weak. It is, however, dangerous to lose sight of the fact that the political outcome in 1992 was the result of free and fair elections. Pluralism, insofar as it occurs, is the result of real differences of philosophy and vision that distinguish constituencies from one another. Local demand and local ferment then

become transformed into the political agendas that typically orient the work of political parties. The absence of distinct political agendas cannot be compensated for by the mere existence of opposition political parties.

Many Namibians have suffered either in exile or within the country, while others have paid the ultimate price for the sake of freedom; they are likely to safeguard that freedom. In addition, the constitution, hailed as one of the most democratic in the world, provides the foundation for Namibians to transform its tenets into conventional practice. Moreover, Namibia is born of the UN, and is likely to continue to command special attention from the international community. To the extent that a culture of respect for democratic principles and human rights is cultivated, and a climate of pluralism and tolerance persist, Namibia is likely to remain a peer amongst democratic nations.

2. THE NAMIBIAN ECONOMY

The many limitations of the Namibian economy must be taken into account when formulating strategies for political and social development in this newly independent country. A 1991 World Bank report described the 'dual economy' inherited by the government at independence: the situation was marked by two societies and economies - one north of the 'red line' and the other south of the red line. One was "wealthy, educated, healthy and European - the other poor, illiterate, malnourished and African." Gross inequalities existed in incomes and access to services. Moreover, the same dualism characterized the productive sectors of the economy, for example, in the contrast between mining and commercial agriculture, on the one hand, and subsistence agriculture, on the other. The World Bank reported that the five percent of the Namibian population received 70 percent of gross domestic product (GDP) while the poorest 55 percent received only three percent. Early reports from the Central Statistic Office's recently completed Household and Income Survey suggest that this gap is persisting, if not widening. The World Bank further noted that 25 to 30 percent of the formal sector labor force was unemployed and two-thirds of those in subsistence agriculture were underemployed. The tax base for government was narrow and highly dependent on diamond and uranium revenues. The wage bill for general government was excessive and current expenditures were high while services for the majority were of low quality. In addition, independent Namibia inherited a budget deficit of R556 million for 1990/91 and a foreign debt amounting to R726.5 million.

Despite the dualism, according to a macroeconomic and sectoral overview of the Namibian economy by the United Nations Development Program, the outstanding characteristics of the economy were the overwhelming but declining importance of the primary sectors (mining, fishing and commercial agriculture), and the economy's export orientation (of minerals, fish and beef). During the 1980s mining and commercial agriculture were contributing less to GDP than in the past, due to depletion of resources and falling demand (diamonds and uranium, respectively), and to drought. Some of the fall in the primary sector had been made up for by growth in the secondary sector (where manufacturing, however, still accounted for only five percent of GDP), due to growth in the construction industry in the 1980s, and in the tertiary sector following the establishment of ethnically based 'second tier' administrations and increased military and police expenditures.

According to the World Bank report, the trade-off for the government as it sought to dismantle the inherited apartheid system, would be between immediate redistribution of assets and income, and long-term sustainable growth. The recommendation of the Bank for the medium and long term was for a focus on economic growth and the creation of greater employment opportunities and a more skilled and productive workforce. Reactivating the economy called for stimulating investment, increasing public investment and maintaining an enabling environment for private sector activity. In other words, specific tasks of the government would include: addressing the equity problem without jeopardizing growth; creating enough employment opportunities to absorb the currently unemployed and new entrants to the workforce; and changing the composition of expenditures, increasing their efficiency and containing their growth.

Still, in terms of domestic output the economy has grown since independence, according to the Ministry of Finance's 1994 *Economic Review*. The average annual increase in Namibia's real GDP between 1990 and 1993 amounted to 2.2 percent while the average growth in real gross national product (GNP) was 2.8 percent. These rates of economic growth are, however, exceeded by Namibia's population growth rate of about 3 percent per year. Thus, per capita income declined slightly during the first four years of independence. According to the *Economic Review*, however, the sluggish performance of the economy and its inability to sustain economic growth rates that exceed the population growth over the medium term should be viewed against the background of a harsh external environment, including a severe drought during 1991/92, a protracted recession in the world economy, and a long recessionary cycle in South Africa, Namibia's main trading partner.

Given the protracted weakness of the regional and international economies and the persistent tension in some commodity markets (diamonds, copper, uranium) on which Namibia relies heavily, the Namibian economy has not had the opportunity since independence to expand at rates which could be described as its full potential growth. Still, considerable progress has been made in reviving and developing the fishing sector and key industries in the manufacturing sector (construction and fish and meat processing). Steady growth in agricultural output and a post-independence expansion of government functions and services have also been experienced. As the *Economic Review* notes, the general atmosphere of peace and stability (and a favorable Investment Code enacted in 1990) have played a significant role in enhancing the general business environment. The net number of companies registered jumped from 378 in 1992 to 600 in 1993 (though these are not necessarily 'productive' undertakings).

No overall consumer price index (CPI) covering major areas of Namibia has yet been developed. Instead, the CPI for Windhoek, available since 1972, has been taken as a proxy for the CPI of the whole country. Inflation was exceptionally high in 1992 at an average annual rate of 17.9 percent as compared with 11.6 percent in 1991, with the 1992 rate representing a record high for Namibia. The main reasons for the sharp annual increase were a substantial decline in cereal crop production in Namibia and South Africa and a rise of about 12 percent in petrol prices. Inflation was also fueled by a 22 percent increase in the money supply. By 1993 the inflation rate had slowed to 8.5 percent, attributable mainly to lower production prices in South Africa, relatively strict anti-inflationary monetary policies followed in Namibia and South Africa, and the low level of economic activity in both countries in 1993.

With the moderate rise in economic activities, the unemployment situation appeared to improve in 1991 and 1992. By the end of 1992 and into 1993, however, retrenchments at the Consolidated Diamond Mines (the largest private employer in the country) and at the Rossing uranium mine, and the government decision to freeze all vacant posts in the public sector likely had an adverse effect. In addition, as a result of the drought and the perceived high cost of the new labor legislation, many subsistence farmers and farmworkers on commercial farms lost their only means of survival. Actual employment data is scarce in Namibia. A labor force sample survey conducted by the Ministry of Labour and Manpower Development in 1991 showed about 41 percent of the labor force to be employed, 41 percent to be underemployed and 18 percent to be unemployed. The unemployment rates were 35 percent in urban areas and 10 percent and 4 percent, respectively, in rural commercial and rural communal areas. Namibia's economically active population was estimated by the International Labour Organisation in 1990 to be about 550,000. Of these about 200,000 are in the formal sector labor force and the rest in subsistence agriculture and the informal sector. The single largest employer in Namibia is government, employing about 65,000-70,000 people. In the recent past about 35,000 people were employed on commercial farms though that number has most probably dropped by about half of late. Other large employers include the tourism, construction, transport and mining industries.

Namibia's economic prospects for the mid to late 1990s, according to the *Economic Review*, are favorable. This projection hinges mainly on the mild economic upswing expected in the world economy and the South African economy. Growth rates of more than 5 percent are predicted for 1994. A number of factors will determine the future outlook. First, climatic conditions have improved considerably already yielding good crops and better grazing in early 1994. Moreover meat prices remain attractive thus making for a slightly accelerated agricultural output growth rate. Second, Namibia's diamond output will remain low although an improved market is expected to provide a slight recovery to the industry during 1994. The continued success of offshore marine operations are expected to further enhance the prospects for this industry. Third, Namibia's uranium output stabilized already in 1993 and export prices improved. Slight production increases are planned for 1994. Fourth, the fishing industry is expected to continue its fast expansion. The output of the fishing industry is further enhanced by the expansion of the Namibian fishing fleet. The decrease in foreign participation in the fishing sector also has a corresponding beneficial impact on the balance of payments. Previous experience has shown that the rest of the Namibian economy will benefit considerably from the advances made in the primary sectors. The situation after 1994 becomes less predictable, according to the *Economic Review*, given Namibia's "rather irregular cyclic developments." Still, apart from the deterioration in other mining output (aside from diamonds and uranium) and the gradual slowdown in the output growth of fish and fish products, there is little evidence for a serious setback during 1995.

Namibia's *Transitional National Development Plan* and *White Paper on Sectoral and National Policies* indicate four development priorities of the Namibian government: reviving and sustaining economic growth, creating employment opportunities, alleviating poverty, and reducing income inequalities. Priority sectors for development have been identified as agriculture and rural development, education and training, health and social services, and housing. While growth rates in the early 1990s have been favorable, especially considering the world recession, they are not sufficient to go far towards reducing unemployment and

poverty. Investment trends have been disappointing, with not one Certificate of Status Investment, provided for in the Foreign Investment Act, issued since its promulgation. While the step drop in investment which occurred around independence appears to have been reversed, the continued depressed state of mining investment means that overall investment has stabilized at lower than previous pre-independence levels. The high investment required for high future growth is yet to materialize. As for employment prospects, diamond mining and general government continue to make the largest sectoral contributions to GDP. Diamond mining is a decreasingly labor intensive industry and general government can only grow as the larger economy grows.

An outstanding issue of some concern to the government of Namibia remains the land question. While the constitution of Namibia protects private property and precludes the possibility of expropriation of land without just compensation, popular pressure on the government for a redistribution of land or land reform has been increasing. While a National Conference on Land Reform and the Land Question was convened in June 1991 and attended by 500 delegates from communities throughout Namibia no concrete actions were taken as a result of the conference. A Technical Committee on Commercial Farmland was established thereafter by Cabinet and that report was submitted in late 1992. At present new land legislation is being prepared for submission to Parliament although the contents are not known. Popular pressure on the land question has been fueled by the recent formation of an NGO Committee on Land Reform which plans to hold its own conference on the land issue in September, commission its own research on land in Namibia and monitor carefully the progress of the expected land legislation. No concrete position on the land question has yet been publicly articulated by the NGO Committee, however.

For the ruling party and government the land question is a complex one. The greatest concentration of the Namibian population (60 percent) is confined to a relatively small area along Namibia's northern border. This land was never alienated and thus pressures for a return, for example, of 'ancestral lands' are not great from northern Namibia (also the ruling party's greatest constituency). In these areas the greater concern is for access to water and agricultural extension services and the legal implications of communal land tenure. Central and southern Namibia—where the land was taken from the Herero, Nama and Damara peoples living there—are dominated by about 4,500 large (8,000 plus hectares) commercial farms that raise commercial livestock and game and have survived for years only with government subsidies. These farms contribute the bulk of Namibia's agricultural output (9 percent of the 12 percent sectoral contribution to GDP) and it seems unlikely that the government would be willing to jeopardize this important contribution to the economy.

3. THE PROSPECTS FOR CONSOLIDATING DEMOCRACY

In many respects, the prospects for the consolidation of democracy in Namibia are good. Namibia's constitution is lauded as one of the most democratic in the world. Free and fair elections were held in 1989 and 1992, and Presidential and National Assembly elections will be held again later this year. Seven political parties are represented in the National Assembly, two in the National Council and three in local and regional councils across the country. A relatively independent press monitors the actions of government. At

the same time, especially over the past year, worrying trends have emerged that may threaten the consolidation of democracy in Namibia. For example, there is a marked tendency towards the centralization of decision making power in Windhoek and little apparent commitment to the devolution of power to regional and local government. There is growing evidence of the abuse of government office in the form of corruption and nepotism, and a growing feeling that proper procedures are frequently not adhered to in government. The ruling political party SWAPO has only grown stronger while the opposition political parties have weakened. Organizations of civil society are ill equipped to lay their claims upon the state and there appears to be an increasing intolerance of open political debate and even constructive criticism throughout the land. Thus, many challenges to the consolidation of democracy in Namibia lie ahead.

To a large extent, these challenges stem from the twin legacies of the pre-independence internal political dispensations and the externally based liberation struggle, neither of which was democratic. In general, we found that there is a profound lack of understanding among the populace of what democracy is and what it means to exercise one's democratic rights. Democracy is a new concept in Namibia and there has been little in the way of civic education to date, except for a number of campaigns under the rubric of "Know Your Constitution." In some cases democracy is viewed in narrow politicized terms—as the exclusive purview of a particular political tendency; in others democracy is viewed very broadly as meaning that one may do anything one likes or has the immediate right to a house and a job. Perhaps in part because of these misconceptions, there is a clear undercurrent of frustration throughout state and society with this nascent democracy and a concern about the growing signs of abuse.

Another challenge facing the consolidation of democracy in Namibia is the acute shortage of appropriately skilled personpower. At all levels of government and within the professional, NGO, church, trade union and political party communities there is a dire need for training. Regional governors, mayors, Members of Parliament, magistrates, journalists, paralegals, small entrepreneurs, party activists and trade unionists alike complain that they do not have the skills to perform their jobs. In part this is because so many of these institutions within which these people work are simply new, and in part because before independence many Namibians did not have access to these positions. The system of education in Namibia before independence prepared people poorly if, at all, for these vocations and the training that many people received in exile was not always appropriate to the situation in Namibia.

At the same time, there is a serious shortage of information, research and reference material in Namibia—or a lack of access to it. Again, this is because much necessary information was simply not gathered in useful form before independence or because new structures requiring new research and documentation are now being put in place. For example, trade unionists do not have the access to economic data that they need and magistrates do not have in their offices the law books and journals that they need. Existing libraries and resources centers in Namibia are far too few and usually poorly endowed, with much of the older material only available in Afrikaans or reflecting only the previous dispensations. While the telephone system is excellent in Namibia and most offices are fully equipped with computers there is virtually no use made of services such as Internet and E-mail.

Another challenge confronting the consolidation of democracy in Namibia is the insufficient linkage between the "center" and the "periphery." First and foremost, this refers to the lack of linkages between the people and their elected representatives and the lack of adequate means for facilitating those linkages. For example, while regional government was meant to "bring the government to the people," regional councilors are poorly equipped to do this given that they have no offices, money or transport. In addition, while a number of national NGOs have satellite offices in several of the regions there remain too few intermediary institutions to link the majority of Namibians to the center in Windhoek in general and to national government in particular. Similarly, there is an insufficient information and communication flow within government and within the NGO community and, certainly, between the two. Namibia's vast size and very small and dispersed population compound this fundamental problem, although telecommunications are excellent between regions and the center.

Together these challenges lead to a tremendous lack of advocacy capacity on the part of actors in civil society vis-a-vis government. Throughout Namibia NGOs—from community based organizations to those national groups based in Windhoek—and trade unions, political parties, and the churches all feel that they do not have the capacity to lobby government. They do not have the ability to participate in the policy making process. They are not able to evaluate proposals and documents given to them by government, nor are they able to articulate their own original policy positions. This is, again, because many organizations are new and are busy building their own organizations. In general they do not have the money, time or expertise to devote to the research necessary for inputs into policy and lobbying the government. At the same time, regional and local councils are similarly unable to assert themselves vis-a-vis the central government. This is for many of the same reasons—new structures and insufficient resources, time, and expertise. In the case of the regional councils there is also considerable ambiguity about just what their mandate is.

The lack of an advocacy capacity among so many of the actors in civil society in Namibia and the absence of linkage institutions between state and society in Namibia represent serious challenges to the consolidation of democracy. If Namibian citizens are not able to make their demands on government and have those demands effectively represented, and if the decision making processes of government are not transparent and accountable then Namibia's newly created democratic structures may easily be undermined. Rising frustrations on the part of those who have not benefited tangibly from the policy of national reconciliation, continued discrimination in the workplace, a failure to address the land question, a lack of effective power at the level of local and regional government, and so on, will lead to the declining legitimacy of the Namibian government and a serious questioning of the very value of democracy itself. As the "post-independence honeymoon" ends, as it inevitably will, Namibia will risk the same slide into authoritarian rule that has characterized so much of the rest of Africa.

While many people consider the specter of one-party rule to be the greatest threat to democracy in Namibia, a focus on strengthening opposition political parties will not be sufficient to prevent the move toward authoritarian or one-party rule in Namibia. Given the lack of capacity among political parties in Namibia (with the exception of SWAPO), it is felt that any activities undertaken to strengthen political parties would, in the end, strengthen the only party that can absorb such activities—SWAPO. [For a greater discussion of political parties in Namibia, see section III.2.a and the introduction to section V.] Indeed, the more significant countervailing forces in Namibian society are to be found among the NGOs, the

trade unions, the churches, and the women's and students organizations, and it is from these sectors that eventually new, more viable, constituency based political parties will emerge. In the interim, it is felt that the greatest opportunities for enhancing the prospects for the consolidation of democracy in Namibia must lie in the two broad areas of building advocacy capacity and fostering linkages between state and society. As such, enhancing the prospects for democracy is understood as facilitating pluralism at all levels in Namibian polity and society and as strengthening those forces that will counter the concentration of power at the center.

III. FINDINGS FROM THE ASSESSMENT

1. STATUS OF KEY STATE INSTITUTIONS

a. The Executive

The Office of the President

The President of the Republic of Namibia is elected by direct universal and equal suffrage and must receive more than 50 percent of the votes cast. The term of office is for five years, and the same individual may not hold office for more than two terms [Article 29, (3)]. President Sam Nujoma continues to enjoy enormous popularity from supporters and detractors alike who see him as a leader who is personally committed to democratic principles and who works hard in the interest of Namibia. President Nujoma is widely expected to win his 1994 bid for re-election handily.

The powers and the duties of the President are outlined in Chapter 5 of the Namibian Constitution. The executive power of the Republic of Namibia is vested in the President and the Cabinet. The President appoints the Prime Minister, the Ministers and Deputy Ministers, the Attorney General, and the Director General of Planning (National Planning Commission). The President also appoints the Chief Justice, the Judge-President of the High Court and the other Judges of the Supreme Court and High Courts, the Ombudsman, and the Prosecutor-General on the recommendation of the Judicial Service Commission. On the recommendation of the Public Service Commission, the President appoints the Auditor-General, the Governor, and the Deputy Governor of the Central Bank. In addition, on the recommendation of the Security Commission, the President appoints the Chief of the Defense Force, the Inspector General of Police, and the Commissioner of Prisons.

The Cabinet

The Cabinet is drawn from Members of Parliament (MPs). Members from the National Assembly may be appointed as ministers, while deputy ministers can be appointed from the National Council. Currently, 35 of the 78 National Assembly MPs serve as Ministers or Deputy Ministers, and virtually all of Cabinet is composed of members of the ruling party. Two National Council MPs, both members of the ruling party, serve as deputy ministers: the Deputy Minister of Trade and Industry, and the Deputy Minister of Youth and Sports. The concentration of ministers and deputy ministers in the Cabinet poses particular challenges for the workings of the National Assembly, since the effectiveness of the party whips is circumscribed, and the number of backbenchers is severely reduced.

The Office of the Prime Minister

The Office of the Prime Minister (OPM) plays a pivotal role in defining the direction of policy-making as well as defining the priorities for national development.

The OPM generally has been seen to be open to the process of inclusion; in the words of the Prime Minister, "This Government is committed to being an open government. All Namibians should have an opportunity to provide their input. To ensure this input, consultation is of paramount importance."¹⁰ Indeed, the elaboration of the *White Paper on National and Sectoral Policies*, the Government's first major policy statement and "plan of action," and the organization of the National Land Conference in 1991 was widely acclaimed for being based on numerous consultative meetings with representatives from the different interest groups that would be affected by the policies. More recently, however, there seems to be increased confusion amongst various interests groups concerning at what point they should be involved in policy- and decision-making exercises, as well as the extent to which the understandings that emanate from consultations should be translated into concrete government action.

The National Planning Commission

The task of the National Planning Commission (NPC) is to plan the priorities and direction of national development and economic planning. At the time of the Constituent Assembly, two main options were discussed: to incorporate the NPC as a separate ministry, or to follow the United Nations Institute for Namibia (UNIN) proposal to have it constituted within the Office of the President. The decision to place it within the Office of the President was intended to facilitate the government's ability to have access to the information needed to formulate policy for pressing national goals and to coordinate the sectoral development efforts of the various ministries.

One perennially frustrating legacy of the colonial administration and a challenging problem for the current government, however, is the lack of a national information base concerning the existing situation in Namibia. The absence of national and sectoral data is primarily due to Namibia's previous division into eleven different ethnic administrations with no provisions for standardized data collection. The consequences of the fragmentation is that no reliable national statistics can be gleaned, making it difficult for the government to proceed with development initiatives in the absence of baseline data in virtually all sectors. As a result, a great deal of effort is now being devoted to conferences, workshops, and other forums, in addition to research efforts in the form of surveys, studies, and reports to assess the current situation in Namibia in order to promote sound development planning.

The NPC has the mandate to be the locus for interaction, cooperation, and coordination not only among government ministries, but also between government and international and domestic donors and NGOs. The NPC's capabilities, however, are at times stretched given the pace at which the government is initiating various development projects and programs, many of which require simultaneous attempts to coordinate and channel the range of human, financial, and material resources that are being made available from a variety of external and internal sources. As a result, some donors opt to approach individual ministries directly with project proposals, while others continue to channel funds through NGOs. In addition, although a liaison officer has been identified to staff an NGO desk, the desk is not yet fully operative. For the sake of

¹⁰ Debates of the National Assembly, March 11, 1991, p. 224.

the long-term development and planning capacity of the NPC, however, as well as its ability to carry out its institutional mandate, it may well be, as one analyst put it, "the duty of the government as well as aid donor nations to support the NPC and to ensure that it functions properly."¹¹

b. The Legislature

Namibia's constitution provides for a bicameral legislature consisting of a National Assembly and a National Council. The function of the National Assembly is to enact, amend, or repeal legislation in the national interest, while the National Council reviews bills passed by the National Assembly and recommends legislation on matters of regional concern.

Namibia's first National Assembly has its origins in the 72 individuals who were elected to the Constituent Assembly on 7-11 November 1989. These individuals, who were elected from a national party list on the basis of proportional representation, became Members of Parliament (MPs) at Namibia's Independence on March 21, 1990. In addition, the Constitution provides for the President to nominate a maximum of six additional, non-voting Members to the National Assembly for reasons of exceptional leadership qualities or particular expertise. The 72 Members from the Constituent Assembly were joined by six Members nominated by the President, bringing the chamber's total membership to 78. MPs are elected for a five-year term.

The National Council is comprised of 26 MPs, with two MPs being elected from amongst the members of each of Namibia's 13 Regional Councils. The MPs who comprise Namibia's first National Council were elected on 11 February 1993 by their colleagues in the Regional Council, who were themselves elected during 30 November through 4 December 1992. Members of the National Council are elected for a six-year term.

Parliament is convened in Namibia's capital city, Windhoek. Although the two chambers currently sit in different locations, plans are under way to construct a building for the National Council near the premises of the National Assembly. The sessions of the National Assembly generally are held during the months of February-March; May-July/August, and October/November-December. The chamber sits Tuesday through Thursday from 14h30-17h45, and on Fridays from 9h00-12h30, public holidays excepted. The sessions of the National Council generally coincide with those of the National Assembly. The National Council generally sits Monday through Thursday from 9h30-13h00, public holidays excepted.

Ideally, the Parliament should provide a forum for national dialogue on the issues of the day—affirmative action; economic, labor, and land policies; national reconciliation—and thus contribute to the Constitution's stated aim of promoting national "unity, liberty, and justice." The reality, however, is that the Parliament's activities seem to occur well beyond the purview of Namibia's citizenry. Although the Constitution

¹¹ See Sven D.O. Janson, *Environmental Profile of Namibia*. Report prepared for the Swedish International Development Authority (SIDA), Windhoek, Namibia, March 1991, p. 26.

specifically provides for public access to the meetings of the National Assembly the general public rarely attends its sessions. On a typical day, even when the National Assembly and the National Council are in session, its halls and corridors are woefully empty. Moreover, the activities of the National Council continue to be largely excluded, even from the NBC's nightly "Parliamentary Summary," which concentrates primarily on the deliberations of the National Assembly. In addition, there continues to exist a great deal of confusion in Namibia regarding the nature of the two chambers. In all sectors in society, including the governmental, non-governmental, and the press, observers repeatedly refer to "Parliament" when they actually mean the "National Assembly." The tendency to call the National Assembly the "Parliament" arises because the legislative branch functioned without its second chamber for three years. This having been the case, there is continued confusion as to where the National Council fits into the scheme of government institutions.

Contributing to the lack of clarity are the MPs themselves, who have become fixated on the correct terminology to apply when referring to one or the other chamber. Since the National Assembly chronologically came into existence first, its MPs refer to themselves as belonging to the "first chamber" or, the "upper house," which they liken to the US Senate since the National Assembly is comprised of legislators with considerable political experience. Yet, given that the National Council's MPs are elected from regionally-based constituencies, the National Council actually is more analogous to the US Senate. The distinction between the two chambers also contains a functional element: the power to initiate legislation resides with the National Assembly, which is analogous to the British House of Commons, or, the "lower chamber."

The confusion stems in part from the order in which the National Assembly and the National Council were elected, an order that in essence determined the composition of each. In other countries with bicameral legislatures, politicians typically begin their career in the chamber that initiates legislation, thus gaining experience in representing a particular constituency and acquiring specialized knowledge on salient and perennial issues. Following the accumulation of such experience and wisdom, politicians then aspire to the chamber of review, analogous to the US Senate or the British House of Lords. In Namibia, the majority of the most experienced politicians were elected to the Constituent Assembly, and thus to the National Assembly. As a result, the National Council largely is elected from individuals who generally have less legislative experience and less exposure as politicians. Consequently, some in the National Assembly see the National Council as being composed of relative newcomers to government, while some in the National Council may view colleagues in the National Assembly as being far more experienced, and therefore defer judgment to them. These differences in composition, however, are likely to become less distinct over time.

To further complicate matters, there is a perceived inequality of the two chambers, an inequality that stems from the origin of the National Council, which was born of compromises made during the Constituent Assembly. The opposition accepted the SWAPO constitution draft as a working document (each of the parties involved prepared drafts for a constitution). The differences between the SWAPO and the opposition proposals were confined to three major areas: (1) SWAPO insisted on an executive president with all the accompanying powers whereas the opposition was more in favor of a figurehead president; (2) SWAPO proposed a House of Chiefs whereas the opposition was disposed to a second chamber; (3) The use of national

party lists or proportional representation as the basis for elections was contested, but it was essentially a non-issue since the modality for electoral rule was stipulated in Resolution 435. Issues (1) and (2) were resolved via a compromise: the opposition accepted SWAPO's proposal for a presidential regime in return for SWAPO's agreement to implement a second chamber, the National Council, as opposed to a House of Chiefs. The National Council would be elected from regional constituencies proposed by a delimitation commission. The approval of the constituencies would be subject to vote by the National Assembly. After the constituencies were approved, regional and local elections would be held, elections that the opposition felt it stood a strong chance to win, especially given what it presumed to be superior support at the local levels in key economically developed regions. Although the opposition did not sweep the local and regional elections, and although SWAPO in fact won 19 of the 26 seats in the National Council, there seems to be a lingering perception on the part of the ruling party that the National Council is an unnecessary and illegitimate body.

Indeed, provisions for the National Council differ markedly from those made for the National Assembly. For example, the National Council suffers from budgetary constraints that inhibit its ability to function as an autonomous unit. A prime example is that National Council MPs have no offices. In addition, the National Council has had to conduct its business by using the staff of the National Assembly, creating a situation in which already severely stretched staff could not properly respond to the urgent demands of a institution eager to get underway.

Moreover, constitutional prescriptions for the relations between the National Council and the National Assembly (and for the relations between the National Council and the regional councils) are ambiguous. For example, there exist no clear provisions for joint sessions of the National Assembly and the National Council, or for joint committee meetings once the committees are operational. The lack of clear guidelines concerning the institutional relationships between key organs of the legislative process coupled with the lack of institutionalized procedures and mechanisms for enacting laws poses an obstacle to proficient legislating.

Finally, the effectiveness of the legislative structures has been hampered by the lack of adequate parliamentary staff. The issue of the staffing of Parliament has been contentious, and has been subject to discussion and compromise between the two chambers for months. The controversy has centered upon the structure of the staff, and the various ranks of its constituent members, which has major repercussions in terms of appropriate access to other government institutions and protocol issues. For example, if the Parliament is to be afforded proper status as the legislative branch of the government, the rank of the Secretary of each chamber should be at par with that of the permanent secretaries in the ministries. At issue, also, was the extent to which the staff would be shared by the National Assembly and the National Council, a consideration that hinged not least on budgetary concerns.

The structure of the first tier of staff for Parliament has only recently been approved. Each chamber will be provided with an accounts officer and a legal advisor, while the Parliament as a whole will be administered by a secretary at the rank of the ministerial permanent secretaries. There is also one staff position for a Parliamentary library, a facility that will be shared by both chambers. Yet, the issue of understaffing still may be far from resolved since these positions must first be publicly advertised,

and potential candidates must be approved by the Public Service Commission (PSC). In situations in which appointments are not yet confirmed by the Public Service Commission, qualified personnel may seek employment elsewhere. The Parliamentary Library, for example, has been plagued by a situation in which research assistants, impatient to be confirmed, leave for better jobs, sometimes just weeks after they have been hired. Moreover, while these staff positions have been agreed to through extensive negotiations between the two chambers, and between them and the cabinet, funding for the two staff members of the National Council has been to be assured.

The National Council possesses a broad mandate that offers it wide latitude for its activities. Its functions are to review the bills passed by the National Assembly, to investigate and report to the National Assembly on any subordinate legislation, reports, and documents tabled in the National Assembly and referred to the National Council for advice, and to recommend legislation of matters of regional concern for submission to and consideration by the National Assembly. If in its review the National Council disapproves of the "principle" of a bill, the National Assembly is required to reconsider and reaffirm the principle by a two-thirds majority, or else the bill lapses. How the National Council ultimately chooses to interpret its mandate will emerge from the precedents that are now being established, precedents that will provide the basis for conventions, if not for legislation, that defines its role more precisely.

As the National Council and the National Assembly succeed in defining their respective roles, as well as their roles vis-a-vis one another, Namibian citizens will be the beneficiary of better and more effective legislating, a situation that will do much to address the imbalances that persist as legacies from the country's apartheid heritage. In addition, Namibians will have access to legislators who are more cognizant not only of their mandate to represent their constituents, but who will be better equipped to do so. As Namibians begin to see the legislature as being responsive to their needs, and competent in representing them, the prestige of the legislature will be immeasurably enhanced. As a result, the Parliament will perform its democratic function as the voice of the people, and be a full partner with the executive and the judiciary in the governmental system of checks and balances.

c. Regional and Local Government

The existence of elected local and regional councils in Namibia holds out the promise for the eventual establishment of meaningful decentralized institutions of government. There are 13 regional councils and 71 local authorities in Namibia. However, these councils operate within the constitutional framework of a unitary state and are accountable to the Minister of Regional and Local Government and Housing (MRLGH). Their powers are limited and consist of those administrative and decision-making functions which the central government via the Ministry devolves to these lower tiers of government. Their present legal status, authority and role is also highly ambiguous, a situation which requires clarification either through the amendment of the Namibian constitution and/or the amendment of the Local Authorities Act and of the Regional Councils Act of 1992.

The ambiguity of functions and powers is especially true for the regional councils whose real powers are, for all practical purposes, nil. On the one hand, they are charged with taking care of the needs and development of all areas outside existing municipalities, towns, and villages *on behalf of the central government*. On the other, they have no independent source of revenue although they may (subject to the approval of the MRLGH) raise revenue and share in the revenues raised by the central government in the regions. Regional councils are also entitled to receive five percent of the property taxes obtained by local authorities within their regions, but few do. Nor do the councils have any specific duties other than to advise the central government of the needs of their regions, make annual budgetary requests to the Ministry of Finance, and consult with the National Planning Commission during the planning process for their regions.

The local authorities fare somewhat better, but suffer from similar limitations. Of the 71 local authorities in Namibia, 43 are village councils, 12 are town councils and 16 municipal councils. Prior to independence, most of these bodies did not exist as elected councils were provided for only a handful of urban areas such as Windhoek, Luderitz, Keetmanshoop, Grootfontein, Tsumeb, and Swakopmund that catered to and were reserved for whites. No officially recognized forms of local government existed north of the "red line," the most populous regions of the country. As a result, the new councils have been elected to govern new towns which must first be formally *proclaimed* before the elected councils which are charged with running them can fully exercise their authority. In contrast with the regional councils which have no clear mandate, the local authorities are responsible for specific municipal services including the provision of water, electricity, sewage and refuse removal, and the paving and maintaining of streets. Local authorities also have, or eventually will have, their own sources of revenue. Most important of these are the fees obtained from the provision of water and electricity, and the taxes from rateable property. However, until an area is officially recognized as a local authority by being proclaimed as such, local councils must turn over all revenue to the Ministry of Regional and Local Government and Housing. This situation in turn means that most local authorities do not forward the required five percent of their property taxes to the regional councils thereby exacerbating the budgetary constraints on those bodies.

Both the local councils and the regional councils also suffer from a serious lack of experience in governing as well as a lack of knowledge about how regional and local government, and government in general works. Part of this problem arises from the simple fact that these are new bodies whose members were elected for the first time less than two years ago. Not only are they inexperienced, there is no "institutional memory" to accelerate their learning on the job. Nor has the Ministry of Regional and Local Government and Housing been in a position to provide adequate and sustained training and handbooks of operations for councilors—a problem which is candidly acknowledged by the MRLGH. An exception to this situation are those few towns and municipalities which operated prior to independence and where holdover staff, most of which is white, backstops the new councilors. However, the degree of cooperation in such towns has been mixed as the incoming councilors, who are overwhelmingly black, have been eager to quickly rectify the injustices of the past, while the holdover staff has been placed in the awkward position of slowing the process down to be consistent with

what these authorities can afford. Not surprisingly, charges of footdragging abound—some of which are probably valid.

The result is a high level of frustration at two levels of elected government that are critical to the future of Namibian democracy, and between the elected personnel at these levels and the ministry which oversees their operation. Apart from the local courts (see section III.2.d below), it is at the local and regional levels that most Namibians come in contact with government and will develop their attitudes about what democracy is and whether "democracy works." If meaningful elected government is not established at the local and regional level in the short to medium term over the next five to ten years, it is certain that many citizens will become dissatisfied with the SWAPO government and perhaps "democracy." Put bluntly, if the problems of local and regional government are not ultimately solved, the likelihood of a crisis of legitimacy of the Namibian state will greatly increase. The reason for this is not merely because the local and regional councils are the closest governmental authorities to the people, but also because of the method of election to each of these bodies in contrast to the method of election to the National Assembly.

As discussed in the section on Parliament, the National Assembly is elected on the basis of proportional representation while the National Council is indirectly elected by the regional councils. Members of the dominant legislative chamber do not have a geographic constituency to which they can be held accountable; rather they are accountable to senior party officials who determine where they rank on the party's list at the time of each parliamentary election. Put differently, members of the National Assembly must "look up" rather than "down." Most are rarely or only periodically seen in their home areas; and when they do turn up, they are not specifically charged with tending to matters of constituency service. Although SWAPO has tried to institute an informal system of constituency responsibility by assigning its members of the National Assembly to canvass public opinion in a series of geographic areas around the country, the MPs cannot be sanctioned by the public if they do not perform this task. Members of the National Council, on the other hand, do represent specific geographic areas, but many regions are very large and members of the National Council are invariably most concerned with their own specific constituency rather than with their region as a whole, because it is the people in the former who will determine whether they will be reelected first to the regional councils. The relative powers of the two houses also downgrades the extent to which Parliament remains in touch with the grassroots.

By contrast, members of the regional councils are elected via a system of single member constituencies for which they alone are responsible and of which there are 95. Under the provisions of the Regional Councils Act, each region must be divided into no fewer than six and no more than 12 constituencies. The current maximum number of constituencies—in Ohangwena and Oshikoto regions—is ten.¹² The result is that it is the regional councilors, not the Members of Parliament, who are in greatest contact with Namibian citizens in the rural areas, and who are the prime targets of constituent demands, but who at the same time constitute the category of elected officials which is

¹² For a summary profile of each region, including lists and maps of all constituencies, see Gerhard Totemeyer, Victor Tonchi and Andre du Pisani, *Namibia Regional Resources Manual* (Windhoek: Friedrich Ebert Stiftung, 1994)

least able "to deliver the goods." This is probably the greatest structural anomaly in the Namibian system. Time and time again the members of every regional council we visited stated that they were "unable to deliver the goods;" the phrase became a mantra. In this regard it was particularly interesting to note that regional councilors do not shrink from the expectations thrust upon them. Most are eager to do more, but complain that the Ministry of Regional and Local Government and Housing does not provide them with sufficient authority, training or financial resources to get on with the job. They further submit that members of the National Assembly should be elected by single member constituencies so as to be more sensitive to the people and to the pressures on the regional councilors. Many say that they will press actively for such a change for the 1999 parliamentary elections, and that many incumbent members will be thrown out in the process. Judging from the experience in those African countries (e.g. Kenya and Tanzania) where incumbent MPs stood for reelection in single member constituencies after independence, the prediction of the regional councilors is valid.

While the method of election to the local authorities is also by party list, the problem of "staying in touch" with one's constituents is not as great given the relatively limited geographic areas of most towns. It was nonetheless interesting to hear many local councilors tell us that they preferred a single member system of representation which would enable them to be responsible for a more limited and manageable portion of the population and with whom they could then develop a strong working relationship. Some also expressed frustration at being held accountable by people who came from parts of town where they were not known. In short, the negative effects of the party list system in towns and municipalities is different than in respect to MPs. Councilors can be held accountable by the citizenry, but feel that they are unable to develop strong ties to a manageable constituency. Many stated frankly that they expected to be defeated at the next election if their towns were not officially proclaimed so that they could get on with the business they were elected to perform. Others fear that turnout in the next round of local and regional elections would fall. Like the regional councilors, local councilors complained that the MRLGH kept them on a short leash and provided them with no revenue even though they were collecting significant revenue within their boundaries.

In most towns visited by the assessment team, the councils were falling behind in collecting the service fees due for electricity and water, a fact for which they have received considerable criticism and exhortations from the MRLGH. Their reply is that it is increasingly difficult to collect these fees and that the arrears are mounting because people refuse to pay. Some refuse because they can no longer afford the services, but many refuse because they see no point in parting with cash if it is to be turned over to a central government body with no guarantee of being used to improve services in *their* community. The story is an old one: "No taxation without representation." Conversely, citizens—even poor ones—will part with their resources if they get something in return.

The Ministry of Regional and Local Government and Housing acknowledges most albeit not all of the frustrations articulated by the local and regional councilors, but defines the problem from the perspective of the center. From its vantage point, the fundamental problem is not the absence of delegated authority, but rather the fact that the councilors are inexperienced and undertrained. Once these shortcomings are overcome or measurable progress is achieved at resolving them, the MRLGH states

that it is prepared to devolve some measure of authority. Until then, such moves would be premature. Ministry officials also complain that councilors are merely preoccupied with obtaining greater perks, and are not mobilizing their communities to provide for their own needs. Were local officials to spend more time thinking creatively, collecting the revenues available to them, and nurturing programs of self-help, their problems would begin to be solved. Nevertheless, one senses from discussions with senior officials in the Ministry that the pressure building for a measure of devolution is appreciated—at least at a rhetorical level. The long term proof, however, will be in the proverbial pudding: what the MRLGH actually does to overcome the problems in training and what it does in terms of delegating more authority to the periphery. Discussions with SWAPO regional leaders further suggest that the political pressure for change is mounting within the party as a younger generation of leaders based in the regions are echoing the complaints of the councilors via party fora, including the central committee.

A final set of relationships which will determine the success or failure of local and regional government in Namibia, are the relationships between the local and regional councils on the one hand, and the local and regional offices of "line" ministries as well as the National Planning Commission on the other. These relationships are currently minimal, but could be greatly strengthened—a step which might alleviate some of the frustrations on the part of the councilors. Line ministries currently carry out their work under direction from Windhoek. Although "interministerial committees" have been instituted at the regional level and although the regional governors and regional officers (the civil servant attached to each regional council) participate in these committees, the degree of coordination, and especially the degree of input from the elected councils, is still very limited. The establishment of these committees, however, holds out the prospect of providing the regional councils with an important vehicle for holding line ministries more accountable at the regional and local level. The same is true for the process of regional planning which the NPC has more or less delegated to the MRLGH, but for which the Ministry has yet to establish detailed procedures in the field.

In sum, the opportunities for consolidating Namibian democracy at the regional and local level are great, but so are the challenges. Much can be achieved in this area if local and regional councilors are provided with adequate training, handbooks and resource materials for guidance, and the strengthening of the process of regional planning and interministerial coordination at the regional level. Local and regional councils must also be given greater control over the revenues they raise. Finally, it must also be recognized that the legislation governing local and regional authorities must eventually be rewritten to provide for greater authority and autonomy on the part of these bodies. In short, the challenges in realizing the potential of decentralized government in Namibia is part technical and part political. The United States should be prepared to lend its support to meeting each.¹³

¹³ The assessment team is not alone in its diagnosis. A recent assessment of local and regional government conducted for the MRLGH by Coopers and Lybrands and funded by the British High Commission reached similar conclusions. The report, which was written in April, 1994 and submitted to the Ministry in June has yet to be released.

d. The Judiciary and the Rule of Law

The Namibian judiciary consists of a Supreme Court, a High Court, approximately 40 magistrate courts, and a system of community or traditional courts. The Supreme Court functions as a court of constitutional review and as a court of appeal while the function of the High Court is to review cases and decisions which are referred to it from the magistrate courts. The community courts are primarily concerned with civil matters and are staffed by traditional leaders who apply the customary law of their areas to the cases which come before them.

As with other governmental structures in Namibia, this four-tiered system is a holdover from the colonial period during which the three highest tiers were staffed entirely by South Africans or white Namibians. The same is true of the Ministry of Justice which remains responsible for the administration of the judicial system. Although the laws of South West Africa evolved independently from those in South Africa after 1980, Namibia's judicial system was an extension of the South African system until independence in March, 1990. As such, Namibia must deal with three legacies of the past to establish an independent judiciary. The first, is the shortage of trained and experienced black Namibian attorneys to staff the judicial system. The second is the carryover of the procedures of Roman-Dutch law as practiced in South Africa in contrast to judicial procedures in other Anglophone countries. The third, is the perspective of the average Namibian of the judicial system and the access she or he enjoys to the courts.

Prior to independence, opportunities for black Namibians to obtain advanced legal training was limited to a handful of individuals who received such training in South Africa or in Europe or the United States. While a number of initiatives have been since undertaken to expand the number of black Namibian attorneys, the process will take several years before the number of attorneys is significantly increased. The training of attorneys--a combination of university degree work followed by an extended in-service apprenticeship or "articles"--takes seven years. Moreover, many of those who have been recently trained, find they can earn significantly higher salaries by entering private practice or joining an established law firm. The result is that the recruitment of black Namibians onto the High Court and Supreme Court has barely commenced, while the process for the magistrate courts--while well underway--has been tortuous.

Most citizens who come into contact with the judicial system do so at the level of the magistrate or community courts. During the colonial period, the magistrate courts were staffed entirely by whites and justice was rendered in a manner consistent with apartheid laws. Not surprisingly, many citizens had a very negative view of the judicial system as well as the state since the courts were the principal point of contact between Namibians and the government. To overcome this situation, approximately 40 individuals received two years of legal training at the UN Institute for Namibia in Lusaka, Zambia prior to independence with the view towards posting them to the magistrate courts immediately after independence. Most of these individuals had not previously completed secondary school. None received a full legal education. None were trained in the procedures of Roman Dutch law. None received any in-service training subsequent to the diplomas they were awarded in Lusaka before taking up their posts. The results were predictable: Most of these individuals who were

ultimately posted to the magistrate courts failed to perform at an acceptable level. Decisions reached by the new magistrates were often reversed by the High Court, and a backlog of cases piled up at the courts staffed by the new recruits. These problems were compounded by a lack of trained prosecutors as well as a shortage of trained police responsible for obtaining evidence and witnesses for the courts in a timely manner.¹⁴ Compounding this situation of near breakdown even further is the fact that the district magistrate courts are required to sit periodically as labor courts under the provisions of the Labour Act of 1992. The bottom line is that South West Africa's system of apartheid justice has been replaced by a system of poorly administered justice which greatly frustrates both litigants and magistrates.

To overcome these problems the Ministry of Justice determined in 1991 that it should establish a Justice Training Centre (JTC) to provide compensatory instruction to those who had received their initial training in Lusaka as well as to those returning with law degrees from abroad to take up positions on the magistrate courts. The need for supplementary training is particularly great as roughly half of those who trained in Lusaka have since left government service while the number of magistrate courts has expanded to 31 and will top out at 32. Approximately 80 trained magistrates will ultimately be required to staff this system. Today there are 26 resident magistrates, or chiefs of the magistrate courts, and another 51 magistrates. The Justice Training Centre is also responsible for providing short courses for public prosecutors, police investigators, and clerks and other court personnel.

Unfortunately, the Justice Training Centre presently lacks the personnel or financial resources to carry out its charge, though this situation could change. Although the need for the Centre originated in the Ministry of Justice because it is the agency responsible for staffing the magistrate courts, the Ministry determined that the best home for the Centre would be the Faculty of Law at the University of Namibia (UNAM)--or so it was thought. Under a Memorandum of Understanding signed between the Ministry and UNAM the latter was supposed to provide core staff and office facilities for the new center while the Ministry assumed responsibility for obtaining funding from interested donors. At the time of this assessment three donors--the Ford Foundation, SIDA, and GTZ--had made grants totaling approximately \$450,000 which will fund the Centre through 1995 after which the Centre will be on its own. The basic need will be for salaries or partial salaries for its core staff. The University has recently assumed responsibility for roughly half of what is required to sustain the JTC (roughly \$39,000) but whether it will be in a position to provide the remainder is unknown. The current director of the JTC is a South African civil servant who retires on March 31, 1995 and whose salary or that of his successor must be assumed by the Centre at that time. Discussion of this and other needs of the JTC to maintain its operation is presented in section V below, including tentative plans by other donors to provide support. The need for the Centre to expand its array of short-term courses to backstop the operations of the magistrate courts and ultimately the community courts is likely to continue through the end of the 1990s and into the next decade. It is also highly

¹⁴ For example, in Oshakati the local magistrates reported that they were approximately three months behind in their work, a backlog of several hundred cases. In Rundu, the backlog of cases recently exceeded 200.

desirable that the JTC mount a program of in-service training, an exercise it cannot take on given its current capacity.

In addition to suffering greatly from a dearth of adequately trained personnel, the system of magistrate courts suffers from a shortage of appropriate reference materials which the magistrates require to carry out their work. These include handbooks for magistrates, a complete and annotated set of the Laws of South Africa (1915 to 1980), Southwest Africa (1980 to 1990), and the Laws of Namibia, and a complete set of Law Reports. Some magistrate courts have complete sets of these materials; most do not, and some have none. In summary, a combination of training and materials is required to enable this crucial component of the Namibian judicial system to function properly.

The lowest tier of Namibia's justice system are the community or traditional courts. The specific jurisdiction of the community courts, and their relationship to the magistrate courts as well as the division of labor between them is highly ambiguous. While the community courts are primarily concerned with civil disputes, judicial proceedings in respect to civil matters may also be initiated via the magistrate courts. Community courts do not presently have the means (i.e. access to the police) to enforce their decisions with the result that individuals receiving favorable decisions from the community courts must often initiate proceedings in the magistrate courts to obtain enforcement of the earlier decisions. The community courts are also viewed as "small claims" courts that should be easily accessible to the rural poor. Litigants before the community courts usually represent themselves without legal counsel, but such practice is at variance with the Namibian constitution which requires that litigants be represented by counsel. Because customary law varies from one group to another, the consistency of judicial standards between regions and with the laws of Namibia are also sometimes in doubt. Resolution of these issues is in the process of being defined by the Ministry of Justice which is drafting new legislation to define the purpose and statutory authority of the community courts. An act of Parliament was supposed to be passed in early 1994, but was yet to be fully drafted at the time of this assessment. It is anticipated that the act will be drafted and passed by the end of the year though the issue of consistency between customary practice and the laws of Namibia may take longer to resolve--if indeed it is ever possible to fully solve this problem. Once the act is passed, there will be a need to train local community/traditional leaders in the basic procedures of judicial practice.

Two other important dimensions of the legal process need mention. The first is the Law Reform and Development Commission attached to the Ministry of Justice. Article 66 (1) of the Constitution states that "Both the customary law and the common law of Namibia in force on the date of Independence shall remain valid to the extent to which such customary or common law does not conflict with this Constitution or any other statutory law." In practice, the acts and ordinances originating from customary law and from statutory law enacted under the South African government will remain in force until such time as they are specifically repealed by the present government, a situation that is a problematic obstacle to change. Moreover, government objectives, such as its commitment to affirmative action and to gender equality, are at times undermined by the existence of laws that run contrary to the intent of constitutional provisions. Although some areas of law have been attended to, others remain to be

addressed. For example, juvenile law and laws pertaining to women concerning marriage and inheritance.

The second dimension is the composition and professional norms of the legal profession and the training of black Namibians for the bar. The Law Reform and Development Commission has been in existence for over a year to systematically revise statutes enacted prior to independence to be consistent with Namibia's constitution. In addition, the Law Reform Commission will determine what new legislation is required to fully realize provisions of the constitution (e.g. equality of gender). The work of the Law Reform Commission is proceeding slowly but surely, and appears to be adequately financed through a combination of GRN and donor funds.

The training and incorporation of black Namibians into the Namibian bar will be a lengthy process lasting well into the next decade. Namibia presently has roughly 100 fully trained attorneys in private practice of which roughly only a half-dozen are black. There are only two black law firms in Windhoek. Compounding this situation is the near total absence of a tradition of public interest litigation in Namibia save the programs of the Legal Assistance Centre. Put simply, virtually all law firms are white and serve white and corporate clients--the upper-middle class of Namibian society. The training of black Namibians in the law will eventually mitigate this situation, but is no guarantee unless law clinics are established which will employ the new trainees. The training of black Namibians to become attorneys is also an expensive and lengthy process. However, without the provision of such training, there will be no significant change in the composition or orientation of the Namibian bar. The issue of advanced legal training also raises questions as to where and how such training should be obtained. The University of Namibia has established a Faculty of Law, but most outside observers agree that it would be more cost effective to send would be attorneys to South Africa for their legal studies. Should USAID consider the provision of assistance in this area, it will need to make a determination on this issue.

In summary, the weakest links in the Namibian legal process are at the level of the magistrate courts and in the overall composition of the legal community. Overcoming the problems of the legal process is essential for a functioning democracy. An overview of the various forms of assistance that USAID might provide to strengthen the legal process is discussed in section V.

e. The Auditor General and the Ombudsman

The Office of the Auditor General and the Office of the Ombudsman are two independent state agencies that have made significant progress toward establishing themselves as autonomous institutions. Namibia's first and only Auditor General to date is Fanuel Tjingaete, an ex-boxer and ex-professor with a Ph.D. in macro-economics who clearly relishes his role as the independent conscience on how government manages its finances. Though provided for in Namibia's constitution, the post of Auditor General was not filled until mid-1993 with the result that government accounts to date have only been audited for 1991 and 1992. These reports have been quite critical resulting in harsh replies by sensitive ministers whose ministries were singled out for incompetence as well as by the secretary-general of SWAPO. It is too early to determine whether the Office of the Auditor-General in Namibia will be

successful in curbing the degree of financial irregularities and outright corruption that have plagued other African countries. However, it is clear that the combination of an independent and bright incumbent of the office coupled with an aggressive and independent press can put the spotlight on malfeasance or simple incompetence.

The Office of the Auditor-General is responsible for auditing the finances of all government ministries and agencies including parastatals and local authorities. The office has an authorized establishment of 80 and an annual budget of \$N 3.8 million. Due to the limited availability of suitably trained personnel, the actual number of staff is 45 which has forced the Office to contract out roughly 25 percent of its workload to private firms. Notwithstanding the current shortage of trained personnel and the fact that the A-G's office suffers from high turnover because many staff use it a stepping stone to higher salaries in the private sector, Dr. Tjingaete estimates that the office will have a full complement of staff within two to three years. The A-G's Office is currently supported in its work by two Swedish and one British advisor which has enabled the office to begin to introduce procedures of performance auditing in addition to the more conventional auditing of financial accounts.

Critical to the long-term prospects for the institutionalization of the office is the security of tenure of the present incumbent and his successors. The A-G is nominated by the Public Service Commission and then approved by the National Assembly for a term of five years, and can only be removed by a vote of two thirds of the lower house. The current incumbent believes his position is secure, but one wonders what might occur should SWAPO achieve a two-thirds majority in the forthcoming elections for the National Assembly or whether he or a similarly independent personality will be named to the post when his current term ends in 1998. In this regard, it is significant to note that the ambassadors from the Nordic countries felt it necessary to make a demarche to the GRN following the attacks on Dr. Tjingaete following the submission of his Office's audit for 1991. Given the relatively smooth functioning of the Office, future support required from the United States will most likely be political rather than financial or technical.

More tenuous yet nonetheless encouraging is the Office of the Ombudsman. It is staffed by the Ombudsman and Deputy Ombudsman supported by several secretaries. The Ombudsman and his deputy are nominated by the Judicial Services Commission and appointed by the President. The former was not appointed until May, 1992 while the latter was named in January, 1993. The Ombudsman, Fanuel Kozonguizi was on sick leave from September, 1993 until May, 1994 with the result that the office is only now operating at capacity. A previous inquiry into the operations of the Ombudsman by a member of the assessment team in June, 1992 suggested that the incumbent was somewhat timid and unsure about how to pursue complaints brought to him for action. Current queries by the same member of the assessment team suggest that the Office is now up and running and does not shy away from sensitive cases. For example, the Ombudsman pursued the case of alleged corruption by a government minister in the drilling of state financed boreholes on his property to the point that the Prime Minister established a commission of inquiry to resolve the matter. More recently, the Ombudsman has been named as the chair of the Commission of Inquiry into the operations of the University of Namibia. It would thus appear that the Office of the Ombudsman has made progress in establishing its role and gained stature in the process. Unfortunately, the work of the office is severely

limited by a lack of *any* trained investigators. Both the Ombudsman and Deputy Ombudsman would like to establish a office in each of Namibia's 13 regions, but this would require at least one investigator per region. Until such time as the Office of the Ombudsman can expand its establishment, its activities will be limited to the efforts of the incumbent and his deputy.

f. The Role of the Security Forces

The role of the security forces and the dynamics of civil-military relations were not examined for this assessment due to limited time, and because USAID is prohibited from providing assistance to the military or police by the Foreign Assistance Act. Civil-military relations in Namibia also appear to be on a sound footing insofar as the security forces are responsible to an elected civilian government, and instances of human rights abuses are few. However, many member of the security forces, especially the police, are hold-overs from the period of South African rule when the police operated under few restraints and were largely feared and/or despised by the majority of the population. Relations between the police and ordinary citizens at the level of the local community could probably be improved to foster a greater degree of mutual trust, and a sense of ownership on the part of the citizenry that the police were there to serve and protect their persons. Should the Foreign Assistance Act be amended or superseded by new legislation as the Administrator has proposed to permit USAID to implement programs to improve civil-military relations, the mission in consultation with the military attaché at the US Embassy, should conduct a "mini-assessment" of this area to determine whether or not future programming is warranted. It should also be noted that while the assessment team was in Namibia to write this report, a regional conference of SADC members was held in Windhoek on the subject of civil-military relations and democracy in Southern Africa. All states represented at the conference, including the GRN, pledged themselves to work towards the demilitarization of the region and improve civil-military relations as they are a critical component to the consolidation of democracy. Improvement of civil-military relations is thus part of the official agenda of the GRN, a fact which USAID should consider when the time allows

2. CIVIL SOCIETY

a. Political Parties

More than 40 political parties and coalitions participated in the 1989 Constituent Assembly elections. Of the various parties and coalitions, the following managed to elect members to the Constituent Assembly, which subsequently became the National Assembly: Action Christian National (ACN); the Democratic Turnhalle Alliance (DTA); Federal Convention of Namibia (FCN); Namibia National Front (NNF); National Patriotic Front (NPF); South West Africa People's Organization (SWAPO); and the United Democratic Front (UDF). A brief discussion of the parties follows:

Action Christian National (ACN)

The ACN, composed of two member parties, the National Party of South West Africa and the German Action Committee, was founded in early 1989 with the backing of the National Party. The ACN's program advocates a system of independent local authorities with maximum autonomy, especially in the area of education, and a free market economy.

Democratic Turnhalle Alliance (DTA)

The DTA was founded in November 1977 by participants in the Turnhalle Constitutional Conference. Since its inception, the DTA campaigned for the recognition of Namibia's "internal parties" as equal negotiating partners with SWAPO and South Africa, rejecting the UN's recognition of SWAPO as the "sole and authentic representative of the Namibian people."

The DTA was composed of nominated representatives from each of Namibia's ethnic groups, with the largest and the smallest having approximately equal representation. The South African expectation was that the DTA would prepare a constitution based on the principle of ethnic equality, in disregard for actual population numbers, an equation that would give whites a more substantial position in Namibia than their numbers otherwise would indicate.

The DTA program during the 1989 elections was based on the principles of democracy, the rule of law, fundamental freedom and responsibilities, and a mixed economy.

In late July 1991, the South African government admitted that it had provided some R100 million in funding for the DTA and several other political parties which were opposed to SWAPO prior to the election of 1989. DTA-gate, as it was called, served to discredit the party and reopened latent suspicions about the extent to which the elections actually could be considered to have been free and fair.

At the end of November 1991, the DTA voted to reorganize itself from a coalition of parties into a single party, known as the DTA of Namibia. According to its Mission Statement, "The DTA of Namibia is a political party which arises from and is rooted in the cultural multiplicity of the people of Namibia, with the fundamental aim to advance and maintain peace and prosperity and to achieve national unity based on a multiparty democracy.

Federal Convention of Namibia (FCN)

The FCN was founded in late 1988 in Rehoboth. The coalition has a strongly Christian-based platform that advocates a federal system of government and a mixed economy.

Namibia National Front (NNF)

The NNF, organized on the slogan "Give the land back to the people," was formally established in February 1989. The coalition's intent was to expand its base by entering into alliances with other progressive parties in Namibia. Its policies are based on the fundamental principles of democracy, with the active participation of the state in the major aspects of the economy to safeguard and extend the interests of all citizens.

National Patriotic Front (NPF)

The slogan of the NPF coalition is "reconciliation, democracy, development." It was founded in March 1989. Its fundamental mission is to create a new country and a new society based on equal rights and opportunities, and favors a mixed economy.

South West Africa People's Organization (SWAPO)

SWAPO has its origins in the Ovamboland People's Congress (OPC) and the Ovamboland People's Organisation (OPO) founded in 1958 and 1959 in Cape Town. The OPO was founded from among contract laborers in Cape Town by Andimba Toivo ya Toivo, Andreas Shipanga and others. The OPO's immediate aims were to fight the contract labor system and to represent the politically voiceless workers. Soon after the founding of OPO, a decision to attempt to unite all non-whites into a single party resulted in the founding of the South West Africa People's Organisation (SWAPO) in 1960. Sam Nujoma was elected President of SWAPO at its founding.

Already in the early 1960s SWAPO established a base in exile (in Tanzania) and began to send cadres for military training. The armed struggle against the South African forces of occupation in Namibia began with the first incursions of SWAPO combatants into Namibia in 1965 and 1966. Eventually SWAPO moved its exile base to Zambia and, after 1974, to Angola where several thousand Namibians spent more than 15 years in camps in exile. While SWAPO was never formally banned inside Namibia its activities were, for all practical purposes, suppressed by the colonial authorities.

In 1976 the United Nations declared SWAPO "the sole and authentic representative of the Namibian people." From 1978 SWAPO participated in the negotiations of the Western Contact Group of the United Nations to achieve independence for Namibia via Security Council Resolution 435. During the years of exile many SWAPO cadres were trained at the United Nations Institute for Namibia in Lusaka, established in 1974, and others were sent abroad for training and further studies. SWAPO exiles returned to Namibia in 1989 under a United Nations sponsored repatriation effort. SWAPO transformed itself from a liberation movement into a political party at its first congress in an independent Namibia in December 1991. SWAPO's post-independence program is based on redressing the past grievances of the majority of the Namibian population. The SWAPO program is guided by the policy of national reconciliation and endorses a mixed economy for Namibia.

United Democratic Front (UDF)

The UDF was founded in February 1989 as a centrist movement between SWAPO and the DTA. The coalition of parties was joined by the Workers Revolutionary Party in August 1989. Its program is based on the principles of democracy and it favors a mixed economy.

In 1989, SWAPO won 57 percent of the vote, which translated into 41 of the 72 seats of the Constituent Assembly. The main opposition party, the DTA, won 29 percent of the vote, or 21 seats. The UDF earned 4 seats, the ACN 3, and the FCN, NNF, and NPF earned one seat apiece.

SWAPO consolidated its strength as a party during the 1992 regional and local elections, which determined the composition of the municipalities, towns, and villages, and the composition of the Regional and National Councils. At the regional level, although the elections were contested by seven political parties (the DTA, NPF, SWANU, SWAPO, UDF, and the Worker's Revolutionary Party), SWAPO garnered 19 of the 26 seats in the National Council. The DTA is the only other party that is represented in the National Council, occupying the remaining 7 seats. At the constituency level, SWAPO won 71 of the 95 constituencies; the DTA 21; and the UDF, 3. SWAPO won outright victories in 10 regions, the DTA in 3.

Following these developments, and in the context of the presidential and National Assembly elections scheduled for December 1994, there is widespread concern that this time around SWAPO will win more than a two-thirds majority. If this should happen, SWAPO would be in a position to rewrite portions of Namibia's highly acclaimed Constitution. In fact, some feel that SWAPO would be compelled to do so in order to address the widespread problems of persistent inequalities in such important areas as land, housing, education, and employment. There are also rumors that the Constitution would be rewritten to allow President Nujoma to continue for more than the currently stipulated two terms.

Although a coalition of parties recently has formed, its status remains unclear. Beyond agreeing that the coalition will be nonethnic and nonracial (which is a provision of the 1992 Electoral Act), and that the coalition's approach to the land issue would be "within the framework of the Namibian Constitution," the UDF, NPF, SWANU, ACN and FCN have not yet managed to progress further towards consolidating themselves as a political force - despite elections being only a matter of months away.¹⁵ Indeed, the UDF decided not to join the coalition because it would first like to define itself as a party, as opposed to part of a larger group. At present, only three parties are continuing discussion about the coalition, the ACN, the NPF, and SWANU. These parties are organizing a congress that apparently is scheduled to take place sometime in the near future. Although the DTA leadership was not interested in a pre-election coalition, it may be willing to consider cooperation after the elections. It therefore

¹⁵ See "Revised Third Report by the Steering Committee for Unification/Coalition (SCU/C) to the Executive Bodies of the Negotiating Parties (UDF, NPF, SWANU, ACN & FCN),"

9 May 1994, Windhoek.

remains to be seen what the status of the coalition will be in the near future, before the elections, and once the elections have taken place.

In this context, emphasis on fostering multipartyism - the mere existence of "opposition" political parties - for opposition's sake, is not, in the long term, the most appropriate or necessarily the most effective means of addressing what is in essence a problem of the perceived illegitimacy of the political parties as they currently exist. The principal opposition actors continue to be discredited by their participation in the interim governments prior to the 1989 Constituent Assembly elections, and by the revelations of DTA-gate in 1991.

In addition, it is important to note that none of the coalitions and parties differ substantially in ideology from the orientation of the ruling party, SWAPO. Given that there seems to be consensus concerning the basic tenets of Namibian society, one might expect the opposition vigorously to advance alternative proposals about how better to address Namibia's material needs, especially in the areas of land tenure, jobs creation, and improved facilities in education, housing, and health, as well as how best to accomplish the goals of national unity and affirmative action. In the more than four years since independence, however, none of the parties has really consolidated its position. Even the "loyal opposition" tends to be virtually moribund until an election approaches, when it scrambles to mount a campaign. Most importantly, Namibia's parties are seemingly singularly unable to articulate a program, and thus attract members and supporters.

Given the above, the opposition parties as a whole are perceived to offer no viable alternative to SWAPO and its government policies. Indeed, representatives from the DTA frequently lamented that SWAPO has incorporated all of its major policy tenets, leaving it little room for policy-making maneuver. Indeed, all the political parties interviewed pronounced themselves satisfied with the opportunities that exist for constructive dialogue with the government, and that the climate for political action generally is open and tolerant (there are important exceptions to this latter sentiment in specific areas, most notably in various constituencies in the northern part of the country).

On a final note, it should be recalled that Namibia's past is one of highly partisan politics. In post-independence Namibia, there are many people who would like to move beyond these past party political differences. For example, the women's movement, the trade union movement, even the NGO community to a certain extent, continue to be divided along party political lines. There is a pronounced feeling that these divisions along party lines are hampering development efforts while reducing the strength and the bargaining power of these different movements and organizations. Most importantly, unlike other organizations in Namibia, most political parties appear to lack an active and easily identifiable constituency. Thus, activities aimed at strengthening the capacity of the various groups in Namibian society, including the political parties, to more effectively interact with the government and to advance their interests, will contribute to consolidating democracy and more effective governance.

b. The Media

The Media Institute of Southern Africa (MISA)--Namibia

The Media Institute of Southern Africa, MISA, is a regional secretariat intended to promote free, independent, and pluralistic media in southern Africa. It is the only organization of its kind in the region. MISA arises from a consensus concerning the desirability of promoting the free flow of information and cooperation between journalists as a principal means of nurturing democracy and respect for human rights in Africa. MISA results from a series of meetings that began in 1989; most of the meetings were financed by the Swedish International Development Authority (SIDA). MISA was established in March 1991 and adopted the Declaration of Windhoek on Promoting an Independent and Pluralistic African Press in May 1991. A meeting financed by SIDA and UNESCO in Windhoek in August 1992, capitalized on the SADCC summit, which enabled more than 50 journalists from the region to participate in roundtable discussions concerning how to operationalize MISA and its objectives.

The MISA Secretariat is located in Windhoek. In addition, each member country is expected to constitute its own country chapter. These local chapters would identify priorities and projects in their respective countries. MISA-Namibia is just getting underway and is slated to be formally constituted in the near future. It shares the offices of the MISA Secretariat, and has a core staff. Gwen Lister, Editor of *The Namibian*, is the Chairperson of MISA-Namibia. Membership in MISA is to be on an institutional and individual basis. The only requirement for members, who will be drawn from the constellation of media workers - editors, journalists, reporters, typesetters, media academics, etc. - is that they subscribe to MISA-Namibia's aims and objectives.

Although the importance of an independent press in support of democracy is generally acknowledged by government as well as in the nongovernmental sector, the press in Namibia is vulnerable. *The Namibian* is the only independent paper; the rest are government or party-owned. In addition, in the absence of vigorous activity from political parties, the media is in the awkward position of being perceived to be the real opposition in Namibia. This perception complicates the media's relationship with government.

Moreover, a troublesome trend in both the broadcast and the print media is that reporters feel increasingly subject to self-censorship. This self-censorship arises in part as a result of the not so subtle situations in which Ministers openly complain that "our reporters are not professional" in response to a particular article or broadcast, in many cases implying that the information somehow was distorted or untrue. In addition, reporters feel compelled to cover events simply because they are attended by political figures, irrespective of the newsworthiness of the activity. If they do not, they feel that that are being seen to be "disloyal" to the government. The Media Council, which could to some extent mediate between government and the press, is seen to be virtually inactive. Moreover, it is perceived to be plagued by conflicting interests that present obstacles to its smooth functioning.

Reporters would like to augment their coverage of local and regional government activities, in addition to more penetrating coverage of national government

activities, but, apart from equipment and staffing impediments, feel that they require training in methods of investigative journalism, as well as an increased understanding of economic and political affairs. Such training would also be valuable to individual reporters who are experiencing difficulty in making the transition from being party activists to objective reporters in the national interest. Such training would address the issue of self-censorship, since more professionalized reporters and media workers would develop an identification foremost as a media, rather than as individuals with partisan interests. In addition, in order to enhance the ability of the broadcast and print media to be more self-sufficient, and self-sustaining, training is required in the areas of management, advertising, and distribution.

The Namibian Broadcasting Corporation (NBC)

The Namibian Broadcasting Corporation (NBC) is Namibia's only national public radio and television service. The NBC is an autonomous broadcasting service run by an independent board. The Board formulates NBC's policies, which are then executed by the management committee, which is composed of the Director General and seven Controllers: Programs, Human Resources, News, Public Affairs, Administration, Finance, and Technical. The Director General also serves on the Board. Although one of the NBC's goals is to become more self-sufficient, the bulk of its funding at present continues to be derived from government subsidy.

The NBC has its origins in the South African Broadcasting Corporation (SABC) which was transformed into the NBC immediately following independence. The transformation has been accompanied by several changes in the philosophy and approach to public broadcasting in Namibia. Most notably, though with much institutional trauma, the NBC has committed to affirmative action employment policies and to becoming an instrument for democracy, national reconciliation, and nation-building.

NBC Radio consists of nine different language services. The National Service broadcasts in English and is the only service heard in the early morning and later evening hours. The other language services can be heard during the daytime hours. In addition to 18 daily news bulletins, the radio programs include phone-in and discussion programs that deal with a diversity of opinions on controversial and topical issues. The radio service also functions as a notice board, communicating messages between people in remote areas, especially at times of emergency. A network of FM 35 transmitters make the radio accessible to about 90 percent of the population. A recent development in Namibia is Radio 99, the first private commercial radio station. For some time, efforts have been underway to organize a community based radio service in Katutura though this has not yet materialized.

The NBC's single television channel is transmitted to 35 percent of the population for 6 hours daily between Monday and Saturday, and 10 hours on Sunday. A daily news bulletin is broadcast each evening. Beginning August 1, 1994 CNN news will be carried every morning from 6:30 to 7:00 and every midday from 1:00-2:00. At present, most programs, except for the news, are not locally produced. One of NBC's aims is to increase its capacity for local program production.

NBC's activities are conducted in cooperation with two language services based in Oshakati and Rundu and three contribution centers in Otjiwarongo and two other towns. Although the centers function as "contribution" units which prepare programming that is then forwarded to Windhoek for final editing and broadcast, the general feeling is that the Windhoek office respects the autonomy of the centers in selecting newsworthy events. Still, given limited broadcast time, the feeling is that urban areas and particular regions tend to receive more exposure than others.

The NBC contribution center differ in their access to materials and the extent to which they can effectively cover news events in their assigned areas. For example, a common difficulty experienced by NBC reporters is their inability to cover events that occur outside the urban areas, especially in the far corners of their wide-reaching districts. Since access must be by road, coverage can be limited if vehicles are not available. Moreover, news coverage is constrained by the limited equipment in the contribution centers; for example, the Otjiwarongo office was without a camera because the one it possesses was in Windhoek for repairs. Some of the contribution centers feel understaffed, a situation with implications for both the quantity and the quality of coverage. For example, in some of the more remote areas, coverage is time-consuming, since the reporters in some cases must arrive at least a day in advance of a scheduled event. In addition, communications difficulties in the rural areas also mean that sometimes events occur without the NBC's receiving advance notice.

c. Trade Unions and Interest Groups

The trade union movement in Namibia is relatively young and inexperienced; most of the currently existing trade unions emerged only in the mid 1980s or after independence. As in other sectors, trade unions remained divided by political orientation. At present nearly 20 trade unions (in a formal sector labor force of about 200,000) are organized into two trade union federations, with a few unions remaining unaffiliated to either federation.

The National Union of Namibian Workers (NUNW), the larger of the two federations, includes the Namibia Public Workers Union (NAPWU), the Namibia Transport and Allied Workers Union (NATAU), the Mineworkers Union of Namibia (MUN), the Namibia Domestic and Allied Workers Union (NDAWU), the Metal and Allied Workers Union (MANWU), the Namibia National Teachers Union (NANTU), the Namibia Food and Allied Workers Union (NAFAU), and the Namibia Farmworkers Union (NAFWU). The NUNW and federated unions claim a membership of about 65,000. The NUNW is formally affiliated to the ruling political party SWAPO. Several NUNW officeholders are members of the SWAPO Politburo or Central Committee.

The second trade union federation, the Namibia People's Social Movement (NPSM), includes the Public Service Union of Namibia (PSUN), the Namibia Building Workers Union (NBWU), the Local Authorities Union of Namibia (LAUN), the Namibia Wholesalers and Retail Workers Union (NWRWU), the South West Africa Mineworkers Union (SWAMU), and the Bank Workers Union of Namibia (BWON). Some of these unions have their origins in white staff associations formed some time before independence. The NPSM claims a total membership of about 30,000. As the name implies the NPSM would eventually like to constitute a broad social movement, rather than simply a trade union federation; it is are

currently seeking funding for a newspaper and youth program. The NPSM claims no political orientation or affiliation. Unaffiliated unions include the Namibian Pelagic Motorman Union and the Namibian Telecommunications Union.

The unions of the NUNW were very much born out of the liberation struggle in Namibia and since independence have sought to make the transition to a new role. Progressive, new labor legislation was implemented in November 1992 (Labour Act No. 6 of 1992) and yet because of a lack of capacity the unions are not able to take full advantage of the new law. The Act firmly entrenches the International Labour Organisation notion of 'tripartism' in labor relations in Namibia, and provides for the establishment of a number of tripartite structures such as the Labour Advisory Council in which unions are expected to participate. At the same time the unions are hampered by a lack of adequate finances, insufficient and untrained staffs, weak structures, no research or planning capacity, little access to vital economic data, no full-time legal counsel or labor economist of their own and so on, which precludes their effective participation in the new tripartite labor relations. The NUNW has a well equipped national center in Katutura and regional offices in Tsumeb, Swakopmund and Keetmanshoop, each of which is staffed by a regional coordinator. Member unions share office facilities at those four centers. The NUNW runs a number of programs in conjunction with the International Confederation of Free Trade Unions (ICFTU), with Southern African, pan-African and international trade union bodies and with their respective International Trade Secretariats.

A number of issues concern trade unionists in Namibia today. There are complaints about national reconciliation and the fact that it appears to be reinforcing the status quo. Little has changed for ordinary workers at the workplace as whites continue to occupy the professional and managerial posts and black Namibians continue to be relegated largely to unskilled and semi-skilled positions. In the view of many, an important economic element of democracy is being ignored as the pre-independence wealth and income disparities continue. Trade unionists see themselves as representing an important taxpaying base in the country and as playing a role in Namibia's democratization as 'part and parcel of civil society.' Some complain about the lack of an open debate within the country and charge that there is much labeling of those who openly criticize or disagree with the ruling party.

There is much ferment within the NUNW about the federation's affiliation to SWAPO. There have been numerous attempts, at recent congresses, to disaffiliate from SWAPO, but never successful. Many within the unions feel that SWAPO, as a nationalist movement, cannot privilege worker interests and that the party takes the workers' support for granted. There has been talk of the unions fielding their own candidates in the upcoming elections (which has elicited harsh rebukes from SWAPO) or even, eventually, of some trade unionists leading a break away faction within SWAPO. At present, the issue of political affiliation is the single greatest obstacle to unity between the two trade union federations.

Other important interest groups in Namibia include the Namibia National Farmers' Union (NNFU) and the Namibian National Students Organisation (NANSO). The NNFU was formed in June 1992 as an organization to promote the interests of communal farmers in Namibia; as such it has a potentially vast rural membership and represents an important constituency. There had been sporadic efforts to organize communal farmers before independence, mostly under the auspices of the commercial farmers' union, the Namibia Agricultural Union (NAU). At independence, communal farmers requested the NAU to

change its constitution and restructure itself to accommodate the aspirations of communal farmer. When this did not happen quickly enough communal farmers approached the Namibian Development Trust for assistance and eventually the NNFU was launched. At present the NNFU claims to have 40,000 dues paying members. Members are organized first into associations or clubs which then form regional or district unions which then affiliate to the NNFU. Currently, there are regional unions in Caprivi, Omaheke, Hardap and Karas together, Okavango, Kunene and Erongo regions. Much work is still needed in the four regions of former Ovamboland where a first regional union has just been formed, and in Khomas and Otjozondjupa regions. There are also regional offices of the NNFU, for example, in Rundu. The NNFU derives financial and project support from a number of international NGOs and works in collaboration with many Namibian NGOs.

The NNFU sees its priorities as strengthening the organization's institutional capacity, making the organization economically viable, obtaining a researcher for issues such as marketing and the land question, training small and subsistence farmers, and democratizing member associations which tend still to be autocratic. The Ford Foundation has just made a grant to the NNFU so that they may hire an economist to strengthen their analytic capacity on land and agricultural policy issues. The NNFU is very inclined to become involved with government on a number of relevant policy issues and seems well positioned to do so. At present they feel they have good access to government, mostly through Permanent Secretaries at the national level. In regional offices such as the one in Rundu there have been considerably more problems in eliciting prompt responses from government officials. The NNFU has been the instigator of the NGO Committee on Land Reform, comprised of more than 12 Namibian NGOs and formed to increase pressure on the government vis-a-vis the land issue in Namibia. The NGO Committee on Land intends to hold a conference on the land question in September and follow closely the development of the new legislation on land. Politically, the NNFU is a very diverse organization, reflecting the widely varied regional memberships and, as such, likes to stress 'agropolitics' over party politics.

NANSO is an independent national secondary school and university student organization formed in 1984. Before independence NANSO branches were active in secondary schools throughout Namibia and at South African universities with significant Namibian populations such as the University of the Western Cape. NANSO was important in leading school boycotts and at least one national strike in the final years of the liberation struggle in Namibia. In 1989 NANSO decided to affiliate formally to SWAPO and one year later, in 1990, NANSO decided to disaffiliate from SWAPO. This disaffiliation has had deleterious consequences for the organization. While NANSO had about 61,000 members in 1990/91 NANSO officeholders estimate that they now have about half that number of members. In addition, a second student organization, mostly representing secondary students in northern Namibia, has now been formed and is affiliated to SWAPO. But this second student organization has yet to write its own constitution or to take a different name other than NANSO-affiliated. NANSO has said it would like to have a working relationship with SWAPO while still maintaining its independent position. SWAPO has sent NANSO mixed signals about its position toward NANSO, and many NANSO leaders have been labeled and badmouthed because of the disaffiliation. NANSO operates on very little money at the moment. They are conducting two media training programs with IBIS (formerly WUS-Denmark) and one AIDS education campaign with Oxfam Canada. NANSO conducts workshops for members in leadership training, gender sensitivity and has undertaken a campaign to have Student Representative Councils elected in all secondary

schools in Namibia so that pupil interests are well represented on school management committees. NANSO has branches at many schools around Namibia. They feel that civic education is vital, but this must be education that teaches about democracy and different systems of government and not simply the colors and symbols of different political parties. NANSO's most recent effort is to design a student empowerment program which will work through debates and other instruments to teach students how to defend their own interests. They would like to encourage regional and international student exchange programs and have been involved in the recent launching of the Southern African Students Union.

d. Business Organizations

The business community in Namibia remains largely in the hands of Afrikaans and German speaking white Namibians and some South African and transnational corporations. Some sectors, such as mining and commercial agriculture, have been organized for decades into their respective professional associations - for example, the Chamber of Mines which represents about 35 mining companies and the Namibian Agricultural Union (NAU) which represents 3,900 out of 4,500 commercial farmers in Namibia. Before independence there was no national chamber of commerce or national employers' federation in Namibia, although efforts to establish an employers' federation began already in the early 1980s. Instead, a number of regional chambers of commerce existed which were affiliated to the Association of Chambers of Commerce and Industry in South Africa. The largest and most powerful of these was the Windhoek Chamber of Commerce and Industry. Since independence there has been pressure on the business community from government to form one employers' association and one chamber of commerce. In 1993 a Namibia Employers' Federation (NEF) was finally established, although according to some in the business community the trade associations such as mining, agriculture and tourism associations remain the far more important organizational fora.

The Namibia National Chamber of Commerce and Industry (NNCCI) was established in 1990 as an umbrella organization to which all existing and newly created business organizations could affiliate. This was seen as an important step towards uniting Namibia's fragmented private sector - the established Windhoek based companies on the one hand and the emergent small business sector outside Windhoek on the other - and creating a strong and unified voice for business after independence. While initially seen as a chamber for 'black business' only, the NNCCI is increasingly seen to represent a 'nice mix.' Given the lack of a 'chamber culture' in Namibia, the NNCCI has only nine affiliated regional chambers, one affiliated sectoral chamber (Namibia Chamber of Crafts) and nearly 20 corporate members. The NNCCI encourages local chambers such as those in Grootfontein, Otjiwarongo, Mariental and Luderitz to join the national body and so help to unite the Namibian business community. The functions of the NNCCI include providing a forum for the discussion of matters of concern to businesspeople, representing the views of commerce, industry and crafts, and providing a range of benefits and services to members. Services include small business assistance, interaction with government, training in small business development and chamber management development, advocacy on economic issues, trade and marketing information, and promotion of Namibian businesses. The Chamber sees itself as playing an important role in the new tripartite labor relations dispensation.

Regional chambers, such as the Northern Namibia Regional Chamber of Commerce and Industry (NNRCCI) in Ongwediva conduct their own programs in collaboration with the NNCCI. In northern Namibia significant efforts are underway to develop and diversify people's entrepreneurial and management skills. Through the Small Business Development Program management training courses and a credit scheme are offered. The program relies upon existing financial institutions rather than direct lending in order to build credit ratings for recipients. The NNRCCI has developed its own relevant training material that is action oriented and demand driven. Other activities of the NNRCCI include conducting business English classes and organizing a regional trade fair. The NNRCCI is concerned to enhance the crafts industry in the northern Namibia and to monitor carefully government action on the land question; this is of particular importance of potential entrepreneurs anxious to secure land for a business.

Relations between government and the private sector seem to vary considerably. The larger, more important sectors such as mining, fishing and commercial agriculture seem to have quite amicable relations with government. Through their trade associations they participate in various ministerial advisory boards and other government structures such as the Labour Advisory Council. They appear to have immediate access to the highest echelons of government. They are fully aware of their contribution to the gross national product and derive their leverage and bargaining power from this. They will give government credit 'for a job well done' but are not afraid to criticize on other occasions. They feel government must create the 'enabling environment' for the private sector to thrive and thereby strengthen the economy. Until now, only the larger mining companies in Namibia, such as the Consolidated Diamond Mines and Rossing Uranium Limited, have demonstrated significant social responsibility toward the communities in which they operate although with the increasing importance of the fishing industry and the incorporation of Walvis Bay into Namibia, more fishing companies are beginning to move in this direction.

For the smaller, though still 'established' businesses in Namibia - for example, retail trade and commerce - the situation is somewhat different. For the first time, these medium-sized, largely white-owned businesses are being exposed to increased competition and they are being forced to innovate much more than in the past. They realize their skills deficits and feel much in need of low interest loans and advanced training in a number of fields. This sector tends to be more hostile to government for party political reasons. There is considerable frustration with the Labour Act which is deemed too expensive for an economy such as Namibia's but again, through their trade associations, these businesses are negotiating with government. Relations between government and the newly emerging 'black' businesses are just evolving.

e. National Service-Oriented NGOs

About 120 non-governmental organizations (NGOs) are currently active in Namibia. Among these are a number of larger national service oriented NGOs. These include the Namibia Development Trust (NDT), the Rossing Foundation, the Private Sector Foundation (PSF), the Institute for Management and Leadership Training (IMLT), the Rural People's Institute for Social Empowerment in Namibia (RISE) and the recently formed Urban Trust.

NGOs and CBOs in Namibia are organized into one umbrella organization, the Namibia Non-Governmental Forum (NANGOF).

The Namibian Development Trust is a national service organization that, before independence, helped to facilitate donor-NGO contacts and undertook its own community development programs. NDT now has three regional offices - in the North, in the South and in Windhoek (from where programs in the West and East are operated). Their rural development program is geared toward increasing rural household income and food security, and to that end they provide assistance in the form of technical advice and training for small entrepreneurs and start up loans of up to \$N5,000.

The Rossing Foundation was established in 1979 in Namibia with money from Rossing Uranium Limited (RUL). In recent years, however, RUL has had to withdraw most of its support for the Foundation. Rossing Foundation projects have either become self-financing or have been eliminated, and the Foundation has been forced to seek some foreign donor assistance. The primary mission of the Foundation is to train Namibians in a variety of skills; the Foundation has now established 13 centers throughout Namibia with programs as diverse as small business development, food production, adult literacy and maritime training. The Rossing Foundation has a longstanding Youth Award Program which would like to incorporate a democracy component. Rossing's centers are available for developmental activities by other organizations.

The Private Sector Foundation, modeled on the Urban Foundation in South Africa, was established in 1981 in Namibia. Initially the PSF worked in five program areas: labor relations, low cost housing, education and training, community development, and small business development. Funding for the Private Sector Foundation has come from member businesses and through programs such as the READ program at USAID, UNIFEM, and the Canada Fund. In recent years funding for the PSF has dwindled "to a trickle," causing it, among other things, to close its office in Ongwediva in 1992. The PSF provides training in business management, secretarial practice, English literacy, and technical skills to private individuals, government ministries and local and foreign NGOs. The PSF also provides advisory services to these same clients. In the past the PSF has worked widely in funding small business and microenterprises for women, although it is no longer able to because of funding constraints. The PSF continues to search for funds to finance its micro credit and loan schemes and has applied to a number of foreign donor agencies.

The Institute for Management and Leadership Training, established in 1983, aims to provide practical training and/or consultancy services to individuals and organizations in key sectors of the economy, both public and private. The IMLT has five departments which represent their primary areas of activity: small enterprise development, business development, computer training, business survey services, and consultation. The small enterprise development program works together with the Ministry of Trade and Industry to provide loan capital (N\$5,000-10,000) from the Ministry's Revolving Credit Fund. The IMLT has regional offices in Oshakati and Rundu. Women are the majority of the participants in IMLT programs. The IMLT works in conjunction with the NNCCI in the provision of training and credit. The IMLT has been supported since its founding by the Hans Seidel Foundation although now Hans Seidel is withdrawing some of its funding and the IMLT is attempting to become self-financing.

The Rural People's Institute for Social Empowerment in Namibia has been active to date mainly in southern Namibia, although it is now expanding to become a national organization. RISE functions principally as a service organization, assisting farmer associations to establish savings and loan schemes, and organizing marketing and other services. The Ford Foundation has given a grant to RISE to support rural community economic development programs in eastern Namibia and would like to help to establish a rural policy unit in RISE in 1995.

The Urban Trust has recently been formed as a technical service organization with special emphasis on urban poverty research and advocacy. The Urban Trust has received a two year start-up grant from the Ford Foundation. The primary goal of the Urban Trust is to promote policies, strategies and projects that support comprehensive, integrated, financially sustainable and participatory approaches to urban management and urban poverty alleviation. Specific objectives include, among others, promoting policies for balanced urban and economic growth, promoting the informal, small and medium enterprise sector throughout the policymaking process, encouraging policies that foster self-reliance, a sense of community, citizenship and nation-building.

The Namibian Non-Governmental Organisation Forum was formed as an umbrella organization and a lobby organization for NGOs in Namibia in April 1991. NANGOF has yet to establish a secretariat in the form of a staffed office in greater Windhoek although it plans to do so soon. NANGOF has more than 50 member organizations ranging from individual community based organizations to regional and national level organizations. To date, NANGOF has sponsored a number of workshops on issues such as NGO-government relations, housing, gender sensitivity, and cooperatives. NANGOF is not an implementing body and so assigns different tasks to its member organizations. For example, NDT is responsible for training programs while the small community development organization Bricks is responsible for communication through its newspaper.

NANGOF sees its primary function as lobbying government on behalf of the NGO community. NANGOF has a loose, verbal agreement (eventually to be formalized) with the NUNW and the Council of Churches of Namibia (CCN) - that the three will act together in making their demands to government. For example, the NUNW and NANGOF together walked out of a meeting with the National Planning Commission about the national development plan, when they felt they had not been adequately consulted. Ultimately, members of NANGOF were also instrumental in the establishment of an NGO Government Task Force. This task force was established in an effort to facilitate relations between government and NGOs and to identify a contact point for the two. The contact point will be an NGO liaison office within the National Planning Commission, given that the national development plans are drawn up at the NPC.

Before independence, the NGO community in Namibia was strongly divided along party political lines; these divisions corresponded largely to the NGOs' stance toward the interim governments (whether to participate in them or not) and were reflected in their funding sources and the political orientations and affiliations of those sources. Immediately after independence such tensions surfaced again during the attempt to form an umbrella organization for NGOs. Nine organizations including the NDT, Bricks, the CCN, the Namibia Credit Union League (NACUL), the LAC, the National Job Creation Service (NJCS), the Namibia Returnees Self-Help Project (NRSHP), the NUNW and NANSO joined forces to form a steering committee for formation of NANGOF. Some Namibian NGOs

claimed that they were not invited to join NANGOF and rejected the perceived association of NANGOF with SWAPO. Thus, a second NGO umbrella body, the Namibian Association of Non-Governmental Organisations (NANGOS) was formed. The existence of NANGOS was shortlived, however, and today most Namibian NGOs are united within NANGOF.

Indeed, most people in the NGO community seem anxious to move beyond these past political differences and to focus more intensively on their constituents' development needs. Moreover, the NGOs as a group find themselves in an increasingly adversarial relationship with government - for which they must be united. While in the early days of independence many leaders in government praised the NGO community and welcomed their participation in the management of development efforts and in development planning, some in government today view the NGO community as "stonethrowers," according to one NGO leader. To a large extent, NGOs are poorly equipped to play this new role in the policy making process and so are further discrediting themselves in the eyes of many in government. Most NGOs are overwhelmed by the simple task of building their own organizations and managing their own programs. They are not able to devote the time, resources or expertise to participating in the policy making process, despite the fact that they all recognize the necessity and importance of doing so.

f. National NGOs with a Democracy and Governance Agenda

Outside of the University of Namibia, only the Legal Assistance Centre (LAC) and the Namibia Institute for Democracy (NID) have an explicit human rights or democracy and governance agenda in Namibia. The Legal Assistance Centre was established in 1988, with the first office—the Human Rights Centre at Ongwediva—situated in the heart of the then war zone. Before independence 75 percent of the LAC's cases involved human rights abuses by the South African and "South West African" security forces, but with independence and a new constitution the program of the LAC and affiliated offices has changed markedly. In addition to the Human Rights Centre at Ongwediva and the head office in Windhoek, the LAC network includes the Rundu Advice Office, the Walvis Bay Legal Advice Office and the Keetmanshoop Advice Office. Since independence the LAC and its affiliated centers have embarked on a number of programs. The Legal Education Project, launched in 1991, is aimed at schools, churches, trade unions, and community and women's organizations. Through a program of civic education people are helped to understand documents like the Constitution, the Labour Act and international conventions on human rights. From the beginning the LAC has worked closely with Namibian trade unions. More recently, the LAC has become involved in legal reform and land reform in Namibia and has initiated a Gender Research Project, a pilot labor research project, and a juvenile justice project to support the work of the Law Reform and Development Commission of the Ministry of Justice. The LAC also sponsors a bursary program to train black Namibian lawyers.

In the regional offices of the LAC most cases brought to the centers concern labor disputes, maintenance problems, and land issues (especially in the communal areas). Staff at the regional offices conduct numerous workshops on a range of topics throughout their vast regions. All of the offices are staffed only by paralegal coordinators and so that work requiring a lawyer must be sent to Windhoek. All of the offices could use assistance in their outreach work in the form of materials and equipment and more personnel.

The Namibia Institute for Democracy (NID) was established in late 1991 by the Konrad Adenauer Foundation in Windhoek. The NID's primary vocation is to conduct training and civic education programs aimed at educating Namibians about the contents of the Namibian constitution and the principles of multiparty democracy. Six part-time teachers conduct the training and civic education programs in satellite offices in Rundu, Oshakati, Swakopmund and Katima Mulilo and from the Windhoek office. The NID also sponsors occasional conferences on topics such as "Ethnicity, Nation Building and Democracy in Namibia" and publishes the proceedings. NID works through the schools, which teach civic education in grade seven, by sponsoring competitions and going directly to classrooms. They also work through churches and NGOs and other community organizations. They make regular use of the radio, with their own program called 'Know Your Constitution' funded by an NED grant. In Oshakati the regional coordinator is very active in encouraging communities to organize themselves for advocacy purposes.

g. Church and Religious Organizations

A very high proportion of Namibia's population is Christian. About 50 percent of the population belong to the Lutheran Church while the rest belong to the Anglican, Roman Catholic, Dutch Reformed and other churches. The Christian presence in Namibia is longstanding with the first missionaries arriving in 1802 from the London Mission Society; German and Finnish Lutherans began to set up missions in Namibia in the 1840s. A progressive role on the part of some Namibian churches is considered to date from the 1971 Bishops' Letter to the South African Prime Minister from leaders of Namibia's two major Lutheran churches, the (then) Evangelical Lutheran Ovambo-Kavango Church and the Evangelical Lutheran Church of South West Africa. The Letter complained of violations of human rights and called for an end to the contract labor system, a peaceful solution to Namibia's problems and independence for the territory. The Council of Churches of Namibia (CCN) was formed in 1978, uniting many Namibian churches and providing a forum and resources for community development (and relief). The CCN also served as a conduit for external funding for those church and development efforts inside Namibia linked to the liberation struggle.

Before independence the CCN had an active legal assistance department to assist those whose human rights were violated by the apartheid system, for example, by providing legal advice and helping with court fees. After independence this legal desk became a human rights desk; among other things the human rights desk program, using Legal Assistance Centre materials, encouraged education about the constitution, especially at the level of the congregation. The human rights desk is currently unoccupied, however, and so no program exists. The CCN operates on the basis of a number of clusters: social services, development, training and upgrading (English instruction and scholarships), and faith and justice and society. There are regional offices in the South (part of the women's desk) and in the North, and there are regional ecumenical communities that keep the CCN informed of what issues need to be addressed. The CCN was actively involved in voter education during the 1989 election, but had no program for the 1992 elections and has no plans for the upcoming election.

In many respects, the position of the CCN has changed since independence. The CCN has lost much of its donor support since independence, as donors are now able to channel their funds directly to other recipients, with the result that many CCN programs have been cut. In addition, many of CCN's most capable people have gone to government, the private sector or the NGO community. The CCN has failed to identify new goals now that the liberation struggle is over, the member churches lack a common vision as in the past and have been struggling to identify issues on which to work. Many churches are turning inward to get 'their own houses in order' and have less time for the Council of Churches than in the past. Many people have complained of the CCN's silence on a number of important issues since independence, such as national reconciliation and the land issue, but according to the CCN General Secretary this silence simply reflects the trust the churches have placed in the government. At the same time, the General Secretary worries that this trust might be too much and by the time they realize this it could be too late.

Many of the member churches of the CCN, such as the Evangelical Lutheran Church in Namibia (ELCIN), have experienced the same loss of funding and personnel and lack of a clear programmatic vision for the future since independence. Many churches have handed over to the government their schools and clinics in the rural areas although in some case they are still administering them and in others people are calling for the churches to take them back. Churches such as ELCIN see themselves as continuing to play an active role in training and in policy debates, for example, the whole question of national reconciliation.

h. The University of Namibia

A university component has existed within "the Academy" in Namibia since 1985. After independence, however, a new University of Namibia (UNAM) was founded. It is experiencing many of the same difficulties of other organizations in Namibia that are attempting to restructure the old institutions and form new ones. UNAM includes a number of components of relevance to democracy and governance initiatives in Namibia. These include the Faculty of Law, the Justice Training Centre (JTC), the Human Rights and Documentation Centre (HRDC), the Centre for the Training of Public Servants and the Multidisciplinary Research Centre.

A Faculty of Law has recently been up at the University of Namibia. The Faculty of Law will offer Bachelor of Law (LLB) degrees, Diplomas in Law (Ordinary and Post-Graduate), Diplomas in Human Rights, and Certificates of Attendance from the Justice Training Centre and the Human Rights and Documentation Centre. The Justice Training Centre (JTC) at UNAM is meant to provide, in conjunction with the Ministry of Justice, supplementary and in-service training for Namibian magistrates, public prosecutors, police investigators, clerks and other court personnel. For a more extensive discussion of the purpose of the JTC, see section III.1.d above.

The Human Rights and Documentation Centre (HRDC) at UNAM is Namibia's contribution to a consortium of Southern African universities including the University of the Western Cape, the University of Zimbabwe and the Eduardo Mondlane University in Mozambique. UNAM's contribution to the consortium, through the HRDC, is to cover the areas of human rights, democracy and the law. Given that there is no National Commission

on Human Rights in Namibia, the HRDC sees itself as taking on that role. The HRDC is concerned not only with human rights violations in Namibia but with monitoring the development of human rights in Namibia. As such, its staff are actively involved in the drafting of new legislation such as the Children's Act, and in designing curricula and textbooks for human rights and civic education in Namibian schools. Together with the Law Faculty the HRDC is embarking upon a program to develop a two-year course to train paralegals. Eventually the HRDC would also like to be involved in training lawyers, especially those who would be involved at the community level in applying theory to practice. Many of these initiatives appear to overlap the activities of the Legal Assistance Center, but the assessment team was unable to determine the degree of cooperation or competition between the two entities.¹⁶ Staff of the HRDC have also been providing lectures in human rights to other faculties at UNAM. Ultimately, the HRDC will house a documentation center although this has not yet happened.

Like the Justice Training Centre, the HRDC is in need of funding for staff and curriculum development. They would like to facilitate exchanges with lawyers who have worked on poverty and justice issues in other countries, and they need material for their documentation center, especially basic human rights journals and access to other material through, for example, Internet and electronic mail. The HRDC is also like the JTC in that it operates within the Faculty of Law but is not regarded as a priority of this division of UNAM whose main purpose is to train attorneys, and which is itself also short of resources. The HRDC and the JTC play complementary roles, and enable UNAM to make a direct contribution to the application of justice in Namibia. Their presence within the Faculty of Law will also enrich that division of the university, but whether UNAM can afford either or both of these centers remains unclear.

The Centre for the Training of Public Servants is another quasi-independent, understaffed, and under funded entity at UNAM. It is directed by Andre du Pisani, who is also the Head of the Department of Political and Administrative Studies. The purpose of this center is to provide short-term training to Namibian civil servants to upgrade their skills in a variety of public management and finance areas. As of this writing, the Centre exists largely in name as the director's first responsibility is running his department, and the staffing of the Centre remains unclear. Professor du Pisani has also become the chair of the Strategic Planning Committee established recently at UNAM, a task which he regards as his most important responsibility in the short term.

A Multidisciplinary Research Centre (MRC) has also been established at the UNAM. The MRC has three divisions - the Science and Technology Division, the Life Sciences Division, and the Social Sciences Division (the former Namibian Institute for Social and Economic Research or NISER). The Social Sciences Division (SSD) has carried out a wide range of socioeconomic research since it was founded (as NISER) in 1989. The SSD has undertaken a number of baseline surveys throughout Namibia, often in conjunction with United Nations agencies. The SSD has also undertaken a number of studies at the request of international donor agencies. Researchers at the SSD also do research, at a reduced rate, for community based organizations and Namibian NGOs when they have the time. Research topics have included a vast range of issues such as the situation of repatriated

¹⁶ The director of the Legal Assistance Center, Andrew Corbert was seriously ill during our visit and thus unable to discuss this issue.

Namibians, the land question in Namibia, the legal standing of women in Namibia, urban upgrading schemes in northern Namibia, labor intensive road building projects, community development in southern Namibia, anticipated effects of retrenchments on mining communities in Namibia and more.

Given the tremendous challenges posed by restructuring an old institution and creating new programs and centers, UNAM has encountered a number of problems and received much criticism for its handling of some of these tasks. The basic criticism is that the university administration is trying to do too many things given the limited resources available and what a small developing country like Namibia can afford to spend on higher education. A more fundamental criticism is that neither the university administration nor its faculty have reached a consensus as to what the mission of UNAM should be, and hence have been so far unable to determine which of its programs are most essential to its operations and which are not. In response to student and other pressure, the GRN established a commission of inquiry chaired by the Ombudsman in early 1994 to investigate possible administrative irregularities at UNAM. The commission is due to make its report public in August 1994. In the meantime a Strategic Planning Committee has been established by the university itself to enable it to sort out its priorities. Given the current lack of priorities, most donors who were previously predisposed towards assisting the development of higher education in Namibia are taking a "wait and see" attitude before making substantial commitments. The Ford Foundation is one such donor, but has moved to assist UNAM in establishing its priorities by providing a consultant in university planning to facilitate this process. The consultant will be attached to the Strategic Planning Committee.

Notwithstanding this situation, the Vice-Chancellor, Peter Katjivivi, has suggested a number of other ways in which the University can make a contribution to the democratization process in Namibia. For example, there could be greater cooperation between libraries of the UNAM and the Parliamentary Library, and Members of the National Assembly and National Council could make greater use of the University in meeting their own research needs. In addition, an internship program involving students from the University could place students in the National Assembly and National Council in a research or committee capacity until those positions are able to be fully staffed by the Parliamentary bodies themselves. While some public lecture fora do exist at present at the University these could be expanded to provide the community with greater access to visiting scholars, activists and dignitaries, especially those from elsewhere in Africa. Most of these ideas are both worthy and relatively inexpensive to implement. The idea of parliamentary interns is particularly timely and is discussed further in section V.3 below.

i. Women's Organizations

While the Namibian constitution is celebrated for its sensitivity to gender issues and women hold a number of significant posts in government (two women ministers, one deputy minister, two permanent secretaries, one deputy permanent secretary, more than two dozen directors and deputy directors, two members of the Public Service Commission), the vast majority of women in Namibia continue to be excluded from effective participation in national affairs and in critical areas that affect their daily lives. Most women in Namibia have had little opportunity for formal training and those that have been mostly channeled into the teaching and nursing professions. While the 1991 Land Conference issued a number of

resolutions concerning women--that they should have the right to own the land they cultivate and to inherit land and property, that programs of affirmative action should be introduced to assist women through training and low interest loans to compete on equal terms with men, that women should be fairly represented on all future district councils, land boards or other bodies that deal with the allocation or use of land in the communal areas - much of the discriminatory customary and statutory law continues to exist. Indeed a Women and Law Committee of the Law Reform and Development Commission has been formed and is working very actively to address specifically the needs of women in law reform in Namibia.

The women's movement in Namibia has historically been split by the same kinds of party political tensions that have divided other movements. As with other movements in Namibia, there have also been tensions within the women's movement within the broader liberation movement. For example in the mid 1980s, SWAPO women and community activists inside Namibia were suspended by SWAPO in exile for organizing Namibian Women's Voice - a women's group outside of SWAPO structures. Namibian Women's Voice was ultimately disbanded in 1989 to avoid further conflict. To a certain extent this situation has only been exacerbated since independence, in particular with the establishment of a Department of Women's Affairs (DWA) in the Office of the President. The DWA was established within the Office of the President (as opposed to being a separate ministry) in order to ensure that substantive aspects of gender issues be the responsibility of all in government.

In the view of many within the women's movement, however, the DWA is little more than an extension of the SWAPO Women's Council. This perception was reinforced when various women's organizations including the Sister Collective, Women's Solidarity, the CCN women's desk, the SWAPO Women's Council and others came together to form a national women's organization. The groups spent two years discussing whether to form a federation or an organization and on what basis organizations or individuals would be represented. A consensus was never reached and eventually the Namibia National Women's Organisation (NANAWO) was formed by the SWAPO and SWANU women's bodies with no participation from other women's groups. At the same time, NANAWO is presented to donors as the national women's organization representing all Namibian women. It is claimed that officeholders in both the DWA and NANAWO are political appointees and not particularly qualified for their positions. Similar tensions have emerged now as NANAWO has been given the task of selecting Namibian women to attend the Fourth World Women's Conference in Beijing in 1995 and it appears that only women in government and in SWAPO are being selected.

There are also divisions within the women's movement between rural and urban women and uneducated and educated women, with the more educated, urban women tending to speak on behalf of all women in Namibia. In addition to addressing the inequities in the law, women's groups in Namibia see their main tasks as educating women, providing them with access to income-generating opportunities, training them in small enterprise development and the informal sector, providing women with counseling and alternative accommodation in the case of domestic violence, raising awareness around maintenance (child support) issues, and so on. The Sister Collective in Windhoek sponsors an occasional Women's Forum in Windhoek for the open discussion of issues of concern to

women. In addition the collective publishes the magazine *Sister*. Women's Solidarity provides counseling services for rape victims and other victims of abuse.

j. Emergent CBO Activity

Emergent CBO activity in Namibia is very difficult to document and quantify. Community based organizations only really emerged in Namibia in the early to mid 1980s and first in the Katutura and Khomasdal townships. Community based organizing was discouraged both by the colonial regime - which interpreted such activity as political and potentially destabilizing—and by the externally based liberation movement which sought to preclude the expenditure of time and resources on any efforts, even development efforts, other than the one goal of national independence. By the mid 1980s, however, community activist Andre Strauss identified nearly 30 major community organizations in Namibia working in literacy, legal advice, housing, education, agriculture, sports, community drama, labor, and with women.

Given the failure by government to mobilize a "self-help culture" in Namibia until recently, there is a surprising amount of community based self-help activity at present, especially in the rural areas. For many people there is a clear recognition that through organization they can improve their situation. For others self-help is simply a last resort in the face of widespread unemployment and neglect by the state. Finally, it seems that this community based organizing is encouraged and perhaps even facilitated to a large extent by regional and town councilors. Most regional and town councils have set up advisory boards from among their constituents in order to facilitate dialogue and to help meet their constituents' needs. In addition, in some regions Community Development Officers from the Directorate of Community Development in the MRLGH have assisted these new organizations.

Thus, in a community such as the Orvetoweni township of Otjiwarongo one can find a squatters' committee, a brick making cooperative, two sewing projects, a garden project and, as in many townships, the Build Together (housing) project. In Kalkfeld, the poorest village in the Otjozondjupa region, we found a brick making project, a sewing project and a garden project. In Rundu two relatively successful cooperatives are the Mbangura Woodcarving Cooperative and the Kauvi Sewing Cooperative. And yet there are still enormous obstacles; people lack the start-up capital and the equipment—concrete mixers, sewing machines, etc.—they need to begin such projects. People tend to replicate the same projects over and over again, because that is all that they know. There is a need for training in technical skills—sewing, brick making—and in management, accounting, marketing techniques and so on. Though rudimentary, these examples suggest that community based self-help initiatives could eventually be harnessed for grassroots development in Namibia.

3. The Role of the Donor Community in Support of Democratization in Namibia

a. Donor Activities Prior to and Just After Independence

Donor assistance in support of democratization in Namibia began via assistance to Namibian church organizations. By the 1970s, the church leadership predominantly was comprised of Namibians who were actively involved in the struggle for national liberation.¹⁷ In the early 1970s, the various Namibian church denominations entered into a loose association, the Christian Center. The role of the Center was two-fold: "to speak as a united voice against injustice on behalf of the voiceless and to initiate relief projects for the poor."¹⁸ In 1978, the initiative of the Christian Center was broadened, encompassing not just relief projects but also self-help programs for the poor, a development that resulted in the formation of the non-partisan Council of Churches in Namibia (CCN). Increasingly, the international donor community—primarily Norwegian, Danish, and Swedish solidarity groups and the British Council—channeled funds for human rights and anti-apartheid activities in Namibia through the CCN.

Just after Independence, support to consolidate democracy came largely from two countries: Germany and Sweden. The Freidrich Ebert Stiftung (FES) in consultation with the Office of the Prime Minister, sent permanent secretary-designates to neighboring countries to familiarize themselves with ministerial structures and to acquaint themselves with their future colleagues in the area. In May-June 1990, the FES facilitated an international symposium on local government to consider how to set up local government structures in Namibia. The Foundation also provided consultancy services to the Delimitation Commission that devised the constituent boundaries for the local and regional elections; the latter provided the representatives who formed the National Council. Recently, the FES offered training courses for local and regional government officials.

Sweden (via SIDA) has provided considerable assistance designed to strengthen government's capacity for more effective planning, creating a personnel consultancy fund to secure expert consultants in various fields critical to development concerns, including: providing a deputy governor for the Bank of Namibia; technical assistance to the Ministry of Education and Culture; provision for a National Planning Commission Central Statistics Office; and support for a National Census that took place in 1991. Sweden's assistance in education broadly supports reforms and the development of basic education for children and adults, "so contributing to a system based on democratic principles which would enhance an equitable distribution of opportunities."¹⁹ SIDA also supports Namibian NGOs involved in integrating gender issues into mainstream programs. A SIDA-financed democracy and human rights program that featured seminars on Journalistic Ethics and Standards of Journalism in Namibia (Windhoek, March 7-10, 1991) and Media Cooperation in Southern Africa

¹⁷ See Vezera Kandetu, "The Role of the Church in Namibia," in Peter Katjavivi, Per Frostin and Kaire Mbuende, eds., *Church and Liberation in Namibia*. London: Pluto Press, 1989, pp. 207-214.

¹⁸ Ibid, p. 208.

¹⁹ Ibid, p. 9.

(SADCC) resulted in the decision to establish a Media Institute for Southern Africa (MISA) to be based in Windhoek.

b. U.S. Government Programs to Support Democracy and Governance

Despite not having a formal democracy and governance program in Namibia, the US government has provided support for a wide range of human rights and democratization activities in Namibia from 1991 to 1994. Many of these activities have been funded with grants from the Human Rights Development Fund of the Department of State under section 116e of the Foreign Assistance Act. Such activities have included provision of legal reference materials for the offices of the Attorney General, the Chief Justice of the Supreme Court, and the Legal Assistance Centre and a grant to the LAC for production of a film for human rights civic education. Upcoming 116e grants include one administered by the LAC to assist in rewriting the Namibian Police Act, another through the Human Rights and Documentation Centre to assist in amending the Children's Act of 1960, and another through the Namibia Institute for Democracy to assist in civic education.

A number of 116e grants have been made to the National Democratic Institute for International Affairs (NDI) for work in Namibia. Through this mechanism, NDI sponsored a symposium on "The Parliament and Democracy" for members of the National Assembly in March 1991 and a symposium on "Parliamentary Organization and Systems" to provide legislation and constituency insights to Members of the National Assembly and National Council. NDI also organized Parliamentary staff training to provide administrative and managerial insights to support Parliamentary support staff and Whips and workshops and seminars on Regional Governance for members of the National Council. NDI also conducted a media voter education project for the 1992 regional and local elections and a workshop in May 1994 for Namibian political parties. The NDI programs also resulted in the publication of the Standing Rules and Orders of the National Assembly and the Standing Rules and Orders of the National Council. Other funding for NDI programs has been provided by the National Endowment for Democracy (NED) and by the African Regional Election Assistance Fund (AREAF). A Parliamentary directory and a handbook on legislative procedure were slated to be published as part of NDI's program of assistance. The preparation of these two publications, however, proved not to be possible during the period of the grant. Although the directory has largely been compiled, and a working outline exists concerning how legislation is enacted, additional funding would be required in order to publish them. Working together with NBC, NDI will conduct another voter education project in advance of the upcoming Presidential and National Assembly elections.

The United States Information Service (USIS) office in Namibia has been very active in democracy and governance initiatives. In late 1991 USIS sent nine members of the National Assembly to the US to observe US legislative practices and in 1994 10 members of the National Council visited legislatures in the US. USIS has organized a number of regional media workshops on Democracy in Africa, civic education seminars for Namibian educators, and a training program for Namibian legislative staffers conducted by the US based National Conference of State Legislatures. Through USIS a Fulbright scholar from the US has been brought in to work with the University of Namibia's Law Faculty and a Namibian has been awarded a Fulbright scholarship to study law at the graduate level in the US. USIA Voluntary and International Visitor programs have sent 23 senior Namibian officials, including the Speaker of the National Assembly, the Minister of Justice and five

members of his staff, the Attorney General, the Minister of Regional and Local Government and housing and more than a dozen Parliamentarians to the US for programs focusing on the US political process, administration of justice and the role of a free press. In future, USIS intends to organize an internship program for up to 10 Namibian professionals for training in legislative staff affairs and the administration of executive offices.

With Department of Defense and International Military Education and Training (IMET) funding the US mission in Namibia has undertaken a number of other democracy and governance related initiatives. These include two weeks of training for 27 Namibian military and civilian personnel on the better utilization and stewardship of governmental resources by the Defense Resource Management Institute, two week-long seminars on "The Role of the Military in a Democracy" conducted in April 1994 by the US Army Reserve's 353rd Civic Affairs Command, and the training in the United States of 15 Namibian students in subjects that will better prepare them for roles as professional military officers. Also under the IMET initiative, five military or civilian employees of the Namibian government are selected annually for training in the US on subjects dealing with respect for human rights, better resource management and the role of the military in a democratic society, including civilian control of the military. As noted in section III.1.f of the Assessment, the team has not examined civil-military relations as an area of future possible democracy and governance programming because USAID is prohibited from providing assistance to the military or police by the Foreign Assistance Act.

c. DG programs of Other Key Bilateral Donors and Foundations

Notwithstanding the various programs and materials funded by the United States under 116e, and the independent efforts of NDI, the U.S. is perceived in many quarters as only an "occasional player" or a "late player" in comparison to the DG programs of other donors in Namibia. While the United States may have been among the "first" as a result of its involvement in the 1989 elections, other donors, particularly the Scandinavians, had formed earlier links with Namibians via SWAPO in exile and/or the churches. Several donors have also assumed a higher profile in this field of foreign assistance since independence by the mere fact that they have mounted modest yet more visible programs than the United States by making a relatively large number of small grants on a continuous basis and by designating a member of their staff to devote one quarter to one half or more of their time to administering these programs. The Germans via the Konrad Adenauer Foundation, the Friedrich Ebert Stiftung and GTZ, the Swedes via SIDA, the Norwegians and the Dutch, and to a much lesser extent the United Kingdom, are all examples of this approach. A listing of the programs of these donors, to the extent that the assessment team was able to obtain such, is provided in Annex E. Most of the grants made by these donors are relatively small--in the range of \$25,000 to \$50,000 per year and rarely more than \$100,000--and are thus similar in size than the grants made by the United States via 116e. The difference is that each of these donors maintains a rolling and continuous portfolio of such grants that totals to between \$300,000 and \$1,000,000 per year.²⁰ These donors also often support a particular program or recipient for several years. When coupled with the ongoing presence of designated personnel, these donors are perceived as

²⁰ The annual budget of the Friedrich Ebert Foundation is presently \$675,000.

making a greater impact than the United States, and indeed this is probably true. They do not operate under the constraints and proposal cycles of the 116e program, and are able to establish a relationship with a recipient institution that is sustained over several years. Most important, these donors have developed "user friendly mechanisms for moving large numbers of relatively small amounts of money. It is an example USAID must follow if it is to become a major player in the DG field.

The one exception to these generalizations about American support for democratization and human rights in Namibia is the Ford Foundation. With an annual program budget of \$1,000,000, the Windhoek office of the foundation maintains a current portfolio of 13 two-year grants that range from \$15,000 to \$150,000 per annum. Most will be renewed or are themselves renewals of previous assistance as the Foundation takes the view that the process of institutional development may require four to eight years of assistance. Like the aforementioned bilateral donors and the German party foundations, the Ford Foundation has tended to concentrate its support on Namibian service NGOs such as the Legal Assistance Centre and the Rural Peoples' Institute for Social Empowerment. The Foundation has also supported the National Planning Commission and the Justice Training Centre as well as the Namibia Media Trust (i.e. The Namibian).

Given the anticipated magnitude of USAID's program to support the consolidation of democracy in Namibia, as well as the wealth of technical assistance which the mission can access from Washington, there is no reason why the mission cannot match and eventually exceed the programs of other donors in this field. Although the aforementioned donors are adept at moving large numbers of small grants, they are usually (though not always) less sophisticated than the United States when it comes to identifying and providing appropriate forms of technical assistance that meet the specific needs of recipient organizations.

Because USAID will be a "late player" when it comes to mounting a broad based portfolio of assistance in the DG field, the mission will need to coordinate its efforts closely with other donors. This does not mean that the mission should "back off" when it encounters another donor providing support to the same recipient. Rather, it means that the U.S. will need to design its support to complement the efforts of other donors--at least in the short run. Conversely, once USAID's DG program is up and running, the mission will be in a position to advance its agenda through coordination by using its support to stimulate co-financing for priority programs from other donors. Mention is made here of donor coordination, because the level of coordination in Namibia is low in respect to DG assistance compared to what is occurring in other African countries where the donor community provides substantial support for democratization (e.g. in Kenya, Ethiopia, Uganda, and Zambia). The only donor coordination that appears to exist in Namibia beyond an ongoing series of one-on-one discussions is in the area of women in development (WID). An ad hoc donors group that supports WID programs is presently led by the International Labour Organisation (ILO) and involves SIDA and the Ford Foundation, among others. Ford also coordinates its assistance to indigenous NGOs with other donors. Donor coordination would both eliminate duplicate funding and overfunding to recipient organizations and facilitate adequate amounts of funding to meet the needs of recipients in need of substantial support (e.g. the Justice Training Centre and the Ministry of Justice for programs to support the development of the lower courts, the Legal Assistance Centre). Increased coordination would also save

Namibian organizations considerable time, because they could submit a single comprehensive plan and budget for their operations to joint forums. This would in turn enable individual donors to more quickly determine whether and what support they can provide, because each will know what its counterparts are prepared to do. Sweden and Norway, among others, would welcome increased coordination. Once USAID has appointed a full-time DG advisor to guide its program, and perhaps even before, the Embassy and the USAID mission should promote the advantages of increased coordination. It would not be advisable, however, for the US to assume the leadership of any coordination group but rather to persuade a player of longer duration to chair any group of like-minded donors.

IV. CRITERIA FOR DETERMINING USAID'S DEMOCRACY/GOVERNANCE PROGRAM IN NAMIBIA

Having reviewed the status of the principal institutions and organizations which comprise the Namibian political system, we turn to a discussion of five areas of programmatic activity which we believe offer the greatest promise for consolidating democracy in the country. Before commencing this discussion, it is important to state the criteria we employed for identifying the five areas and especially the specific activities which can be pursued in each.

Two sets of criteria have guided our conclusions. The first set is what we believe are the most basic needs for consolidating democracy in Namibia. The second is three additional criteria which should guide mission choices when determining its portfolio of activities that address the basic needs. Put differently, it is a necessary but insufficient requirement that all DG programs initiated by USAID to support the consolidation of democracy in Namibia by addressing either or both of the basic needs to advance that process; the proposed activities must also be viable in terms of three other criteria which address the feasibility of these initiatives.

As stated in the Executive Summary of this assessment, and in our overview of the challenges and opportunities to the consolidation of democracy in Namibia (section II.3), there are two basic needs which must be addressed. The first need is to build and strengthen the capacity of intermediary institutions, both public and private, to effectively link individual Namibian citizens to their government. The second need is to assist citizens and organizations to effectively identify, articulate and assert their demands on the Namibian state to hold the state accountable to their interests. Over the long run, the second of these needs cannot be fully met without progress towards meeting the first. During the short to medium term (two to five years), progress towards establishing intermediary institutions will in part depend on more sophisticated and forceful demands emanating from Namibian society. The envisaged DG program addresses both of these needs.

In addition to the question of whether the proposed activity addresses one or both of the basic needs, three additional questions must be asked to determine the feasibility of the activity. (1) Are there willing Namibian partners with whom USAID can work to pursue the proposed activity? (2) Is the activity or program feasible from standpoint of USAID's capacity to implement the activity? (3) Is the activity one in which USAID has a comparative advantage over other donors, or can make an important contribution that complements and/or enhances programs supported by other donors?

Activities that do not meet all of the aforementioned criteria should not be pursued by the mission no matter how attractive they might appear before being evaluated against these measures. Conversely, not all activities that "pass" these criteria should be pursued by the mission in its initial round of DG support.

V. RECOMMENDED AREAS OF INSTITUTIONAL DEVELOPMENT AND CAPACITY BUILDING

Based on the aforementioned criteria, the assessment team recommends that the USAID mission to Namibia pursue an integrated program of institutional development and capacity building in five interrelated areas. These are as follows: (1) building advocacy capacity; (2) facilitating decentralization; (3) enhancing the transparency and accountability of Parliament; (4) strengthening the rule of law and human rights, especially at the lowest levels of the Namibian judicial system; and (5) supporting the media. In our discussion of the specific initiatives to be undertaken in each of these areas, we recommend a package of assistance that is feasible via the standard USAID methods of disbursing funds and providing technical assistance (e.g. via PSCs, cooperative agreements, contracts with U.S. based PVOs, and via centrally funded mechanisms of buy-ins). Nothing that we propose is unfeasible though some are certainly more complex and, in some cases, more delicate politically.

In identifying these five main areas of activity three additional considerations should be kept in mind. First, the five areas are inter-related. Some component initiatives in each area could be shifted to others (e.g. the establishment of the constituency resource centers discussed in the section on building advocacy capacity could have been included in the section on facilitating decentralization). In other words, some initiatives have been recommended because they address two or more related needs. Indeed, we hope that these initiatives will yield a measure of synergy across thematic areas during the life of the project. For this reason, we are reluctant to prioritize any of the five areas of activity over the others. All five are priorities, and the best place to begin is to select those individual programs or activities that lend themselves to the types of support that USAID can render quickly, and then proceed to those which are more complex. We would therefore suggest that during FY95 the mission begin with a portfolio of grants to those Namibian institutions which can implement programs on their own once provided with the cash.

At the same time, the mission should begin negotiations for those initiatives that will require technical assistance provided by U.S. based PVOs, programs that will require cooperation or co-financing with other donors, etc. While we suggest that the mission begin with a portfolio of grants, we frankly worry that this will become the mode of operation for the entire project. In this regard the mission must resist the temptation to shy away from initiatives that are more complex and risky. Put simply, "grants alone do not a democracy make," and the Namibian DG project must be more than a continuation of 116e. In suggesting that the mission begin with a grants program, we envision that the mission will provide sustained funding of two to four years duration to those Namibian institutions that can get on with their agendas on their own if provided sufficient resources.²¹ As stated at the outset of this assessment, the perspective must be medium to long-term and developmental in approach.

²¹ A good way to provide such funding while reducing USAID's exposure is to provide the funding in tranches or phases of no more than two years each, but plan for at least one renewal. The Ford Foundation--which has considerable experience in making such grants, is a model of this procedure.

A second consideration--one that may cause some unease--is that DG projects, by their very nature, require "a rolling design." This is because of the often fluid and unpredictable nature of the development of political institutions. These projects normally consist of a sequence (or sequences) of non-repetitive activities, each building upon the one before. As such, DG projects are personnel intensive. They are also often characterized by what one might term "stop-go." Progress in any one area will not always be smooth. Sometimes a contemplated initiative will be stalled for several months. It is for this reason as well that we recommend activities in five different areas and are reluctant to fix rigid priorities. To do so may be to forgo some opportunities while becoming locked in to others that for one reason or another become problematic. Prioritization, in short, should be a function of what is most feasible according to the three supplementary criteria discussed in section IV.

Third, the identification of these five areas of programmatic activity by the assessment team is itself a prioritization insofar as it has explicitly excluded other initiatives which might appear appropriate. With respect to political parties, we share the mission's concern about current trend toward a one-party or one-party dominant state in Namibia. At the same time, as we have noted elsewhere in this assessment, we do not feel that the best way to facilitate multipartyism and pluralism in Namibia is by mounting programs to strengthen the existing political parties. The existing "opposition" political parties are largely discredited by the majority of the population because of their participation in pre-independence governments and their lack of any articulate, coherent political program or vision that differs substantially from that of SWAPO. Moreover, they lack the institutional capacity to absorb party building activities. At the same time we were informed over and over again of a growing ferment *within* SWAPO and among non-governmental and community based organizations generally in Namibia. As a result, it is felt very strongly around the country that the only viable opposition in Namibia will come from within SWAPO itself. This is not unexpected given the nature of broad nationalist movements such as SWAPO which attempt to incorporate all of society's varied interests into one body. After the unifying goal-- national independence--has been achieved, however, the coalition begins to weaken and break down.²² Thus it is likely to be the pluralism within SWAPO, reinforced by a growing ferment within other constituency based organizations, that will contribute to a broader pluralism in Namibia. We feel that all of the recommendations that we are making in this assessment will facilitate, even hasten, that process of building pluralism and strengthening countervailing forces in Namibia. In view of our findings, the team recommends that the issue of political parties be reinvestigated after the forthcoming national elections. It will only be at that point that it can be determined whether SWAPO will seek to amend the constitution to create a one-party state, and what the post-election dynamics within the party are likely to be.

In sum, the assessment team makes the following recommendations because we believe that they address the basic challenges facing the consolidation of democracy in Namibia, and because the opportunities for implementation are good. These recommendations are also consistent with USAID's overall strategy to support transitions to democracy world wide.

²² Historically, this has been the tendency of nationalist movements around the world: The Indian National Congress, Solidarity in Poland, and most recently the ANC are all examples of this process. One should not be surprised that SWAPO is not an exception to this phenomenon.

1. BUILDING ADVOCACY CAPACITY

As noted in section III.3. of this assessment, there is a tremendous lack of advocacy capacity among organizations of Namibian civil society—political parties, trade unions, NGOs, business associations, churches and women's groups, and community based organizations. Members of all of these groups complain of a lack of qualified staff such as economists, public interest lawyers, labor relations and land reform experts as well as other specialized personnel. In addition, these groups lack access to the particular information and resource materials they need in order to be able to participate in the policy making process. Unless advocacy skills are developed and people are empowered at the local and regional levels, pluralism will not flourish in Namibia and policy makers will continue to make policy largely without effective input from the public. The assessment team feels that a greater advocacy capacity among organizations of civil society in Namibia can be supported in at least three ways: (1) through the establishment of an Advocacy Center in Windhoek to enhance public input into the policy making process; (2) through the establishment of regional and constituency based resource centers to facilitate individual and group empowerment at the local and regional levels; and (3) by strengthening civic education at all levels of Namibian society.

a. Establishing an Advocacy Centre

The assessment team recommends the establishment of an Advocacy Center in Windhoek for use by Namibian NGOs, trade unions, churches, women's and student organizations, political parties and community based organizations. The team further recommends that the Advocacy Center be established in collaboration with NANGOF, the NGO lobby organization that represents more than 50 NGOs in Namibia and works in tandem with the National Union of Namibian Workers (NUNW) and the Council of Churches of Namibia (CCN) in a number of policy arenas. NANGOF fully supports the establishment of an Advocacy Center through its organization. A governing structure for the Advocacy Center would be devised by NANGOF together with other key umbrella organizations such as the National Union of Namibian Workers and the Council of Churches of Namibia. The Advocacy Center would help the NGO community to meet their information retrieval needs, to disseminate information among themselves and with their own and other regional and local offices, and to increase their policy analysis capacity.

One important component of the Advocacy Center would be a small resource and documentation center. It would be equipped with a modest library of books on Namibia, government publications, locally produced research (for example, from NISER, NEPRU, CASS, LAC) and so on. The library would also contain relevant regional material from similar more experienced institutions in Southern Africa, for example, the Labour Research Service in Cape Town, the Centre for Rural Legal Studies in Stellenbosch, or the Legal Resources Centres in Durban and Johannesburg. In addition, the library could serve as a gathering point for studies on Namibia and other publications by international organizations such as the Economic Commission for Africa, International Labour Organisation, other United Nations Agencies, the Organisation for Economic Cooperation and Development. In addition, the resource center and the larger Advocacy Center would provide client organizations with an E-mail link. This would provide instant, cost effective access to

specialized agencies and other organizations around the world with information and experience that could be of use to NGOs, trade unions and other groups in Namibia. The E-mail link would also facilitate the development of an E-mail network among NGOs in Namibia similar to SANGONET in South Africa. Such a link would also enhance communications between the Advocacy Center and national service-oriented NGOs in Windhoek with their satellite offices at the regional level.

A second and critical component of the Advocacy Centre would be the research and policy analysis it provides to client NGOs. There is a limited research capacity in Namibia generally, although the Namibian Economic Policy Research Unit (NEPRU) provides research to government agencies, the Social Sciences Division of the Multidisciplinary Research Centre provides research to paying clients such as donor and other international agencies, and the Legal Assistance Centre conducts much important research through its Gender Research and Labor Research Projects. All three of these institutions are frequently called upon to assist the NGO and trade union communities but do not have the staff to conduct the additional research and policy analysis. This component would require the funding of two to three staff researchers with specialized expertise in areas such as land reform, labor relations, gender and affirmative action, the environment, and the economy. Such researchers would conduct research as required for client organizations of the Center so that they are better equipped to make inputs into government policy making. In addition, these staff will play an important training role, first, in teaching member organizations how to evaluate policy documents from government and, second, in training future researchers from the NGOs, trade unions, churches and women's organizations. Provision of this type of expertise would probably be best implemented via a U.S. based PVO such as the Community Housing Foundation, PACT or World Education, etc.²³ Special care must be taken to insure that resident U.S. staff be kept to a minimum and do not overwhelm local staff thereby defeating the purpose of Center. In addition, implementation of the Advocacy Center might draw on the expertise of the Advocacy Institute in Washington, or involve the provision of internships for appropriate Namibians if such could be arranged.²⁴

A third task of the Advocacy Center would be dissemination of the information obtained and developed through its research. This would require a modest desk-top publishing capability which could be secured with a standard 486 desk-top computer and a good HP laser 600 d.p.i. printer, as well as a budget for printing materials produced. The Advocacy Center would also organize seminars and workshops for client NGOs to facilitate the discussion and internalization of such information. Dissemination of research to field offices would also be facilitated by E-mail.

Finally, the Advocacy Center would assist NGOs in learning how to use the information generated from its policy-analysis and information retrieval capacity. Mere dissemination of information is not enough, the Center must demonstrate how appropriate

²³ These organizations are cited only for example as the assessment team has no detailed knowledge of their capacity to mount the recommended program. The mission should consult thoroughly with USAID Washington to determine the universe of US PVO that are capable of assisting projects like the Advocacy Center.

²⁴ Drawing on technical assistance from the Advocacy Institute or arranging for internships at the Institute might be a useful follow-up to a study tour to the Institute now being arranged by the Ford Foundation.

knowledge can be translated into more effective lobbying efforts on behalf of the client organizations.

b. Establishing Regional Resource Centers

Building advocacy capacity in Namibia also requires empowering people in those areas outside Windhoek where the bulk of the Namibian population lives. As such, the assessment team recommends the establishment of regional and constituency based resource centers (corresponding to Namibia's 13 regions and 95 constituencies). The long-term goal would be to establish small resource centers in each of Namibia's 95 constituencies. Over the life of the DG project, however, the plan would be to initially establish one resource center in each of the 13 regional capitals and up to a dozen additional constituency-based resource centers in selected regions. Such resource centers could be housed within the regional or satellite offices of organizations such as the Legal Assistance Centre, the National Union of Namibian Workers, the Namibia National Farmers Union, the Rossing Foundation or any other appropriate non-governmental organization. Alternatively, small centers consisting of two offices to three offices and a meeting room could be built on a semi self-help basis by interested communities utilizing locally produced materials such as bricks from brick making projects. Each center would be equipped, again, with a small library of books and documents of use to organizations in that region or constituency, or provide access to such material through the regional centers access to the Advocacy Center in Windhoek. Indeed, an important component of the regional resource centers would be the link and the access they would provide to the Advocacy Center and its work in Windhoek. As noted previously, an important means by which to facilitate that link would be via the provision of E-mail capabilities.

The importance of establishing these field-based resource centers cannot be overemphasized as we believe that they are key to empowering and mobilizing citizens at the grassroots of Namibian society. Not only will such centers facilitate the spread of NGO activity in the areas beyond Windhoek, they will also facilitate contact between local elected leaders, especially regional councilors, and their constituents. Indeed, this should be a major objective of the centers.

The establishment of such centers will be painstaking work, and will require the provision of one or two individuals experienced in the organization of local communities. As with the Advocacy Centre, such personnel should probably be recruited and provided by an appropriate U.S. based PVO in consultation with leaders in the local NGO community. The establishment of resource centers at the regional capitals should proceed slowly through the initial opening of two to four offices during the first year in which staff of the U.S. PVO are resident in Namibia (which may not be until FY96 or the second year of the DG project). The establishment of centers in a selected number of constituencies should also proceed slowly and utilize local field personnel wherever possible. Finally, the establishment of such centers, both at the regional capitals and in the constituencies, should be coordinated with other donors that support community development via Namibian NGOs including the Ford Foundation, Norway, SIDA as well as donor supported northern PVOs that are already active in this realm (i.e. CONAMCO, IBIS, etc.). Not all of these donors have an explicit DG agenda, but their interest in strengthening activities of collective action at the grassroots—even if purely "developmental" is part and parcel of the empowerment process. Put differently, a successful USAID program of the type suggested will require some brokering

and possibly even co-financing with other donors. The DG advisor should be involved in the formulation of such arrangements.

c. Strengthening Civic Education in Namibia

A final component of the effort to build advocacy capacity in Namibia would be strengthening civic education in Namibia. Civic education in the form of ongoing course could be conducted by community development officers in the regional and constituency resource centers. Civic education campaigns, in the form of voter education efforts such as those conducted by the National Democratic Institute for the 1992 elections and planned again for the upcoming elections, could be undertaken together with local media, in particular the Namibian Broadcasting Corporation.

USAID should also consider support for curriculum development and the publication of textbooks to enhance civic education at the primary and secondary school levels in Namibia. In this regard, the assessment team recommends that the mission contact Ms. Helgard Patemann, an advisor to the National Institute for Educational Development (NIED) on social studies curriculum, and Director of the Center for Applied Social Sciences (CASS), a German funded NGO. CASS and NIED are currently in the process of writing a series of textbooks for the social studies curriculum for grades 4 through 7 and 11 and 12. Examples of the initial materials produced through this effort are to be found in the file marked "Civic Education" in the DG resource files assembled by the assessment team for the mission. The textbook for grades 11 and 12 has already been published by Longman (Namibia), and is of high quality. The only reservation team members expressed of these materials is that a greater proportion of space could have been devoted to the discussion of political participation and democracy. Such added emphasis might still be possible in the remaining volumes which are still under development. The overall orientation of the textbooks is consistent with USAID's objectives of enhancing community participation and empowerment. Unfortunately, the Ministry of Education does not have funds to purchase sufficient numbers of these textbooks to insure that all schools which have adopted the new social studies curriculum will be able to provide books to their students. For example, in 1995 36,000 textbooks will be needed to implement the new curriculum at grade 4 at a cost of N\$ 20 to \$26 per book or N\$720,000 for all schools. A similar figure will be required in 1996, 1997 and 1998 to phase in the entire curriculum.²⁵ The assessment team therefore recommends that the mission consider partial funding for the purchase of the books to implement this curriculum as it would complement other USAID efforts to strengthen primary education in Namibia.

2. FACILITATING DECENTRALIZATION

As discussed throughout this assessment there is an urgent need for decentralization and the strengthening of local institutions in Namibia--and on many fronts: the system of local and regional government, the system of lower courts, regional NGOs and CBOs, the media. Without the development of decentralized

²⁵ All of these estimated costs were supplied by Helgard Patemann of the National Institute for Educational Development.

institutions neither pluralism nor a central government that is accountable to its citizens is likely to evolve. The state will become increasingly out of touch and "suspended" above the population it purports to rule, and ultimately suffer from a similar loss of legitimacy and authority that has beset most other states in Africa. Put differently, in a largely rural and agrarian society such as Namibia, and especially in one so vast in size with a dispersed population residing hundreds of miles from central governmental institutions, *decentralization is essential*.

How can USAID, and indeed the United States nurture the process of decentralization in Namibia? First and foremost by simply talking about its necessity with a somewhat louder and more frequent voice. This is, of course, a topic of some controversy and political sensitivity—but so, for that matter, is the USG's entire strategic objective of democracy and the steps USAID is charged with taking to nurture democracy worldwide. The US mission as a whole—the Embassy and USIS as well as USAID—must raise its voice in support of decentralized institutions. It is essential to suggest to the leaders of the GRN that it is in *their own* political interests to devolve a measure of power to regional and local authorities, and that the US and other donors stand ready to assist this process. When raising our voice, the Embassy and USAID should consult with other members of the donor community, particularly the Scandinavians, the Germans and the British—all of whom support democratic initiatives in Namibia and worldwide, and all of whom are becoming increasingly concerned about the rising demand on the part of local and regional officials to assume greater control over their affairs. In short, USAID's ability to nurture decentralization and hence democratization in Namibia will require sustained diplomatic support.

Apart from strengthening the lower courts, the greatest need for decentralization is in the realm of local and regional government. The basic problems with the current system have been discussed at length in section III.1.c and need not be repeated here, but the bottom line comes down to whether or not the Ministry of Regional and Local Government and Housing (and indeed the GRN as a whole) has the political will to shift a significant measure of authority to the councils that are currently accountable to the Ministry. As previously noted, the MRLGH is reluctant to devolve authority until it is confident that the councils have the capacity to shoulder any additional responsibilities. The councils, however, must be provided the means to take on these responsibilities. To facilitate more rapid decentralization and encourage the MRLGH to move more assiduously towards this goal, the following forms of assistance might be offered to the Ministry.

- Medium to long-term training for local and regional councilors, in an array of specialized skills required to strengthen local and regional government, especially in the areas of public finance and management. The MRLGH has already identified specialized training as a basic need. Training is also required at a more introductory and general level on what it means to be a councilor, how to interact with the MRLGH, how to deal with constituents, etc. The Friedrich Ebert Stiftung (FES) has already sponsored one round of introductory short-term workshops on these topics, and is likely to organize a follow-up exercise. USAID should be careful to complement what it provides in terms of training by concentrating on specialized needs identified by the MRLGH, and by providing training that is of longer and more sustained duration than that provided by the FES. Such training

may be accessible through the Harvard Institute for International Development (HIID) as members of its staff have designed decentralized systems of governance in Kenya and other countries, and trained personnel for these institutions. A variety of consultant firms are also in a position to provide such training.

- Provide appropriate technical assistance to strengthen, indeed initiate, the process of regional development planning, that is presently stalled within the MRLGH and to assist the Ministry to integrate regional planning with the overall planning process of the National Planning Commission. From discussions with relevant personnel at the NPC the assessment team learned that it is the Ministry, not the NPC which is responsible for organizing the planning process at the local and regional level, because government authorities at this level are its responsibility. By strengthening the process of planning at the local level, including the intensification of discussion within the newly created "interministerial committees," USAID could perhaps "open some political space" within which local and regional councils could begin to implement their concerns.

Sooner or later, meaningful decentralization—that is to say the *devolution* of authority requires the establishment of independent or semi-independent sources of revenues for the governmental units concerned. In this regard, USAID should consider three options, one relatively simple and short term, the other two more complex, but potentially feasible over the life of the DG project.

- Provide surveyors and other relevant forms of technical assistance to the MRLGH and to local authorities to expedite the process via which towns are officially proclaimed. As noted above, delays in the process of proclamation are one of the main sources of frustration to local councilors for until such time as their communities are proclaimed they must turn over all revenue they collect to the MRLGH. In respect to surveyors, it is our understanding that the U.S. Department of Defense can provide surveyors for up to several weeks each.
- Provide appropriate technical assistance to establish a meaningful annual budgetary process for the regional councils so that they develop the capacity to manage any funds that might come under their control. One cannot train members of the regional councils to manage their fiscal affairs until these councils establish a set of procedures for this exercise. The process of budgeting should also be integrated with the process of regional planning. In this regard, the mission should note that USAID, via the Harvard Institute for International Development, established such a system of decentralized planning and budgeting in Kenya during the 1980s that continues to function despite other administrative breakdowns in that country.
- Work with the MRLGH to establish some form of "block grants" to the regional councils. A variety of formulas could be established for such grants including unrestricted grants, fixed amounts for regions based on population and other considerations, a system of matching grants which would provide an incentive to regional councils to generate their own revenue, grants that are tied to particular policy areas such as the building of primary schools or health clinics, etc. It is important to stress that such grants are hardly new to the developing world. In

Nigeria, 10 percent of the federal government's budget is automatically passed on to the countries 200 plus local authorities. In Kenya, there is the district development fund. In India, especially in the state of Karnataka, a system of tied grants coupled with district regional planning has done much to improve the effectiveness of local government, and with it a sense of ownership on the part of the local population. USAID, together with other donors, should explore the possibility of partially funding such grants via the establishment of a regional development fund. This should only be attempted if done on a matching basis. An opportunity for such matching assistance may already exist in the form of the Regional capital fund at the MRLGH.²⁶ In short, the Ministry already has a set aside funds for capital improvements in each of the regions; the only problem is that the fund is controlled entirely from Windhoek with no significant input from the regional councils. The challenge is to persuade it to loosen its purse-strings by shifting control or partial control over these moneys to the regions.

Decentralization will also be facilitated by increasing the demands for such from below. The establishment of regional and constituency resource centers discussed above and the strengthening of an advocacy capacity at the local and regional levels on the part of Namibian NGOs will increase the pressures for a devolution of authority within the government. The establishment of an information retrieval capacity at the proposed regional resource centers will also enable local elected officials to become increasingly informed about how to mobilize their constituencies on the one hand, and how to insert themselves into the governmental process more effectively.

3. ENHANCING THE TRANSPARENCY AND ACCOUNTABILITY OF PARLIAMENT

Four years after independence, the task of strengthening the institutional capacity of the Namibian Parliament remains critical to sustaining democratic governance. At the same time, transparency and accountability is constrained. The reputation and the survival of democracy in Namibia in part hinges upon the perception that the legislature properly carries out its mandates and functions.

a. Facilitating Policy Analysis and Research

During the short period between March 21, 1990 and December 1991, the National Assembly passed approximately 68 laws and debated close to 70 government and opposition initiated motions. Although the quantity of bills and motions attended to is impressive, rapid legislating--despite real and urgent needs--should not proceed at the expense of quality. Moreover, given that in many respects the autonomy of the National Assembly continues to be circumscribed, the lack of experience in legislative processes restricts its ability to carry out its oversight functions and to effectively evaluate government policies and initiatives.

²⁶ For a summary of the amounts allocated to each region see *Estimate of Expenditure on Development Projects for the Financial Year Ending 31 March 1995*, (Windhoek: National Planning Commission, n.d.), pp. 159-161.

In addition, it is becoming a trend that contentious and/or specialized bills such as the Annual Budget or the Police Act of 1992 require amendment to correct the unintended results of having passed laws without proper preparation and scrutiny. In order to competently exercise its constitutional authority, the National Assembly and the National Council must increase their capacity to function in an informed manner that is responsive to the needs and demands of Namibian society. To do so requires enhanced institutional capability to facilitate appropriate debate and to engage in transparent legislative oversight and public policy initiatives.

A functional system of legislative committees would both enhance members scrutiny of legislation and provide important points of access for public involvement in the legislative process. In Namibia, however, the viability of such committees remains restricted because the committee system itself remains at a nascent stage. Although MPs have selected assignments for specific committees, the committees are not fully operational, partly because of the lack of sufficient staff. Since the staffing issue is soon to be resolved, the opportunity now exists for the MPs of the National Assembly and the National Council to finalize the terms of reference for the various separate and joint committees that have been identified, and to concentrate on making them work. In order to increase the viability of the committees and to make them truly accessible to the general public, MPs will require technical training in a variety of areas, including how to schedule meetings, assign tasks, conduct public hearings, and how to evaluate the information gleaned from hearings. These skills will enable MPs to make informed and independent policy assessments and thus contribute to public debate on issues of national importance.

Another constraint on the ability of members of both houses to understand and more carefully analyze proposed legislation is the lack of important reference materials, automated services and technology, and the absence of research personnel who typically perform invaluable support services in modern legislatures. For example, Namibian MPs have limited access to the information required for effective functioning: Government Gazettes are not published and distributed in a timely manner; the *Debates of the National Assembly* and the *Debates of the National Council* are not published and distributed in a timely manner; and there are no available, consistent, or reliable summaries of pending legislation (impact, intent, provisions, etc.). The above situation could be alleviated by attention to several areas, including:

- The development of linkages to information from the various Ministries and reference resources in Namibia as well as to international resources through an E-mail capability.
- The development of an internship program for university students in public policy, public administration and law to train and recruit future parliamentary staff in how to conduct research, assess policy issues, and write legislative briefs. Such a program could be organized through the Parliamentary Library in cooperation with the University of Namibia (UNAM). The Vice-Chancellor of UNAM, the Speaker of the National Assembly, and the Chairperson of the National Council are all keenly interested in the possibility of establishing such a program, and consider it to be a high priority. USAID should be too, as such a program would be relatively inexpensive to support. Moreover, such a program would increase the likelihood

that Parliament would eventually authorize an appropriate staff establishment to provide for research staff. If the experience of the British House of Commons and American state legislatures is any guide, trained student interns will not only provide useful services, but also generate a demand on the part of MPs for full-time professional staff. Such internships will also be a valuable form of civic education for those interns who do not eventually join the legislature after the completion of their studies.

- The recent authorization and recruitment of an accounts officer and a legal advisor for each house of the legislature partially resolves a long out-standing issue of who will staff Parliament. Now that this issue has begun to be resolved, USAID can consider the provision of staff training. This may not, however, be an area in which the U.S. has a comparative advantage, at least not at the outset. The Namibian Parliament follows procedures of operation that are essentially those within the Commonwealth parliamentary tradition. Training of clerks, for example, is best left to the Commonwealth Parliamentary Association or individual Commonwealth countries such as the U.K. which have already offered to provide assistance in this area. The same may be true for the two initial members of staff appointed for each house. USAID, however, should seriously consider training for whomever is appointed to be the new parliamentary librarian once she or he is appointed. Consistent with our conversation with the Speaker, we would suggest that the librarian be sent to the U.S. for an internship at the library of an American state legislature for a period of one to three months. Such in-service training and exposure at a legislature of modest size (definitely *not* Congress) could be arranged by the National Conference of State Legislatures (NCSL),²⁷ the Congressional Research Service, the State University of New York at Albany, and possibly NDI. As the complement of Parliamentary staff expands through the life of the DG project, the mission's DG advisor should periodically monitor the training needs of those who assume new positions to determine whether the U.S. can provide appropriate assistance.
- USIS can continue involvement in supporting appropriate Namibians on limited occasions to travel to the United States and elsewhere to observe and learn from the operational practices and procedures in other legislatures. It is important, however, that study tours be organized with great care and not simply be generalized exercises which familiarize MPs or parliamentary staff with the American political system. Tours which expose legislators and staff to the workings of American state legislatures as opposed to Congress are particularly useful given that Namibia is in no position to imitate the operations of the latter. Continued assistance in the design of such tours should be sought from the National Conference of State Legislatures. In the unlikely event that the number of staff requiring training should rapidly increase, consideration should be given to

²⁷ A two person team from the Washington office of the NCSL headed by Klare Rosenfeld visited Windhoek in November, 1993 to assess the facilities and staff of the National Assembly and National Council. Their assessment, funded by USIS, should be retrieved as the present assessment team was unable to locate the document. The NCSL is in a position to arrange internships at American state legislatures. NDI may also be able to arrange internships though this is not their primary area of expertise.

mounting an extended (1 to 2 month) in-service training program in Namibia for such staff. Again, the NCSL or NDI might be called upon to run such a course.

The resources outlined above should be made available to the members and staff of each party caucus.

b. Strengthening Constituency Relations

Given that the National Assembly MPs were selected on the basis of proportional representation for the whole country, they have no individual constituency that they represent. Rather, they are individually and collectively accountable to and responsible for the entire country. The case for the National Council MPs is different since they are directly accountable to the particular regionally-based constituency that elected them.

Despite the difference in the nature of constituency base, however, the MPs from the two chambers have repeatedly articulated the necessity for improved and more effective access to one another. For example, while National Council MPs lamented their inability to provide a facility in which to hold regular meetings in their constituencies, National Assembly MPs requested assistance in learning how to define and identify a constituency. In addition, MPs require technical assistance to develop mechanisms for systematic communication with their constituents, including scheduling meetings, attending constituency-based functions, etc.

Enhanced access by MPs to their constituents and constituent access to MPs could be accomplished through a variety of means, including:

- Improved media coverage of the deliberations of both chambers; such coverage would communicate to constituents that their representatives are actively engaged in addressing their concerns. It is particularly important that Parliament be given greater coverage by the broadcast media, including continuous or semi-continuous TV coverage of Parliamentary debates. Increased coverage by the broadcast media would not only contribute to the civic education of Namibians, it could also serve as a device to improve MP participation in and preparation for Parliamentary debates. By putting MPs under greater public scrutiny, accountability will be increased. Such coverage is desired by both the Speaker of the National Assembly and by the Chairperson of the National Council, and eagerly sought by the Director-General of NBC. Discussion of how USAID can facilitate such coverage is discussed below in section V.5.
- Organized group visits to the Parliament coordinated through the Parliamentary Librarian. Visits by groups of school children and secondary school students to introduce them to their legislators should be particularly encouraged as political socialization is generally most effective during one's youth.
- The production and dissemination of a Parliamentary Directory and appropriate pamphlets that explain the workings of Parliament.

- Training for MPs on how to maintain field offices and keep in touch with their constituents.

Various resources exist to help to conceptualize in more detail the activities proposed above, and various organizations exist to provide technical support, including SADC, the Commonwealth Parliamentary Association, the Congressional Research Service, and the National Conference of State Legislators, NDI and the State University of New York at Albany.

4. STRENGTHENING THE RULE OF LAW AND HUMAN RIGHTS

a. Strengthening the Lower Courts

The lower courts are in great need of strengthening for which two types of support are required: (1) Support for the Justice Training Centre to fully establish and mount its program of supplementary and in-service training for magistrates, prosecutors, clerks, police and staff of the community courts. (2) The production and provision of operations manuals and reference materials so that all local magistrates and ultimately staff of the community courts will have access to complete sets of basic reference materials in their courts. This should be a high priority for USAID for at least three reasons. (1) The need for strengthening the lower courts—especially the magistrate courts—is critical for the consolidation of Namibian democracy. (2) The cost of proposed programs will fall well within the expected USAID/DG budget, and other donors are likely to co-finance. (3) The support will be relatively easy to provide as it will consist mainly of grants to Namibian institutions. In other words, the major task for USAID will be to write the relevant purchase orders, and then to monitor and evaluate the impact of U.S. support. It will also be necessary, via the mission's DG advisor, to coordinate support in this area with other donors.

As discussed above, the greatest need for the Justice Training Centre in the short term is the provision of salaries for key personnel. There are presently three staff members at the JTC with the anticipation of a fourth: These are (1) the director of the center, (2) the assistant director, (3) a secretary, and (4) an additional instructor who will be responsible for upgrading the skills of Namibians who obtained their legal training in Cuba and Eastern Europe. The Centre also hopes to add (5) an administrative assistant to handle accounts in 1995. The salaries of the first three individuals are presently covered through a combination of a grant from the Ford Foundation and the secondment of a retired judge by the Republic of South Africa who presently serves as the Center's director. The salary of the director will cease to be covered by South Africa on March 31, 1995, and the grant from the Ford Foundation which is a one-time package will cease at the end of 1995. The Ministry of Justice is committed to providing the salary of the additional instructor, the former Chief Justice of Zambia, but has asked that the donor community provide a top-up to this individual's salary. The projected combined salaries of the director, assistant director, secretary, and administrative assistant will be approximately \$92,000. in 1996. The amount required to "top up" the salary of the former Chief Justice of Zambia is unknown.

Notwithstanding the issue of sustainability, USAID should seriously consider providing a portion of the required salaries beginning in late 1995, that is to say, at the start of FY96. It is suggested that USAID provide salary support subject to three conditions. (1) That the "home" of the JTC is finalized subject to pending negotiations between UNAM and the Ministry of Justice, and that suitable physical facilities are provided by either of these agencies. (2) That a Memorandum of Understanding is signed between USAID and the official home of the JTC whereby the home institution approves a formal line item for the center's staff with a budgeted salary for each position. This will enable USAID to provide salary support on a declining matching-grant basis. One possible formula would be to provide 75 percent of the required salaries in FY96, 50 percent in FY97 and 25 percent in FY98, the last year of the planned DG project. Put simply, USAID should be prepared to provide salary support if this support can be used to lever the home institution into assuming responsibility for salaries over the long term. (3) That the program of training mounted by the JTC during the balance of 1994 and early 1995 is deemed valuable by the mission's DG advisor. There is some disagreement among staff at the MOJ concerned with the lower courts of the impact of the training to date. Some observers including some holdover magistrates within the Ministry of Justice believe that the JTC should emphasize in-service training over the current program of short courses. The program of short courses, however, has only just gotten underway and it is premature at this point in time to assess their impact. Such an assessment, however, should be one of the first tasks of the DG advisor following her/his appointment and arrival at post. The DG advisor should also further explore the potential and likely cost of in-service training. Technical advice on this matter might also be obtained via the existing USAID/Africa Bureau cooperative agreement with Checci Associates and Howard University.

An assessment of the effectiveness of the current director and his successor, if one is selected, will also be required. It is the impression of the assessment team that while the current director is a knowledgeable and pleasant individual who may have been a good judge, a fireball administrator he is not. He has managed to get the JTC up and running under very difficult circumstances, but is also eight months away from retirement. The current director is prepared to stay on after his retirement from the South African civil service as he plans to take on Namibian citizenship. On the other hand, he is also prepared to retire to Swakopmund. This will be a hard call. The situation will be further complicated by the anticipated arrival of the former Chief Justice of Zambia. Whether he has come merely to augment the instructional staff or whether he is the director in waiting could not be determined by the assessment team.

Support for the Justice Training Centre will also require funding for the courses run by the center. Each course presently lasts from one to two weeks duration, and is attended by approximately 15 trainees each. The trainees are mainly, though not exclusively, current employees of the magistrate courts or the police and as such they must be brought in from the towns to which they are posted. Funding is thus required for transportation, food and lodging. The present director estimates that it costs approximately \$8,000. to support a group of fifteen students at the center per month, and that when the center is fully up and running it will offer courses for up to ten months per year. In other words, each stream of courses will cost \$80,000. per year while a second stream, and the addition of an in-service program will cost more. It is very difficult for the current director to project the costs of the JTC, because it only

commenced operation in March and because there has not been time to evaluate and adjust its program of instruction.

Lastly, there are the cost and reproduction of teaching materials. Here again the JTC has no budget of its own, although in respect to these items it has been able to draw on the facilities of the Faculty of Law and of the Human Rights and Documentation Centre at UNAM. To be fully operational, the JTC probably requires a modest desk-top publishing capability, in other words a standard 468 desk-top machine with a good HP laser 600 d.p.i. printer.

It is the opinion of the assessment team that the JTC will require an annual budget of somewhere between \$225,000 and \$250,000. How much should USAID provide? Given the anticipated budget of the mission's DG program, it will be possible for USAID to provide the entire amount. Whether it should do so, however, is another question. As suggested above, funding should be subject to the fulfillment of certain conditions to assure sustainability over the long term. If the JTC is a priority for Namibia, then it is not too much to ask that either UNAM or the Ministry of Justice picks up an appropriate portion of the costs, especially core salaries by the end of the DG project. Second, there is the issue of the quality of the programs. There is absolutely no doubt in the minds of the assessment team that the wide range of training the JTC is supposed to provide is very much needed. But as stated above, no one knows whether the current curriculum is working or will work because it is too early to tell. This is a classic example of the experimental and inherently risky nature of DG programs. Finally, although the Ford Foundation support will cease at the end of 1995, it is likely that Sweden, the European Community and Germany (via GTZ) might all be prepared to provide modest amounts of support, though less than what USAID is in a position to consider. In light of these considerations, it is suggested that USAID consider providing support for the JTC at a level of between \$100,000 and \$150,000 per year for FY96 through FY97, and an initial grant of \$75,000. in FY95. No moneys should be granted until the aforementioned conditions are met or assessed. Funding should be in conjunction with funding by other donors. In this regard, it is likely that the U.S. can be the lead donor and use its funds to lever support from other donors.

In addition to training, the lower courts urgently require the supply of adequate reference materials to assist magistrates in their work. As discussed in III.1.d, few of the 31 magistrate courts have complete collections of the Laws of South Africa and Namibia, and the Law Reports of Namibia. Some of this material has already been published by JUTA, the South African firm which specializes in legal publishing. Other material such as the annotated law reports for Namibia for 1991 through 1995 are currently being edited by the Legal Assistance Centre and will be updated annually after next year. However, these materials will still require publication and dissemination, and the estimated cost varies from \$100,000. to \$500,000. depending on the method used. At the request of the assessment team, the Chief of Lower Courts of the Ministry of Justice is preparing an estimate of the cost of the materials required by the magistrate courts including handbooks for the magistrates. This estimate is attached as Annex E to this assessment. Because this attachment was prepared at short notice it may be supplemented or replaced through a subsequent communication by the Chief of the Lower Courts to the Director of USAID, Windhoek. It is hoped that all necessary submissions by the MOJ will be delivered to the mission

by the time the mission writes the PP for this project and must arrive at more precise budget estimates for FY95.

Finally, magistrates around the country would also benefit from an E-mail link to the JTC and to the Chief of the Lower Courts in the Ministry of Justice. The importance of E-mail has been already noted in respect to the establishment of the Advocacy Center, and the linkage of the AC to the constituency based resource centers which are also proposed in section V.2.

The reader will note that we have not said much about potential assistance to the community courts. This is true for three reasons. (1) Until such time as Parliament passes an act defining the jurisdiction and office holders in this system, little can be done to strengthen the community courts. (2) One of the most useful ways to strengthen the community courts will be to empower the magistrate courts with the automatic authority to enforce decisions of the community courts. This, of course, will require a change in the legislation, but it further suggests that at least in the short run, the best way to strengthen the community courts will be to strengthen the magistrate courts. (3) Provision for training personnel of the community courts is part of the mandate of the JTC. By supporting the Centre, USAID may ultimately be able to strengthen this lowest tier of the judicial system.

b. The Human Rights Documentation Centre

The Human Rights and Documentation Centre, as Namibia's contribution on human rights, democracy and the law to a Southern African consortium of universities, and as a proxy National Commission on Human Rights in Namibia, is in need of concrete support in four distinct areas: first, funding for staff and curriculum development for the training of paralegals in conjunction with the Law Faculty at UNAM. This two-year training program is intended for secondary school students who have completed matriculation and would help to bring legal assistance in the form of trained paralegals to smaller communities throughout Namibia. Second, the HRDC is in need of long and short-term legal expertise on a range of issues. In the view of HRDC staff, although since independence there have only been two major constitutional cases, it is likely that in the future decisions in the courts in Namibia will be key in determining how "human rights" are defined in the country. To this end, exchange programs through the Fulbright Scholars program, the international visitors program of the United States Information Service, or legal services organizations in the US could be arranged. At present one Fulbright scholar and poverty lawyer from California is working with the HRDC. Such individuals, with experience in poverty and justice issues in underprivileged communities outside of Namibia, could make an important contribution in the training of paralegals and curriculum development at the HRDC and in the broader activities of the Centre such as helping to draft new legislation or acting on behalf of threatened indigenous communities. Third, the HRDC's documentation center, seen as a clearinghouse and repository in Namibia for law and human rights related documentation, is in need of donations on a long term basis of a few human rights journals such as *Human Rights Reporter* and *Human Rights Quarterly*. Finally, together with the Justice Training Centre, the Human Rights and Documentation Centre would benefit greatly from a modest desk-top publishing capability in order to be able to produce its own teaching materials.

Access to Internet and E-mail would also greatly enhance the HRDC's ability to make use of international organizations and materials not widely available in Namibia.

c. The Attorney-General's Office

Discussions with the Attorney-General and his Chief Legal Officer resulted in two modest yet important requests which USAID in conjunction with USIS could easily provide. The first is an E-mail capability with access to Lexus, the on-line legal retrieval system on U.S. law available to subscribers via Internet. The second is access to short-term yet highly specialized legal expertise in such areas as the law of the sea. Support to meet both of these requests would be mutually reinforcing. Support for E-mail and Lexus would also be valued by the Legal Assistance Centre and could be provided to that organization at no extra cost.

The A-G's need for short-term expertise could be met via two and possibly three programs available to the mission. The first is the pro-bono program run by the American Bar Association (ABA) in consultation with the Human Rights and Democracy Bureau of the Department of State. Advice on how to access this service can quickly be obtained from the former Deputy Assistant Secretary of State in the Bureau, James Bishop, who is currently serving as a consultant to USAID on the Southern Africa initiative. Bishop is thoroughly familiar with the ABA program. A second method is the USIS academic specialist program via which leading legal authorities from American law schools could be brought out to Namibia for the period required. Should USIS face a budgetary constraint in accessing such personnel, USAID should be able to access such personnel directly via a consultant's purchase order. Yet another method, provided its contract is renewed, is to buy in to the cooperative agreement between Checci Associates and the Africa Bureau. If the agreement is not renewed, it will be replaced by a similar agreement to provide technical assistance to support the rule of law that will undoubtedly be established by the new Center for Democracy in the Global Bureau.

The need to establish the use of E-mail in Namibia has already been noted in earlier sections of this report, and the procedures for facilitating this are presented in Annex C. Via E-mail, relevant Namibian organizations and government agencies that are critical to the consolidation of democracy in the country can be linked to an almost infinite array of technical assistance and on-line information services around the world via Internet. One example of such on-line information service is Lexus. Lexus is available to registered subscribers at a cost that is a function of the amount of time the system is used. Details of the cost per minute as well as the amount of any basic monthly or annual fee are not known to the members of the assessment team, nor is the possibility of discounts to periodic users located in developing countries. Such information, however, can be quickly obtained via any law library at one of the top twenty law schools in the U.S., all of which support Lexus.

The value of providing an E-mail facility to the Attorney-General's office goes beyond mere access to services like Lexus. Through E-mail the AG and his Chief Legal Advisor can quickly correspond with legal experts around the world, and maintain contact with such individuals as might periodically visit the AG's office to provide short-

term expertise. This would do much to cement relationships facilitated by USIS and other specialist programs such as those of the ABA.

d. The Office of the Ombudsman

As discussed in section III.1.e above, the most pressing need of the Office of the Ombudsman is the addition of trained staff, especially investigators. To determine whether this problem can be mitigated, the mission should discuss whether the establishment of the Office of the Ombudsman can be increased, and if so whether donor funding would be required to phase in additional personnel. Only if the question of expanding the establishment is clarified should the mission take up the possibility of training appropriate staff. It is premature to determine where such staff could be trained, but several options present themselves, provided the institutions in question can take on the added task. These are (1) the Justice Training Centre whose current limitations have already been noted, (2) the Legal Assistance Centre, and (3) the Faculty of Law at the University of Namibia. Here again, these discussions are best initiated after the appointment of the resident DG advisor.

g. Legal Assistance Centre

The Legal Assistance Centre has long been at the forefront of defending human rights in Namibia. The principal task of the LAC is to provide legal assistance which it is doing via a series of regional field offices around Namibia. In addition to this core task, the Centre also supports the work of the Law Reform Commission, is editing the Laws of Namibia for the Ministry of Justice, training paralegals, and administering a bursary program for 10 Namibians now training at faculties of law in South Africa. In addition, the LAC has also entered the area of policy analysis, particularly in respect to juvenile law, gender issues, the environment and labor relations.

Several donors including Norway, SIDA and the Ford Foundation support the LAC, and the Center is reluctant to take on new programs. The question then remains as to whether USAID might facilitate the Centre's current portfolio of programs and if so how. The assessment team was unable to answer this question because the Director of the LAC, Andrew Corbett was seriously ill during the team's visit. Although we did meet with one of his assistants, she was not able to provide details as to which programs require additional support. The only program for which the team learned that supplementary funding is quickly needed is the bursary program. The Ford Foundation initiated the bursary program in 1991, but due to rising costs and other factors the program will experience a shortfall during the forthcoming year. It was also suggested that as no new students have been provided with bursaries since 1991 that it might be desirable to fund one or two additional bursaries. However, now that the Faculty of Law at UNAM is up and running, the assessment team suggests that some caution be taken in respect to any funding beyond what is needed to bring the program initiated by Ford to completion. Needless to say, the Ford Foundation should also be contacted as to whether it intends to provide such supplementary support. Additional material on the LAC may be found in the file on Namibian NGOs, but the mission is urged to meet with Andrew Corbett as soon as he is well--sometime in late August. Ironically, as the assessment team was writing this section, Mr. Corbett called from his home and reviewed some LAC's current activities and needs over the phone. He noted that the

LAC is prepared to work with NANGOF to establish the Advocacy Center. He also noted that the LAC is contemplating research support to the National Assembly. Given these and other evolving programs at the LAC, we agreed that he and his staff would prepare a submission to USAID which should be the basis for future discussion (which, we assume, would occur before the preparation of the project paper). This submission should be inserted into Annex D to complement the submission from the Ministry of Justice.

5. SUPPORTING THE MEDIA

a. Media Institute of Southern Africa (MISA)--Namibia

MISA-Namibia, though still a nascent entity, has strong potential to contribute to fostering a democratic climate tolerant of critical analysis and constructive criticism. An independent, self-sustaining, and professional media is thus an important arena for strengthening and consolidating Namibia's democracy.

- USAID should consider the provision of a core grant to facilitate the establishment of MISA-Namibia. Given the promise of this organization, it is likely that other donors would co-finance.
- MISA-Namibia is also interested in setting up a legal defense fund for the media. The fund would defend journalists as well as test cases of constitutional principle in addition to testing existing laws.²⁸
- The provision of an E-mail facility to MISA-Namibia, as well as support for a subscription to Nexus (an on-line news service), would also be a valuable way to assist the organization. Access to E-Mail would enable MISA-Namibia to send news to their counterparts in the region via the Internet as well as to report more accurately events elsewhere in the region that may have repercussions for Namibia. For example, MISA-Namibia already has links with the *Jornal de Angola* in Angola and the *Weekly Mail and Guardian* in South Africa. In addition, MISA-Namibia would like to have a Gopher capacity and access to economic reporting. The existing links and the required computers are currently being supported by SIDA, which has made a commitment for one year. However, access to Nexus will incur charges based on the amount of time the service is used. Some of these costs can be recovered by subscriber fees from other local users. For more detail about the possibilities for E-Mail in Namibia, see Annex C.
- Namibian journalists, via MISA-Namibia and perhaps, the Advocacy Center described in section V.1 above, would benefit immensely from a resource and documentation facility. Journalists presently have limited facilities for securing background information for their stories, especially in technical areas. An enhanced research capability along with training in critical analysis would contribute

²⁸ USAID-Nairobi has recently begun to establish such a fund in Kenya together with DANIDA with the same objectives in mind.

to objective reporting that is of higher quality, and that can offer constructive modifications or alternatives to, for example, government policy proposals. In addition, MISA-Namibia can assist in teaching NGOs how to design an in-house newsletter; MISA-Namibia has already been involved in giving assistance to NANGOF for a market study.

- The provision of technical assistance to train Namibian reporters in areas of investigative journalism, parliamentary coverage, economic reporting, regional and local public affairs, and community news is critically needed to improve the quality of Namibian media. Insofar as possible, such training should take place locally in the different regions; given the limited staff, courses located only in Windhoek would in effect mean that an office would operate at half capacity or even be forced to close down for the period of the training. Local training also gives the additional advantage of in-service exercises that speak directly to the issues at hand, and more people can be involved in the training. Moreover, since broadcast and print media tend to be largely concentrated in the urban areas, regional and local based training will enhance the provision of community-based newsgathering, and can facilitate the identification of links through which national papers, for example, can be distributed more widely.

Access to appropriate specialists to provide such training can be obtained by the mission via one of two methods: (1) via USIS which arranges training workshops for journalists, and (2) via the Center for Foreign Journalists in Reston, VA which has on occasion conducted training exercises for USAID. In this regard, the mission should seek the advice of the REDSO/ESA DG advisor who maintains a file of appropriate sources of technical assistance in this area.

Finally, the privatization of radio and the outreach of TV is progressing, albeit not at a rapid pace. For example, there is talk of the revival of an FM radio station in Katutura with assistance from UNESCO, and the Danes have been involved in training in community broadcasting. Once these efforts take off, NBC would be able shift its focus more to development-oriented and educational programming. Moreover, it appears that NBC TV plans to increase its broadcasting reach from 35 percent to 75 percent in two years, and then to 95 percent in five years via satellite transmission. The aim of NBC's efforts is not to get a TV in each Namibian household, but to place a TV in every school, hospital, and clinic for educational programming. Once established, these emergent entities can avail themselves of the research and training possibilities offered by the resource information center, in whatever form that actually takes, with MISA-Namibia perhaps providing an additional supporting role.

b. The Namibia Broadcasting Corporation

USAID should consider the provision of broadcast quality cameras and other relevant equipment to enhance the coverage of both houses of Parliament. This proposal to strengthen the NBC relates directly to the need for enhanced coverage of the National Assembly and the National Council in order to facilitate increased public exposure to the activities of the legislative branch. NBC's current "Parliamentary Report" is limited given its emphasis primarily on the National Assembly. To promote

public understanding of the National Assembly and the National Council in their role as, in President Nujoma's words, "the two eyes" of the Namibian legislature, it is especially important that the National Council receive coverage on par with that of the National Assembly. Indeed, the Director-General of NBC told the assessment team that at times NBC is not even aware of what the National Council is doing.

The Director-General has proposed live broadcast of Parliamentary debates. The broadcast of the debates could then be reinforced in radio programming: people could see the activity in Parliament; and then discuss aspects of what was being debated on the radio forum, Open Line or the National Chat Show. This interactive aspect would also illustrate to MPs and other government officials the importance of communicating with their constituents through radio. Currently, there is a tendency, especially for Ministers, to insist on television coverage, even if their activity is actually more oral-oriented, e.g. reading a prepared speech.

The Director-General of NBC as well as the Speaker of the National Assembly and the Chairperson of the National Council are in agreement that improved Parliamentary coverage is a priority. The capacity for live broadcast already exists to some extent, with cables and stands installed at the National Assembly. The National Council would require cables and stands, in addition to the cameras that are needed by each chamber.

Enhanced coverage of the local and regional councils will focus public attention on how government functions at the grassroots, and at the same time promote a sense of national unity as rural residents begin to see their own images highlighted as a part of Namibia's realities. In order to strengthen community-based broadcasting, additional cameras and related equipment will be required by NBC so that each regional office can cover events within its area. In this respect, the NBC Director General indicated that there exist proposals to regionalize radio coverage and production and to restructure and lengthen the hours of the language service broadcasts.

The Ministry of Education should also be consulted in connection with regional and local programming. It seems that the Ministry possesses mobile production and broadcasting vans that might be useful for communicating information about regional and local events.

VI. IMPLICATIONS FOR USAID AND US EMBASSY WINDHOEK

An integrated program in support of consolidating democracy in Namibia will require a sustained effort *on a country team basis*. By its very nature, a DG project of the type proposed straddles the realms of conventional development assistance on the one hand, and diplomacy on the other. The most effective DG programs recognize this fact and approach their implementation accordingly. In this regard, it is essential that USAID Windhoek appoint a qualified social scientist to become its resident DG advisor as soon as possible so that the project gets off to a fast start. The presence of a full-time resident DG advisor is absolutely essential if most of the initiatives recommended in the previous section are to be implemented. Most of these initiatives are either small, or require extensive negotiation and monitoring to implement. This cannot be done by part-time consultants flying in from the U.S.

The mission must take great care in selecting the DG advisor. Ideally, the advisor should: (1) Be a social scientist who is a specialist in comparative politics and knowledgeable about issues of public policy, development, and political and economic reform in developing countries, particularly Africa. While a Ph.D. should not be an absolute requirement for recruitment, advanced training in the aforementioned areas should be. (2) Be mature, and have good interpersonal skills and be able to represent the United States, albeit in an advisory role. (3) Be knowledgeable about Namibia. (4) Be knowledgeable of USAID procedures and of USAID's efforts to date in support of democracy and governance. While all four skills are desirable, particular emphasis should be placed on the first two. The tasks of the DG advisor are basically four: (1) To keep constantly abreast of DG programs and initiatives in country; (2) to identify and assist Namibian institutions in the design of new DG initiatives; (3) to serve as an information broker between Namibian institutions involved in DG work; (4) to serve as an information broker between the USAID and the DG program officers of other donors. In addition, the DG advisor must be able to serve as a link between the USAID mission and the Embassy.

To recruit an appropriate individual to serve as its DG advisor, the mission will most likely need to employ a personal services contractor (PSC). The number and availability of appropriate individuals within USAID is limited, and those who do exist are currently assigned to other jobs. This means that the mission will have to recruit someone from outside the Agency. To do this, it has three options: (1) Recruit a PSC. This is the preferred method, but the current ceiling on PSC recruitment may necessitate that the mission obtain special permission from Washington to enter into such a contract. (2) Obtain a DG advisor via the mechanism of an "institutional contractor." This method should be avoided if at all possible for at least two reasons: (a) It is cumbersome and time consuming. Up to a year will pass, perhaps more, to recruit a DG advisor in this way. (b) The mission and the embassy will lose control over who is selected if this option is followed. (3) Finesse the PSC limit imposed by Washington, by recruiting a DG advisor via an interagency personnel assignment (IPA) with an appropriate college or university. Indeed, the Democracy Center in the Global Bureau is currently resorting to this method to bring in appropriate personnel from outside USAID.

The mission will also need to employ a project manager to move the amount of paperwork that is typically associated with DG projects. To reduce costs, this position could be filled by either a local US hire or by a Foreign Service national (FSN). Both mechanisms have been used successfully in the region.

Finally, we return to a theme articulated at the beginning of this assessment in section I and throughout this assessment, and that is that by its very nature, the implementation of the recommended project will be more risky and have more than the usual number of "ups and downs" than a conventional USAID project. This project will also require periodic diplomatic support from the Embassy. These considerations are simply the inherent nature of these exercises.

ANNEX A: LIST OF INTERVIEWS CONDUCTED BY THE ASSESSMENT TEAM

Erongo Region

Regional and Local Government

Regional Council

Asser Kapere, Regional Governor

Swakopmund Town Council

Daniel Hangula Kamho, Mayor

Villa Peterson, Public Relations Officer

Walvis Bay Town Council

Colin van Niekerk, Vice Chairperson, Management Committee

P.J. van Niekerk, Deputy Director, Community Services

Fanie du Preez, Town Clerk

Nico Retief, Chairperson, Management Committee

Salie Vermark, Director, Community Services

Political Parties

DTA

Jan Botha, Vice-Chairperson, Swakopmund Constituency

SWAPO

John Nangoio, Regional Mobilizer, Walvis Bay Office

Manuel De Castro, Member (Tunacor)

Denise Van Bergen, Member (Silence Holdings)

National NGOs

Walvis Bay Legal Advice Office (Legal Assistance Center)

Mr. L. Johannes, Paralegal

Swakopmund Chamber of Commerce and Industry

Mike McDonald, Chairperson (Owner, Kwik Kopy)

Riana Hamilton, Member (Owner, Projects Promotions)

National Union of Namibian Workers (NUNW) Western Office

Hafeni Ndeumula, Regional Coordinator

Hardap Region

Regional and Local Government

Rehoboth Town Council
N.J.Celemto, Deputy Mayor
E. Gowases, Town Councillor
W.C. de Klerk, Mayor
Neville Smith, Town Clerk

Magistrate's Court, Rehoboth
G.C. Scheepres, Acting Magistrate

Political Parties

SWAPO
Willem Baikes, Member, Executive Committee
Alfred S. Dax, District Head
Kenhas Huiseb, Regional Coordinator

National NGOs

Namibia National Chamber of Commerce and Industry
Dimitrio Metzler, Secretary

Kavango Region

Regional and Local Government

Regional Council
A.H. Haingura, Regional Governor
Reinhold E. Muremi, Regional Councillor/MP, National Council
Gabriel Kangau, Regional Councillor
John Hambjuka, Regional Councillor
Paulus Sikongo, Regional Councillor
Augustus Antindi, Regional Officer

Rundu Town Council
Rafael Dinyando, Mayor

Political Parties

DTA

Norbis Shidjukwe, Regional Coordinator

SWAPO

Gosbert Sikerete, Regional Mobilizer

Herbert Shikongo Shixwameni, Regional Representative

Broadcast and Print Media

Namibian Broadcasting Corporation (NBC)

Josef Mukoya, Regional Manager

Kosmos Muyenga, Senior Producer

National NGOs

Lisikamena Credit Fund

Sikongo Haihambo, Fund Manager

Mbanqura Woodcarving Cooperative

Johannes Lumbala, Chairperson

Amalius Santos, Marketing Manager

Anna Kandumo, Bookkeeper

Namibia National Farmers Union (NNFU)

Pinehas Kandire, Coordinator

Pelagius Hamusira, Development Promoter

Rundu Advice Office (Legal Assistance Centre)

A.T. Makongwa, Paralegal Coordinator

Magdalena Wakudumo, Secretary

International NGOs

Canadian/Namibian Cooperation (Canamco)

Jeremy Muller, Director

Khomas Region

National Government

National Assembly

Mose Tjitendero, Speaker

Vero Mbahuurua, Legal Counsel

National Council
Kandy Nehova, Chairperson
Lazarus Uuandja, Assistant to the Chairperson

Office of the Attorney General
Hartmut Ruppel, Attorney General
Vicki Erenstein Ya Toivo, Chief Legal Counsel

Office of the Auditor General
Fanuel Tjingaete, Auditor General

Office of the Ombudsman
Mr. Kasuto, Deputy Ombudsman

National Planning Commission (NPC)
Jacob Basson, NGO Liaison
Brahm Harris, Regional Planner

Ministry of Education
Helgard Patemann, Advisor

Ministry of Justice
F.H. Truter, Chief of Lower Courts

Ministry of Regional and Local Government and Housing
Libertine Amathila, Minister

Directorate of Elections
Gerhard Toetemeyer, Director

Regional and Local Government

Regional Council
John Pandeni, Regional Governor
Gabriel Ithete, Regional Councillor

Political Parties

DTA
Alois Gende, MP, National Assembly
Rudolf Kamburona, Secretary General; MP, National Assembly
Nico Smit, Administrative Secretary

SWAPO
Moses Garoeb, Secretary-General and Chief Whip, National Assembly

Broadcast and Print Media

Media Institute of Southern Africa (MISA-Namibia)
Methaetsile Leepile, Chief Executive Officer, MISA
Gwen Lister, Editor, The Namibian, MISA-Namibia
David Lush, Administrative Officer, MISA-Namibia

NBC
Nahum Gorelick, Director General

National NGOs

Anglican Diocese
Bishop James Kauluma

Association of Local Authorities in Namibia
Immanuel Ngatjizeko, President

Centre for Applied Social Sciences
Helgard Patemann, Director

Council of Churches of Namibia (CCN)
Rev. Ngeno Nakahmela, Secretary General

Legal Assistance Center (LAC)
Gail Super, Staff Researcher

Namibia Agricultural Union (NAU)
Arnold Klein, Administrative Manager

Namibia Development Trust (NDT)
Lindy Kazombaue, Director

Namibia Institute for Democracy (NID)
Theunis Keulder, Director

Namibia National Chamber of Commerce and Industry (NNCCI)
Christie Benade, President
John Dammert, Secretary General
Joan Guriras, Second Vice President
Cyrill Jacobs, Head, Vocational Education and Entrepreneurial Development
Navin Morar, Past President
Hafeni Nghinamwaami, Head, Trade and Marketing Department

Namibia National Farmers Union (NNFU)
Alex Merero, Coordinating Director

Namibia National Students' Organization (NANSO)

Gella Makushe, Acting General-Secretary
Vikurupa Kavendji, Vice-President

Namibian Economic Policy Research Unit (NEPRU)

Henning Melber, Director

Namibian Non-Governmental Organization Forum (NANGOF)

Lindy Kazombaue, Treasurer (NDT)
Naftali Uirab, Chairperson (Bricks)

National Union of Namibian Workers (NUNW)

Bernard Esau, NUNW General Secretary
Peter Naholo, General Secretary, MUN
Katu Ipinge, General Secretary, NAFU
Cuana Angula, Legal Officer, NAFU
Silvester Gawaseb, NAFWU
Elina Akwenya, NUNW, Women's Affairs
Abraham Onesmus, NATAU

Private Sector Foundation

Miriam Truebody, Director

Rural Peoples Institute for Social Empowerment (RISE)

Paul Vleermuis, Director

Roman Catholic Church

Fr. Bernhard Nordkamp, Vicar General

Rossing Foundation

Pieter Mostert, National Coordinator, Namibia Youth Award

Sister Collective

Rosa Namises, Member
Nepeti Nicanor, Member

University of Namibia (UNAM)

Rehabeam Auala, Dean, Faculty of Education
Andre du Pisani, Professor and Director, Centre for the Training of Public Servants
Othy Kaakunga, staff, Human Rights and Documentation Centre (HRDC)
Peter Katjavivi, Vice-Chancellor
Lucy Quacinella, Fulbright scholar, Human Rights
and Documentation Centre (HRDC)
J. Verwey, Director, Justice Training Centre (JTC)

Urban Trust

Rosy Namoya, Director

International Donors and Foundations

British High Commission
Edward Taylor, Second Secretary

Ford Foundation
Steve Lawry, Assistant Representative, Namibia
John Gerhart, Representative, South Africa

Friedrich Ebert Foundation
Arnold Wehmhoemer, Resident Representative

National Democratic Institute (NDI)
Patricia Keefer, Senior Associate, Southern Africa Programs

Swedish Embassy
Hella Jansen, Gender Officer
Anna Holmen, First Secretary

Otjikoto Region

Regional and Local Government

Regional Council
Rev Hosea Nampala, Regional Governor
Nico Kaiyamo, Regional Councilor/MP, National Council
Sofia Angula Mupopina, Regional Officer

Tsumeb Town Council
S. Aggenbagh, Town Secretary

National NGOs

National Union of Namibian Workers (NUNW) Northern Office
Alfred Angula, Regional Coordinator
Gotty Ndjendjela, NATAU Regional Organizer

Otjozondjupa Region

Regional and Local Government

Delegation at Regional Council Office
Otniel Kazombiase, Regional Officer, Regional Council
Edna Kurz, Kalkfeld Village Council Chairperson
Calicious Nawa, New Era, Ministry of Information
Romanus Mavenjoni, New Era, Ministry of Information

Omusati, Oshana, and Ohangwena Regions

Regional and Local Government

Regional Council, Oshana

Matheas Amadhila, Regional Councillor
Paulus Ilonga Kapia, Regional Councillor
Clemens KASHUUPUWA, Regional Councillor
Boos Munalye, Regional Officer
Sylvanus Vatuva, Regional Governor

Magistrate's Court, Oshakati

Ms. N.N. Hamunyela, Magistrate
Mr. M. Namweya, Magistrate

Political Parties

DTA

Phillemon Moongo, Chief Coordinator
Immanuel Engombe, Secretary General for the Four Northern Regions

Broadcast and Print Media

Namibian Broadcasting Corporation (NBC)

Nestor Iyambo, Regional Manager, Oshivambo Service

National NGOs

Evangelical Lutheran Church in Namibia (ELCIN)

Bishop Kleopas Dumeni

Human Rights Centre, Ongwediva (Legal Assistance Centre)

Gabes Nepaya, Paralegal Coordinator

Institute for Management and Leadership Training (IMLT)

John Nekwaya, Small Business Trainer/Consultant, Northern Regional Office

Namibia Institute for Democracy (NID)

Kalifeni Shatona, Northern Region Coordinator

Northern Namibia Regional Chamber of Commerce and Industry

Michael Nesongano, Director, Small Business Development in Northern Namibia

Ismael Ochurub, Village Secretary, Kalkfeld
Tiranus Tsishome, Chief Control Officer, Regional Council
Mbeuta Uandjarakana, Regional Governor
Richard Ujaha, Labour Inspector, MRLGH
Manfred Uxamb, Mayor, Otjiwarongo

Grootfontein Town Council

Frances Van Wyck, Mayor
J. Oxyrub, Deputy Mayor
Alfred Stroh, Town Engineer

Kalkfeld Village Council

Edna Kurz, Chairperson

Otjiwarongo Town Council Meeting

Manfred Uxamb, Mayor
Mosioline Kasiringua, Community Development Officer
Mr. Louw, Administrative Officer/Control Officer
D.J. Van Niekerk, Health Inspector
Orvetoweni Community - 50 plus members
Bernadette Shetunyenga, Brick Making Cooperative
Sofia Shipanga, Ekondjo Sewing Project
Sara Petrus, Omkaisere Sewing Project
Hilia Sheveza, Helao Nefidi Garden Project
Johannes Joseph, Build Together Project
Squatters' Committee Members

Political Parties

SWANU

Rudolph Uapeua Tjaverua, Chairperson, Regional Office

SWAPO

Ferdinand F. Kavetuna, Branch Coordinator (Deputy Mayor)

UDF

Naftali Soroseb, Organizer

Broadcast and Print Media

Otjiwarongo Contribution Centre, NBC

Josef Garab, Senior Announcer, Damara>Nama Service
Diina Haipumbu, Administrative Officer
Ismael Howoseb, Senior Reporter
Israel Kande, Operation Assistant
Walter Tjituka, Senior Announcer, Otjiherero Service

ANNEX B: LIST OF THIRTEEN REGIONS, CONSTITUENCIES AND THEIR REPRESENTATIVES IN THE NATIONAL COUNCIL

| <u>Region</u> | <u>Constituencies</u> | <u>Party</u> |
|---------------|-----------------------|--------------|
| CAPRIVI (6) | Mukwe | SWAPO |
| | Kongola | DTA |
| | Linyandi | DTA |
| | Sibinda | DTA |
| | *Katima Mulilo | DTA |
| | Kabe | SWAPO |
| ERONGO (6) | Omaruru | SWAPO |
| | Karibib | SWAPO |
| | Brandberg | UDF |
| | Arandis | SWAPO |
| | *Swakopmund | DTA |
| | Walvis Bay | SWAPO |
| HARDAP (6) | Rehoboth W. Urban | DTA |
| | Rehoboth E. Urban | DTA |
| | Rehoboth Rural | DTA |
| | Mariental Rural | DTA |
| | *Mariental Urban | SWAPO |
| | Gibeon | SWAPO |
| KARAS (6) | Oranjemund | SWAPO |
| | *Keetmanshoop Urban | SWAPO |
| | Berseba | SWAPO |
| | Luderitz | SWAPO |
| | Karasburg | SWAPO |
| | Keetmanshoop Rural | DTA |

*Indicates the regional center. Note that although Tsumeb is not an independent constituency, it nevertheless is the regional center.

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International NGOs

Development Aid From People to People (DAPP)
Agneta Dahne, Director

OHSIP (IBIS, formerly WUS-Denmark)
Erich Madsen

French Cooperation Agriculture Extension Service
Mr. Didiel

| Region | Constituencies | Party |
|----------------|------------------|-------|
| KHOMAS (9) | Wanaheda | SWAPO |
| | Hakanana | SWAPO |
| | Katutura East | SWAPO |
| | Katutura Central | SWAPO |
| | Soweto | SWAPO |
| | Khomasdal North | SWAPO |
| | *Windhoek West | DTA |
| | Windhoek East | DTA |
| | Windhoek Rural | DTA |
| KUNENE (6) | Ruacana | SWAPO |
| | *Opuwo | DTA |
| | Sesfontein | UDF |
| | Khorixas | UDF |
| | Kamanjab | SWAPO |
| | Outjo | SWAPO |
| OHANGWENA (10) | Endola | SWAPO |
| | Epembe | SWAPO |
| | Omundaungilo | SWAPO |
| | Ongenga | SWAPO |
| | Engela | SWAPO |
| | Oshikango | SWAPO |
| | Ondobe | SWAPO |
| | *Eenhana | SWAPO |
| | Okongo | SWAPO |
| | Ohangwena | SWAPO |
| OKAVANGO (6) | Mpungu | SWAPO |
| | Kahenge | SWAPO |
| | Kapako | SWAPO |
| | *Rundu | SWAPO |
| | Mashari | SWAPO |
| | Ndiyona | SWAPO |
| OMAHEKE (6) | Otjinene | DTA |
| | Otjozondjou | DTA |
| | Steinhausen | DTA |
| | *Gobabis | SWAPO |
| | Buitepos | DTA |
| | Aminius | DTA |

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| Region | Constituencies | Party |
|------------------|-------------------|-------|
| OMUSATI (9) | Onesi | SWAPO |
| | Okalongo | SWAPO |
| | Haikella | SWAPO |
| | Okahau | SWAPO |
| | Tsandi | SWAPO |
| | *Uutapi | SWAPO |
| | Anamulenge | SWAPO |
| | Ogongo | SWAPO |
| | Oshikuku | SWAPO |
| | Elim | SWAPO |
| OSHANA (9) | Uuvudhiya | SWAPO |
| | *Oshakati | SWAPO |
| | Ongwediva | SWAPO |
| | Okaku | SWAPO |
| | Okatana | SWAPO |
| | Ondangwa | SWAPO |
| | Ompundja | SWAPO |
| | Uukwiyu | SWAPO |
| | Okatjali | SWAPO |
| OSHIKOTO (10) | Onayena | SWAPO |
| | Omuntele | SWAPO |
| | Okankolo | SWAPO |
| | Engodi | SWAPO |
| | Guinas | SWAPO |
| | Oniipa | SWAPO |
| | Okatope | SWAPO |
| | Omuthiyagwiipundi | SWAPO |
| | Oshikoto | SWAPO |
| | Olukonda | SWAPO |
| (*Tsumeb) | | |
| OTJOZONDJUPA (6) | Grootfontein | SWAPO |
| | Otavi | SWAPO |
| | Okakarara | DTA |
| | *Otjiwarongo | SWAPO |
| | Oahandja | SWAPO |
| | Omatako | DTA |

ANNEX C: E-MAIL CAPABILITIES IN NAMIBIA

The assessment team strongly recommends that the mission support the establishment of E-mail in Namibia, particularly access to the Internet, and that it also consider support, where appropriate, to subscriber data and information services such as LEXUS and NEXUS. E-mail by itself does not, of course, constitute a separate thematic area for the consolidation of democracy in Namibia, but as noted throughout our recommendations, the establishment of this technology would enhance many of the programmatic initiatives we propose.

The core coordinating group for the development of E-mail and other communications capabilities in Namibia are Dr. Eberhard Lisse, the Internet Administrator, Dr. Ben Fuller, Social Science Division, UNAM, and Tim Priebe, Systems Analyst, Computer Science Department, UNAM.

Since January 1994, Namibia has had access to E-mail via a dial-out night system in which compression software and high speed modems have been employed to dial out to South Africa on an hourly basis at night, when the rates are cheaper. The dial-up link is through the Council of Social and Industrial Research (CSIR) in Pretoria, which then provides the link to Rhodes University in Grahamstown (which is linked to Oregon in the USA). The Universities of Botswana, Mozambique, Zambia, and Zimbabwe are also linked to Rhodes University. UNAM is currently paying N\$600/month for the use of the E-mail facility; the telephone cost alone for the first three months was N\$150.

The current system is self-funded and self-sustaining. UNAM currently has basic hardware and the necessary software to access the service. Users pay between N\$10-50/month. The constituency of users includes: The Office of the Prime Minister, the Ministry of Education, both campuses of UNAM, MISA-Namibia, and the Geological Survey.

There is increasing interest in Namibia for expanded E-mail and Internet capabilities. A February 1994 meeting attended by various Ministries, major banks, and telecommunications users resulted in the consensus that UNAM is the logical place to house the capacity (indeed, universities around the world are typical locus points). Although Dr. Lisse agrees that UNAM is the most logical place to house the hardware, especially since it possesses back-up systems and the computer can be used to train students, he is concerned that UNAM may find itself in financial difficulties and thus be unable to sustain the effort. In addition, the initiative should be totally independent and autonomous in order to implement policies, apply sanctions as necessary, and to prevent any possibility of censorship. Thus, the hardware should be owned by an independent board established as a non-profit entity, with its operating expenses subject to audit (which could be done by UNICEF).

Since the February meeting, Lisse, Fuller, and Priebe have been trying to build a larger network of users in order to justify the cost of getting a dedicated line to South Africa, which would cost roughly N\$5,000 to N\$8,000 per month. Dr. Lisse has had conversations with GTZ and the British High Commission, who may be interested in contributing should USAID take the lead. The costs involved are as follows: Hardware in the form of a 486 machine with 16-32M memory and a 200MB hard drive, a back-up tape drive, additional

REPUBLIC OF NAMIBIA

MINISTRY OF JUSTICE

Tel. (061) 239280

Fax (061) 221233

Telex 635

Enquiries: Mr F H Truter

Private Bag 13302

WINDHOEK

9000

Our Ref:

Your Ref:

INFORMAL MEMO

TO : DR. JOEL D BARKAN

FROM : CHIEF : LOWER COURTS, NAMIBIA

DATE : 25 JULY 1994

DEMOCRACY / GOVERNANCE ASSISTANCE PROGRAMME : AID TO THE MINISTRY OF JUSTICE

1. In terms of Activity Agreement No. DHR-93-673-02 of 30 July 1993 between the Government of the United States of America and the Government of Namibia, an amount of US\$30 000 was allocated to Namibia for the training of Community Court Justices. This grant could not be utilized for the original purpose, as the conditions of the agreement could not be met. The conditions may be amended to use the grant for other purposes.
2. When considering assistance to the Government of Namibia for 1995, the training of Community Court Justices must again be kept in mind as the Ministry of Justice is still working on the legislation needed for the creating of Community Courts. An amount of US\$230 000 will be needed for this purpose.

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3. Another need which deserves urgent attention is the reproduction of Namibian laws and more specific the South African Laws and South West Africa Laws still to be applied in terms of the constitution. To have these laws reprinted will cost about N\$2 000 000. It will however be possible to reproduce the legislation at a cost of approximately N\$100 000 if a Risograph Digital Copy Printer (or similar equipment) with the necessary accessories and material can be supplied to the Ministry of Justice. Binding will be done locally by private firms.
4. Namibian Law Reports are now being prepared with the assistance of the Legal Assistance Centre. It would seem that the reports for the six years from 1990 to 1995 will only be available by the middle of 1996. The Ministry will be able to buy the current law reports from own funds but the backlog which will have to be met in 1996 may amount to about N\$100 000. For this purpose the Ministry of Justice will not have the funds.
5. Donor assistance to the Justice Training Centre has been given by the German firm known as Gesellschaft für Technische Zusammenarbeit (GTC) and the Ford Foundation. This assistance will however, in terms of the present agreements, not cover the total costs for 1996 and no assistance will be given for 1997. There will therefore be a need for additional assistance for 1996 and it may be necessary to provide for donor money to supplement state funds in 1997. An amount of approximately N\$260 000 may be needed for 1996 and N\$300 000 for 1997.

6. **SUMMARY**

Needs for 1995 :

| | |
|--------------------------|-------------------|
| Community Court Justices | N\$230 000 |
| Reprint of Namibian Laws | <u>N\$100 000</u> |
| | <u>N\$330 000</u> |

Needs for 1996 :

| | |
|--|-------------------|
| Namibian Law Reports | N\$100 000 |
| Training of Magistrates (at JTC) | N\$260 000 |
| (to Supplement grant by Ford Foundation for accommodation and travelling expenses of trainees) | |
| | <u>N\$360 000</u> |

computers with modems to be installed in the rural areas, and phased financial support beginning with N\$10,000/month for at least two years (N\$7,000 in the third year, etc.). The link-up would also require the services of a full-time staff person.

After receiving initial assistance to lease the line, and phased-out support over two to three years, the network should become self-sufficient. The Directorate of Water Affairs and the Ministry of Education and Culture could pay subscriber fees of N\$500 per month; the Ministry of Fisheries and NBC have also indicated a willingness to contribute once the service is established. Dr. Lisse is keen to have commercial subscribers, who eventually could bear the brunt of the expense. (In the US, the National Science Foundation does not allow commercial use.) Rossing and the Consolidated Diamond Mines are interested.

In addition, Dr. Lisse has been in contact with other donors concerning the prospect of upgrading the system to allow for national usage that would be interactive and that would support access to the rural areas of Namibia. Telecom Namibia is currently installing fiber optic cable, which would mean that Namibia would have the capability to link to the major regional centers throughout the country. These centers thus would all have the ability to access the Internet, Gopher, WAIS (Wide Area Information Search), etc. UNDP will be providing additional hard drives and modems. UNESCO and UNICEF are contributing a N\$15,000 router to allow for faster access through the UN Commission for Africa in Addis Ababa. Mrs. Hamutenya, Director, Data Systems and Services in the Office of the Prime Minister, is enthusiastic about his efforts.

Efforts to date largely have concentrated on the possibility of a dedicated line to South Africa because it is the cheapest option. Telecom has an X25 link, but the rates are too high. In order for Namibia to possess independent capabilities, it would be necessary to find out if Telecom has linked into an Intelsat. If it has, a lease line (transponder) could be bought on Telecom's dish, or Telecom might even be persuaded to donate it. Or, UNAM could be supplied with its own dish with a satellite link to the US or Europe, in essence building an independent station. The costs of this and the Telecom alternative would have to be determined. Dr. Lisse, however, feels that rather than invest in the latest technology, efforts should be directed to ensuring that as much of Namibia be linked into a system that has already proven to be viable.

Dr. Lisse is a computer expert who is conversant with the latest communications technology. Dr. Lisse has been invited to a number of conferences to share his expertise in setting up a system for a country with limited resources. The expertise thus exists locally to maintain the service, which might be known as "NAMNET," and to troubleshoot as the network expands. In his absence, there are a number of others in Namibia who could maintain the service, and, this pool will increase as more students are trained at UNAM. It therefore is unlikely that the services of outside contractors, such as Baobab Consultants, are necessary. Indeed, the UN brought in a computer consultant who apparently concluded that his services were not necessary in this area since the capability exists locally.

Dr. Lisse can be contacted for costing information, a list of current subscribers, and information about the status of the Internet Committee. Tel: 22 4014. He may also be reached via his E-Mail address, el@lisse.a, or his beeper, 203-2106.

ANNEX D: SUBMISSIONS FROM THE MINISTRY OF JUSTICE (Chief of Lower Courts) AND FROM THE LEGAL ASSISTANCE CENTRE

The submission from the Ministry of Justice is attached behind this cover page, and was prepared by F.H. Truter, the Chief of the Lower Courts.

A submission from the Legal Assistance Centre will be prepared by its director Andrew Corbett who is currently ill. He expects to submit a series of proposals which address several of the recommendations in this assessment sometime in August, 1994, at which point it should be inserted into this annex of the assessment.

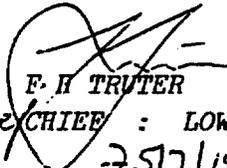
Needs for 1997

Training of Magistrates(JTC)

N\$300 000

A more detailed report and budget will be prepared by this Ministry and handed to Mr Ed Spriggs towards the end of this year.

Yours sincerely,


F. H. TRUTER
CHIEF : LOWER COURTS
25/7/1994

MEMORANDUM

TO : PROF. M. HINZ
DATE : 14 JUNE 1994
SUBJECT : 5 YEAR DEVELOPMENT PLAN

1. The Courts in Namibia play a vital role in the administration of Justice. These courts are the following:
 - (i) The Supreme Court,
 - (ii) The High Court;
 - (iii) The Labour Court;
 - (IV) The Magistrate's Court
 - (v) The District Labour Court.

2. It is also anticipated that Community Courts are to be established in the near future.

3. The Justice Training Centre has a role to play as far as these courts are concerned and that is to see that the personnel ie. the Magistrates, Prosecutors and Justices of the Community Courts have the necessary skills, training and expertise to perform their tasks satisfactory, efficiently and fairly.

4. The programmes of the Justice Training Centre consist of the following:
 - (i) Pre-service and in-service training for law administration personnel which would include the following: Magistrates, prosecutors, community court justices, court clerks and court interpreters. This would also include practical training for law degree holders before admission to practice and also refresher courses.

 - (ii) In-service training of law enforcement personnel under the administration of any Ministry which would not result in a law degree.

5. The current programme for 1994 is the following:

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- (a) In July 1994 there will be courses for Court Interpreters. These will last one week and will be spread over the whole month. The interpreters will be introduced to Court Procedure, elementary criminal law and law of evidence, interpretation, language skills and elocution.
- (b) During August 1994 there will be courses for magistrates. These will last one week but spread over the whole month. Practical problems will be identified before commencement of the course and these will then be addressed. In addition certain capita selectae on criminal law and Procedure will be dealt with.
- (c) During September 1994 courses for Prison officials will be held. The details are still to be worked out, but instruction will be given to officers who are involved in trials; they will be lectured on procedure.
- (d) In October it is anticipated that a workshop will be held on the application of Drug Laws and Police officials as well as experts in this field will participate.
- (e) In November 1994 a similar course as the one mentioned in (c) above for Police officials will be conducted.
6. The proposed working plan for the next few years will be as follows:

1995: February/March - Training of Prosecutors
 May/June - Training course for Magistrates
 August/September - Training course for Interpreters
 and Court Clerks
 October/November - Refresher course for Justices

It is envisaged that short legal seminars/workshops will also be conducted.

12. (a) The demand for trained legal staff whether in the Ministry of Justice or in the other Ministries is the order of the day.
- (b) For this reason it is anticipated that the J.T.C. will gradually gain momentum.
- (c) It is also anticipated that within 18 months or 2 years certain components of the Technikon will be absorbed by the Justice Training Centre. This should however, not place an immediate financial burden on J.T.C. because the present permanent staff of those sections would then in all probability be absorbed by J.T.C. If necessary there will be donor money to meet any urgent contingency.



J.F.F. VERWEY
DIRECTOR

The programme for 1996 and 1997 would be more or less the same as for 1995.

7. No additional staff should be required in the near future unless an additional burden is placed upon the J.T.C. of which nobody is aware at this stage.

8. Funding:

GTZ Grant - Period 9 September 1993 to 31 December 1994. (Application for extension to 31 December 1995 has been made). 300 000 DM has been made available. N\$ 100 000 have been released.

Ford Foundation Grant: This extends over a period of 3 years commencing on 1 September 1993 to 31 August 1996. The yearly grant is US\$ 100 000. — total \$300,000

Swedish Grant: N\$ 100 000: Full particulars of the allocations and release of funds are pending.

EEC Grant: N\$ 100 000: We are still waiting for the approval of our suggested allocations and the release of funds.

9. The only course which was conducted so far in 1994 was a Prosecutors' course during January/February 1994. Eight graduates attended: 3 males and 5 females.

The Director also conducted workshops on the Labour Act at Windhoek, Swakopmund, Keetmanshoop, Rundu, Oshakati and Otjiwarongo.

10. It is impossible to predict how many persons will attend any particular course or workshop.

- 11(a) The core staff for the Department for the next three years and their salary structures will be as follows:
- | | | |
|-------|---------------------------|---------------|
| 1995: | 1. Director | - N\$ 130 000 |
| | 2. Assistant Director | - N\$ 105 000 |
| | 3. Secretary | - N\$ 34 000 |
| 1996: | 1. Director | - N\$ 143 000 |
| | 2. Assistant Director | - N\$ 116 000 |
| | 3. Secretary | - N\$ 38 000 |
| | 4. Administrative officer | - N\$ 35 000 |
- 1997: Same as for 1996
- (b) After 1996 this burden will be the sole responsibility of UNAM unless further donors can be secured.
- (c) The Salary of the Director is presently being paid by the Republic of South Africa but as from 1 April 1995 this burden will have to be addressed either by donor-funds or UNAM. There is a possibility that Ford Foundation may be willing to assist in this regard.
- (d) The salary of the Assistant Director, who will be appointed in all probability as from 1 August 1994 will be funded by Ford Foundation. It would also seem as if Ford Foundation will be of assistance in this regard in 1995/6.
- (e) The salary of the secretary who commenced duty on 13 April 1994 has also been secured through Ford Foundation.
- (f) The donors mentioned in paragraph 8 are not funding staff salaries.

LAW FACULTY
JUSTICE TRAINING CENTRE

27 September 1993

The Permanent Secretary
Ministry of Justice
WINDHOEK

Dear Sir

NATIONAL DEVELOPMENT PLAN 1

1. Annexure A is a budget for the next 4 years. Having regard to the fact that the JTC has only been in operation for about one (1) month it is impossible to speculate beyond 1997 because we have absolutely no idea as to the trainees etc.. who will be attending courses during the next year.
2. I must also point out that it is impossible for me, man alone, to handle the day to day activities of the JTC.
3. I wish to point out that the Memorandum of Understanding between MOJ and UNAM provides for the following staff:
 - 1 x Director
 - 1 x Assistant Director (full-time lecturer)
Part-time lecturers to be identified by the Director in consultation with the Ministry
 - 1 x Assistant full-time Librarian
 - 1 x Administrative Officer
 - 2 x Secretaries.
4. It is imperative that the Assistant Director and at least 1 secretary (who, could also act as part-time admin officer) be appointed immediately.
5. I would suggest that instead of making an entirely new appointment to the post of Assistant Director, a staff member from MOJ who is suitably qualified, be seconded to the JTC. This person's vacancy could then be filled by a graduate who leaves a university at the end of the year.

ALL OFFICIAL CORRESPONDENCE SHOULD BE ADDRESSED TO THE VICE CHANCELLOR

13 STORCH STREET, PRIVATE BAG 13301, WINDHOEK, NAMIBIA. TEL: (061) 307-9111. FAX: (061) 307-2444

6. Naturally, if salaries for the Director and his assistant are to be paid by the State then the following additional amounts will be added to the budget:

| | | |
|------|---|-------------|
| 1994 | - | N\$ 200 000 |
| 1995 | - | N\$ 220 000 |

7. A secretary could be remunerated from donor money under the heading "Auxiliary Personnel".
8. It will be noticed that under the heading "Accommodation Trainees etc." for 1995 no amount has been allocated. The reason being that according to the GTZ grant no money will be distributed after 31 December 1994.
9. I have in mind however, to approach GTZ in order to distribute the amount over two (2) years and as follows:

| | | |
|------|---|-------------|
| 1994 | - | N\$ 300 000 |
| 1995 | - | N\$ 116 000 |

This could benefit us and only leave a shortage of N\$ 134 000 for 1995 which amount plus 10% would have to come from Government or other sources.

10. You will notice that the GTZ grant was initiated during September 1991 and January 1992. The intention then was that JTC would operate from early 1993 and the funds would then have been spread over the entire year of 1993 and 1995. However, due to the late start we have lost considerable ground, timewise. For this reason I am of the opinion that GTZ would probably agree to extending the final date to 31 December 1995.

11. The final budget as regards the involvement of the State funds will therefore look as follows:

| | | | |
|------|---|-------------|-------------|
| 1995 | - | N\$ 205 400 | see para 9. |
| 1996 | - | N\$ 656 000 | |
| 1997 | - | N\$ 824 000 | |

12. Your letter was only received by me on 24 September 1993.

Yours sincerely


J F F Verwey
DIRECTOR: JTC

SUMMARY OF DONATIONS

| YEAR 1 | F F | G T Z |
|--------|-----|-------|
| | N\$ | N\$ |

| | | |
|-----------------------------------|-------|--|
| Furniture lecture rooms | 19500 | |
| Office furniture | 45500 | |
| Computers, photocopiers | | |
| Fax machine etc. | 81200 | |
| Auxiliary personnel | 55200 | |
| Office equipment | 32500 | |
| Operating and admin costs | 26000 | |
| Individual textbooks for trainees | 64900 | |

| | | |
|-------------------------|--|--------|
| Acommodation & Grants | | 416000 |
| External teaching staff | | 78000 |
| Teaching materials | | 26000 |

-> F F -Ford Foundation 1st year grant covers period 1/9/1993 to 31/8/1994
 GTZ from 9/9/1993 to 31/12/1994 - Application has been made to have the period extended to 31/12/1995

| YEAR 2 | F F | |
|---|-------|--|
| | N\$ | |
| Salaries external teaching staff | 81500 | |
| Visitations to legal clinics & gathering teaching materials | 48700 | |
| Furniture lecture rooms | 19500 | |
| Computers etc | 35700 | |
| Auxiliary personnel | 58500 | |
| Office equipment | 16200 | |
| Operating admin costs | 29200 | |
| Individual textbooks | 29200 | |

| YEAR 3 | F F | |
|----------------------------------|--------|--|
| | N\$ | |
| Accommodation trainees | 107200 | |
| Salaries external teaching staff | 55200 | |
| SWEDISH GRANT | 100000 | |

| E E C GRANT | F F | |
|------------------------|-------|--|
| | N\$ | |
| Accommodation trainees | 70000 | |
| Salary secretary | 24000 | |
| Teaching literature | 6000 | |

| | NZ | NS | NS | NZ |
|---|-------------|------------|--------------------------|------------|
| Accommodation trainees and travelling expenses. | 416000-GTZ. | see para.9 | 107200 FF. 260000 SF. | 410000 SF. |
| Salaries external lecturing staff. | 78000 GTZ. | 81500 FF. | 55200 FF. | 60000 SF. |
| Visitations legal clinics gathering teaching material | 26000 GTZ | 48700 FF. | nil | nil. |
| Furniture; lecture rooms | 19500 FF. | 19500 FF. | 5000 SF. | 6000 SF. |
| Office furniture 5 offices. | 45500 FF. | 3000 SF. | 4000 SF. | 6000 SF. |
| Computers, Photocopiers, Fax machine etc. | 81200 FF. | 35700 FF. | 2000 SF. | 3000 SF. |
| Auxiliary staff | 55200 FF. | 58500 FF. | 260000 SF. | 300000 SF. |
| Office equipment. | 32500 FF. | 16200 FF. | 1000 SF. | 1500 SF |
| Operating and Admin. costs. | 26000 FF. | 29200 FF. | 30000 SF. | 35000 SF. |
| Individual textbooks for trainees. | 64900 FF. | 29200 FF. | 3000 SF. | 3500 SF |

GTZ.-----German Grant.

FF.-----Ford Foundation Grant.

FF SF-----State Funds.

ANNEXURE "A"

COSTS IN 00's US \$ * (IN '000 Rand)

| ITEM | YEAR 1 | YEAR 2 | YEAR 3 |
|--|----------------|----------------|--------------------|
| Accommodation of Trainees | * 1 | * 1 | 33 (107.2) |
| Salaries external Lecturing Staff | * 1 | 25 (81.5) | 17 {* 2} (55.2) |
| Visitations to Legal Clinics and gathering of teaching materials | * 1 | 15 (48.7) | |
| Furniture: Lecture rooms | 6 (19.5) | 6 (19.5) | |
| Office Furniture 5 Offices | 14 (45.5) | | |
| Computer, Photocopier, Fax machine. etc | 25 (81.2) | 11 (35.7) | |
| Auxiliary Personnel | 17 (55.2) | 18 (58.5) | * 3 |
| Office Equipment | 10 (32.5) | 5 (16.2) | * 3 |
| Operating and Administrative Costs | 8 (26) | 9 (29.2) | * 3 |
| Individual Textbooks for Trainees | 20 (64.9) | 9 (29.2) | * 3 |
| TOTAL | 100 (325.3) | 100 (325.3) | 50 (162.4) |

Based on rate of exchange of Rand 1 = US \$ 3,249 as per June 1993.

*1 Obtained from other financial resources.

*2 Balance to be financed by Recipient.

*3 To be financed by Recipient.

GTZ fund funds ↓ set JTC off gov
1-12

ANNEX E: DESCRIPTION OF DONOR DG PROGRAMS IN NAMIBIA

The principal donors in support of democracy and governance in Namibia apart from the United States are the Netherlands, Norway, SIDA, GTZ, the Ford Foundation, the Friedrich Ebert Stiftung, and the Konrad Adenauer Stiftung. All of these agencies has a part or full-time resident program officer assigned to manage their DG portfolios. Some have more. In addition, the United Kingdom, and the ILO provide periodic support in this area.

The assessment team was able to obtain detailed lists of the current portfolios of the United States, SIDA and the Ford Foundation which are attached as part of this annex. The program officers responsible for DG for the Netherlands and Norway were out of the country, and therefore unavailable for discussion. The main DG activity of the Konrad Adenauer Stiftung is the Namibian Institute of Democracy for which it provides roughly 90 percent of the funding. The Friedrich Ebert Stiftung has focused its support in five areas: (1) strengthening the local and regional councils via the holding of workshops and the production of resource materials; (2) voter education and civic education via the Directorate of Elections, (3) support for labor inspectors at the Ministry of Labour, (4) support for the rule of law via the Justice Training Centre and the Faculty of Law, and (5) support for NGOs, principally the NNCCI and the Centre for Applied Social Sciences.

The United Kingdom does not have a program officer designated specifically for DG support, and does not therefore mount a sustained program in this area. The UK, however, has provided technical assistance to the National Planning Commission, the Auditor General's Office, and recently funded a detailed study by Coopers and Lybrand of local and regional government for the Ministry of Local and Regional Government and Housing.

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- o Under the expanded IMET, 27 Namibian military and civilian officials were provided two weeks of training on the better utilization and stewardship of governmental resources by the Defense Resource Management Institute (DRMI) (FY-94 IMET)
- o Two week-long seminars on "The Role of the Military in a Democracy" conducted in April 1994 by the U.S. Army Reserve's 353rd Civic Affairs Command (FY-94 DOD funding)
- o 116(e) grant (FY-93) to NDI for workshops and seminars on "Regional Governance" (emphasis on constituent services and national-regional-local interfaces) for members of the National Council - (\$100,000)
- o Workshops/seminars to help Namibia's political parties achieve their goals of informed debate and effective outreach in the lead-up to the early 1995 general elections, conducted by NDI in May 1994 (FY-94 NED funding)
- o Three week U.S. visit by ten members of the National Council to observe U.S. legislative practices at the State and Federal levels, conducted by the Institute for Representative Government (IRG) in June/July 1994 (FY-94 USIA funding)

Ongoing Activities

- o 116(e) grant (FY-93) to help the Ministry of Justice conduct training programs for community court officials in the new Justice Training Centre - (\$80,000)
- o 116(e) grant (FY-93) for legal reference materials for the Ministry of Justice Library - (\$8,000)
- o 116(e) grant (FY-93) for legal reference materials and shipping charges for Attorney General's library - (\$23,000)
- o Two-part training program for Namibian legislative staffers on: "The Role of the Legislative Staff and Information Resources in the Legislative Process" conducted by the National Conference of State Legislatures (NCSL) (FY-94 USIA funding)
- o "Celebration of Democracy in Namibia", second phase of a nationwide school competition on knowledge of Namibia's Constitution. Conducted by FEDU in mid-1994. (FY-94 NED funding - \$35,000)
- o Fulbright Scholarship for a Namibian to study law at the Graduate level and a U.S. Fulbright professor to work with the University of Namibia's new Law Faculty to develop its training and research capabilities (USIA central funding)

Completed Activities

- o 116(e) grants (5 during FY-91/92) to provide U.S. legal reference materials for the offices of the Attorney General, Chief Justice of the Supreme Court, and Legal Assistance Centre (LAC) - (1991-1992) - (\$16,000)
- o Three week U.S. visit by nine members of the National Assembly to observe U.S. legislative practices at the State and Federal levels, coordinated by the State University of New York (SUNY) (FY-91 USIA central funding)
- o NDI-sponsored regional conference on "Advancing and Strengthening Democratic Elections in Southern Africa" at Mt. Etjo Lodge - January 1992 - (NED funding)
- o National Academy of Sciences regional conference on "Democracy in Africa" - April 1992 - (USAID central funding)
- o USIS regional media workshop on "Democracy in Africa: Covering the Political Process" - May 1992 - (USIA central funding)
- o AREAF "Media Voter Education Project for Local/Regional Elections" conducted by NDI - November 1992 - (\$145,000)
- o AAI Regional Conference in Bujumbura on "The Role of the Military in a Democracy" (5 Namibian military and civilian participants) - February 1993 - (AID/USIS/DOD funded)
- o "Celebration of Democracy in Namibia", a nationwide secondary school competition on knowledge of Namibia's Constitution, conducted by FASE. Initially proposed as a 116(e) project, but funded by NED (February to June 1993) - (\$24,000)
- o Civics education seminar for some 40 Namibian educators and local NGO representatives conducted by "Heartland International" - (FY-93 USIA central funding)
- o 116(e) grant (FY-92) to NDI for "Parliamentary Organization and Systems" to provide legislative and constituency insights to Members of National Assembly and National Council - (September 1992 to December 1993 - (\$100,000)
- o 116(e) grant (FY-92) to NDI for "Parliamentary Staff Training" to provide administrative and managerial insights to support Parliamentary support staff and Whips (September 1992 to December 1993 - (\$100,000)
- o 116(e) grant (FY-93) to the Legal Assistance Centre (LAC) for production of a film on "Human Rights and the LAC in Namibia" for human rights/civic education - (\$22,000)

-- USIA VOLUNTARY AND INTERNATIONAL VISITORS' PROGRAMS TO SEND SENIOR NAMIBIAN OFFICIALS, INCLUDING THE SPEAKER OF THE NATIONAL ASSEMBLY, THE JUSTICE MINISTER AND MEMBERS OF HIS STAFF, THE ATTORNEY GENERAL, THE MINISTER OF LOCAL GOVERNMENT, THE MINISTER AND DEPUTY MINISTER OF DEFENSE, AND OVER A DOZEN PARLIAMENTARIANS TO THE U.S. FOR PROGRAMS FOCUSING ON THE U.S. POLITICAL PROCESS, THE ADMINISTRATION OF JUSTICE, AND THE ROLE OF THE PRESS IN A FREE SOCIETY

ELECTORAL EDUCATION

-- A MEDIA VOTER EDUCATION PROJECT FOR LOCAL AND REGIONAL ELECTIONS, WHICH PROVIDED VOTER EDUCATION AND INFORMATION FOR THE LATE 1992 LOCAL AND REGIONAL ELECTIONS THROUGH THE NAMIBIAN BROADCASTING CORPORATION (NBC) RADIO SERVICE IN SEVERAL LOCAL LANGUAGES, BY NDI

ASSISTANCE TO NAMIBIA'S POLITICAL PARTIES

-- WORKSHOPS/SEMINARS TO HELP NAMIBIA'S POLITICAL PARTIES ACHIEVE THEIR GOALS OF INFORMED DEBATE AND EFFECTIVE OUTREACH IN THE LEAD-UP TO THE LATE 1994/EARLY 1995 GENERAL ELECTIONS

PROMOTING HUMAN RIGHTS AND CIVIC EDUCATION

-- A CIVICS EDUCATION SEMINAR IN WINDHOEK FOR NAMIBIAN EDUCATORS AND LOCAL NGO'S, BY "HEARTLAND INTERNATIONAL"

-- A NATIONWIDE SECONDARY SCHOOL COMPETITION ON KNOWLEDGE OF NAMIBIA'S CONSTITUTION, BY THE NAMIBIA INSTITUTE FOR DEMOCRACY (NID) AND THE NATIONAL ENDOWMENT FOR DEMOCRACY (NED)

-- FINANCIAL ASSISTANCE FOR A FILM TITLED "HUMAN RIGHTS AND THE LEGAL ASSISTANCE CENTRE IN NAMIBIA" FOR HUMAN RIGHTS/CIVIC EDUCATION, BY THE LEGAL ASSISTANCE CENTRE (LAC) -- A LOCAL NGO, HIGHLY REGARDED FOR ITS ADVOCACY OF HUMAN RIGHTS ISSUES

-- A PROJECT TO ASSIST IN REWRITING THE NAMIBIAN POLICE ACT AND SUPPLEMENTAL LEGISLATION TO STRENGTHEN THE OBSERVANCE OF HUMAN RIGHTS BY POLICE AUTHORITIES, BY THE LAC

-- A CIVIC EDUCATION PROJECT TO INSTRUCT LOCAL PRIMARY AND SECONDARY SCHOOL TEACHERS ON THE NAMIBIAN CONSTITUTION AND CIVIC PRIVILEGES AND DUTIES, BY NID

-- USIS IS ACTIVELY PROMOTING THE ABOVE-LISTED THEMES AS WELL AS AMERICAN DEMOCRACY AND HUMAN RIGHTS ISSUES RELEVANT TO NAMIBIANS, INCLUDING THE CIVIL RIGHTS STRUGGLE AND THE U.S. PRIMARIES AND GENERAL ELECTIONS.

-- THE ONGOING PEACE CORPS PROGRAM IN NAMIBIA (ENGLISH, MATH, AND SCIENCE TEACHERS, PLUS TEACHER TRAINERS AND YOUTH DEVELOPMENT OFFICERS) AND USAID'S MAJOR PROGRAMS ("BASIC EDUCATION SUPPORT" AND "REACHING OUT WITH EDUCATION TO ADULTS FOR DEVELOPMENT") SEEK TO EMPOWER PEOPLE AND CREATE AN EDUCATED, INFORMED ELECTORATE, NECESSARY PRECONDITIONS FOR MAINTAINING AND PRACTICING DEMOCRACY AT THE GRASSROOTS LEVEL.

TRAINING JUDICIAL AND COURT OFFICIALS

-- FINANCIAL ASSISTANCE FOR TRAINING PROGRAMS TO BE CONDUCTED FOR COMMUNITY COURT OFFICIALS BY THE MINISTRY OF JUSTICE

-- A FULBRIGHT SCHOLARSHIP FOR GRADUATE LAW STUDY, AND A U.S. FULBRIGHT PROFESSOR TO WORK WITH THE UNIVERSITY OF NAMIBIA'S LAW FACULTY TO ENHANCE ITS TRAINING AND RESEARCH CAPABILITIES

PROVIDING LEGAL REFERENCE MATERIALS

-- U.S. LEGAL REFERENCES FOR NAMIBIA'S ATTORNEY GENERAL, SUPREME COURT CHIEF JUSTICE, MINISTER OF JUSTICE, AND THE LAC

DEVELOPING PROFESSIONAL MILITARY AND POLICE

-- THE U.S. DEPARTMENT OF DEFENSE'S INTERNATIONAL MILITARY EDUCATION AND TRAINING (IMET) PROGRAM HAS GIVEN U.S. TRAINING TO NAMIBIAN MILITARY STUDENTS IN SUBJECTS THAT WILL BETTER PREPARE THEM FOR ROLES AS PROFESSIONAL MILITARY OFFICERS. AS A RESULT OF THEIR EXPERIENCE, NAMIBIAN OFFICERS HAVE DEVELOPED A CLEAR VIEW OF HOW AMERICAN MILITARY AND CIVILIAN PERSONNEL INTERACT IN OUR CIVIL SOCIETY.

-- UNDER AN EXPANDED IMET INITIATIVE, MILITARY AND CIVILIAN EMPLOYEES OF THE NAMIBIAN GOVERNMENT ARE SELECTED FOR TRAINING IN SUBJECTS DEALING WITH RESPECT FOR HUMAN RIGHTS, BETTER RESOURCE MANAGEMENT, AND THE ROLE OF THE MILITARY IN A DEMOCRATIC SOCIETY, INCLUDING CIVILIAN CONTROL OF THE MILITARY.

-- NAMIBIAN MILITARY AND CIVILIAN OFFICIALS ALSO PARTICIPATED IN A TWO WEEK SEMINAR IN EARLY 1994 WITH THE DEFENSE RESOURCE MANAGEMENT INSTITUTE (DRMI) ON THE BETTER UTILIZATION AND STEWARDSHIP OF GOVERNMENT RESOURCES.

-- THE AFRICAN AMERICAN INSTITUTE (AAI) CONDUCTED A REGIONAL CONFERENCE IN BURUNDI ON THE ROLE OF THE MILITARY IN A DEMOCRACY WITH FIVE NAMIBIAN MILITARY AND CIVILIAN PARTICIPANTS

-- TWO WEEK-LONG SEMINARS ON THE ROLE OF THE MILITARY IN A DEMOCRACY WERE CONDUCTED IN APRIL 1994 BY THE U.S. ARMY RESERVE'S 353RD CIVIC AFFAIRS COMMAND.

NAMIBIA AS AN EXAMPLE AND VENUE

-- A 1992 REGIONAL CONFERENCE IN NAMIBIA ON ADVANCING AND STRENGTHENING DEMOCRATIC ELECTIONS IN SOUTHERN AFRICA, BY NDI

-- THE NATIONAL ACADEMY OF SCIENCES CONDUCTED A 1992 REGIONAL CONFERENCE IN NAMIBIA ON DEMOCRACY IN AFRICA

-- USIS CONDUCTED A REGIONAL MEDIA WORKSHOP IN NAMIBIA TITLED "DEMOCRACY IN AFRICA: COVERING THE POLITICAL PROCESS"

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#kdemgore

05-07-94

THE FORD FOUNDATION
OFFICE FOR NAMIBIA

GRANTEE LIST - JULY 1994

LEGAL ASSISTANCE TRUST

SUPPORT FOR A PUBLIC INTEREST LAW CENTER.

NAMIBIAN ECONOMIC POLICY RESEARCH UNIT

SUPPORT FOR RESEARCH ON POVERTY IN NAMIBIA.

LEGAL ASSISTANCE TRUST

SUPPORT FOR A COMPETITIVE LAW SCHOOL SCHOLARSHIP PROGRAM.

UNIVERSITY OF NAMIBIA - SOCIAL SCIENCES DIVISION

SUPPORT FOR RESEARCH AND TRAINING ON RURAL DEVELOPMENT.

NATIONAL PLANNING COMMISSION

SUPPORT FOR TRAINING OF ECONOMISTS AND STRENGTHENING ECONOMIC PLANNING AND RESEARCH CAPACITY IN THE PUBLIC SECTOR.

UNIVERSITY OF NAMIBIA - JUSTICE TRAINING CENTER

SUPPORT FOR A TRAINING PROGRAM FOR PUBLIC SERVANTS IN JUDICIAL ADMINISTRATION.

RURAL PEOPLES' INSTITUTE FOR SOCIAL EMPOWERMENT IN NAMIBIA

SUPPORT FOR RURAL COMMUNITY ECONOMIC DEVELOPMENT PROGRAMS IN EASTERN NAMIBIA.

THE URBAN TRUST

SUPPORT FOR A NEW URBAN POVERTY RESEARCH AND ADVOCACY ORGANIZATION.

NAMIBIA MEDIA TRUST

SUPPORT FOR A TRAINING PROGRAM FOR BLACK NAMIBIAN JOURNALISTS AND NEWSPAPER PROFESSIONALS.

AGENCY FOR COOPERATION IN RESEARCH AND DEVELOPMENT (ACCORD)

SUPPORT FOR TRAINING OF STAFF OF RURAL NAMIBIAN NGOS IN PLANNING, PARTICIPATORY RURAL APPRAISAL TECHNIQUES AND GENDER ANALYSIS.

NAMIBIA NATIONAL CHAMBER OF COMMERCE AND INDUSTRY

SUPPORT FOR A PROGRAM ON RACE AND GENDER RELATIONS AND AFFIRMATIVE ACTION IN THE PRIVATE SECTOR.

NYAE NYAE FARMERS' COOPERATIVE

SUPPORT FOR ORGANIZATIONAL AND STAFF DEVELOPMENT ACTIVITIES IN A COOPERATIVE REPRESENTING INDIGENOUS COMMUNITIES IN N. E. NAMIBIA.

UNIVERSITY OF NAMIBIA

SUPPORT FOR A STRATEGIC AND FINANCIAL PLANNING STUDY AT THE UNIVERSITY OF NAMIBIA.

Swedish Support to Democracy and Human Rights in
Namibia 1991-93

The following indicative list is not exclusive but contains most SIDA decisions specifically taken to promote democracy and human rights in Namibia:

- Human rights workshop in Windhoek and Swakopmund organised by the Raoul Wallenberg Institute of Human Rights and Humanitarian Law; February 1991
- Seminar on the establishment of a code of conduct and ethical standards in journalism; March 1991
- Video documentation for the first national Land Reform Conference; June 1991
- Support to Legal Assistance Centre for training of para-legals; March 1991
- Support to the Nyae Nyae Development Foundation and for arranging the first Regional Conference on Development Programmes for Africa's San Populations; November 1991 and June 1992
- Support to the Faculty of Economics and Management Science (Prof Töttemeyer) to develop an African textbook on democracy and public administration; March 1992
- Seminar for judicial law enforcement officers, arranged in Windhoek by the Ministry of Justice; April 1992

- Strengthening of the Attorney-General's Office; May 1992
- Support to Namibia Peace Plan for seminar on violence against women; May 1992
- Support to the All-Herero & Mbanderu Traditional Leadership Conference; June 1992
- Legal education project carried out by Legal Assistance Centre to involve women in legal education; September 1992
- Support to Evangelical Lutheran Church for program on women against violence against women; November 1992
- Video documentation re !Au/Geikas Land Dispute; December 1992
- Namibian participation in Conference on Development Cooperation for Human Rights and Democracy in Stockholm; February 1993
- Study by Nyae Nyae Development Foundation on bushman participation in the first regional and local elections; February 1993
- Support for the establishment of the Media Institute for Southern Africa (MISA); March 1993
- Research on gender-related law reforms conducted by Legal Assistance Centre in cooperation with the Women and Law Committee; March 1993
- Support to Namibian Foundation for publication of special issue of Namibia Brief on democracy and human rights in Namibia since independence; April 1993
- Support to the Office of the Ombudsman and Centre for Applied Social Sciences (CASS) to organise a meeting with traditional leaders in Owambo on the role of traditional law; May 1993
- National reconciliation conference in Caprivi through the Ministry of Regional, Local Government and Housing; May 1993
- Support to The University of Namibia and CASS for organising the first Children's Rights Workshop; May 1993

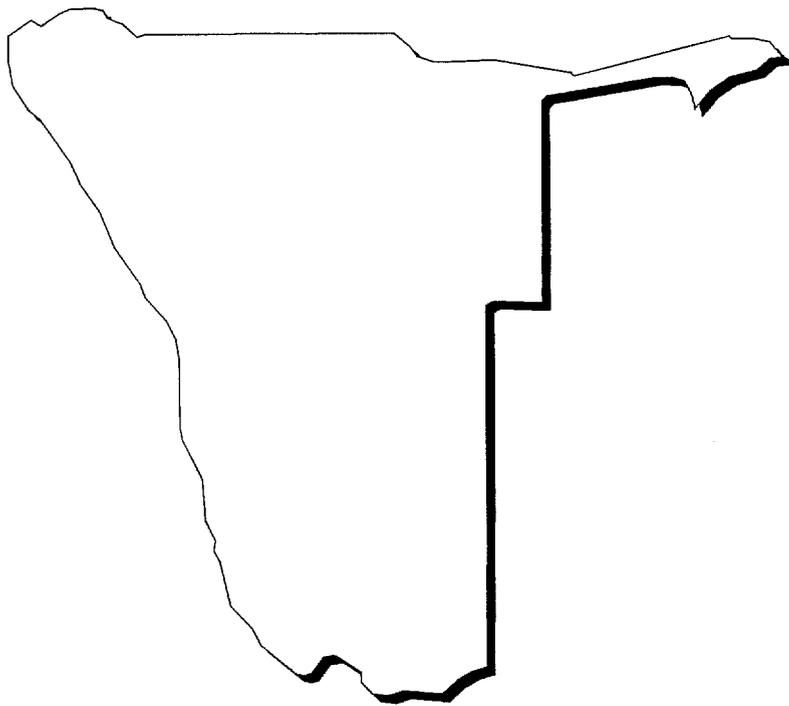
-- Seminar on refugee law and refugee policies organised in Gross Barmen by the Raoul Wallenberg Institute of Human Rights and Humanitarian Law; June 1993

At the present time preparatory work is going on to define the scope for Swedish support for (i) training and material needs regarding the judiciary, particularly Magistrate Courts, in cooperation with the Ministry of Justice and (ii) the establishment of the Human Rights and Documentation Centre within the framework of the new Law Faculty of the University of Namibia.



USAID MISSION TO NAMIBIA

TECHNICAL ANALYSES



December 15, 1995

USAID MISSION TO NAMIBIA STRATEGIC PLAN (FY 1996 - 2000)

Attached are Analyses which support the USAID rationale and approach contained in the USAID Namibia Country Strategic Plan (1996 - 2000).

Part I assistance environment reflects key economic events of the past nine months including GRN development of its first National Development Plan, documentation for the Round Table, negotiations on the Southern African Customs Union, and the recent November Round Table Meeting in Geneva. This supporting analysis consisted of an updated macro-economic study prepared by the REDSO/ESA Economist, Larry Forgy.

Part II of the CSP Goal and Strategic Objectives are supported in the analyses separated by each of the three S.O.s as follows:

S.O. #1 - Human Resources Development: consists of nine different analyses and studies in support of elements contained within the multi-faceted human resources development sector. These studies include an overview of HRD as well as justification for USAID's intervention into the identified areas: basic education (primary level), non-formal adult education, scholarship training and short-term managerial training.

S.O. #2 - consists of a two-part study in support of our intervention into environmental and natural resources management sector. This two-part study was prepared by an outside consultant, knowledgeable of the southern African setting and its problems, over a four-month time span.

S.O. #3 - consists of one study, an assessment prepared as a basis for determining the types of interventions that USAID could consider in democracy and governance. This assessment identified five possible areas of D/G intervention based on availability of funding and staff. Other data in support for the selection of "Parliament" can be found in the main text.

PART I

"THE ASSISTANCE ENVIRONMENT FOR NAMIBIA"

Input Document for the Country Strategy Plan

By Larry Forgy
Economist from REDSO/ESA

Developed during TDY to Namibia
May 1 - May 11, 1995
October 3 - 12, 1995

USAID/NAMIBIA STRATEGIC PLAN

I. THE ASSISTANCE ENVIRONMENT FOR NAMIBIA

Five years is a very young age for a nation, and Namibia is still laboring to find its future and to deal with its past. This new country's inheritance includes a beautiful, harsh, and mineral rich land, and a history of social conflict on a scale more severe than even that in South Africa. The legacy today is a nation of extreme wealth and dire poverty, vast land holdings and crowded communal lands, of a desperate need for education and a suspicion of the old colonial school system, and of uncertainty in participation in this new democracy.

USAID has stepped into this environment to help set the stage for a strong, healthy and growing Namibia. But to do this, Namibians and foreigners alike agree that the nation must deal with the problems of its birth. For this nation, and for this moment, therefore, USAID has adopted a goal of "the economic, social and political empowerment of Namibians historically disadvantaged by Apartheid."

The turbulent history of Namibia was prologue to the problems the nation faces today. Indigenous society was decimated when Germany proclaimed South West Africa a protectorate in 1884. Fighting over the expropriation of land resulted in near elimination of the Hereros and Namas in the early 1900s. Germany was replaced by South Africa in World War I. The South Africans combined further expropriation of land with formal adoption of apartheid, and continued to rule the country even after its UN mandate was revoked in 1966. That same year, armed resistance to the occupation began. Finally, in 1990, Namibia became an independent nation after more than 100 years of occupation.

Although rooted in Namibia's past, the goal of USAID/Namibia looks forward to a more equitable society. Namibia will grow only when all its citizens can contribute to that growth and enjoy its benefits. Equity in the wealth of Namibia is the sine qua non of Namibia's future. This strategy takes the scarce resources of USAID/Namibia and applies them to the most crucial constraint to Namibia's growth.

A. Economic, Social and Political Trends

Namibia has significant resources that can provide solid economic growth. The country has adopted prudent macroeconomic policies, including a relatively tight fiscal policy, and enjoys a good international credit rating. The current account on balance of payments has consistently maintained a surplus from the healthy demand for Namibian exports, chief among them being diamonds. Major economic trends since independence are shown in Table 1.

Table 1. Major Economic Trends Since Independence

| | 1989 | 1990 | 1991 | 1992 | 1993 | est. 1994 |
|-----------------------------------|------|------|------|------|------|--------------|
| GDP growth rate | -0.6 | 0.8 | 5.6 | 5.6 | -3.3 | 5.3 |
| Inflation | 15.1 | 12.0 | 11.9 | 17.7 | 8.5 | N.A. |
| Gov. Spending as % of GDP | 37.4 | 36.5 | 42.9 | 44.6 | 40.8 | 39.3 |
| Gov. Deficit as % of GDP | 6.2 | -1.3 | -2.9 | -5.8 | -4.9 | -4.4 |
| Current Account Bal., % of GDP | 1.3 | 0.5 | 7.7 | 4.6 | 6.4 | N.A. |

The GDP growth rate has been strong, although a 1993 downturn revealed the country's sensitivity to problems in international minerals markets. Inflation is high but not unmanageable. The most prominent trend following independence is the government response to pressures provide services for historically disadvantaged Namibians. Government spending as a percentage of GDP rose significantly, and the government began running a growing deficit. During this period public spending on community services (primarily education, health, and social welfare) rose from 12.5% of the GDP to 20%.

Internationally, the country has developed a good reputation for open, free market activities. The Foreign Investment Act of 1990 provided freedom from nationalization, international remittances of capital and profits, currency convertability, and fair arbitration of disputes. The government has actively promoted private sector solutions (rather than parastatals) for job creation. The government is supporting a diversification of the economic base, including significant tourism promotion.

There are economic problems the country must address. The export surplus has allowed significant capital flight, mostly to South Africa. Moreover, the economy remains highly dependent on primary commodity exports of minerals, livestock, and fish, creating vulnerability to international markets, such as the recent fall in the price of diamonds. The government budget deficit has prompted the World Bank and the IMF to suggest measures that can bring it back into balance through tax reform and possible expenditure cuts.

Despite its strong economy, the country remains very sensitive to the economic situation in South Africa. Namibia is part of the South African Customs Union (SACU) and the Common Monetary Area (CMA). Although it has adopted its own currency, it maintains par with the Rand, which is still legal tender in Namibia. As a

result, Namibia has effectively turned over monetary, exchange rate and trade policy issues to South Africa. This extremely close tie to South Africa means that the poor economic performance recently in that country has a significant effect on the Namibian economy.

Perhaps the most pressing social issue in Namibia is the wide disparities in income. One widely quoted UNDP study found the following distribution:

| | % of Population | % of GDP | Per Capita GDP (US\$) |
|--------------------------|-----------------|----------|-----------------------|
| Black Subsistence Sector | 54.8 | 3.4 | 85 |
| Black Modern Sector | 40.0 | 25.4 | 750 |
| Whites | 5.1 | 72.2 | 16,504 |

This massively skewed distribution, where the average white receives almost 200 times more income than a black subsistence farmer, creates enormous social and economic tensions in the country. This variation is geographic as well. The center and south of the country is characterized by sparsely populated, white owned farms and mining operations. The large majority of the population live in the north, often crowded onto communal lands. In the past, social services were badly skewed as well. Most of the spending on schools and health facilities was concentrated in the white areas. The northern districts received services in substandard facilities from poorly trained staff.

A related social problem is control of the land of Namibia, probably the most volatile issue facing the government. While the communal areas are approaching their carrying capacity, the white farms of central and south Namibia average about 7,000 hectares. At independence, the government pledged not to expropriate land by force, and in 1994 passed a commercial land reform bill. Because the law relies on the voluntary selling of large white interests, reform is likely to proceed very slowly. The issue of communal land reform is even more difficult, and the government has not yet passed an act to deal with it. Because of the legal status of communal lands, inhabitants do not have the same ability to manage natural resources in the way private owners do.

Despite the serious social problems inherited at independence, the state has been remarkably open, stable, and democratic. The party that lead the nation to independence enjoys enormous support from the population, which has allowed it considerable latitude in governing.

[add more on political trends]

Like many African nations, Namibia is also experiencing rapid population growth. Some estimates are of growth as high as 3.3%, which would result in a doubling of the population in less than 25 years. To some extent, many observers relate this to the low level of schooling, high dropout rates, and lack of economic opportunities for Namibian youth. A related trend has been the appearance of AIDS in Namibia. With the separated families that were a characteristic feature of apartheid, an AIDS problem probably was inevitable. The size of this problem is not completely known.

B. Development Prospects and Constraints

By most accounts, Namibia has great potential for growth and development. It has a well developed transportation and communication infrastructure, a favorable location for international trade, and an extensive natural resource base. The government has been enthusiastic in embarking on sound, long term development.

With the recent drafting of the First National Development Plan, the nation has committed itself to an explicit strategy for growth. The plan reiterates the goals set at independence five years ago:

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

The plan lists concrete strategies to achieve these goals:

- Providing an enabling environment for economic development.
- Investing in people.
- Ensuring development is sustainable.
- Defining Namibia's international role.
- Making government efficient and responsive.

Each strategy is composed of explicit steps to achieve the development goals. As a whole, the plan is exceptional in its ability to be both comprehensive and focused, and is based on sound development principles.

Most remarkable is the ability of such a young state to take such a long term outlook on development. The plan calls for getting economic and social policies right, maintaining a minimal, open, and efficient government, and working hard to develop a skilled, healthy and stable population working in an environmentally sound manner with Namibia's resources.

There are many constraints, however. The sweeping nature of the NDP is ambitious, though fundamentally sound. The problem is the magnitude of the tasks and the paucity of resources.

The heart of this plan is improvement in the education and skills of Namibia's historically disadvantaged population so that they can take their rightful place in modern society. Probably no greater challenge faces the country. Just prior to independence, educational spending was N\$ 5,163 per white student, but in Owambo 52% of all Namibian students received only N\$ 534 per student. Southern regions had a higher percentage of certified teachers, lower pupil/teacher ratios, more permanent, modern structures, and higher pass rates on exams. To redress this imbalance will be the major development challenge of Namibia for the rest of this century.

Reforming the education system is not just a very expensive undertaking. A concession to gain independence was that all government workers would be protected. One implication of this is that it is impossible to involuntarily move teachers from one region to another. Since more than 75% of the education budget is for salaries, the government has very little room for managing change. A push to upgrade the skills of teachers in place has been an alternative strategy.

The lack of education among the general adult population is also a major constraint on development. An entire generation of citizens have missed most of the formal education system. Nonformal education, including vocational training, is also a high priority for Namibia.

To accomplish such sweeping changes, even if done as efficiently as possible, will require large expenditures. Social sector spending already has driven the government into deficit, and it is unlikely to be able to sustain this drive without serious harm to the economy. Finding the right balance for allocation of very scarce resources for development will be the most difficult development challenge the country faces.

In addition to maintaining restraint on potential government growth, the state will work to ensure environmentally sustainable economic activities, especially in the historically disadvantaged areas.

[add something on constraints to NRM]

Participation by all Namibians is a goal of the nation not only in economic, but also in political areas. To accomplish this, however, will require active promotion of democratic processes. Until five years ago, political oppression prevented even the most minimal participation. With no history of democracy, the traditions of a free society must be learned quickly.

[add language on political constraints]

C. Usaid/Namibia Opportunities and Initiatives

USAID in Namibia has the far too rare opportunity of following the lead of a government dedicated to development, rather than pushing against an intransigent and ill informed state. Indeed, the USAID portfolio in Namibia is designed to fit within and take advantage of the priorities of the state. The National Development Plan gives USAID/Namibia the opportunity to be highly effective, since our goals and those of the government are so similar.

The highest priority for the government is to raise the level of education of Namibians as quickly as possible, and it dedicates about 30% of the budget to do so. It would be virtually impossible for USAID to operate in Namibia without being involved in education. Not only does the government expect and welcome this participation, but it would be impossible to improve the equity of this society without improved education and training.

For the present, historically disadvantaged Namibians have very little to work with outside of the land they occupy. To complement the longer term education strategy, both the government and USAID are involved in improving natural resource management and conservation. USAID has the opportunity for significant and rapid improvement in the lives of the majority of Namibians. Because much of the land occupied by this group, including virtually all the subsistence farmers is communal lands, it has been subject to inefficient patterns of use. Community based natural resource management, anti desertification programs, and biodiversity programs hold the promise of improved land use and higher incomes for most Namibians.

The ability to maintain appropriate educational and natural resource policies will depend crucially on strong democratic institutions, public participation and governmental accountability. These policies require sacrifice now for gains in the long term, and only strong public support will guarantee that it will happen. In many ways, this government is still in the formative stages, and USAID intends to help in building appropriate capacity in the government and other institutions to improve the performance and maintain the focus of the government.

D. Accomplishment and Lessons Learned

The USAID program in Namibia is as new as the country itself. Nevertheless, the mission is proud of what has been accomplished thus far. USAID/Namibia has been instrumental in policy reforms that improve community control of educational and environmental resources. Significant shifts in educational investments toward the communal and other rural and peri-urban areas have occurred

with the assistance of USAID.

Among the most important accomplishments has been the ability of the mission and the government to work together to shift the focus of the education system significantly toward primary education. This has not been easy, and there were strong proponents for the secondary and tertiary education system. The shift was multifaceted, with a move away from an exam driven system designed to weed out as much as 40% of the black population to a learner-centered, continuous assessment system.

In the natural resource area, USAID efforts have been key to adoption of a community based natural resources management program. This new policy framework will allow communities to form "conservancies" to better manage their resources for the good of the entire community.

Despite the good progress that has been made, difficult lessons had to be learned in striking out on this new program. Early in the USAID program, the mission opted to develop nonproject assistance of the Namibia education system. Although there was little difference of opinion about the goals of the education system, inexperience with NPA and inadequate communication brought the program to a halt. In 1993, the program was redesigned into project assistance and has worked well ever since. Although a difficult lesson to learn, the experience has resulted in a closer working relationship between USAID and the government.

E. Coordination with Other Donors

Donors have shown great interest in Namibia. Along with USAID, the country receives aid from Germany, France, Britain, Sweden, and a number of other donors. Not surprisingly, most donors have identified major needs in education, health care, and natural resource management. Because there is such overlap in the perceptions of needs, donors work to develop coordinated programs. In some cases, donor activities work together on common problems, and in other circumstances, large tasks are broken into more manageable pieces.

Germany is Namibia's largest donor, with assistance of about \$23-29 million per year. Current priorities are in water supply, livestock husbandry, geological surveys, AIDS control, and promotion of public legal institutions and renewable energy sources.

Other European donors are involved in Namibia as well. France provides about \$4.3 million per year, along with 12 to 15 French technical assistants. The French work in health, water supply, rural development, fisheries, and low income urban areas. British assistance of about four million pounds per year is

primarily for education, public service reform, police training, primary health care, agriculture and rural development. Swedish aid of about \$12 million is used primarily for education, transport and communication sectors. Other assistance comes from the UNDP, ILO, Australia, and Norway.

PART II

THE STRATEGIC PLAN

**ANALYSES IN SUPPORT OF THE
THREE STRATEGIC OBJECTIVES**

Strategic Objective 1 Technical Analysis Summary

In support of SO1, Human Resources Development, the following analyses are attached:

1. Human Resources Development Strategy by Dr. Wes Snyder; 8/95
2. Technical Analysis F for Basic Education Support Project: Institutional and Administrative Analysis by Dr. Joy Wolf; 4/94
Education in Namibia-1993 by Ministry of Education and Culture
3. Summary of Technical Analyses from the 1994 BES PPA 2; 6/94
4. Re-Cast READ Amendment by Dr. Curt Grimm; 2/95
5. Summary of Analysis from the 1992 READ Project Design; 9/92
6. Non-formal Education and Training Results Package - HIV/AIDS Activity by Ruth Peters, 12/95
7. A Training Needs Assessment and Country Training Strategy for Affirmative Action under the HRDA Regional Project by AMEX, Int.; 6/94
8. Memorandum of Understanding for USAID Sponsored Training Activities; 3/95

During the development phase of the Mission's Program over the past three years, these analyses were conducted in order to direct the priorities of the Mission. Some of the analyses were conducted early-on in support of human resources development related initiatives. Subsequent analyses were undertaken in order to refine or re-cast various Mission projects based on Namibia's rapidly evolving climate which promoted additional demand for human resource development for HDNs. These documents and technical analyses for SO1 reflect Namibia's changing conditions and priorities for human resource development.

The Mission's human resource development strategy encompasses the areas of formal education, adult non-formal education and training opportunities for professionals. The *Human Resources Development Strategy* by Wes Snyder (Report 1) was written specifically for the Mission's SO1 and highly supports the continuation of the multi-faceted activities in HRD.

The two documents, the *Technical Analysis F for Basic Education Support Project: Institutional and Administrative Analysis, Education in Namibia-1993* (Report 2) and the *Summary of Technical Analyses from the 1994 BES PPA 2* (Report 3) provide a summary of the analyses which supports the Ministry of Basic Education and Culture's priorities to provide initial support to Grades 1 through 4. These reports and analyses conclude that the Mission's priorities in formal education is aimed at the most urgent basic education needs.

In the adult non-formal education sector, Curt Grim assessed the Mission's initiatives with NGO training in the *Re-Cast Reaching Out with Ed for Adults in Development Amendment* (Report 4). The report was prepared for the purpose of addressing issues and concerns regarding the sustainability of Namibia's NGOs and other assumptions from the initial analyses conducted in the *Summary of Analysis from the 1992 READ Project Design READ Project* (Report 5). Grimm's recommendations that the Mission continue in the adult non-formal education sector through the strengthening of NGOs, lead to the "re-casting" of the READ Project to more adequately reflect the realities of NGOs involvement in non-formal education. In April, 1995 a health sector assessment *Non-formal Education and Training Results Package - HIV/AIDS Activity* (Report 6) was conducted when the Mission was considering an HIV/AIDS activity under READ. This study, which recommended an intervention to train NGOs working in the HIV/AIDS sector, is summarized in the text of the strategy document.

In 1994, the Mission conducted a *Training Needs Assessment and Country Training Strategy for Affirmative Action* (Report 7) which highly recommended specific training for mid-professional and managers in the public and private sectors. As a result, the ATLAS program expanded, focusing in science and technical areas that were identified in the analysis. Subsequently, the HRDA results package was developed as summarized in the *Memorandum of Understanding for USAID Sponsored Training Activities* (Report 8).

Report 1

**Human Resources Development Strategy
by Dr. Wes Snyder**

8/95

**"HUMAN RESOURCES
DEVELOPMENT STRATEGY"**

Input Document for the Country Strategy Plan

**By Wes Snyder
Consultant from Ohio University**

**Developed during TDY to Namibia
May 31 - June 9, 1995**

Human Resources Development Strategy

Input Document for the Country Program Strategy Plan

Background

Enriched by the diversity of multiple cultures, Namibia's human resources have vast, and as yet, untapped potential. Often characterized as a "problem," diversity in dynamic systems presents possibilities, as long as the differences are not accentuated by debilitating isolation and used to label or separate groups and ideas. The litany of development problems attached to assessments of Namibian education arise from the prior depreciation of this cultural mine, and the creation of institutional and pedagogical practices that crushed the potentialities of diversity. Despite the neglect of early colonialism and the oppression of Apartheid for most sectors of the community, Namibia has successfully begun the process of crafting one society from its many cultures, combining the treasured traditions and emerging cultural voices to nurture communal concerns and core values. Enduring success will depend upon the kinds of structures and practices that evolve in Namibia's quest for a nationstate for all its people. Education will reflect the choices made, construct its own fabric of cultural meanings and ceremonies within its institutional frames, and influence subsequent development of the society through contact and interaction with children, teachers, and communities.

The formal education system comprises a basic education program of 7 years for primary and 3 years for junior secondary, a senior secondary phase of 2 years, and a variety of tertiary programs offered by the University of Namibia, four teacher training colleges, the Polytechnic (Technikon), and three Colleges of Agriculture. Some senior secondary programs provide opportunities in technical education, and vocational training colleges offer school leavers and drop-outs job-related skill training. The intention is for every Namibian (male and female) to experience at least ten years of education (*access* to basic education), to be exposed and have access to equitable resources and opportunities (*equity*), to attend as good a school as is possible (*quality* that ensures educational outcomes and internal efficiency) or to offer high quality nonformal alternatives to formal schooling (*life-long learning opportunities*), and to be part of a system that practices democracy to prepare the youth for their responsibilities in the society (*democracy*).

Early injustices have left an education system that is marked by problems of inequitable access, low completion rates, high repetition, high premature drop-out, high cycle time, and high costs (up to 27% of the national budget goes to education; approximately 10% of the GNP). Learners in different regions experience different kinds of educational experiences and teachers confront different kinds of learning environments because the system comprises vastly different physical conditions, uneven distribution of qualified teachers, inequitable learner:teacher ratios, and disparities in unit costs. Systemic adjustments and repairs are costly (e.g., reallocation of teachers, new and refurbished physical structures, massive teacher training, and reduced learner:teacher ratios). Additionally, about 80% of the Ministry's budget on primary education is expended on salaries. Increases in qualifications would rapidly exceed available funds because of the attachment of salary to credentials and there are few funds available for the development of facilities. On the demand side, the formal employment market is small, unlikely to grow substantially in the near future, and has

limited absorptive capacity from year to year as new graduates emerge from the system. In summary, the education system has differential capabilities across schools at all levels, intersects with a limited formal labor market facing graduates and school leavers, and consumes a large proportion of the national financial resources.

Within the government's agenda, basic education reform initiatives include the introduction of new language policy, curriculum, instructional materials, examination system in grade 10, preservice teacher education, inservice teacher education, and teacher career structure reform; expansion of rural classroom improvement projects and adult and continuing education programs; and improvement in management through rationalization of the Ministry's structure, development of EMIS, development of personnel management systems, and financial management reform. At the senior secondary level, reform initiatives address quality and efficiency concerns as well, and plan for further differentiation of academic streams "with a view of creating senior secondary schools for excellence" (Ministry of Higher Education, Vocational Training, Science, and Technology, 1995). At the higher education level, the reforms include the development of the Polytechnic of Namibia, eventually linking the Arandis Institute of Technology, developing the Windhoek Vocational Centre to cater for the training of trainers and for specialized courses for outreach, collaboration with UNAM in the development of higher education, and facilitation of linkages among higher education institutions, both locally and internationally. In the vocational area, the reform programs include the development of a comprehensive and integrated system of mass vocational skills development, technical, and technological education; development of relevant training modules at various competency levels and their testing systems; development of the network of Skills Development Centres across the country that will train the trainers and link rural technology to training programs; reorganization of the vocational training centres programs to relate to industrial requirements; establishment of the Vocational Training Board; and further development of accreditation systems. The reforms are ambitious and comprehensive, and they seek to establish a modern education system that meets a variety of societal needs and provides "hope" for the future generation of Namibians.

The USAID Program

The goal of the USAID program in Namibia is the economic, social, and political empowerment of Namibians historically disadvantaged by Apartheid. In terms of its vision, the focus is on *empowerment*, to even the opportunities and possibilities for the future of all Namibians. The intent in this case is not necessarily to create specific programs, but rather to infuse the system with resources and expertise to offset the inequalities of the past system and overcome the inefficiencies of the evolving system to redress these imbalances. Empowerment sustains the future veracity and relevance of the education system. In the education and human resources development area, the **strategic objective** is to increase the performance of HDNs in critical skills areas, with program objectives aimed at the improvement of the quality of education to learners in the most disadvantaged schools, the improvement of the delivery of training services to adult HDNs in critical skills areas, and the increased number of HDNs with formal training in critical skills areas.

The present program is designed to meet this strategic objective and includes the following projects, all of which are in place.

The *Basic Education Support Project* (BES) focuses \$18.3 million (1995-2001) on targeted reforms for the primary school level. Contributed components include technical assistance, training, and commodities to the Ministry of Education and Culture to support curriculum design and development and for teacher training in 500 of the most disadvantaged lower primary schools. The project is managed by the Institute for International Research (IIR), while the teacher training will be undertaken by the Peace Corps, using volunteer teacher trainers over a seven year period to substantially upgrade the skills of at least 1,500 underqualified primary school teachers. The Peace Corps component will entail up to 100 volunteers, on a 20 volunteers per year basis, at a total cost of approximately \$5.5 million. BES addresses the program objective to improve delivery of quality education. Its accomplishments will be indicated by increases in teacher competencies, wider use of syllabi and teacher's guides in core subjects in the targeted schools, and implementation of the new grade 1-4 curriculum in core subjects.

The *Reaching Out With Education For Adults Project* (READ) is a \$14.5 million project administered by the World Education Inc. (WEI), an US Private Voluntary Organization (PVO), and runs from 1992 to 1998. The purpose of the READ project is to strengthen the capacity of local NGOs to carry out nonformal education and skills training for adults. READ addresses the program objective to improve delivery of training services to adult HDNs in critical skills areas. Its accomplishments will be indicated by the number of target trainers trained and delivering participatory nonformal education and training services to HDNs and the extent to which target organizations meet Mission-established criteria for institutional sustainability.

The *African Training for Leadership and Advanced Skills* (ATLAS) Project provides USA-based degree training for up to 10 selected Namibians at the Masters level and 5 female undergraduates in critical skills study areas: disaster management, public health, natural resources and public administration and finance. The project is administered in the USA by the African-American Institute (AAI) and provides approximately US\$1 million per year in funds, plus additional contributions of tuition waivers from the participating universities and institutions. ATLAS addresses the program objective to increase the number of HDNs with formal training in critical skills areas. Its accomplishments will be indicated by the number of HDN men and women completing formal training in these areas.

The *Human Resources Development Assistance* (HRDA) Project will begin in 1995 and provides short-term skills training (up to one year), either locally, regionally, or in the USA, as well as internships with US companies. The purpose is to facilitate the hiring and promotion of non-white (historically disadvantaged) Namibians into managerial and professional positions in the mainstream private and public sector, where HDNs are grossly underrepresented. Approximately US\$0.6 million is obligated this year as a first tranche, with a total of US\$2.6 million estimated over a two-year period. HRDA addresses the same program objective as ATLAS, but focuses on

building the internal capacity for management training. An expanded version of the program is under consideration.

The *LIFE* Project is part of the Southern African Regional National Resources Management Project (SARP) with the general purpose to assist communities to derive increased benefits in an equitable manner by gaining control and sustainably managing natural resources in target areas. Within the HRD sector, LIFE is involved in improving community skills in participatory and technical natural resource management and enterprise management skills.

Strategic Objective in the HRD Area

USAID/Namibia's program addresses the key constraints to development faced by the historically disadvantaged majority population who reflect the disenfranchised legacy of colonization and Apartheid. Despite significant accomplishments in addressing the many problems of disassembling the infrastructure of Apartheid, the effects of years of neglect scar the education system and the labor market that it intersects. In terms of wellbeing, there are enormous differences across the population. The richest 1% of households consume as much as the lowest 50% of households, and the richest quarter of households consume over 70% of total consumption. Because of large disparities and the presence of high incomes at the top end, the income per capita is relatively high (ranking 84/172 in 1992) compared to the UN Human Development Index, which relates to income, life expectancy, and education, where Namibia ranked 122/172 in 1992 and 127/173 in 1994. Poverty, defined by the proportion of income used on food consumption, entraps 60% of Namibian households. The impoverished majority have few skills and suffer high unemployment (over 30%). Accordingly, USAID/Namibia's strategic objective in the HRD area is:

Strategic Objective SO1: To increase the performance of historically disadvantaged Namibians in critical skills areas.

Rationale. Historically disadvantaged Namibians (HDNs) are those most affected by the political events and policies of the past that deprived them of resources and opportunities for personal development, and thereby contributed to a reduced potentiality of the group to undertake the tasks and responsibilities of a modern society. Within the context of Namibia, HDN translates into the non-white population.¹ The evidence of neglect is widespread both in terms of inputs to the formal education system, regional differences in skill performances, and current profiles of employment. At the primary level, there is wide variation in the learner:teacher ratios, with the highest average in the northern regions (47:teacher). Unfortunately, the north also has the fewest proportion of qualified teachers (as low as 46% in Okavango) and the lowest physical quality of schools. The northern region schools are often temporary facilities, stick and mud classrooms, usually built by communities using scarce forest reserves in the construction. Resource allocation in the 1989/90 era reveals that the per capita allocation per learner was N\$5,163 for the White Administration and as low as N\$534 for the Owambo.

It is difficult to estimate the impact of unequal financial allocations, but regional disparities still exist in inputs and academic results. In terms of skill development within the formal education system, those schools formerly under the White Administration answered

20/25 questions correctly on average in the Grade 7 English Test from the 1992 National Learner Baseline Assessment. In contrast, the schools formerly under the Owambo Administration averaged 9 questions correct. In maths, the difference was 31/35 for the former White schools and 13 for the former Owambo schools. Females have fared on par with males (or as poorly) in the system. Enrollment patterns do not reveal gender inequities across the 12 grades. There is widespread female participation, reaching 57% in grade 10 and falling back to about 50% in grade 12. Performance differences do not show up in English baseline data, but across the nation, boys average about 17 items correct in maths and girls about 15. This result is probably more due to attitudinal influences than resource allocations. More differences in performances occur across schools than within schools (66% of the total variance in English 7 and 64% in Maths 7 is attributable to school inequalities; this contrasts for example with 20% in Botswana's junior secondary schools).² Performance deficits at 4th and 7th grades predispose this segment of the population to a competitive disadvantage in the job market and life management.

Although there is no comprehensive employment survey yet available, the UNDP examined wage segmentation in 1988 and found that the white wage averaged N\$12,839, black, N\$585, and subsistence workers, N\$55. According to the World Bank report in 1992 on *Poverty Alleviation with Sustainable Growth*, unskilled workers earn as little as 4-5% of the senior management. Calculating the annual per capita GDP, the World Bank report found US\$16,504 for modern sector whites, US\$750 for modern sector blacks, and US\$85 for subsistence sector blacks. The result in employment categories is not surprising. For those whose primary language is Afrikaans or an European language, the occupational composition reflects their disproportionately large share of the managerial (70.8%) and professional (54.8%) categories even though they account for only 15.7% of the total employment. USAID/Namibia's survey of 25 selected, highly visible private sector companies revealed 82/396 black managers (21%), although few were in top management and most were found in lower-middle level, and black Namibians held 39% of overall ownership. The workforce in these companies was 21% female, with 18% of the managers, female. In terms of general preparedness, about 38% of the Namibia's population of 16 years and over are estimated to be illiterate, with approximately equal literacy among men and women. Again, there are variations geographically, which correspond to resource allocation differences. Not surprisingly, the deficits in skill development through the formal education system are reflected in the employment profile of the private sector. The government has been more successful in affirmative action in the public sector, where about 90% of the new employees of public institutions and agencies in USAID's survey were from the disadvantaged groups.

The many disparities in the education system were inherited by the new government at independence. The Ministry of Education and Culture has characterized the educational context it found as (a) fragmented along racial and ethnic lines, (b) unequally accessible by different groups at all levels of the system, (c) inefficient in terms of low progression, low achievement, and high wastage rates, (d) irrelevant to the needs of individuals and the nation, and (e) lacking in democratic participation in the decision-making processes. Accordingly, education has been a high priority investment and policy development area. During the transition to independence, the shadow education ministry produced proposals for educational reform and renewal, including *The National Integrated Education System for Emergent Namibia*, and the first position paper presented to the new National Parliament, *Education in Transition: Nurturing Our Future*, followed by the policy directive, *Change with*

Continuity: Education Reform Directive--1990. In 1993, *Towards Education for All - A Development Brief for Education, Culture, and Training*, containing the goals, objectives, and policies in education, was accepted by government. The Ministry is now implementing policies and programs to ameliorate the past inequities. The first year after independence, there was a 10% increase in general enrollment; wide participation has now been encouraged, starting with the Etosha Conference on Basic Education of 1991; separate educational authorities (n=11) were abolished and 6 (now 7) regional offices were established; appointments were no longer based on ethnicity; the National Language Policy was formulated at the Ongwediva Conference in 1993; the Examinations Conference was held in Swakopmund in 1993; and the education sector organization has been rationalized in 1994 (see *The Structure of the Ministry of Education and Culture*) and now consists of two ministries, the Ministry of Education and Culture and the Ministry of Higher Education, Vocational Training, Science, and Technology. The government has also undertaken a systematic review and revision of curriculum, assessment, exams, and instructional materials, as well as emphasized the importance of learner-centered education. These reforms have been formalized in *Broad Curriculum for the Junior Secondary Phase* (1990), *Curriculum Guide for Formal Basic Education* (1992), *Broad Curriculum for Basic Education Teacher Diploma* (1992), and *A Guidance Brochure for the Implementation of the International Certificate of General Education (IGCSE) at the Senior Secondary Level* (1993). Aside from the formal education requirements, there was recognition of the need to address the skill deficits of adults. The National Literacy Programme for Namibia (NLPN) was launched in 1992, a Namibian College of Open Learning (NAMCOL) is being planned, and the acceptance by Cabinet of the establishment of CARE (Culture, Adult Education, Reading, and Extension) Development Centres to be located in schools after hours are all examples of important initiatives. Total enrollment in the NLPN was 33,391 in 1994, with 79% women, more than double the total enrollment from the year before; and 18,826 passed voluntary testing for literacy, boding well for meeting the target of 80% adult literacy by the year 2000. In 1994, the Public Service Commission approved a new structure and establishment of NAMCOL.

In the area of resource allocation, significant changes have occurred to equalize the opportunities for educational services. The gap between the lowest region (Ondangwa East at N\$808 per learner) and the higher region (Khorixas at N\$2,540) is much less than the previous 1:10 ratio. Although this represents considerable realignment, the Ministry has commissioned an independent education expenditure review to examine the existing gaps in regional allocation. There is clear evidence that the government is committed to the improved wellbeing of the HDNs and the full integration of its citizenry in all facets of society.

Although the USAID/Namibia approach is couched within the language of affirmative action, it is also educational triage, identifying the critical areas of failure in the system and focusing resources and attention on the amelioration of their difficulties. Namibia has contributed funds to build new schools in the North, has created a full department in the MEC for nonformal education, has fully supported the work of NGOs in educational activities, and recognizes the importance of life-long education, but government lacks the resources to build up the infrastructure and educational programs of the disadvantaged schools, provide needed assistance to upgrade all adults for the workforce, and undertake the training of key personnel and managers in specialized programs. The achievement of this strategic objective is critical to empower the large segment of the population who, through events and circumstances over which they had no personal control, may be unable to fully

realize their inherent potential as individuals or as societal contributors. Realization of the strategic objective is marked by four, verifiable indicators:³

Indicator SO1.1: Number of boys and girls graduating from Grade 4 in the most disadvantaged Namibian schools increases.⁴ [Eliminated on 8 June 1995]

Indicator SO1.2: Percentage of boys and girls achieving higher than baseline basic competencies in the most disadvantaged Namibian schools increases.⁵ [Altered to: *Higher learner outcomes achieved by more boys and girls in the most disadvantaged schools.*]

Indicator SO1.3: The extent to which adult HDNs trained by the USAID program demonstrate improved performance.⁶ [Alteration anticipated]

Indicator SO1.4: Increased number of NGO's providing participatory nonformal education.⁷ [Altered to: *Increased number of HDNs provided more efficient and better participatory nonformal education.*]

Examined in light of these indicators, it can be seen that USAID's First Strategic Objective focuses directly on the disadvantaged youth, females, and adults of northern Namibia and indirectly on those scattered around the country through general systemic improvements and targeted training opportunities. The approach attacks the equalization of educational opportunities, enhances hiring and promotion possibilities in the private sector, increases managerial skills among HDNs, and supports skill development through indigenous NGOs for disadvantaged adults. This is a comprehensive rehabilitation effort that will immediately benefit the largely rural disadvantaged and will begin to redress the inequities of the past. The long-term objective, beyond the current 5-year CPSP, is to establish an instructional program that benefits all learners and to create a critical mass of HDN managers and professionals in key areas in order to allow Namibia to carry on its efforts at improving human resource development without being encumbered by past systemic inequities.

Secondly, the objective enhances the resource pool of potential employees and entrepreneurs to foster more sustainable growth of the employment base. It addresses both supply and demand issues in timely fashion during the early years of independence. Namibia needs to enhance its attractiveness to investors who are looking to southern Africa for growth potential. The USAID/Namibia's strategic objective encompasses development efforts aimed at providing a richly diverse and competent employment pool.

Thirdly, the improvement of performance of HDNs should lead to greater work productivity, more likely involvement in the formal employment sector, lower birth rates, greater ability to use modern technologies, greater contribution to better health care and education for children, greater self-confidence associated with literacy increases participation of citizens in social and democratic processes, and general enhancement of the educational

and training sector. As HDNs gain greater control over their prospects, they will be empowered to fully participate in the affairs of Namibia. This is the essence of democracy, and illustrates the synergy of this strategic objective and the USAID/Namibia's *Third Strategic Objective*: Increased accountability of Parliament to all Namibian citizens. With an educated and skilled citizenry, participation is likely to be better informed and more contributory. The link between an educated citizenry and a responsive government is essential to sustained democracy (USAID's *Strategies for Sustainable Development*, 1994).

Fourthly, better skills in the lower primary, supplemented by skill development programs at the higher levels of formal education or augmented by NGO training in the communities, will support needed programs in the informal market area. Compared to other countries, this seems to be a neglected possibility in Namibia. To date, the micro and small enterprise development has been small. Several problems are now receiving attention: stringent regulatory laws from pre-independence; credit system with formal banks and no second window of credit; poor institutional coordination of the subsector; and little attitudinal development either in the culture or in the curriculum of schooling. Lower primary provides the foundation and NGO training provides the context specific training capability to develop these needed employment opportunities.

The achievement of greater capability among the majority of the population will not come easily or quickly. Although the development of NGO capability has proceeded rapidly and contributed to the enhancement of human resources, the development of the depressed education areas and the creation of a critical mass of expertise, which broadly represents the society, will take time to evolve. The entire population was disadvantaged by the distorted view of racial, ethnic, and cultural diversity over many years. There is a long way to go to redress the imbalances. The pockets of hope (effective schools in poor communities -- see pp. 71-72 of *How Much Do Namibia's Children Learn in School?*, 1994) and the evidence of governmental stability (two elections completed successfully) are encouraging signs of sustainable development in Namibia. People level impacts will be low initially as the first teachers are assisted in BES, the NGOs continue training, and the first graduates of ATLAS return from graduate education. As more teachers are assisted in more schools, changes to the instructional program at lower primary are implemented, more adults trained, and ATLAS graduates, joined by HRDA trained personnel, increase the number of HDNs available with critical skills, the entire school-based 6-10 year old population and numerous adults will benefit from the USAID/Namibia program. The direct participants of the BES project include approximately 1,500 of the most disadvantaged teachers and approximately 60,000 learners. ATLAS aims at 30 participants per year, and HRDA will increase that number. The READ project directly impacts on 20-25 NGOs and indirectly on their clientele. The program targets the most disadvantaged of the HDNs. To impact on all HDNs, the horizon of accomplishment will lie beyond this and other plan periods, but the specific program should be accomplished within a ten-year span.

Key Assumptions. The key assumptions underlying the selection of this strategic objective are:

Assumption 1: The government remains committed to education and continues to finance the area at a high level over this development span to assure HDNs have increased opportunities for participation in employment and democratic

processes.

The contribution of 10% of GDP to the support of education programs is very high by international standards. Because of the vast ground needed to be made up for human resource recovery, this level of support (or higher) will be needed throughout the planned period. Many posts within the formal education sector are unfilled. These additional salaries, if the posts were filled with the needed personnel, would place even greater demands on the financial resources of Namibia. The educational economics of reform is a key area to be monitored over these important transition years. Namibia's approaches and organizations have been consolidated and rationalized, but it is uncertain if the present path is affordable. The payoffs of human resource enhancements are distant, and the immediate resource needs are substantial.

Assumption 2: Population increases will not outstrip the remedial and renewal efforts in the formal education sector.

The improved policy and attitudinal base toward HDNs has resulted in increased participation in the formal education program. After a dramatic 10% increase post independence, enrollments are now following projected population increases. Adjustments and expansions to deal with the increased learner base absorb considerable management attention and system resources. Although USAID can have little influence over the increasing population pressure, the toll extracted by an expanding and increasingly complex formal education system may well offset the attempts to improve the quality of education services.

Assumption 3: Any development effort in the human resource area must assume that the expertise and enhanced skills will remain available to the society.

This assumption derives from two potential problems: the increasing development of South Africa's employment opportunities and the likely heavy investment in that part of the region which may attract Namibians, and the possibility of HIV/AIDS pressure on the youth to middle age range of any population. Both problems lead to loss of human resources, particularly at the high skill areas. The loss of skills to South Africa looms as a threat, but does not appear to be a significant problem at present. HIV/AIDS does have a foothold in Namibia. As of early 1992, over 2,000 cases have been reported (and estimated as possibly as high as 8-11,000 cases now) and they have been increasing geometrically since 1986. The prevalence of HIV is estimated at 10.8% or approximately 80,000 people, with the unhappy promise of rapid increases ahead. Over 50% of the HIV infections and AIDS cases are reported in the North, the region targeted for USAID/Namibia assistance, and 69% of all cases fall within the sexually and economically active age group of 15-44 years old. Attention to this potentially continuing threat is essential to support the other development efforts and their sustainability. The government has taken action through the National AIDS Control Programme of the Ministry of Health and Social Services, and in education, the initiation of peer counseling as part of the Life Style Programme and the Population Education in Schools Project funded by UNFPA.

Assumption 4: Continued utilization of talent depends greatly on the well being of the South African economy and in part on new initiatives in the local

economy.

The economy of Namibia is substantially dependent on South Africa. Approximately 90% of the imports come from South Africa and 75% are produced in South Africa. Local economic expansion may depend on the expanding export markets of South Africa, particularly in the service area and fishing. Namibia continues to try to attract investment from South Africa, but the lack of skills in key areas has been one of the cited reasons for concern. USAID has no control over the dependency or the source of investments. Direct assistance through the BES project in basic skill competencies may improve the resource pool for employment in the future, and an expanded HRDA Project may provide ideas and exemplars to economic managers or investors.

USAID/Namibia is complemented in its development programs by other donors. Construction of primary classrooms in the northern region is supported by the European Union, IBIS (Denmark) through the self-help Oskola Project, and SIDA (Sweden) through the self-help Tulipamwe Project. The ODA funded the Molteno Project aimed at improving and developing the use of English throughout Namibia, both in schools and in the Colleges of Education and Teacher Resource Centres. The World Food Program continued funding of the school feeding program. The Federal Republic of Germany will support aspects of primary education in the Rundu region. At the secondary level, the European Union funded the INSTANT Project for inservice teacher education in mathematics and science; the British fund the ELT Project; and the Danes support the Life Science program. Volunteer teachers and general technical assistance come from the US Peace Corps, the Nigerian Technical Assistance Corps, Voluntary Service Overseas, Dienste in Ubersee, African Recruitment Organization (Sweden), World Teach, the Namibian Association of Norway, and the Egyptian Technical Assistance Staff. SIDA has further supported materials development in the Enviroteach Project and until 1994, the improvement of rural community schools, especially in the Keetmanshoop region. FINNIDA (Finland) is funding the Cross-Curriculum Culture Project aimed at the introduction of arts and crafts in the curriculum. ODA has assisted in the reform of secondary examinations and assessment system. Australia has supported the development of the National Qualifications Authority. In teacher education, various efforts were funded by SIDA, Alberta University (Canada), ODA, the Agency for Personnel Services Overseas (Ireland), UNDP/UNESCO, and support to teacher resource centres has arisen through IBIS, NAMAS, ODA, and Centre for Applied Social Sciences. UNESCO, ODA, SIDA, and IBIS provided support for the In-Service BETD Programme. The African Development Bank provided a loan for the construction of colleges in Rundu and Katima Mulilo, and the Lux Development Agency has provided equipment to the Rundu College of Education. In adult and continuing education, the National Literacy Programme received funding from SIDA, UNICEF, and the Netherlands. In educational planning and management, ODA funded educational planning through UNECIA until 1994; SIDA and UNICEF fund additional assistance in planning. A Japanese Grant Agreement through the World Bank supports the Educational Financial Management Strengthening Project. This wide array of external support for the education system directly enhances the efforts of the USAID/Namibia's program of assistance.

Problem Analysis and Strategic Results Framework. The key problems in the human resource area are:

Problem 1: Poverty is extensive in Namibia. The wealthiest 5% receives more than 70% of the GDP, but the poorest 55% receives only 3%. Rural poverty is estimated at 70%; urban poverty for black households is estimated at about 62%. These figures underline the fact that few Namibians have personal resources to spare to support educational activities for themselves or their children.

The Namibian government has developed clear policies on alleviation of poverty and improved income distribution, and taken affirmative action steps in the public sector to impact on the situation. However, the political economy of the country may not support rapid progress in this area. As early as 1977, a black middle class of about 30-40,000 emerged when some of the racial discrimination laws were repealed and these individuals became part of the second-tier ethnic administrations, with opportunities for higher salaries and other benefits. The size of this group has expanded since independence, but the dramatic income stratification that characterizes Namibian personal finances will yield only to real development within the economic arena. Most Namibians (about 70% or more than 1 million persons) continue to labor under poverty conditions. Programs in HRD will need to be cognizant of the lack of investment resources when planning and designing programs. Donors have attended to this problem. The self-help projects for school construction are examples of utilizing in-kind efforts to increase the availability of educational facilities. Within the USAID methodology, innovative instructional designs, provision of materials, and use of PCVs for inservice education will assist the development of schooling programs without the immediate or long-term requirement for financial support from the communities. However, USAID has little control or influence over the general economic picture in the country or region. Additionally, on the demand side, the limited personal wealth, which is the principal source of business start-up capital, is lacking. Not only will families have difficulty improving their opportunities due to schooling resources but also improving the outcomes of schooling within their communities.

Problem 2: There is no coordinated human resources development planning or management within the government structure. The National Planning Commission (NPC) does part of this by default, but HRD programs are spread throughout the public and private sector.

It is never clear that bureaucracy is the answer to modern dilemmas, but the lack of information and coordination in HRD means that the problem is difficult to gauge or address. Without improved information, it will be difficult to judge performance results of HRD interventions and understand their implications in the wider reform agenda. Currently, the National Planning Commission, with technical assistance, is working on a comprehensive Economic Policy Framework, within which plans for the coordination of the human resource development area will be considered.

Problem 3: The size of the task in HRD is considerable.

Although exact figures and areas of needs are not precisely known, as indicated above, the size of the task, given the poverty and employment figures, is beyond the scope of a single donor program. For this reason, HRD will require continued donor coordination, particularly if the amount of aid available is reduced further.⁸ A second consideration is that aid programs

need to directly address the resource deficits in the most disadvantaged so that they are improved. Less targeted programs may have negative side-effects for this group, serving to further exacerbate their disadvantage, or positive effects may be marginal or long-term, increasing the degree of uncertainty that their situation will be addressed. Although USAID/Namibia cannot take on the entire HDN situation, the programs are appropriately targeted for impact on the lives of project participants from the HDN population.

Problem 4: The inherent complexity of the Namibian HRD area makes it difficult to design or implement a reform program. On top of this, designers and practitioners in Namibia frequently ignore or avoid the political issues that bathe these complexities.

Educational problems are interrelated, such that an intervention in one aspect of education ripples through the system. Problems are dependent, and "solutions" frequently cause new problems across the larger organizational fabric. An example is the National Institute of Educational Development (NIED), an institution critical to the success of BES. The move of NIED to Okahandja has precipitated the loss of many key people, and it remains to be seen if high quality replacements will consider NIED. Others in NIED remain in place because of the lack of employment opportunities elsewhere. This results in a reduced capacity and low motivated institution. Siting NIED in Okahandja was, of course, a political decision, one which threatens to further decouple the activities of NIED from UNAM and MEC, but one which places an important institution in an historically important rural area. Every such decision or the interventions or effects entailed alters the entire look of education. BES now faces a resource-poor, politically uncertain terrain, even within the core of the ministry organization. Although the technical aspects of NIED's assignment will be addressed by BES in part, the continuing contextual politics will lie outside direct project influence.

Problem 5: The routines and rituals of education are deeply rooted in the institutions of the schooling system. Resistance to change is widespread. Only dramatic changes can rapidly redress the deficits facing Namibian disadvantaged schools.

As the former Minister of MEC lamented, one of the major problems in the reform was the attitude of "business as usual." Under the past South African disposition, the objective was to educate the whites for the higher job categories reserved for them, and to train the non-whites for labor positions, not highly skilled or technical. This bifurcated program induced instructional practices in the disadvantaged schools that were not in their best interests. Education at all levels emphasized information dissemination, and schools were merely instructional sites where facts were dispensed for memorization by those attending the lectures. The system was (and is largely) examination-ridden, and the majority of the population was deprived of an education in the name of "standards." Within this institutional regimen, education had no responsibility to take the learners from where they were to a new level of expertise or capability. It is not clear how easy it will be to change the basic philosophy of teaching and testing in the schools and tertiary institutions, or even in training programs. The instructional practices and intents are deep-rooted, and there are few examples of other ways to do things. BES will likely face enormous resistance. With language and technical deficits to exacerbate the difficulties, the teachers in disadvantaged schools struggle with day-to-day activities as is. Innovations or improved methodologies have little foundation

on which to build. The resistance is not ill-willed, however, for the most part. It is based in traditions, inadequate constructions of teaching and learning, and limited capacity to change. BES will have to build a new school culture. The capacity problem is addressed directly in BES by the on-site resource persons, but they face institutional constraints as well as individual teacher deficits. The institutional considerations are not wholly subject to USAID project influence.

Problem 6: The same complexities and institutional constraints reign throughout the HRD sector.

There is presently no focal unit responsible for the coordination of HRD planning and policy development. Information is hard to find and project identification, monitoring, and evaluation is poorly developed across Ministries. The interrelationships between HRD efforts are rarely exploited or even recognized, the capacity to train is minimalized by the lack of information about specific deficits, and the lack of coordination encourages inefficiencies.

USAID/Namibia has faced these problem areas in many contexts, and USAID has been involved in Namibian instructional reform since independence. The Basic Education Reform Sector Assistance Program led to a Namibian-contracted technical assistance project in senior primary instructional reform. The Basic Education Support Project, focused on junior primary, is a natural follow-on. In addition, BES has a promising innovation, the linkage of technical assistance with school-based Peace Corps personnel. This coalition enables close contact with target teachers and classrooms to strengthen the possibilities of school reform. NGO development has also been an important part of the early USAID program in Namibia, and it continues to offer the immediate, nonformal alternative to the education of adults in the rural areas. Other donor activities complement the USAID/Namibian program.

Program Outcomes. The program outcomes associated with the First Strategic Objective are:

PO1.1: Improved delivery of quality education to learners in the most disadvantaged schools.⁹

Achievements in this area will be verified by:

Indicator PO1.1.1: Percentage of male and female teachers in HD schools attaining the level of basic competency increases.¹⁰
[Altered to: *Percentage of male and female teachers in HD schools implementing intended pedagogical techniques.*]

The intent of this indicator is to ascertain the penetration of the intervention in the target schools. Only if the teachers are implementing the instructional methodologies can we attribute program effectiveness to the efforts of BES Project. The original indicator presupposed that basic competency in teachers could be measured. This presents a very complex problem, which may be solved within the context of the project evaluation scheme, but which does not lend itself to easy monitoring. Given the training, the teachers should get better if they actually do intended instructional activities and approaches.

Indicator PO1.1.2: Percentage of most disadvantaged schools using syllabi and teacher's guides in core subjects increases. [Altered to: Percentage of most disadvantaged schools implementing new Grade 1-4 curriculum in core subjects. This alteration combines aspects of PO1.1.2 and PO1.1.3]

The new indicator combines the intent of the older two indicators to check on the use of the new curriculum. This indicator provides another link in the attribution chain to account for changes in learner achievements.

Indicator PO1.1.3: New grade 1-4 curriculum in core subjects is developed and implemented.¹¹ [Altered to: Institutional capacity of NIED is increased in the areas of materials production, continuous assessment, and language development.]

The first two indicators focus on the most disadvantaged schools, designated "target schools" in the BES literature. At the national level, BES is also assisting on the development of NIED in three critical areas associated with an improved instructional program, materials production, continuous assessment, and language development.

PO1.2: Improved delivery of training services to adult HDNs in critical skills areas. [A rejected version of this PO was: Improved capacity to deliver training to adult HDNs in critical skills areas]

Achievements in this area will be verified by:

Indicator PO1.2.1: Number of target trainers trained and delivering participatory nonformal education and training services to HDNs. [Altered to: Number of target trainers delivering participatory nonformal education and training services to HDNs.]

Although the number of trainers trained is an important index for project delivery under READ and LIFE, it is the delivery of the training that is key to the program outcome. These projects are primarily involved in institutional capacity building, as well as training trainers who can continue NGO capacity building. As part of their assistance to NGOs and community organizations, they will need to reach into the monitoring and evaluation systems of these groups to estimate person-level-impacts under SO1.3.

Indicator PO1.2.2: Extent to which target organizations meet Mission-established criteria for institutional sustainability.

A key problem with the development of NGOs is their sustainability in the HRD area. This indicator assesses the staying power of the target organizations. Unless they stay in the sector, then the benefits for HDNs associated with their training programs will be curtailed.

PO1.3: Increased number of HDNs with formal training in critical skills

areas.

Achievement in this area will be verified by:

Indicator PO1.3.1: Number of NDN men and women completing formal training in critical skills areas.

Each of the projects, ATLAS, LIFE, READ, HRDA, have short and long-term training components. This indicator assesses the extent to which a critical mass of talented individuals has been created to contribute to the SO.

Relationship of Strategic Objective to the Initiative for Southern Africa

USAID has created the Initiative for Southern Africa (ISA) in response to encourage the recent growth-oriented reforms, to assist efforts already underway in the region to expand economic and political cooperation, and to support the reintegration of South Africa into the regional economy in a manner that stimulated mutually beneficial development. There are four strategic objectives in the ISA:

1. Strengthen democratic processes and institutions, and increase the contributions of NGOs and civil society in creating a regional culture of democracy;
2. Promote the development and increased participation of the indigenous private sector in all areas of the regional economy, with a particular focus on stimulating growth and increased productivity of small and medium-sized enterprises;
3. Stimulate increased trade and investment within the region and with the rest of the world by promoting increased harmonization and coordination of policies necessary; and
4. Expand regional economic cooperation and increase operational efficiency in key infrastructure areas, with a particular focus on transport, telecommunications, environment, and natural resource management.

This initiative is based on specific principles for sustainable development, including viable development has to be African-led, economic and political reforms must be broadened and deepened, and sustainable development in southern Africa has to be based on private investment and trade. Relevant to the HRD sector, the following prioritized operational approaches support ISA's critical objectives: (3) Promote increased private sector participation; (5) Encourage professional, technical, and managerial skills enhancement; and (8) Seek enhanced donor collaboration and cooperation. The USAID/Namibia Bilateral Program faces a narrow private sector, deficient skills throughout the HRD sector, and reduced funds and a large task that necessitate extensive donor coordination. There is an acute shortage of skilled professional, technical, and management personnel in the region. This has existed for a long time amongst the historically disadvantaged Namibians. Without the skill and experiential base that skills afford, the private sector is concentrated,¹² with limited participation by the previously disadvantaged groups. The task facing the Mission is not just increasing the participation of the private sector, but building the skills, advanced

training, and experience necessary to expand the private sector. Efforts to involve the current limited private sector in attracting foreign investment or as promoters of technological innovations have failed to a large extent. Within the Namibian context, the private sector must be expanded in order to infuse it with a new, more-than-self-interest spirit and a greater potential for growth. Accordingly, the emphasis of the program is on skills enhancement in the HDNs population, and the development of the capacity of formal and informal systems to continue the process of skills enhancement. The size of the task requires multidonor participation and cooperation. Although the Bilateral Program addresses three objectives of ISA, the emphasis is on the development of capacity to participate in the region, rather than on immediate regional cooperation (except in natural resources development).

Performance Indicators and Targets

Although an indicator is usually reduced to a single quantitative index, the assignment of number is based on multivariate qualities. For example, for the indicator: *Higher learner outcomes achieved by more boys and girls in the most disadvantaged schools*, the outcomes are composites of test information, classroom observations, and other sources of assessment information across the primary school subjects. At the lower levels, good information will be more difficult to identify and collect, and the project will impact on new sets of students progressively across the four years of lower primary (and project life). In order to provide a more precise gauge of accomplishment, IIR has proposed that 25 of the targeted most disadvantaged schools will be "model" schools and receive the full attention of the project team. The remaining 475 target schools will implement the program with assistance from the Peace Corps and the normal system, utilizing the strategies and training programs of the project. All other schools that include HDNs will comprise a "control." These schools will have received the new curriculum, but lack the particular assistance of the project immediately. This design may not be fully completed for analysis. For some aspects of the learner profile, a sampling strategy of some kind may be necessary because of costs and time. From this example, it can be seen that the final index, reflecting progress across many different conditions, subjects, and individuals, will constitute a complex process and summary.

In the rush for a single index, there will be a tendency in this example to settle for a single measure. It may well be that one measure will proxy for the rest, but this will depend on justification from the larger information system. Additionally, this index will be backed up by the project monitoring and evaluation system, which details process and diagnostic information. Interpretation will be assisted by the context of information. One suggestion that was discussed is to use a rubric (set of criteria) for the indicator. In this case, the "higher" would be interpreted as a move from one lower category to a higher one. These categories can entail the kinds of criteria specified in the BES Project Paper. For example, for the testing data, earlier performances correspond to very low outcomes. Distributional changes of a half to one standard deviation would constitute considerable change, and might be a criterion for the movement to the upper category of project performance.¹³

Approaches to Achieve Outcomes and Strategic Objective

Development is about the change of cultural practices, hopefully with the intent of improving wellbeing for individuals and the general society. In Namibia, the cultural

practices of the past have violated this hope and have been bounded by domination and hopelessness for the largest segment of the population. National statistics in employment verify the bleak past, and school information at all levels continues to reflect serious resource deficits and imbalances in those institutions that might otherwise offer the hope of change in the near future. The USAID/Namibia program of assistance takes aim on these supply-side inequities. BES focuses on the most disadvantaged schools, the future employment resource pool for poverty-stricken, rural Namibia. READ enhances the NGO programs that provide nonformal training to adults in the skill impoverished adult community. ATLAS boosts those who have survived the education system to a higher level of expertise and contributes to the development of a critical mass of talent among non-whites. HRDA, particularly when expanded, is the binder that links these target opportunities together by filling-in the needs for specialized management training across the public and private sectors. This is a coherent, focused, but comprehensive, program of human resource development.

The logic of the development approach is straightforward. By directly addressing the needs of the most disadvantaged, the new opportunities for skill enhancement are available immediately to the people in greatest need. This formerly marginalized and disenfranchised segment of the population is given a chance to contribute to a new Namibia. Given the extent and the depth of the former oppression, the majority of the population had no voice and bleak prospects. In the poetry contained in the Namibian journal, *Reform Forum*, "eagles do not walk the stairs." Redress opens up the possibilities to explore and enrich the talents in the bulk of Namibian's population. The outcome is inestimable in terms of potential. Even a small percentage of successes will resonate in the national profile and change the face of Namibia forever.

Program strategies of BES and READ attend to institutional development, increasing the capacity of formal and nonformal education mechanisms to better prepare the HDN populace and enabling the institutions involved to continue the process in the future. ATLAS attends to individual development in an anticipation of multiplier effects, both in terms of exemplar value of highly talented non-whites in the workforce and the real contributions that such individuals can make on future development. HRDA is currently in a pilot phase and possible expansion in 1997. With an expanded purview, this program promises a flexible mechanism to more directly impact on immediate managerial needs in important public and private organizations linked to economic development. HRDA offers in-country, regional, and USA venues, and opens possibilities for those without degrees who would not otherwise qualify for advanced training under ATLAS.

From a traditional perspective of human resources development, the apparent weakness in the logic of the Mission strategy is the dominance of supply-side development efforts with only long-term possibilities for impact on the demand side of the employment market. Fitting people into manpower niches supplies the basic needs of an economy, and attention to the expansion of demand characteristics increases the possibilities. Namibia requires assistance in this domain and it is forthcoming in complementary donor programs. Because most Namibians were prey to the hegemonic, instrumental rationality of Apartheid, which limited or ignored the imperatives of human spirit and creativity, the niches of development have been closed to the larger population and opportunities were limited to a small segment of people. Cultural practices were dominated by a narrow view of humanity and its potential. There is now a pressing need to recapture the idea of individual freedom

and social justice to lay the groundwork for new possibilities. The USAID/Namibia program changes the metaphor of human resource development in this region. The new vision takes seriously the relationship between education and training and cultural power. Over many years, the HRD sector of Namibia operated within a logic that defended human development as part of a self-defined high culture, that which reigned as the sole and dominant culture and sought to diminish diversity. Skills were developed to serve this view of a modern world. The new vision is not merely fitting the spaces of a narrow economy, but building the potential for an emancipatory ideology that celebrates the richness of diversity and creates new paths and possibilities:

And even if in the building of mere castles in the air the total expenditure one way or the other scarcely matters ... hope with plan and with connection to the ... possible is still the most powerful and best thing there is. [Ernest Bloch, *The Principles of Hope*, III, Cambridge, MIT Press, pp. 1366-67.]

The metaphor shifts from "fit" to "release." The language of economics is supplemented by the language of emancipation and empowerment. HRD in Namibia is not about fitting the possibilities of the past. It is about canceling the suffering of history and reconstructing social identities and new versions of community. The key to HRD is the practical project of *possibility*.

The synergy of this view of HRD with democracy is immediately apparent. Who should be educated and to fulfill what roles are the derivatives of power. When opportunity is extended, so too is the possibility of power, not to dominate but to empower and give voice. BES, READ, ATLAS, and HRDA confront critical domains of past losses of opportunities. Early education for HDNs served more to impress youth of their powerlessness than to offer hope of self or societal fulfillment and potentiality. The USAID/Namibia program is small, the existing opportunities remain narrow, but the justification for assistance rests on the hope of diversity nourished by democracy. Namibia is creating a new society and a new destiny. By expanding participation and immediately assisting depressed institutions and individuals, the USAID/Namibian program sets the dynamic of a culturally diverse society in motion. These interventions are just and the aspirations realizable. What is sustained is hope and possibility through the energy of empowerment.

Another aspect of the approach is the combination of formal and nonformal agencies of change. The BES and ATLAS utilize formal educational approaches; whereas, READ relies on NGO activities in the non-formal educational area, and HRDA can utilize either formal or nonformal approaches. HRDA, if extended and expanded, has the flexibility that will be important to meeting the evolving needs in the HRD area. The READ approach rests on the effectiveness of NGOs. NGOs are a more risky strategic option, but historically influential and important in the context of Namibia. Usually, NGOs participation in education is not their primary mission, and their interests emanate from humanitarian concerns. It is hard to think of NGOs as a collective; they are highly individual, presenting different capabilities and organizational propensities. In Namibia, the NGOs provided an alternative voice to the education arena. The opposition to the world view of Apartheid was an important mission. Although the NGOs are no longer in opposition to the formal system but supportive and complementary, they still provide a potential counterview to a highly centralized formal

technical assistance could be allocated to DPD. This could be added to the IIR contract and take the form of long-term (1: inquiry and interpretation of EMIS for corporate planning, as well as carry out project reporting on the indicators for the strategic objective) and short-term (3: education economics, scenario modeling for policy development, and technical assistance to help on training in the Directorate and special expertise for the many complex evaluation questions inherent in the monitoring and evaluation of the BES project).

HIV/AIDS. Namibia, like nearly all countries, is poised to experience the dramatic impact of the HIV/AIDS epidemic. Although incidence has so far been imperceptible (although still the base of infection is high), unless steps are taken, AIDS could have a substantial impact on those involved in the USAID HRD program. All the projects are targeting HDNs in the economically and sexually active age groups. One idea is to use limited funds to target high-risk groups, like transient labor camps in the fishing industry. READ is presently training NGOs in AIDS programs. Although an admirable part of READ, the effort is too small for the magnitude of the problem and the risk it poses to the strategic objective of this Mission. READ will need more funds to have the required impact. And of course, the best kind of program should really be part of the public domain as well. Other donors are helping in the area, but the level of attention and resources applied to this problem seem grossly inadequate.

HRD Sector Reviews and Planning Assistance. The lack of coordination and information for the HRD area really hinders assistance efforts, as well as the efficiency of government planning and implementation of development programs. Various donors are supporting improvements in this area, including USAID's support for the reconceptualization and redraft of the *National Development Plan I*. Additional assistance will be required in this area in order to evaluate the achievements of the USAID/Namibia program. Donor coordination will be important in this area, and the upcoming meeting of key donors may provide the venue to discuss needs and provisions in this sector.

Institutional Analyses and Reform. The Wolfe Report on *Administrative and Institutional Analyses* (1994) describes the difficulties experienced by MEC during its early years of organization and reform. BES focuses on technical inputs at the lower primary level and only tangentially on institutional reforms. NIED, newly organized and situated now in Okahandja, is already experiencing many difficulties. It is a critical institution to the BES project. Because of past miscommunications, MEC is distrustful of external involvement in many areas of its operation. The concerns are real enough to undercut attempts at support in organizational and communication development. Still, this is an important area for BES. In time, it would be very advisable to revisit these issues, both by analyses and by renegotiating the possibilities for reform assistance.

Innovative Financing for Private Sector Development. One area of ISA that has not been directly exploited to date in the Mission program is: (2) Utilize innovative regionally-based financing and implementation mechanisms. Namibia, like Zimbabwe and South Africa, has considerable capital, but the perceived risk of investment in black entrepreneurs is greater than the actual risk and limits the willingness to support these investments. Additionally, the capital is not in the hands of the HDNs. The devastation of Apartheid on income distribution has impoverished large areas of the country. Traditional financial institutions will not lend or invest in ventures with little owner equity. This area is an important one for continuing

consideration in the evolution of the Mission strategy.

A second point of departure is the targets of opportunity that arise as a function of change in a dynamic system.

Bilateral Continuation of HRDA and Expansion of the HRDA Intent. HRDA, even in its pilot phase, can provide the flexibility required to respond to specific targets of opportunity for training in areas critical to the strategic objective. If its purview is extended beyond management training, then it can support other important features of the HRD terrain. One example is the increase on the demand side associated with foreign investment. Such investment has been slow in coming because of skill shortages. Perhaps the HRDA package could be used as part of the incentive program offered to attract key investment. This would supplement the increased management capacity among the HDN group already planned for HRDA.

Participatory Evaluation of Projects. One of the good ideas of the early BERP program was the use of participatory methods for the evaluation of projects, so-called Fourth Generation Evaluation Methods. This never materialized in BERP because of communication problems over the CPs in the NPA assistance. The idea is valuable because the process evaluation approach would provide insight into the kinds of areas that USAID may want to invest in order to protect its accomplishments on the strategic objective. Participation has been the hallmark of the current Mission program, so this suggestion underlines the need to carry over that participation into the evaluation process.

Endnotes

1. Because the notion of race is understandably contentious in Namibia, it is difficult within the formal information systems to identify those targeted for this assistance. Given the history of Apartheid, regional differences can be roughly equated with HDN population areas.
2. The performance picture is similar at grade 4 in the National Learner Baseline Assessments.
3. All objectives and indicators were provided by USAID/Namibia. The wording of these materials was still being negotiated. At the end of the field visit of this consultancy, there were only three, verifiable indicators for SO1. Indicator SO1.1 was eliminated.
4. SO1.1 rests on the assumption that graduation remains a meaningful educational indicator in the Namibian context (see Fair's *Passing and Failing Learners*, 1994, MEC/UNICEF report for extended discussion of difficulties in interpreting graduation rates). Graduation results have already changed as the result of discussions in the Ministry about the problems of repetition and the consideration of an automatic promotion policy at the lower levels. The assumption is, then, that current policies will remain in place. If there is a change or evidence that there is de facto automatic promotion, the wording of this indicator may need attention. Because of the economic and educational implications of repetition, this is an important indicator for the Ministry. Attention to the trends and causal links in the target schools may reveal interpretive clues to better understand the indicator results.

8. The largest bilateral donors are Germany, Sweden, the United Kingdom, and the USA. Major multilateral donors include UNDP and its affiliate organizations, the European Union, and the African Development Bank. A roundtable is planned among major donors for October, 1995.

9. In the context of BES, the most disadvantaged schools are usually associated with the project "target schools." Although the details of selection are still being negotiated, the most disadvantaged schools are designated to have the following characteristics:

- * Poor learner performance, including high failure rate and high absenteeism.
- * Lack of access to resources (not near a Teacher Resource Centre and lacking teaching and learning materials).
- * High learner/teacher ratio.
- * No externally funded project associated with the school.
- * Teachers have less than 12 years of academic qualification.
- * Teachers have poor professional skills, ability, and noted performance.

The priorities for school selection, as well as the amount of time devoted by the ORPs to a school, are:

- * Schools with grades 1-4.
- * Schools with grades 1-3 only.
- * Schools with grades 1-2 only.
- * Schools that begin at grade 4.

10. The problem with this indicator lies in the complexity of the notion of competency. Presumably, the construct will be further articulated in the *Teacher's Basic Competencies Manual* and the *On-Site Resource Person's Kit* under BES. Data collection is presently the responsibility of the ORPs. Care will need to be taken that the evaluation activities do not interfere with the assistance intents of BES. Inservice and inspection have never gone well together, and the information and relational demands are quite different. Also, Peace Corps philosophy may distinguish between helping and evaluating. This will be an area where good communication between the various entities in BES will be essential in the early stages of design and implementation.

The indicator was changed because of the difficulties cited above. The BES monitoring and evaluation system will contain information like this.

11. The BES Project responsibilities include development of the instructional materials. The assumption is that the Materials Development Unit, also assisted by BES, will actually carry out the plan for distribution and implementation of the new curriculum.

12. A relatively large number of enterprises have developed from small family-owned and operated concerns. Ownership is predominantly sole (51%) or limited private companies (30%).

13. Rubric derives from the Latin, *rubrica terra*, referring to the signification of importance by using red earth. In this example, the rubric refers to the levels of performance associated with project efforts. Each of these levels details the possible scenarios for project effectiveness.

**Appendix to Input Document in HRD
Documents Consulted**

Education in Namibia - 1993 (1994)

USAID/MEC Basic Education Support (BES) Project Paper: Amendment Number 2 (1994)

Annual Reports of the Ministry of Education and Culture (1993 and 1994)

Mission Statement of the new Ministry of Higher Education, Vocational Training, Science and Technology (1995)

USAID/Namibia Mission Training Strategy, 1995-1997 (1994)

Reform Forum: Journal for Educational Reform in Namibia (Volume 1, Nos 1-2, 1994-1995)

Equity and Efficiency in Namibia's Basic Education Reform (1994)

Education, Culture and Training in Perspective (1992)

How much do Namibia's children learn in school? (1994)

Passing and Failing Learners (Volumes 1 and 2, 1994)

NIED (A Review) (1995)

Toward Education for All (1993)

Atlas for Namibia (1995/96) and *ATLAS Candidates for 1992-1996*

Facilitation and Documentation Support for The Living in a Finite Environment (LIFE) Program Assessment Exercise for the LIFE Project in Community Natural Resource Management (1995)

Questions and Answers on IGCSE and HIGCSE (1993)

The Broad Curriculum for the Basic Education Teacher Diploma (1992)

Situational Analysis of AIDS in Namibia

The State of Education, Culture and Training in Namibia: In Search of an Equitable, Efficient, and Effective Service (1993)

Equity and Efficiency in Teaching Resources at Junior Secondary Level (1994)

Project Management in NIED

Report on the Activities of the FSU Team in the MEC (1992)

Basic Education Reform Sector Assistance Program/Project (1993)

Administrative and Institutional Analyses (1994)

Non Project Sector Assistance (1991)

Update on University of Namibia Developments (1992)

Namibia: Macro-Economics, Resource Distribution, and the Role of Aid (1993)

Report on Regional Visits to Establish Regional Working Groups for the Preparation Towards the Implementation of Lower Primary Reform (1995)

Recommended Procedure for the BES Cluster Selection Process for Section of 1996 Clusters (1995)

Financing Vocational Training in Namibia (1993)

Financing the Namibian Vocational Training System (1995)
The National Integrated Education System for Emergent Namibia (1989)
Education in Transition (1990)
Change with Continuity (1990)
Towards Education for All (1993)
Etosha Conference (1992)
University of Namibia Faculty of Education Five Year Development Plan: 1995-1999 (1995)
Cost, Financing, and Development of Education in Namibia (1994)
READ Project Paper Amendment No. 1 (1995)
Read Project descriptive sheets (1995)
Rationalization of the Structure of the Ministry of Education and Culture (1993)
Sector & Cross-Sector Chapters for NDP1 (Draft, 1995)

Report 2

**Technical Analysis F for Basic Education Support Project:
Institutional and Administrative Analysis
by Dr. Joy Wolf**

4/94

and

**Education in Namibia - 1993
by the Ministry of Education and Culture**

5/94

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TECHNICAL ANALYSIS F:

INSTITUTIONAL AND ADMINISTRATIVE ANALYSIS

A: Organization and the Reorganization Process

One of the first institutional challenges facing the new government of Namibia was the need to replace eleven separate systems of education each based upon an ethnic division, with a single, national system. In the four years since independence, the MEC has been established as the single authority for education in the country, an institution that has defined educational policies, initiated a great many reform activities, and made substantial progress in curriculum development, examination reform, teacher training, and data collection. However, the tasks of actually establishing a single, unified, institutional system to manage and administer the education system and of ensuring that this new institutional system actually functions with the unity of purpose needed to achieve the aims of the reform have been far more difficult than was anticipated.

That process of transformation has been made more complicated by a number of factors, the most significant of which has been the MEC's inability to exercise full control over the selection and transfer of its own personnel. Namibia's newly elected government opted for reconciliation rather than confrontation with the old guard. In conformance with the policy of national reconciliation, Article 141 of the new constitution states that any person holding office (i.e. civil servant, administrator, teacher, etc.) on the date of independence will continue to hold that office unless or until he or she resigns or is retired, transferred, or removed from their position in accordance with the law. The impact of this constraint is heightened by the fact that, shortly before independence, the South African regime permitted working civil servants to convert their pension rights into private annuities that are held with South African financial institutions. Most officials took advantage of this opportunity, with the consequence that there was little incentive for officials who were not in agreement with the new government to attempt to transfer to South Africa, as their pension rights were already protected.

Thus, in building the new unified system, the government of Namibia has had to redeploy into the new MEC all officials of the previous eleven administrations who wished to remain, which was the vast majority of them. In addition, there was a relatively small number of previously excluded Namibians with a record of commitment to the ideals of an independent Namibia, who were qualified to fill positions of importance in the new administration. The actual number of qualified Namibians who returned from exile turned out to be smaller than had been anticipated and many who did return had qualifications (e.g. from Eastern Europe) which are not recognized by the South African-derived regulations of the Namibian Public Service Commission. The task confronting this staff was to construct the new institutional structure while the school system continued to function. This need to do two things simultaneously led to the initial structure of the MEC being, to a large extent, an expansion of the structure of the largest pre-existing authority, the Department of National Education, which had administered education for non-whites in white areas throughout the country. It is hardly surprising that a number of problems arose:

First, a proportion of the most experienced and qualified administrative and technical personnel absorbed from the previous administrations, although highly competent, are not necessarily fully in sympathy with the aims of the reform and are not necessarily fully committed to ensuring its success. When that is the case, these individuals are in a position to delay the implementation of reform policies. And, even when this is not a correct characterization of the attitudes of a particular official, the fact that he or she is known to have supported or acquiesced to the policies of the previous regime is sufficient to create the perception that it might be the case, which breeds mistrust and interferes with communication. Mere commitment to a policy of national reconciliation, and even its implementation to the letter, does not immediately remove such perceptions. This situation initially led to difficulties with unity of purpose within the MEC and distrust and communications problems among various officials within the MEC. However, now, four years after independence, most MEC personnel report that these difficulties are beginning to fade into the background as confidence in the reconciliation strategy of the government has increased and the daily process of working together has built greater trust and new networks.

Second, into this atmosphere of distrust and communication gaps were introduced a relatively large number of expatriates from very diverse origins and at all levels of the system (e.g. from top advisors to classroom teachers). These expatriates ranged from individuals who had been involved for years in planning educational reform with the Namibians who were in exile to others who were both politically naive and totally new to Africa. The presence of these expatriates, while clearly adding to the capacity of the MEC to fulfil its technical functions and undermining the conservative expertise from the previous regime, added further to the confusion and communication difficulties. In addition, the influx of foreign expertise invariably limited the scope for development of previously excluded Namibians and, however well-intentioned, often inserted assumptions and values generated outside of an Africa context.

Third, it was inevitable that a MEC that was hastily assembled from the staff of eleven different authorities and a few returning exiles would not have an internal structure that was ideally suited to the task at hand. Thus the MEC requested, and received, assistance from British ODA to help it draw up a "rationalization" plan, as required throughout the government by cabinet decision, in part to reduce the size and expense of government. The rationalization process has, again not surprisingly, been a long and slow one. The MEC Rationalization Task Force was established in May 1991. After two rounds of proposals, reviewed and agreed in principle by the Cabinet and the Public Service Commission, the third and final proposal received final approval from the Cabinet on March 30, 1993. It has not yet been implemented. This means that the structures and staffing of the entire MEC have been in transition throughout the period since independence and this transition will continue until the plan is implemented. Concern is often expressed within the MEC that this rationalization plan was constructed with relatively little consultation with Ministry personnel, a weakness which has tended to decrease the sense of ownership in the proposed plan. And, until the plan is actually implemented, it continues to be used as a constant reason for not moving ahead with specific reforms. Further, while the rationalization achieves reductions in the authorized personnel establishment of the MEC and regional offices, it does not necessarily reduce the actual number of posts filled or currently financed. It is also dubious whether the budget for MEC offices will be increased enough to allow recruitment to all posts in the new structure.

Delays in implementing the rationalization plan have had a particularly pronounced impact on NIED, as a newly created unit of the MEC. This is especially significant for the proposed project due to its focus on activities that are based in NIED. NIED has been constituted on paper, but can only be staffed once the rationalization plan has been implemented. To date, NIED has been dependent on expatriates for carrying out its functions. The rationalization program, when enacted, will provide up to 50 staff positions in NIED; whether or not these will all be actually filled is not clear. The sustainability of the proposed program is directly linked to the NIED's ability to provide staff on a timely basis to ensure technology transfer and effective utilization of the project assistance. The Materials Projection Unit of NIED will be especially important to carrying out the curriculum reform for the lower primary grades and that unit currently has no Namibian staff in place. In addition to NIED staff not yet having been hired, the physical structure for NIED is not yet complete. It is expected that the NIED staff will move into a newly constructed, donor-funded building 60km from Windhoek during 1994. While the new building will provide needed space for the new NIED staff and facilities for national level in-service teacher training, the move will, in itself, create another period of disruption.

Fourth, the MEC has suffered internally from a lack of communication and formal linkages between the planning functions and the budget functions in its head office and in the regions (and, externally, there is doubt about the efficacy of communication links between the MEC and the MOF, the NPC, and through the NPC with other Ministries). In addition, while the MEC has collected and stored a substantial amount of data about its schooling system, it is only in the last year that the process of analyzing that data in order to inform the decision-making process has been seriously undertaken. The method the MEC currently uses to allocate its guideline amount between budgetary categories has been to take the costs of personnel in post as continuing and fixed, whether the individuals in question are established in their posts or holding temporary appointments. The MEC receives a global guideline amount to cover all its recurrent expenditures from the MOF; after deducting these personnel costs, which have accounted for about three quarters of total expenditures in recent years, the budget process then deducts other contractual and quasi-fixed obligations, which are again in practice treated as fixed. These include subsidies to private schools and hostel and catering costs, which are largely under current procedures out of the control of the MEC head office. The residual is then available for operating costs, such as textbooks, travel, in-service training, fuel, utilities, and maintenance for schools, other instructional materials, etc. These funds are allocated to regions largely on the basis of the past year's allocation prorated to fit the funds available. How they are allocated within regions has been left up to the regions: with no clear guidance from the head office, this has generally meant that the regions have followed a similar pattern and based the distribution of resources on the previous years' allocations. The MEC is well aware of the need to establish links among its data analysis, budgeting, and planning processes: it is equally sensitive to any A.I.D. involvement in addressing this problem due to the unfortunate history of the Basic Education Reform Program (see Annex L).

A fifth and final structural problem facing the educational system of Namibia involves the difficulty of moving away from the previous, highly authoritarian and hierarchical administrative structure to one more suitable to the new democracy. In the past decisions flowed from Pretoria to Windhoek, and then down through a highly structured system within the head office and through highly structured systems within each ethnic authority, and finally

to each school. Decisions about what was to be done were passed downward, making the receiver both responsible for the implementation of the decision and eliminated from any role in the decision-making process. With the disruption of this system, several patterns emerged. Given their previously passive role in regard to decision-making, MEC personnel frequently wait for specific instructions about what is to be done and, if none arrive, do little to actively advance the reform. In addition, the lack of role definition and clear channels of communication and authority in the new organization create uncertainty about who is responsible for carrying out the implementation of policies, frequently resulting in no one taking responsibility and/or top personnel being forced into micromanagement. Although SWAPO leaders are in positions of power, their ability to implement their policies are limited by their inability to trust and mobilize those in middle-management positions, a group including both individuals who do not support the reform and individuals who support the reform but are unaccustomed to playing a role that includes decision-making and innovation. In addition, SWAPO leaders are often unable to establish the networks they need for receiving information and moving policies forward with lower-level SWAPO personnel, who not only lack established links to those who were educated in exile, but who also often lack the economic advantages of the returned exiles who are in positions of power and who frequently operate from a somewhat different value system. For example, the decision to change the language of instruction to English began to be developed as early as 1983 at a SWAPO conference in Lusaka. However good the reasons given to support this choice, it expresses a political need to make a visible break with Afrikaner colonialism. But, given the stress such a change creates in the educational system, grass roots Namibian educators would have preferred to focus upon more immediately practical issues, such as a more equitable allocation of resources and improvement in the qualifications and conditions of employment for teachers in the disadvantaged areas of the country. Differences in priorities among those who are struggling to advance the reform are still being worked out.

B: Decentralization and Redistribution Processes

The situations in the six regional offices of the MEC tend to reflect the impact of the same set of difficulties. These regional offices were newly created at independence, using personnel primarily from the various separate, pre-existing ethnic authorities. Considerable progress has been made in terms of developing a regional structure for monitoring and inspecting schools supplying books and other materials, delivering in-service training to teachers, approving personnel appointments to schools, and the development of local Teacher Resource Centers. However, as with the head office, the personnel and the budget, planning, and data systems are, to a large degree, those inherited from the previous regime. The rationalization plan involves changes in the staffing and organization of regional offices, but these are subject to the same delays and implementation problems as those designed for the head office.

The administrative transition has been painful in the former communal areas where the second-tier ethnic administrations have been disbanded and the new regional offices established. In the process, the white officials who ran these administrations have either been transferred or, in most instances, have resigned for the service. The local officials who remain, through no fault of their own, tend to be junior staff with little or no training or administrative experience. The new officials who have been appointed to the regional offices, most of whom are recently returned exiles, frequently have little relevant experience and have little knowledge of the region to which they have been sent. As a consequence, there is

administrative confusion in most of the regional offices at a time when popular demands for government action are extremely high. The regional offices also, in most cases, have the disadvantage with respect to public credibility of occupying the same office buildings as had the previous ethnic authority that was predominant in each particular region.

Just as funds are allocated to regions largely on the basis of the past year's allocation prorated to fit the funds available, the allocations of resources made by the regions to schools are very heavily influenced by historical inertia and the resourcing of schools in the past. To some extent, the infrastructure that has been inherited forces inequities in such circumstances; a school that has a telephone, electricity, more buildings, etc., will tend to have spent more in the past and will tend to continue to get more because they have a perceived 'need' for more operational expenses. The financial/budgeting and personnel systems are such that it is virtually impossible to determine how many resources are being expended through a particular school. Part of the problem is that currently all records are on paper and that they are arranged and kept in regional offices by object, not by school. For example, if a school requires textbooks, it draws up a requisition and, after approval by the relevant inspector, the order then goes, via the inspector, to the regional office. If it is approved there, it then goes to the clerk who deals with textbook orders, where it is processed and filed. In principle, then, the region knows how much it is spending on textbooks, but in order to find out how much a particular school is getting in textbooks, either a clerk must go through all of the paper on textbooks pulling the orders for the school in question, or one must go back to the school.

As noted in the Sector Assessment, and is evident from even the most cursory examination of the Namibian education system, education in Namibia involves extreme inequalities of resource allocation. Under the previous regime, estimates made in the Sector Review (1990) showed a range of annual expenditure per learner from R616 for Owambos to R5,105 for Whites, a ratio of 8.29 to 1 from highest to lowest. Rough estimates of average calculated cycle time, in years, from the same source ranged across ethnic groups from 3.84 to 6.44 years for lower primary, 4.08 to 6.90 years for Upper Primary, and 3.20 to 7.27 years for Junior Secondary. Under the unified system now in effect, it is no longer possible to estimate disparities in resource provision on an ethnic basis because schools are now organized on a regional, geographic basis and are open to learners of all ethnic groups. However, regional variations in expenditure per learner remain substantial: the 1992 cost study estimated the range of average expenditure on teacher compensation per learner across regions as from R414 to R1,136 at lower primary, from R747 to R1,986 at Upper Primary, and from R1,004 to R3,958 at Junior Secondary. And, just as importantly, the variance of expenditure per learner within regions, between schools formerly belonging to the well-resourced authorities and those formerly belonging to the poorly-resourced authorities, remains very substantial.

As part of the policy of national reconciliation, the strategy of the MEC with respect to resource allocation has been to favor the poorly-resourced schools with incremental improvements, but not to reallocate substantial amounts of resources away from well-resourced schools. For example, as yet there have been no compulsory transfers of teachers, in part because it is believed that many would resign rather than transfer and in part because there are substantial institutional obstacles to a more equitable allocation of teachers and other personnel. Although there seems to be some ambiguity about the strict legal position, the practice has been that teachers are appointed to specific posts at specific schools, and, once

confirmed as permanent civil servants, are treated as though they have tenure in that post at that school. Transfers are entirely voluntary on the basis of individual applications for vacant posts at other schools. It would appear that under current practice, teachers can only be induced to move to a different school by the abolition of the post they occupy. As yet, for somewhat understandable reasons involving perceptions and the danger of teachers resigning from the service rather than accepting posts in less favorable locations or less well resourced schools, the MEC appears to have been unwilling to reduce the number of authorized teacher posts at well-resourced schools, despite learner-teacher ratios that are significantly below the national average. The Minister has, however, stated that now that the rationalization plan for the MEC and regional offices has been approved, the next step is to develop personnel norms for schools.

The MEC has launched a school rationalization process, under which school buildings are reallocated and the provision of schools organized on a geographic basis rather than the previous ethnic basis. In some places, this process has already begun as a result of local initiative; in others it will be a difficult and slow process. Most of the changes have begun at the senior secondary level, where duplication of facilities is most serious and more expensive; it is expected that changes will gradually travel through the system to the lower grades. As this process continues, and as teachers become more mixed ethnically within individual schools, lateral and vertical communications and cooperation among schools should improve. However, at the actual level of operations, mistrust, fear, and lack of commitment to the ideals of the reform still exist. This has been illustrated by cases of teachers resigning and of schools allowing themselves to be closed or communities establishing private schools rather than accept rationalization proposals. In addition, the vast majority of schools with the least qualified teachers, poorest facilities, and fewest materials exist in the northern regions where the problem is less one of reallocation of resources among schools previously administered under different ethnic authorities, but the generally low level of funding to the majority of schools in those entire regions.

Relationships between communities and schools have not had time to recover from the tensions created during the struggle for independence. During that period: learners were often a focus of protest; SA soldiers, who were sent to teach in Namibian schools in an attempt to appear as social benefactors, were often perceived of as an armed enforcement of apartheid in the classroom; and the conscription of learners into the army was conducted through the support of the department of education and school principals. The MEC has made a substantial effort to consult with communities about the reform, particularly with respect to curricular reform, by means of public meetings and workshops for parents, NGOs, and churches throughout Namibia. Leaders of teachers' and learners' unions and traditional chiefs have direct access to the Minister. The MEC has also attempted to revitalize or to establish School Boards or Committees, which represent parents and communities, control school funds generated by community activities and from voluntary fees, and, in conjunction with the school principal, set various policies. However, at present, these boards or committees, although very active and successful at some schools, exist in a legal vacuum because no regulations exist covering their election, powers, and limitations. And, given the traditional authority of principals relative to teachers, parents, and learners, who are the members of the new school boards, it is difficult for board members to function as more than a rubber stamp to decisions already made.

C: Capacity

The capacity of an organization is a function not only of the skills and experience of its personnel, but also of their motivation, of the suitability and efficiency with which they are organized, the appropriate and rapid flow of communications, and the success of team work within the organization. Clearly, the process of consolidation and unification within the MEC head office has been slow and the process itself has resulted in poorer communications and weaker teamwork than is desirable, in some cases due to poor motivation or obstructionism. These difficulties were not foreseen in the original BERP analyses, nor were a number of related problems that have had significant impacts on the capacity of the MEC to carry out an educational reform.

First, as noted in the original analysis, but underemphasized, the reform process requires capacities in the MEC that were not required in any of the precursor authorities because the functions in question were either not performed at all or were carried out in South Africa. These include the need for expertise in areas such as: instructional design and curriculum development, including materials production; planning; management information systems and associated data analysis; examination systems; policy analysis; and teacher education for learner-centered education. In practice, there have turned out to be fewer Namibians with the requisite skills and experience available than was apparently anticipated. In some cases, Namibians who were available have not been employed because either budget stringency prevented authorization of recruitment to an established post, or, prior to the rationalization plan's approval, there has been no appropriate established post, or the recruitment process and conditions of service established by the Namibian Public Service Commission resulted in the candidate accepting employment elsewhere. As a result, in many of these categories, the MEC has had to rely heavily on a few dedicated public servants supplemented by expatriate advisors. The external technical assistance purchased by the GRN, or contributed by donors, has adequately supplemented the MEC's own capacity in some fields, such as curriculum development, but not in others, such as planning.

Second, the reform process not only requires entirely new categories of skills, it also requires very different attitudes about performance of duties and a different management style than was appropriate in the former authorities. As mentioned in Section A, the management style has had to be shifted to one that is supportive of both the reform and unification and one which is flexible, open to innovation, cost-conscious, and driven by the needs of learners rather than by directives from above. These attitudes are not necessarily present in all the officers inherited from the previous ethnic authorities and the process of altering the system of management within the MEC has been slow. It is not only new skills that must be learned, but new attitudes about decision-making and responsibility.

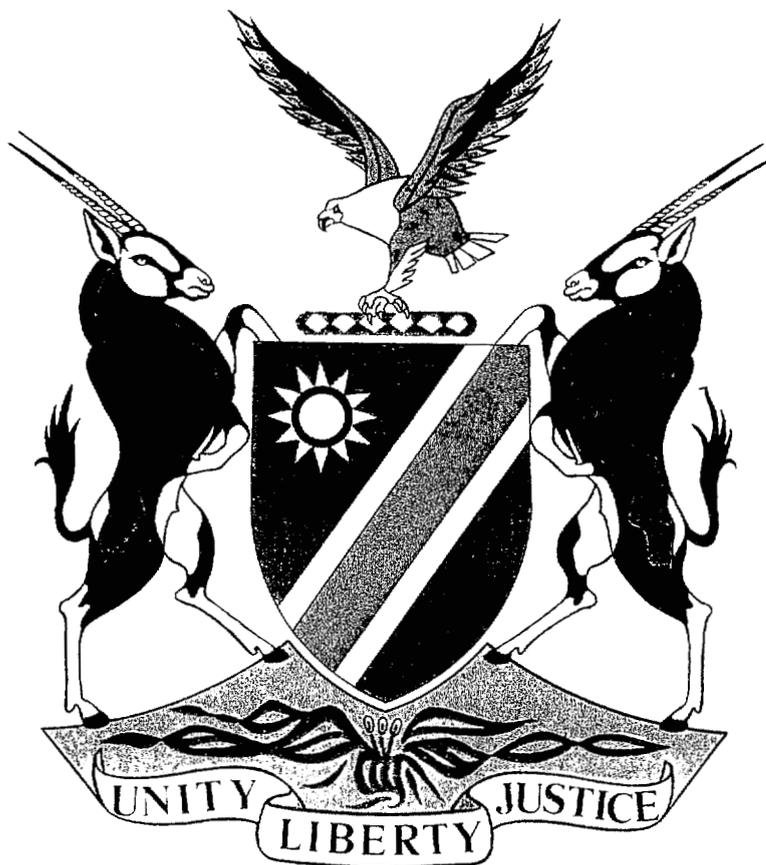
Third, until the reform process is complete in 1997, at the earliest, there will be two curricula in use in the school system. This represents additional demands on the MEC's capacity, because personnel, particularly subject advisors, inspectors, and administrators, have to deal simultaneously with two sets of syllabi in two languages of instruction. It appears that the original BERP analysis overlooked the extra strain this would put on the MEC in terms of its routine administrative work. The shift to English as the language of instruction has, especially, placed stress and extensive demands of the educational system.

Fourth, since independence the MEC has relied heavily on expatriate technical assistance in some fields, partly under contracts it has financed itself and partly by accepting technical assistance from donors. Unfortunately, through a lack of appropriate counterparts for most of these technical experts, relatively little capacity building has taken place among the Namibians working with the expatriates. Currently most training for MEC personnel is still being accomplished through short and long term training outside Namibia, which is expensive and time consuming. In addition, the uncertainties associated with the pending rationalization plan of the MEC have led to the postponement of essential training until it is clear who will be filling the relevant position.

Although the accomplishments of the MEC in many areas, especially curriculum development, since the inception of the reform following independence are very impressive, it appears that the capacity of the MEC to implement the reform remains constrained and will continue to remain constrained for some time. Therefore it is important that the MEC's rationalization plan be implemented in order to determine where capacity constraints may create bottlenecks.

The establishment of the new staffing patterns associated with the rationalization plan are important to ensuring sustainability, technology transfer and effective utilization of project assistance, as it is important that MEC staff be available to work as counterparts with project staff.

Republic of Namibia
Ministry of Education and Culture



Education in Namibia - 1993
Education Statistics for the 13 Regions

Introduction

Information on the Namibian education system has been compiled in this book for the purpose of serving the needs of Regional Councilors. The national picture is shown as are the details of education in each of the 13 Regions.

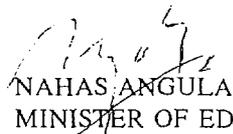
In its efforts to provide better education for Namibian children and those adults who were not able to attend school when they were young, the Ministry of Education and Culture is pursuing the following goals:

- equitable access to schooling
- quality of educational outcomes
- internal efficiency of the education system
- life long learning
- democratic participation of all parties involved

This book contains information related to these goals. The first few pages provide basic information on the number of people in different age groups, the number of schools and learners in each Region, the average number of learners per school and the average number of learners per teacher. This is followed by information on gender equity in our schools. Problems with children flowing through the system are described next with information on the promotion, repetition, drop-out and return of learners. A major issue in many of our schools is the large proportion of children far above the official age for their grade. Despite good overall enrolment rates, some segments of our population continue to have limited access to schooling or do not complete the basic education cycle. Next is information on teachers, classrooms, basic services and hostels. As life long learning is one of the goals of basic education reform, along with gender equity, information on the educational levels of men and women is provided through maps, tables and graphs.

All school-based data is from October 1993 unless otherwise noted. The population data is from the 1991 Population and Housing Census. The Ministry of Education and Culture has seven education regions for administrative purposes. In the tables, Councilors will find their region under the Education Region subheading. For example, Ohangwena is part of the Ondangwa East Education Region and therefore its figures are found under that italicised heading, *Ondangwa East*, along with Oshikoto.

This document was compiled in July 1994 by the Education Management Information System Division of the Ministry of Education and Culture. The population data was provided to the Ministry by the Central Statistics Office of the National Planning Commission.


NAHAS ANGULA
MINISTER OF EDUCATION AND CULTURE

Basic Information on Namibia's Schools and Learners

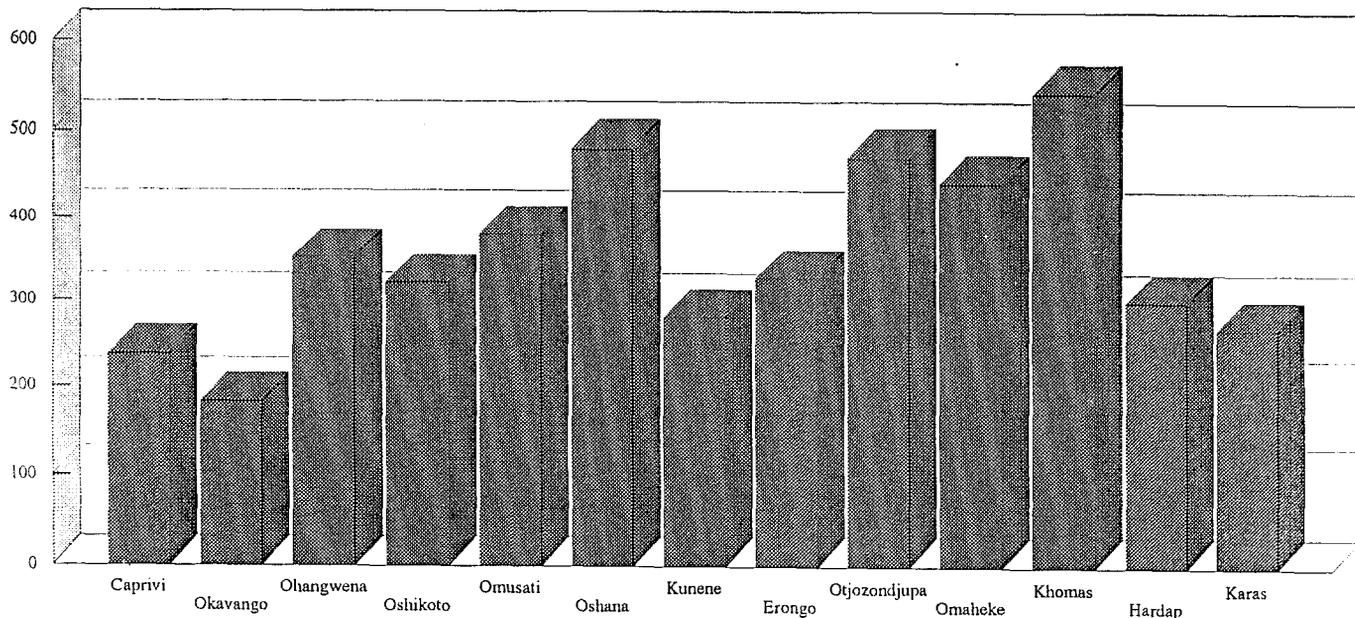
See also back cover for map of all schools and regional totals for schools, teachers and learners.

Number of schools by type - 1993

| Region | Government and Private Schools | | | | | Private Schools | | |
|----------------------|--------------------------------|------------------|-------------------|---------------|---------------|-----------------|----------|----------------------|
| | Primary Schools | Combined Schools | Secondary Schools | Other Schools | Total Schools | Schools | Learners | % Learners of Region |
| <i>Katima Mulilo</i> | | | | | | | | |
| Caprivi | 76 | 38 | 22 | 1 | 137 | 2 | 578 | 1.8% |
| <i>Rundu</i> | | | | | | | | |
| Okavango | 193 | 11 | 7 | 1 | 212 | 1 | 103 | 0.3% |
| <i>Ondangwa East</i> | | | | | | | | |
| Ohangwena | 144 | 43 | 6 | 0 | 193 | 1 | 177 | 0.3% |
| Oshikoto | 97 | 28 | 5 | 0 | 130 | 4 | 1 464 | 3.4% |
| <i>Ondangwa West</i> | | | | | | | | |
| Omusati | 138 | 73 | 9 | 0 | 220 | 0 | 0 | 0.0% |
| Oshana | 59 | 39 | 6 | 2 | 106 | 0 | 0 | 0.0% |
| <i>Khorixas</i> | | | | | | | | |
| Kunene | 41 | 4 | 5 | 2 | 52 | 3 | 798 | 5.4% |
| Erongo | 25 | 9 | 5 | 3 | 42 | 5 | 905 | 6.6% |
| <i>Windhoek</i> | | | | | | | | |
| Otjozondjupa | 31 | 9 | 5 | 3 | 48 | 4 | 425 | 1.9% |
| Omaheke | 18 | 8 | 3 | 0 | 29 | 7 | 2 211 | 17.2% |
| Khomas | 40 | 11 | 11 | 10 | 72 | 17 | 5 946 | 15.2% |
| <i>Keetmanshoop</i> | | | | | | | | |
| Hardap | 39 | 13 | 6 | 3 | 61 | 10 | 1 886 | 10.3% |
| Karas | 32 | 9 | 7 | 4 | 52 | 11 | 3 582 | 25.7% |
| Total | 933 | 295 | 97 | 29 | 1354 | 65 | 18075 | 4.0% |

The "Other Schools" category includes pre-primary, special and agricultural schools, technical/vocational schools and institutes and schools for the handicapped. Only the Omaheke, Khomas and Karas Regions have substantial numbers of learners in private schools. The average size of schools (below) differs substantially among regions. This reflects different population distribution patterns and different ways of providing access to schooling. In the Okavango Region, for example, many small rural primary schools have been established within walking distance of most children while most schools in the Khomas Region are big urban schools serving the concentrated urban population and, through hostel accommodation, the rural population.

Average number of learners in each school - 1993



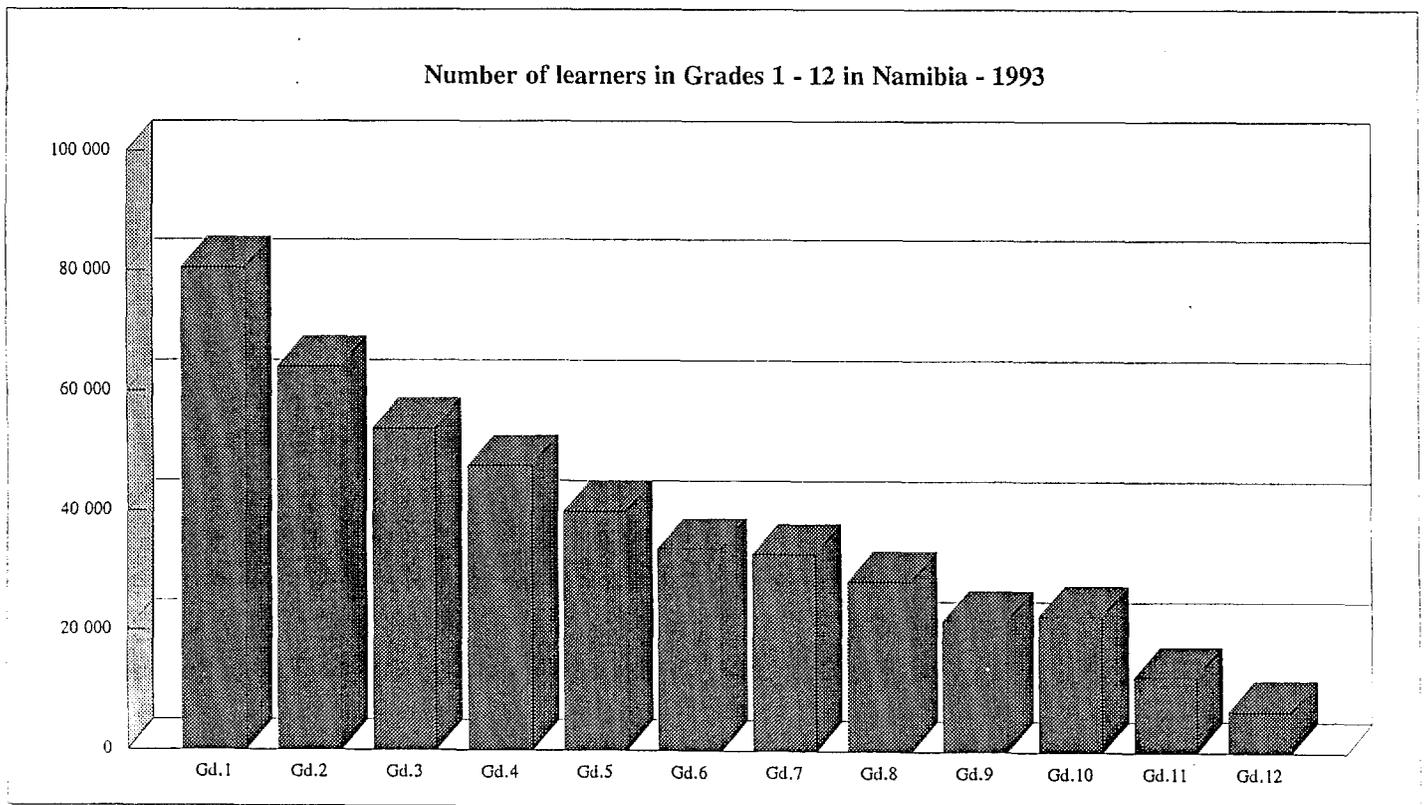
406

Number of learners in Grades 1 - 12 in Namibia - 1993

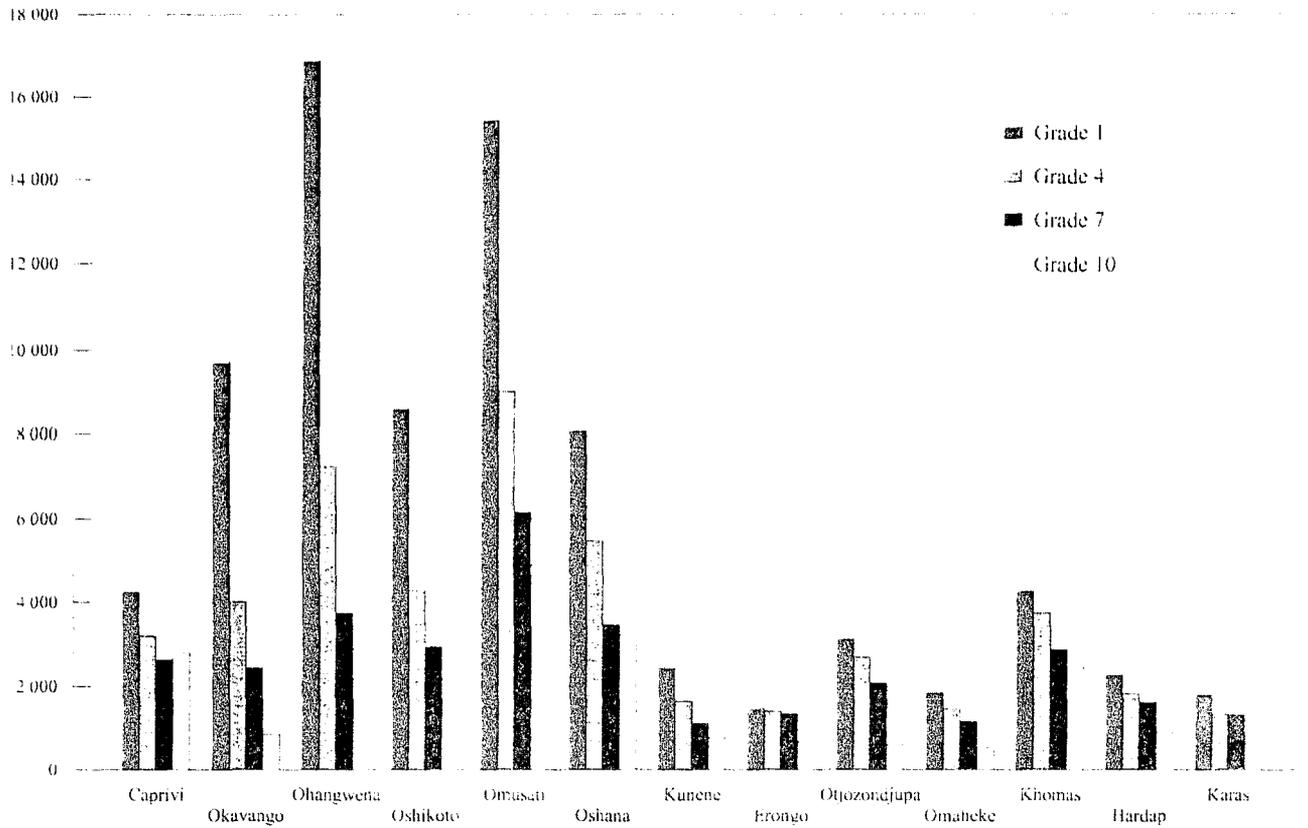
| Regions | Grades | | | | | | | | | | | |
|----------------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|--------------|
| | Gd.1 | Gd.2 | Gd.3 | Gd.4 | Gd.5 | Gd.6 | Gd.7 | Gd.8 | Gd.9 | Gd.10 | Gd.11 | Gd.12 |
| <i>Katima Mulilo</i> | | | | | | | | | | | | |
| Caprivi | 4 274 | 3 474 | 3 605 | 3 218 | 2 871 | 2 730 | 2 631 | 2 605 | 2 057 | 2 806 | 1 232 | 1 142 |
| <i>Rundu</i> | | | | | | | | | | | | |
| Okavango | 9 725 | 6 097 | 4 966 | 4 020 | 3 044 | 2 376 | 2 433 | 1 958 | 1 057 | 857 | 567 | 228 |
| <i>Ondangwa East</i> | | | | | | | | | | | | |
| Ohangwena | 16 892 | 11 984 | 8 690 | 7 257 | 5 275 | 4 124 | 3 751 | 2 738 | 2 298 | 2 191 | 1 060 | 372 |
| Oshikoto | 8 611 | 6 911 | 5 527 | 4 296 | 3 544 | 2 787 | 2 936 | 2 441 | 2 083 | 2 173 | 955 | 394 |
| <i>Ondangwa West</i> | | | | | | | | | | | | |
| Omusati | 15 442 | 12 668 | 10 110 | 9 022 | 7 244 | 6 538 | 6 159 | 4 783 | 3 927 | 4 890 | 2 004 | 930 |
| Oshana | 8 114 | 7 234 | 5 904 | 5 496 | 4 275 | 3 680 | 3 468 | 3 238 | 2 854 | 3 240 | 2 072 | 1 120 |
| <i>Khorixas</i> | | | | | | | | | | | | |
| Kunene | 2 453 | 2 048 | 1 818 | 1 651 | 1 517 | 1 226 | 1 107 | 1 073 | 659 | 772 | 350 | 162 |
| Erongo | 1 475 | 1 401 | 1 432 | 1 411 | 1 507 | 1 216 | 1 345 | 1 247 | 905 | 674 | 504 | 280 |
| <i>Windhoek</i> | | | | | | | | | | | | |
| Otjozondjupa | 3 158 | 2 868 | 2 855 | 2 706 | 2 409 | 2 127 | 2 074 | 1 632 | 860 | 598 | 551 | 296 |
| Omaheke | 1 876 | 1 643 | 1 473 | 1 476 | 1 381 | 1 235 | 1 157 | 1 051 | 618 | 534 | 188 | 91 |
| Khomas | 4 300 | 3 762 | 3 844 | 3 753 | 3 611 | 2 786 | 2 879 | 3 087 | 2 689 | 2 450 | 1 861 | 1 205 |
| <i>Keetmanshoop</i> | | | | | | | | | | | | |
| Hardap | 2 295 | 2 131 | 1 976 | 1 831 | 1 948 | 1 708 | 1 606 | 1 475 | 1 042 | 902 | 589 | 340 |
| Karas | 1 827 | 1 712 | 1 490 | 1 344 | 1 328 | 1 192 | 1 329 | 1 017 | 771 | 630 | 482 | 245 |
| Total | 80 442 | 63 933 | 53 690 | 47 481 | 39 954 | 33 725 | 32 875 | 28 345 | 21 820 | 22 717 | 12 415 | 6 805 |

Omusati Region has the largest learner enrolment in the country, 83 717 learners. Ohangwena and Oshana both have over 50 000 learners, with Ohangwena having more Grade 1 learners than Omusati.

For the country as a whole, enrolment declines as grades progress (below). The only exception to this is Grade 10 where, due to high repetition rates, learners outnumber their Grade 9 colleagues. As expected, there is a significant drop between Grade 10 and Grade 11, the start of senior secondary school. There is not much of a drop nationally between Grade 7, the final primary year, and Grade 8, the start of junior secondary, suggesting widespread access into this phase. The sharp drop between Grade 1 and 2 is alarming.



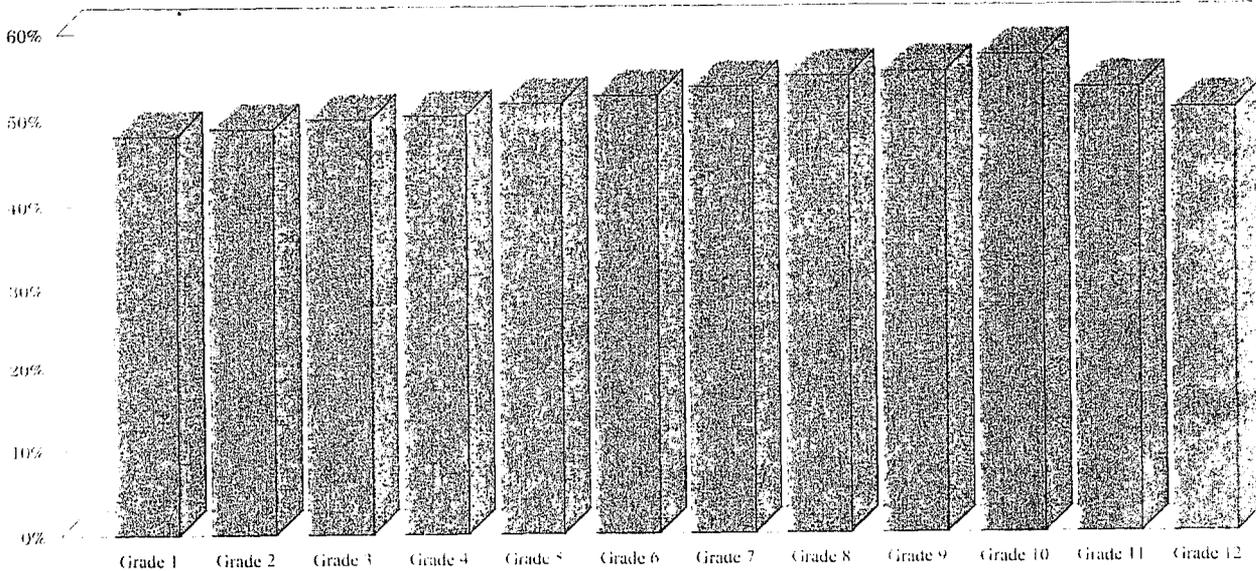
Numbers of learners in Grades 1, 4, 7 and 10 - 1993



The above graph allows comparison of enrolment patterns across regions. This graph highlights the drop in learner numbers between the grades. The heights of the columns vary because of the different total numbers of learners in each region. There is considerable variation in enrolment patterns, with some regions showing steady drops across the transitional grades and others sharp declines. The Erongo Region has the steadiest enrolment numbers from Grade 1 to Grade 7. Okavango, Oshana, and Oshikoto appear to lose more than 50% of their Grade 1 learners by Grade 4. Only in the Caprivi Region do Grade 10 learners outnumber those in Grade 7, due to a high rate of repetition in Grade 10. In addition, most primary completers continue into the junior secondary phase.

Gender Equity

Percentage of female learners in Grades 1-12, nationally - 1993



On a national scale, there is widespread female participation in schooling, rising through the grades to a high of 57% in Grade 10 and declining slightly in senior secondary.

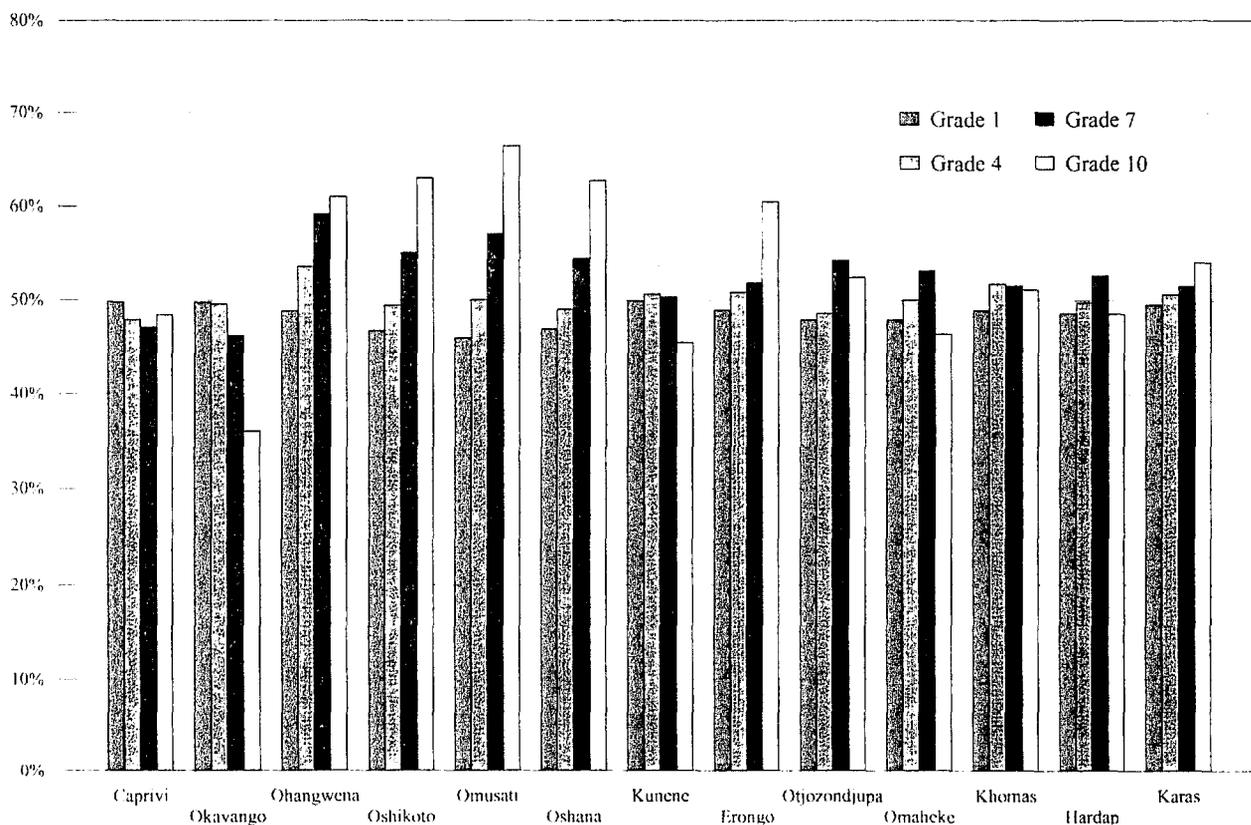
408

Percentage of female learners in Grades 1 - 12 - 1993

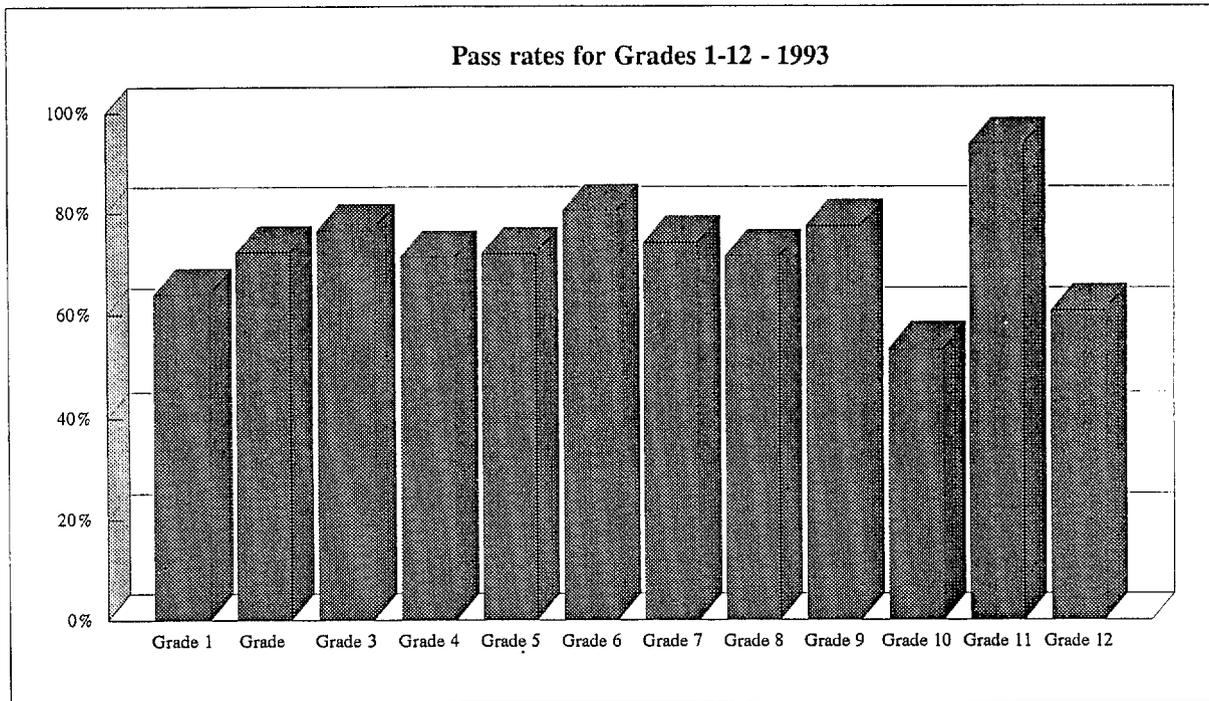
| Region | Grade 1 | Grade 2 | Grade 3 | Grade 4 | Grade 5 | Grade 6 | Grade 7 | Grade 8 | Grade 9 | Grade 10 | Grade 11 | Grade 12 |
|----------------------|---------|---------|---------|---------|---------|---------|---------|---------|---------|----------|----------|----------|
| <i>Katima Mulilo</i> | | | | | | | | | | | | |
| Caprivi | 49.8% | 49.6% | 48.2% | 47.9% | 48.6% | 49.0% | 47.1% | 49.6% | 46.0% | 48.4% | 36.9% | 39.6% |
| <i>Rundu</i> | | | | | | | | | | | | |
| Okavango | 49.8% | 50.5% | 50.7% | 49.6% | 49.9% | 47.6% | 46.2% | 42.1% | 37.3% | 36.1% | 27.3% | 25.4% |
| <i>Ondangwa East</i> | | | | | | | | | | | | |
| Ohangwena | 48.9% | 51.5% | 53.5% | 53.6% | 56.7% | 57.5% | 59.2% | 61.7% | 61.4% | 61.0% | 59.1% | 53.0% |
| Oshikoto | 46.8% | 47.7% | 50.1% | 49.5% | 52.8% | 53.2% | 55.1% | 57.7% | 60.7% | 63.0% | 55.9% | 57.6% |
| <i>Ondangwa West</i> | | | | | | | | | | | | |
| Omusati | 46.0% | 47.4% | 49.6% | 50.1% | 51.8% | 55.2% | 57.1% | 57.7% | 60.8% | 66.4% | 65.7% | 60.9% |
| Oshana | 47.0% | 48.0% | 49.7% | 49.1% | 50.6% | 53.0% | 54.5% | 57.3% | 59.4% | 62.7% | 62.9% | 57.0% |
| <i>Khorixas</i> | | | | | | | | | | | | |
| Kunene | 50.0% | 48.6% | 50.7% | 50.7% | 50.4% | 53.3% | 50.4% | 47.9% | 42.9% | 45.5% | 40.3% | 35.2% |
| Erongo | 49.0% | 47.8% | 48.5% | 50.9% | 50.8% | 48.8% | 51.9% | 56.5% | 58.8% | 60.5% | 61.9% | 65.4% |
| <i>Windhoek</i> | | | | | | | | | | | | |
| Otjozondjupa | 48.0% | 47.9% | 48.1% | 48.7% | 50.5% | 51.0% | 54.3% | 53.6% | 50.9% | 52.5% | 42.1% | 51.7% |
| Omaheke | 48.0% | 47.9% | 49.6% | 50.1% | 50.0% | 50.4% | 53.2% | 56.1% | 53.2% | 46.4% | 42.0% | 33.0% |
| Khomas | 49.0% | 48.9% | 49.8% | 51.8% | 52.4% | 51.9% | 51.6% | 54.0% | 53.5% | 51.2% | 51.4% | 50.0% |
| <i>Keetmanshoop</i> | | | | | | | | | | | | |
| Hardap | 48.7% | 49.8% | 46.7% | 49.8% | 51.1% | 48.7% | 52.7% | 53.1% | 53.7% | 48.6% | 48.7% | 51.5% |
| Karas | 49.6% | 47.1% | 46.4% | 50.7% | 50.5% | 53.3% | 51.6% | 55.7% | 50.6% | 54.1% | 47.1% | 50.6% |
| <i>National</i> | | | | | | | | | | | | |
| National | 48.1% | 48.9% | 50.0% | 50.4% | 51.8% | 52.6% | 53.6% | 54.8% | 55.3% | 57.2% | 53.4% | 51.1% |

Female participation varies across regions. Between Grade 7 and Grade 10, the proportion of females increases in Caprivi, Ohangwena, Oshikoto, Omusati, Oshana, Erongo and Karas but declines in Okavango, Kunene, Otjozondjupa, Omaheke and Hardap. In senior secondary it drops as low as 39% in Caprivi and 25% in Kavango.

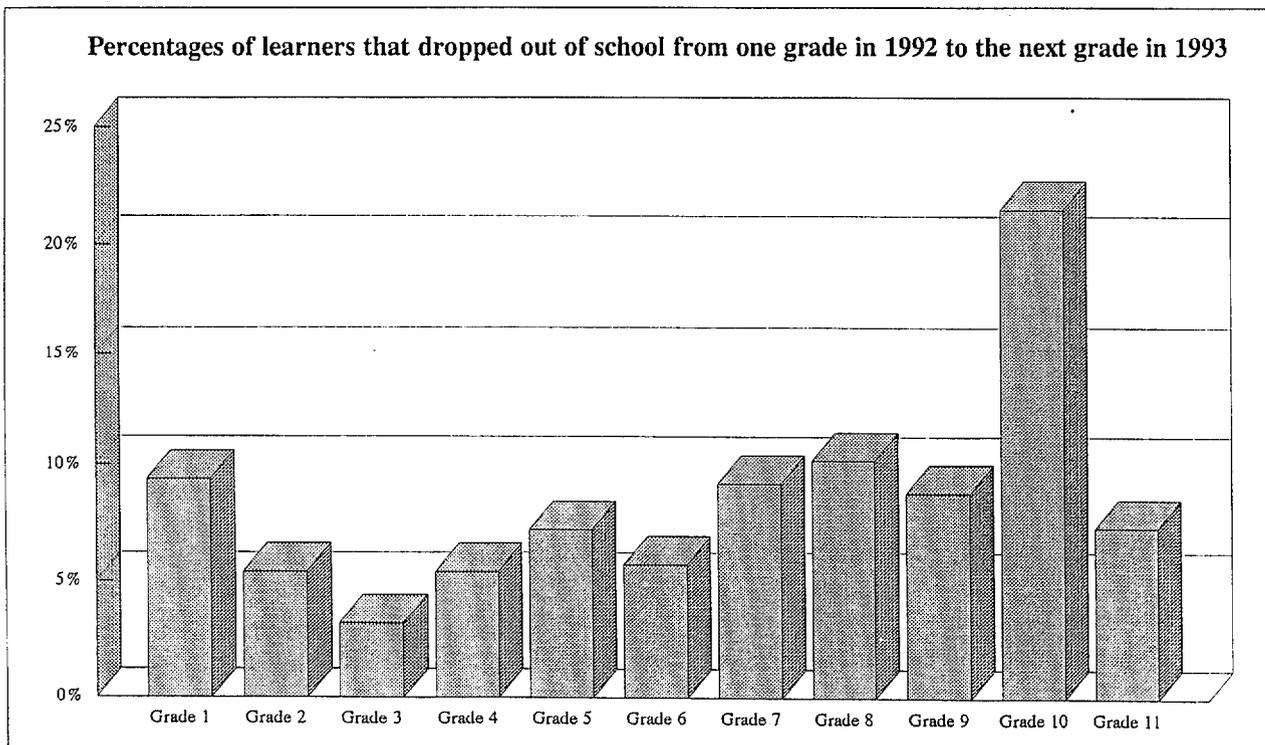
Percentage female learners in Grades 1, 4, 7 and 10 - 1993



The Flow of Learners

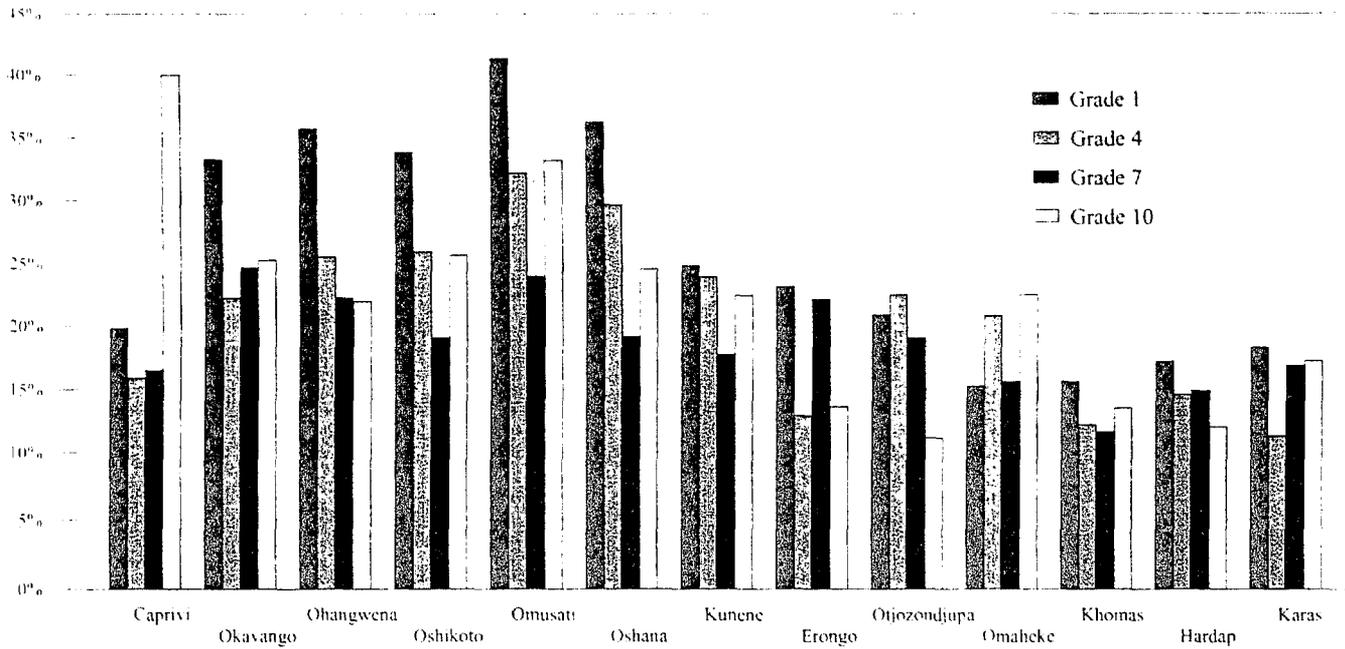


Pass rates vary across grades. For grades with no external examination, Grade 1 has the lowest pass rate, with 36,2% of the children failing. As a result, this is where we have the highest repetition (next page). At the Junior Secondary level, 10% of the learners who start Grade 8 do not go on and another 8,8% Grade 9 learners leave school before starting Grade 10. School leaving after the Junior Secondary Certificate examination is also shown in this graph as apparent "drop-out."



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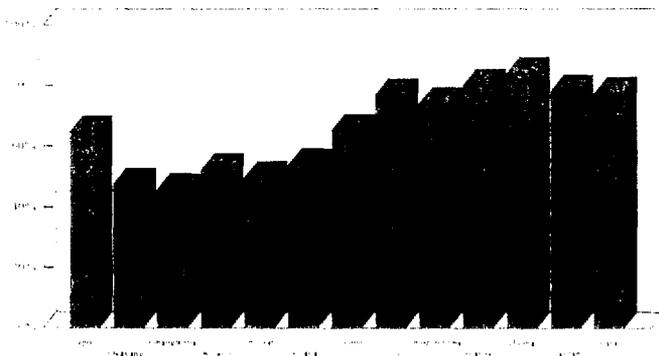
Percentages of learners repeating Grades 1, 4, 7 and 10 - 1993



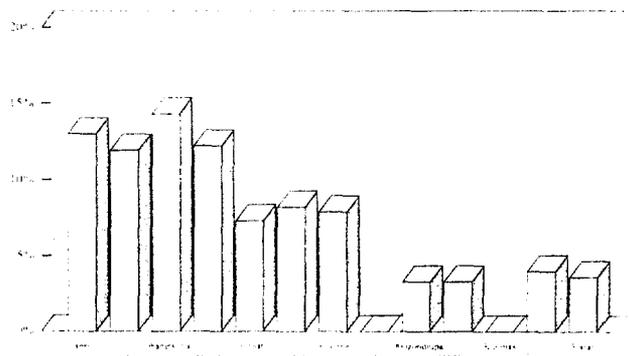
Repetition rates vary across grades and regions. In Okavango, Ohangwena, Oshikoto, Omusati and Oshana 33-41% of the Grade 1 learners repeat, a costly situation in human and financial terms. Caprivi has 40% of its Grade 10 learners repeating while Otjozondjupa has just 11,2%. About 23% of all learners in Namibia are repeaters. Below is a more complete picture of Grade 1 learner flow. This grade is highlighted because of the large numbers of learners involved (80 442) and because the first-year experience influences the learner's educational future. The pattern that is evident is that where Grade 1 promotion rates are low, repetition and drop-out rates are high. The regions with the lowest promotion rates and the highest repetition and drop-out rates are Okavango, Ohangwena, Oshikoto, Omusati and Oshana. The low re-entry rates show that few children who leave school return at a later date, Okavango being the exception with a return rate for drop-outs of 7,4%.

Grade 1 Learner Flow

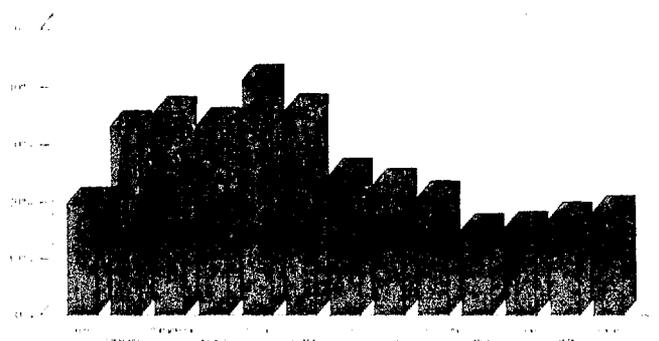
Promotion rates



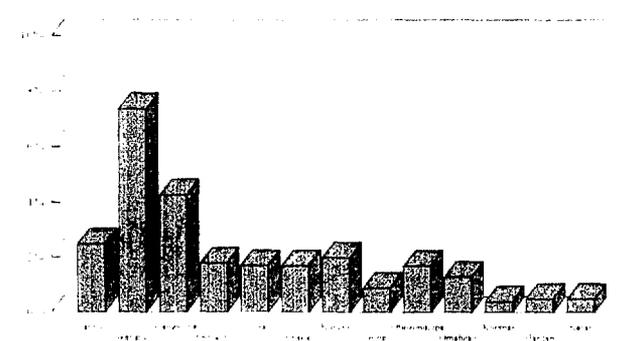
Drop-out rates



Repetition rates



Re-entry rates

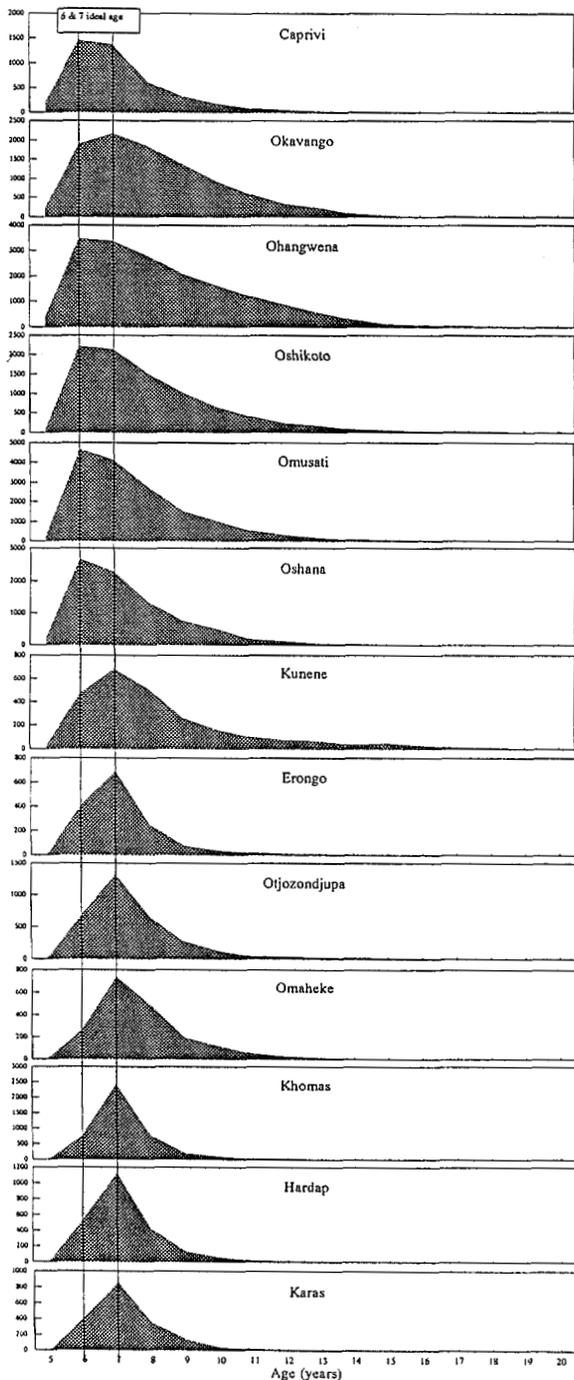


Many learners are much older than is appropriate for their grades

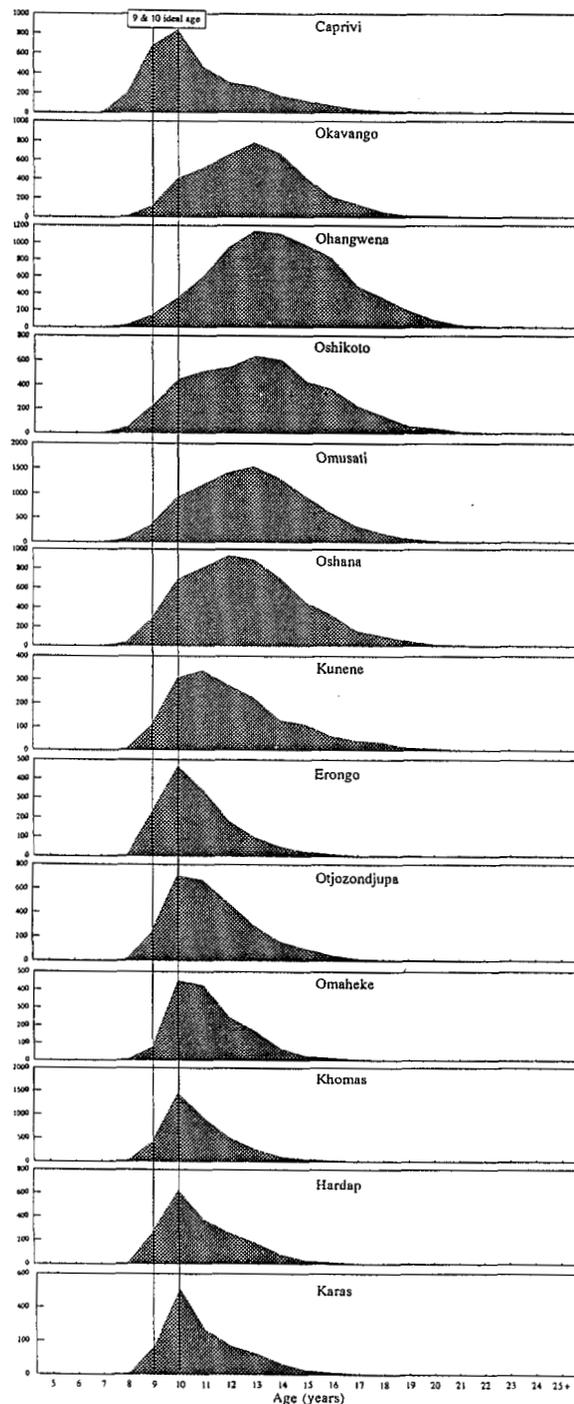
The age of learners is of importance to educators for a number of reasons. Children starting school at the appropriate age appear to do better than their older and younger classmates. Classes with a large age spread pose problems for teaching and class dynamics. Finally, the older a child is, the greater the chances of him/her leaving school before completing the basic education cycle.

The four sets of graphs here show the distribution of learners' ages for Grades 1, 4, 7 and 10. They highlight the variation across regions. Although the most common age for Grade 1 learners is between 6 and 7 years in all regions, by Grade 4 the learners in Okavango, Ohangwena, Oshikoto, Omusati and Oshana are at least 3 years off the official age of 9-10 years, due in large part to failure and subsequent repetition. This is despite learners in these regions starting school earlier than in other regions. The overage trend continues through Grade 7 and by Grade 10 only a small number of learners in those regions are the appropriate age of 15-16. Many more are 25 years of more, ten years overage. The regions in which overage learners are not a serious problem are Caprivi, Khomas, Hardap and Karas.

Number of learners of different ages in Grade 1



Number of learners of different ages in Grade 4

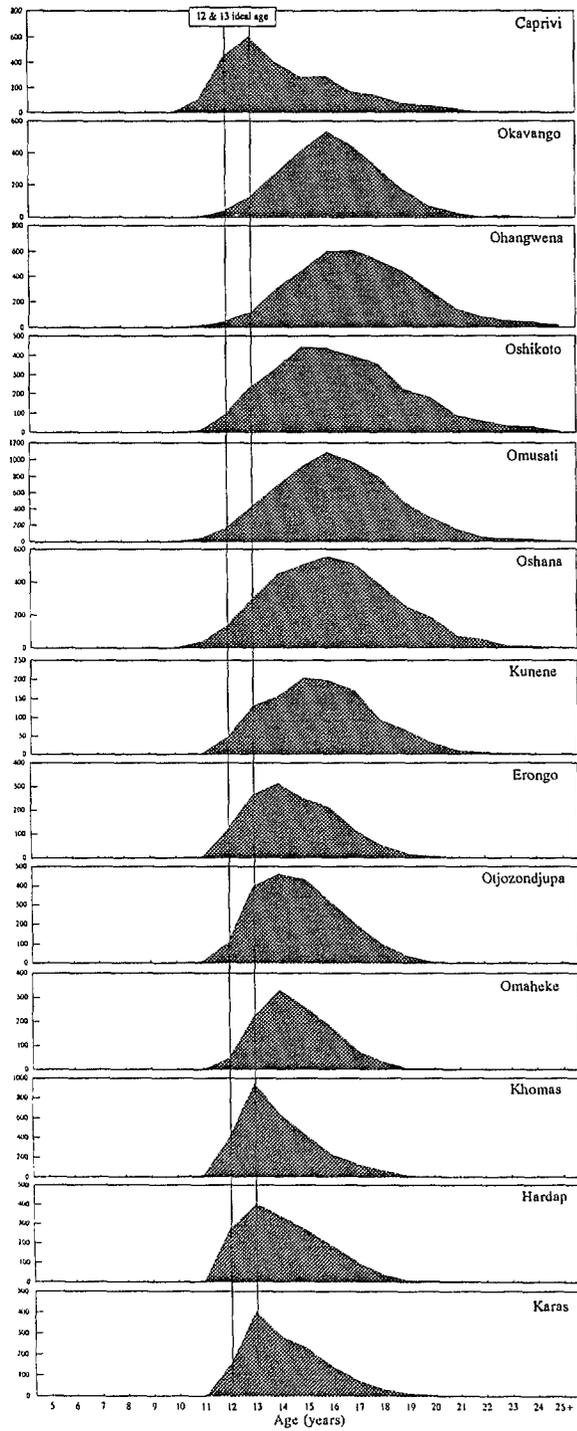


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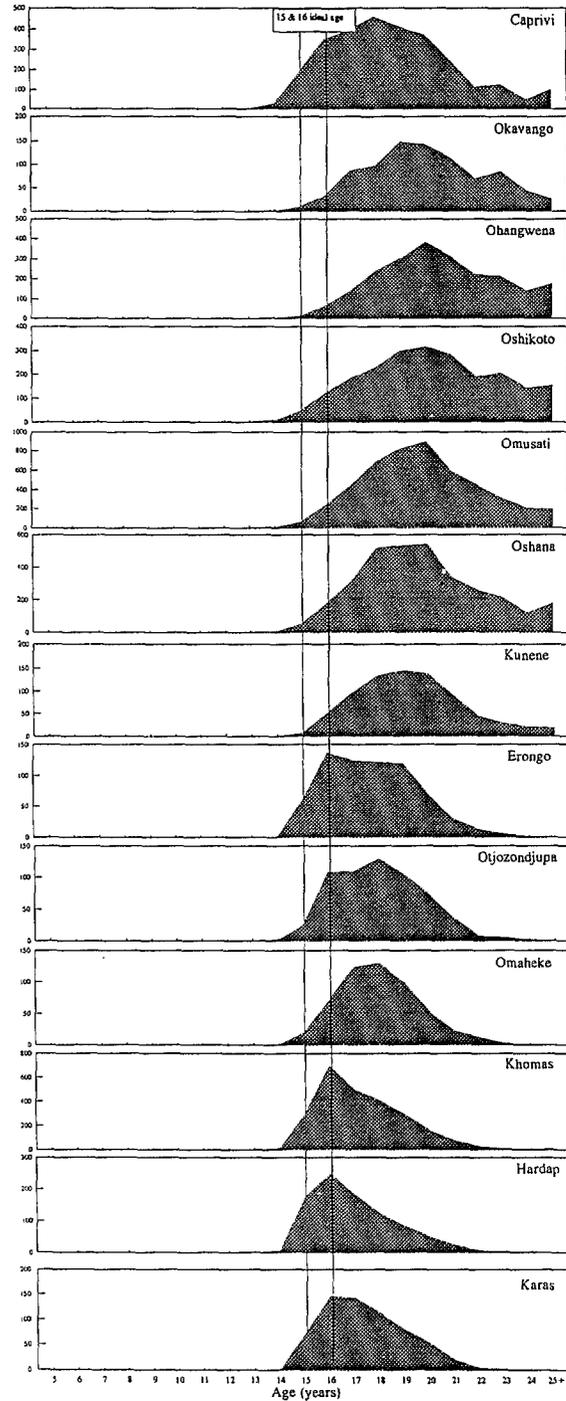
Number of learners of different ages, Grades 1-12 in Namibia - 1993

| Grade | 5 yrs or less | 6 yrs | 7 yrs | 8 yrs | 9 yrs | 10 yrs | 11 yrs | 12 yrs | 13 yrs | 14 yrs | 15 yrs | 16 yrs | 17 yrs | 18 yrs | 19 yrs | 20 yrs | 21 yrs | 22 yrs | 23 yrs | 24 yrs | 25 yrs or more |
|----------|---------------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|----------------|
| Grade 1 | 1 517 | 19 847 | 23 183 | 14 254 | 8 311 | 5 488 | 3 242 | 2 045 | 1 331 | 623 | 295 | 155 | 98 | 38 | 13 | 1 | - | - | - | 1 | - |
| Grade 2 | 43 | 1 010 | 8 366 | 14 914 | 11 759 | 9 557 | 6 234 | 4 622 | 3 314 | 1 973 | 1 110 | 554 | 241 | 141 | 56 | 20 | 7 | 6 | 4 | - | 2 |
| Grade 3 | - | 48 | 655 | 4 806 | 10 312 | 9 652 | 7 679 | 6 414 | 5 367 | 3 595 | 2 327 | 1 383 | 680 | 433 | 190 | 91 | 30 | 13 | 9 | 4 | 2 |
| Grade 4 | - | - | 5 | 441 | 3 307 | 8 150 | 7 439 | 6 898 | 6 580 | 5 205 | 3 734 | 2 582 | 1 450 | 919 | 449 | 211 | 69 | 19 | 15 | 5 | 3 |
| Grade 5 | - | - | - | 24 | 292 | 2 552 | 6 252 | 6 033 | 6 146 | 5 569 | 4 573 | 3 608 | 2 143 | 1 375 | 711 | 372 | 174 | 74 | 40 | 13 | 3 |
| Grade 6 | - | - | - | - | 27 | 278 | 2 129 | 5 079 | 5 173 | 5 186 | 4 766 | 4 131 | 2 634 | 1 975 | 1 117 | 684 | 303 | 116 | 74 | 27 | 26 |
| Grade 7 | - | - | - | - | - | 5 | 231 | 2 068 | 4 577 | 4 955 | 5 083 | 4 971 | 3 974 | 2 946 | 1 798 | 1 146 | 542 | 265 | 162 | 105 | 47 |
| Grade 8 | - | - | - | - | - | - | 14 | 181 | 1 649 | 3 627 | 4 070 | 5 048 | 4 284 | 3 495 | 2 322 | 1 484 | 920 | 561 | 365 | 188 | 137 |
| Grade 9 | - | - | - | - | - | - | - | 14 | 91 | 1 230 | 2 925 | 3 054 | 3 542 | 3 347 | 2 671 | 1 987 | 1 155 | 699 | 557 | 279 | 269 |
| Grade 10 | - | - | - | - | - | - | - | - | 1 | 67 | 1 006 | 2 428 | 2 814 | 3 368 | 3 437 | 3 229 | 2 177 | 1 405 | 1 209 | 725 | 851 |
| Grade 11 | - | - | - | - | - | - | - | - | - | - | 56 | 648 | 1 711 | 1 810 | 1 911 | 1 861 | 1 484 | 933 | 864 | 513 | 624 |
| Grade 12 | - | - | - | - | - | - | - | - | - | - | 1 | 15 | 419 | 1 058 | 916 | 982 | 966 | 720 | 708 | 402 | 618 |

Number of learners of different ages in Grade 7



Number of learners of different ages in Grade 10



Access to Schooling

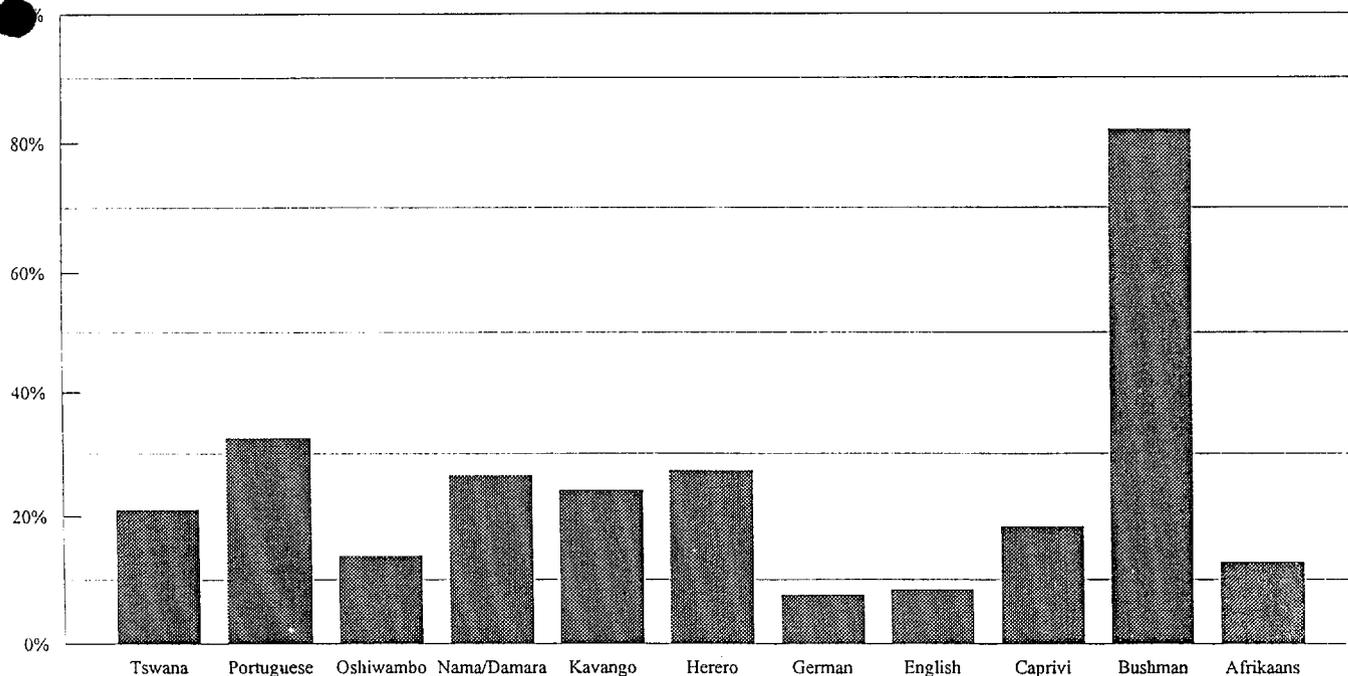
Numbers of 6-16 year-olds who had never attended school, were at school, or who had left school in 1991

| Regions | Males | | | Females | | | Total no. of 6-16 year-olds |
|----------------------|--------------------------|-----------|---------------------|--------------------------|-----------|---------------------|-----------------------------------|
| | Never attended school | At school | Have left school | Never attended school | At school | Have left school | |
| <i>Katima Mulilo</i> | | | | | | | |
| Caprivi | 2070 | 10753 | 574 | 1933 | 10897 | 876 | 27103 |
| <i>Rundu</i> | | | | | | | |
| Okavango | 2643 | 14479 | 720 | 2344 | 14613 | 1093 | 35892 |
| <i>Ondangwa East</i> | | | | | | | |
| Ohangwena | 5504 | 22766 | 589 | 3503 | 26451 | 408 | 59221 |
| Oshikoto | 3587 | 15755 | 464 | 2371 | 16468 | 266 | 38911 |
| <i>Ondangwa West</i> | | | | | | | |
| Omusati | 2229 | 28583 | 431 | 1617 | 30936 | 323 | 64119 |
| Oshana | 1546 | 16472 | 352 | 1121 | 18078 | 250 | 37819 |
| <i>Khorixas</i> | | | | | | | |
| Kunene | 3094 | 5064 | 400 | 2551 | 5492 | 318 | 16919 |
| Erongo | 638 | 5255 | 282 | 480 | 5765 | 185 | 12605 |
| <i>Windhoek</i> | | | | | | | |
| Otjozondjupa | 3074 | 9026 | 617 | 2596 | 9447 | 518 | 25278 |
| Omaheke | 2309 | 4581 | 384 | 2001 | 4762 | 279 | 14316 |
| Khomas | 1543 | 13681 | 551 | 1357 | 14381 | 480 | 31993 |
| <i>Keetmanshoop</i> | | | | | | | |
| Hardap | 1106 | 7488 | 444 | 934 | 7522 | 313 | 17807 |
| Karas | 744 | 5812 | 376 | 688 | 5924 | 259 | 13803 |
| Total | 30087 | 159715 | 6184 | 23496 | 170736 | 5568 | 395786 |

This table provides the information on how well we are meeting our constitutional obligation to 6-16 year old children. Because children enter school later than the official age in some regions, a number of 6 year old children included in the "Never attended school" column will most likely enrol in school at a later age. Overall, 13.5% of all 6-16 year old children have never attended school and only 3% of the 6-16 year old children in the country have left school. There is poor school attendance for some language groups, most notably the "Bushman" language group.

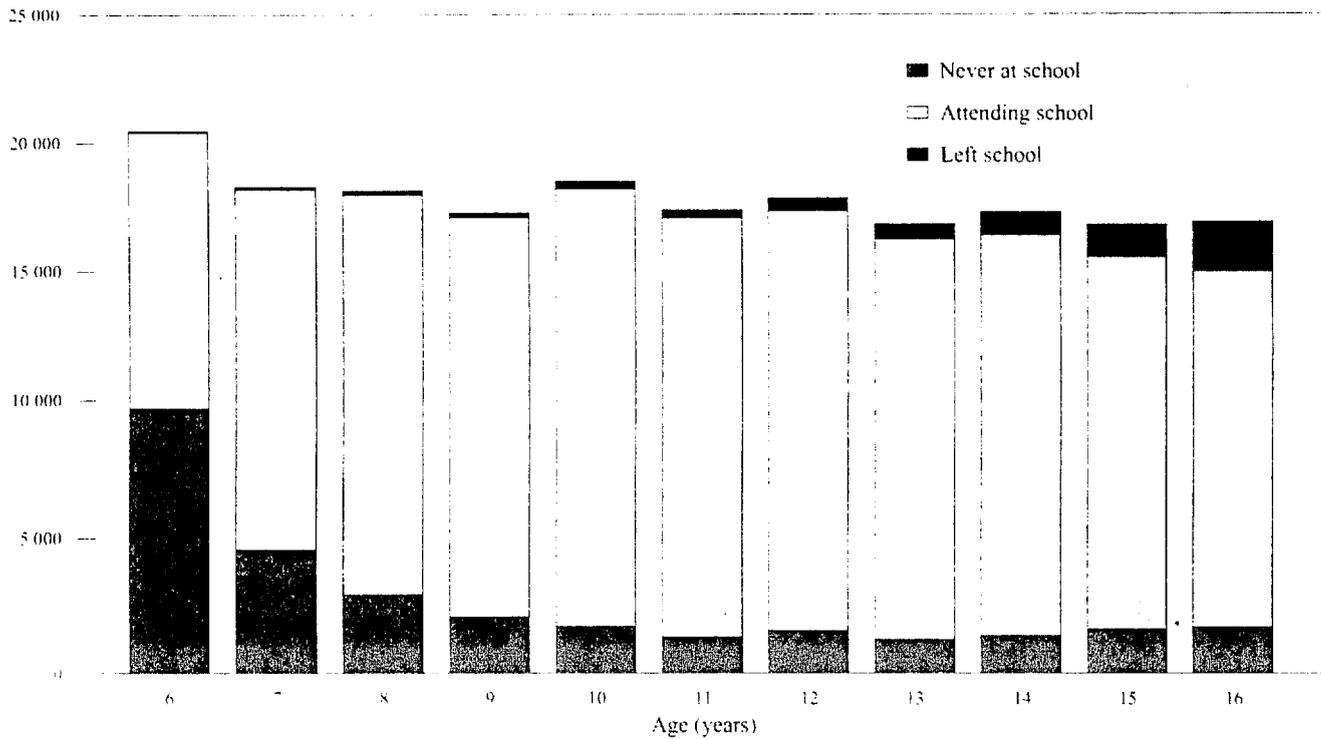
Percentages of 6-18 year-olds not at school of different language groups

Results reported in the 1991 Population & Housing Census



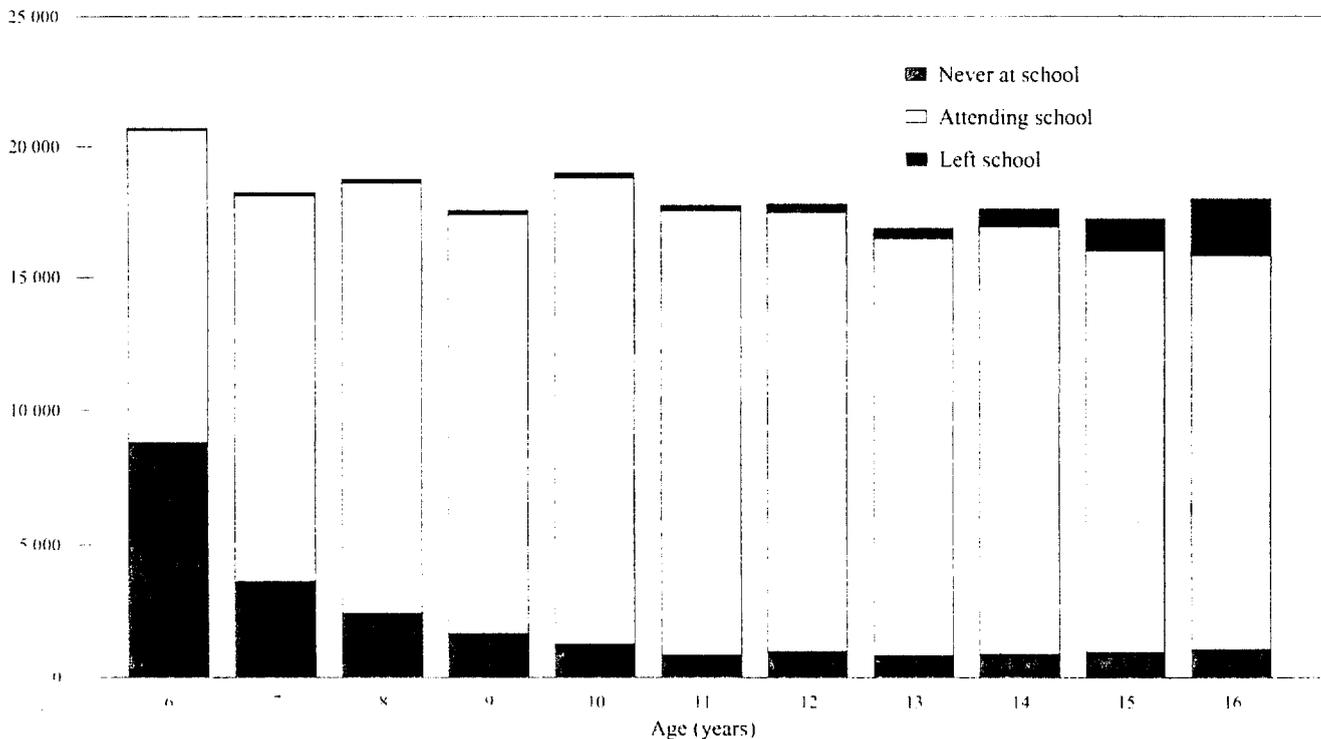
414

Numbers of 6-16 year-old males never at school, attending school and left school, 1991
Results reported in the 1991 Population & Housing Census



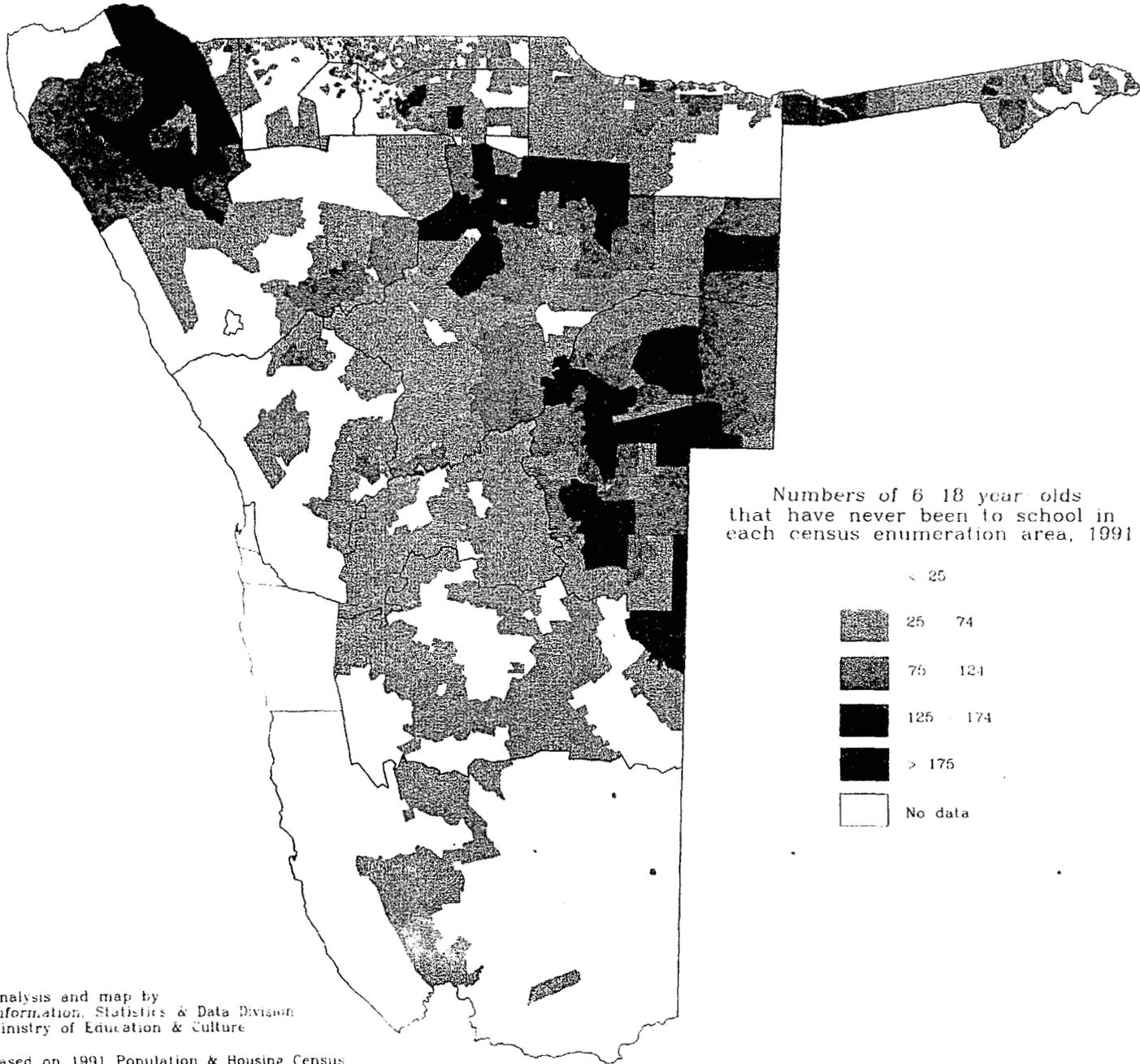
The patterns of school attendance are similar for males and females in all Regions. With the exception of the Caprivi and Kavango Regions, more males never attended school and more males left school than females.

Numbers of 6-16 year-old females never at school, attending school and left school, 1991
Results reported in the 1991 Population & Housing Census



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Distribution of children not at school



Numbers of 6-18 year olds that have never been to school in each census enumeration area, 1991

| | |
|------------------|-----------|
| Light stippling | < 25 |
| Medium stippling | 25 - 74 |
| Dark stippling | 75 - 124 |
| Black | 125 - 174 |
| White | > 175 |
| White | No data |

Analysis and map by
Information, Statistics & Data Division
Ministry of Education & Culture

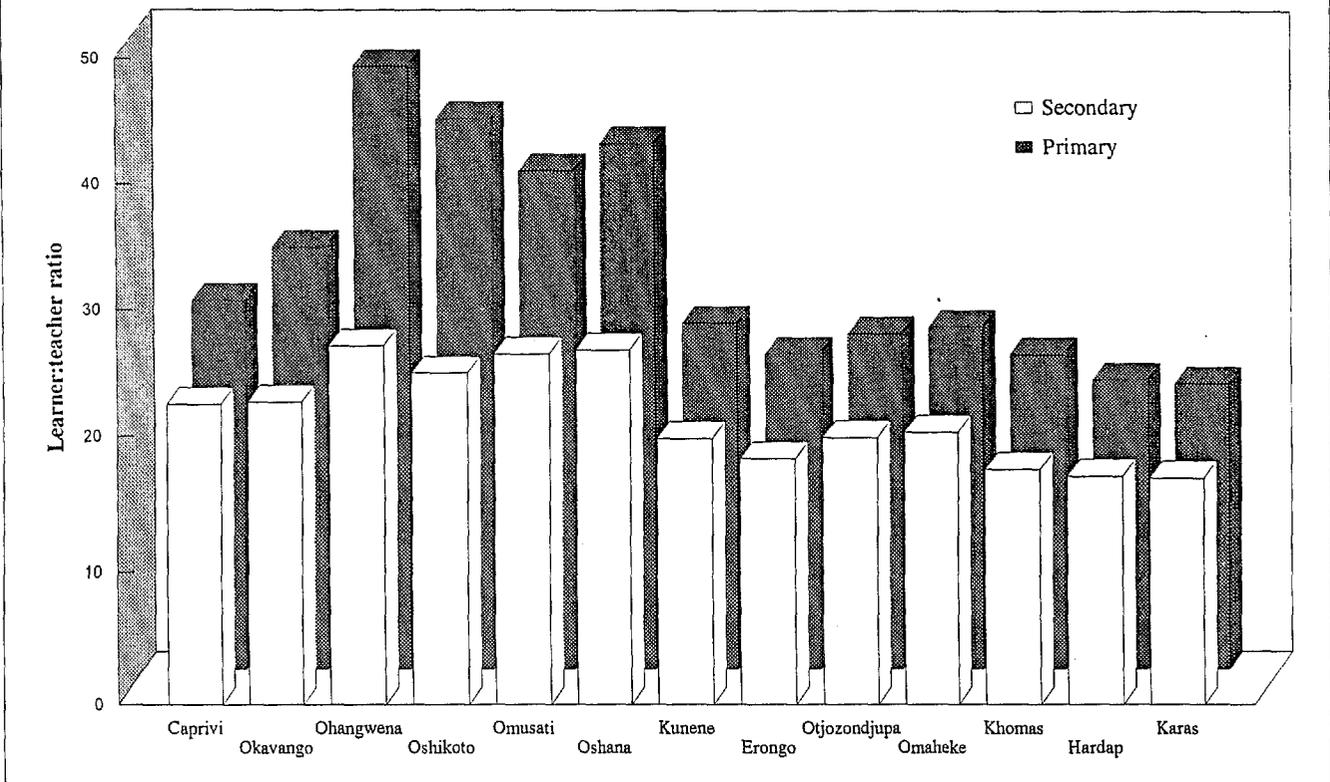
Based on 1991 Population & Housing Census

Information on children not at school is available from the 1991 Population and Housing Census. For this Census, the country was divided into about 2 200 enumeration areas, each with a population that could be enumerated by a single person. The geographic area covered by these enumeration areas was relatively large in sparsely populated regions and smaller in urban and more densely populated rural areas.

The map shows the number of school-age children in each enumeration area that have never been to school. This map can be used to identify areas with substantial concentrations of children not in school.

The main access problems identified through this method are in the Omaheke, Ohangwena, Otjozondjupa, northern Kunene and the western Caprivi Regions. This map should be read with the statistics on children not at school by language group (page 10). A high percentage of children not at school are what was termed in the Population Census as "Bushman" language speakers. Improving access in these regions may require research into appropriate educational delivery systems.

Primary and secondary learner:teacher ratios - 1993



There is wide variation in the learner:teacher ratios at primary level, with the highest average in the northern regions (as many as 47 learners per teacher) and the lowest in Karas (21 learners per one teacher). At the secondary level, learner:teacher ratios range from 28 in Ohangwena Region to 17 in the Khomas, Hardap and Karas Regions. While the Ministry is working for a more equitable distribution of teachers, the rate of progress is hampered by the non-availability of financial resources, teachers and teacher housing in some regions, the need for smaller class sizes in secondary and specialised education, the low population density in the southern region and historical factors.

National Tertiary Institutions - 1993

| Institutions | Location | Enrollment |
|------------------------------------|---------------|------------|
| University of Namibia - | Windhoek | 2,752 |
| Technicon of Namibia - | Windhoek | 1,531 |
| College Out of School Training | Windhoek | 2,240 |
| Windhoek College of Education | Windhoek | 313 |
| In-service (Distance Training) | Windhoek | 764 |
| Rundu College of Education | Rundu | 97 |
| Katima Mulilo College of Education | Katima Mulilo | 252 |
| Ongwediva College of Education | Ongwediva | 703 |
| Total | | 8,652 |

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Teachers

The professional and academic qualifications of teachers - 1993

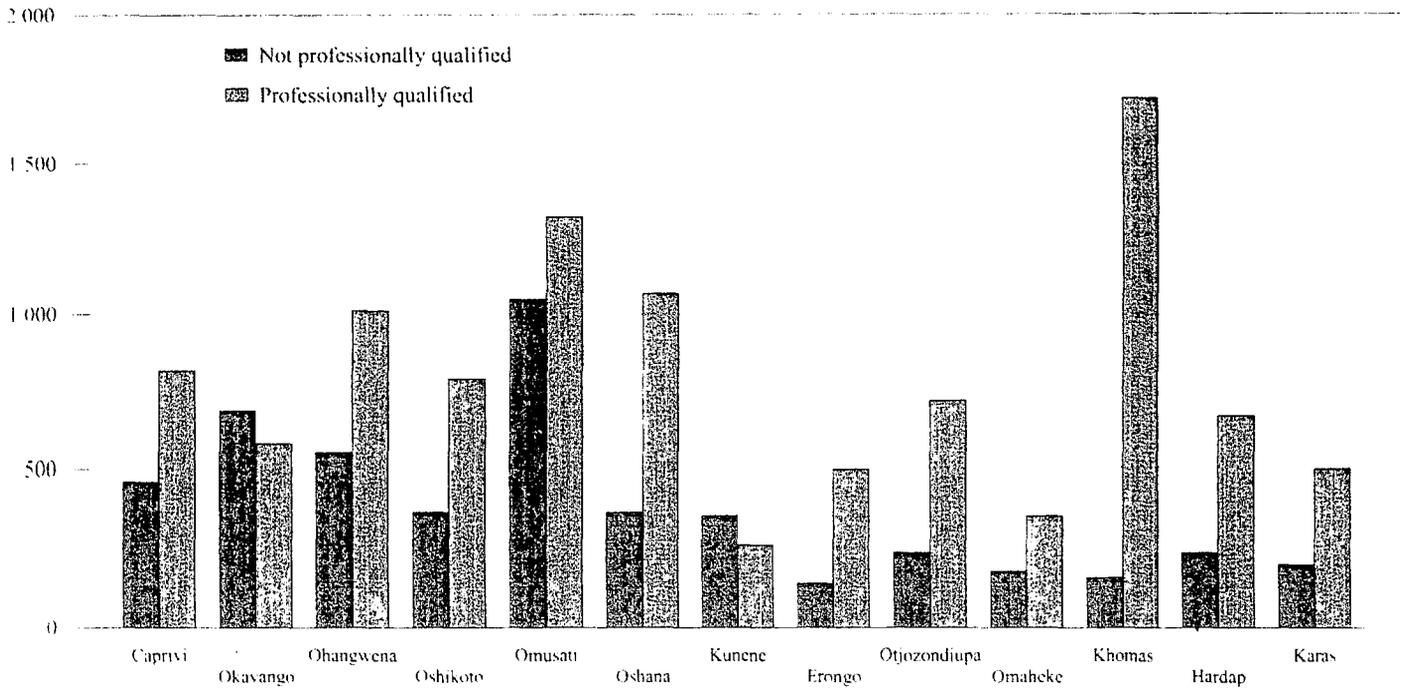
| Region | Numbers of teachers without professional teacher training | | | | Numbers of teachers with professional teacher training | | | | Total |
|----------------------|---|--|--|--------------|--|--|--|---------------|---------------|
| | Less than Gd. 12 | Gd. 12 or Gd. 12 + up to 2 years tertiary training | Gd. 12 + more than 2 years tertiary training | Sub-total | Less than Gd. 12 | Gd. 12 or Gd. 12 + up to 2 years tertiary training | Gd. 12 + more than 2 years tertiary training | Sub-total | |
| <i>Katima Mulilo</i> | | | | | | | | | |
| Caprivi | 195 | 246 | 20 | 461 | 343 | 395 | 77 | 815 | 1 276 |
| <i>Rundu</i> | | | | | | | | | |
| Okavango | 581 | 83 | 19 | 683 | 409 | 99 | 66 | 574 | 1 257 |
| <i>Ondangwa 1</i> | | | | | | | | | |
| Ohangwena | 402 | 132 | 12 | 546 | 492 | 428 | 92 | 1 012 | 1 558 |
| Oshikoto | 283 | 62 | 21 | 366 | 349 | 300 | 140 | 789 | 1 155 |
| <i>Ondangwa 2</i> | | | | | | | | | |
| Omusati | 795 | 238 | 16 | 1 049 | 720 | 446 | 156 | 1 322 | 2 371 |
| Oshana | 232 | 110 | 23 | 365 | 445 | 454 | 169 | 1 068 | 1 433 |
| <i>Khorixas</i> | | | | | | | | | |
| Kunene | 193 | 147 | 14 | 354 | 98 | 63 | 103 | 264 | 618 |
| Erongo | 56 | 57 | 29 | 142 | 123 | 122 | 250 | 495 | 637 |
| <i>Windhoek</i> | | | | | | | | | |
| Otjozondjupa | 123 | 106 | 12 | 241 | 206 | 231 | 281 | 718 | 959 |
| Omaheke | 77 | 98 | 6 | 181 | 116 | 123 | 113 | 352 | 533 |
| Khomas | 56 | 48 | 58 | 162 | 154 | 393 | 1 170 | 1 717 | 1 879 |
| <i>Keetmanshoop</i> | | | | | | | | | |
| Hardap | 145 | 84 | 11 | 240 | 148 | 158 | 360 | 666 | 906 |
| Karas | 116 | 66 | 21 | 203 | 107 | 94 | 294 | 495 | 698 |
| Total | 3 254 | 1 477 | 262 | 4 993 | 3 710 | 3 306 | 3 271 | 10 287 | 15 280 |

Number of teachers teaching different grades - 1993

| Region | Primary Grades | Combined Grades | Secondary Grades | Total |
|----------------------|----------------|-----------------|------------------|---------------|
| <i>Katima Mulilo</i> | | | | |
| Caprivi | 783 | 89 | 398 | 1 270 |
| <i>Rundu</i> | | | | |
| Okavango | 1 003 | 65 | 186 | 1 254 |
| <i>Ondangwa 1</i> | | | | |
| Ohangwena | 1 100 | 239 | 216 | 1 555 |
| Oshikoto | 727 | 183 | 238 | 1 148 |
| <i>Ondangwa 2</i> | | | | |
| Omusati | 1 527 | 390 | 453 | 2 370 |
| Oshana | 825 | 219 | 382 | 1 426 |
| <i>Khorixas</i> | | | | |
| Kunene | 444 | 31 | 138 | 613 |
| Erongo | 405 | 60 | 164 | 629 |
| <i>Windhoek</i> | | | | |
| Otjozondjupa | 690 | 79 | 179 | 948 |
| Omaheke | 376 | 46 | 101 | 523 |
| Khomas | 1 114 | 125 | 617 | 1 856 |
| <i>Keetmanshoop</i> | | | | |
| Hardap | 597 | 97 | 206 | 900 |
| Karas | 471 | 71 | 155 | 697 |
| Total | 10 062 | 1 694 | 3 433 | 15 189 |

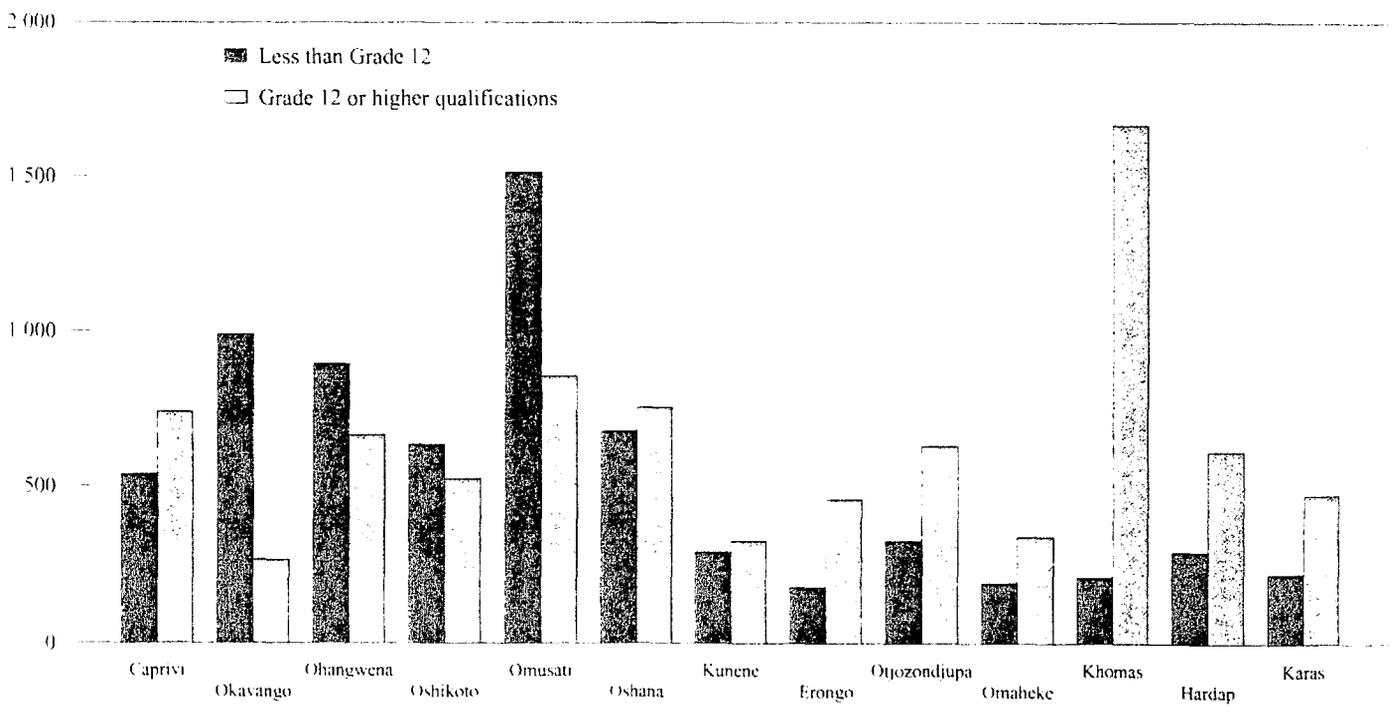
The table above indicates that the majority of teachers (10 062) teach only primary grades and another 1 694 (11%) teachers teach in both primary and secondary grades.

Numbers of teachers qualified as professional teachers - 1993



About 67% of teachers have professional training in teaching. The proportion of teachers in each region who are professionally qualified varies. For example, 91% of the teachers in Khomas are professionally qualified while only 46% of those in Okavango are. The academic background of teachers varies across regions as well. While 89% of the teachers in Khomas have a qualification of Grade 12 or higher. Okavango has only 21% and Omusati only 36% of teachers with that level of qualification. Nationally, about 54% of teachers have Grade 12 or higher qualifications.

Numbers of teachers with Grade 12 or higher academic qualifications, or less than Grade 12, 1993



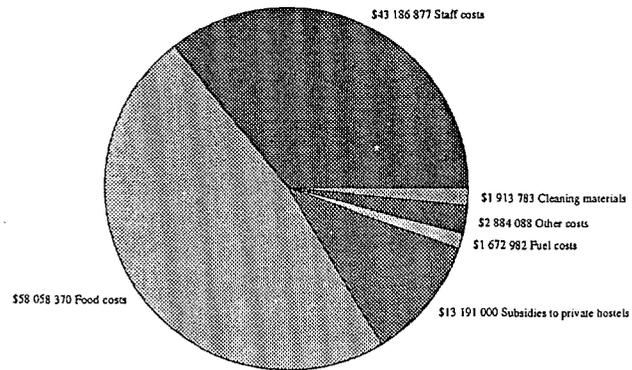
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Hostels and Physical Facilities

Number of Hostels and Boarders in Namibia - 1993

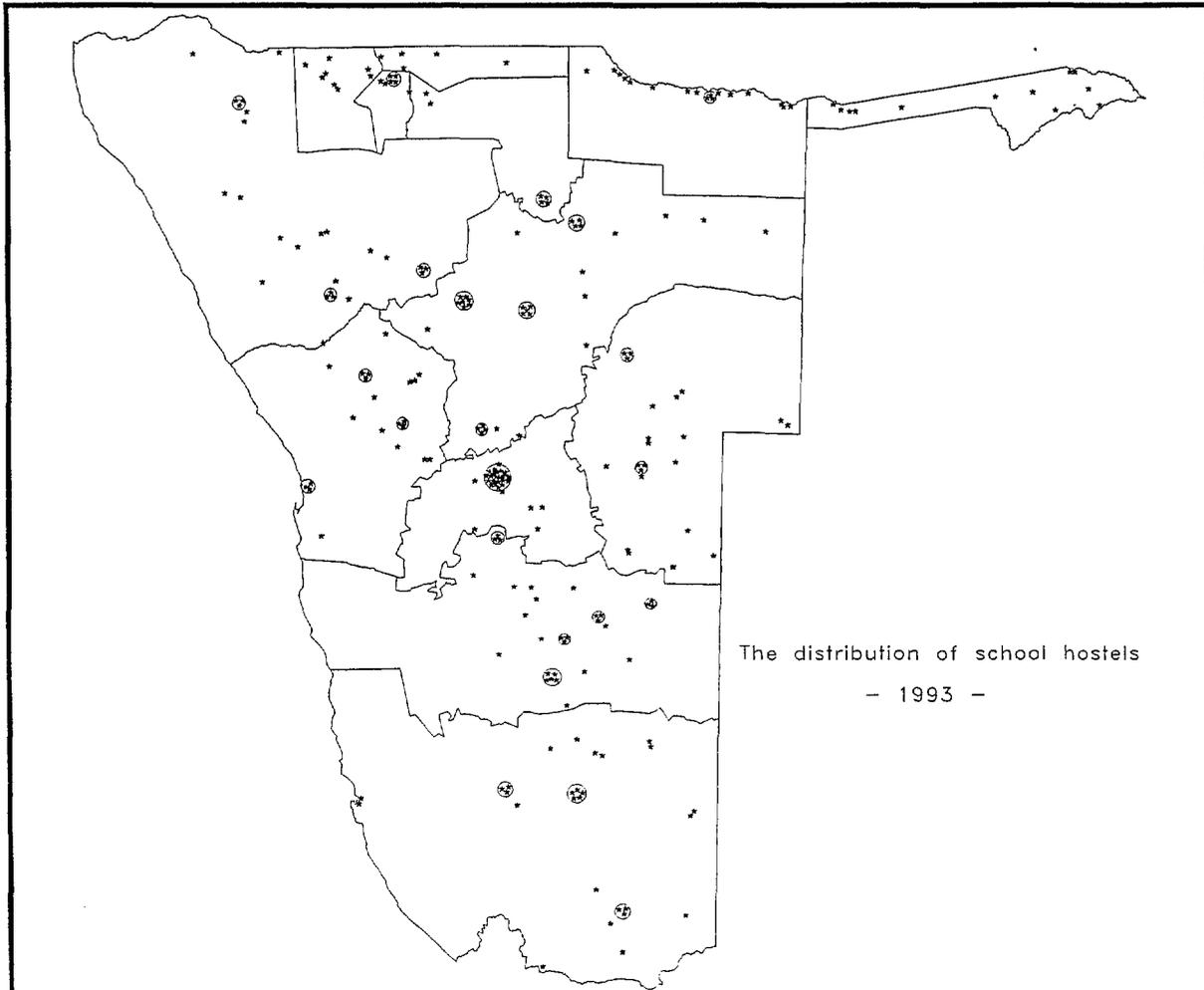
| Region | Hostels | Boarders | % Learners in Hostels |
|----------------------|------------|---------------|-----------------------|
| <i>Katima Mulilo</i> | | | |
| Caprivi | 11 | 2 494 | 7.6% |
| <i>Rundu</i> | | | |
| Okavango | 16 | 3 856 | 10.0% |
| <i>Ondangwa East</i> | | | |
| Ohangwena | 5 | 2 559 | 3.8% |
| Oshikoto | 6 | 1 658 | 3.9% |
| <i>Ondangwa West</i> | | | |
| Omusati | 8 | 3 801 | 4.5% |
| Oshana | 7 | 3 751 | 7.4% |
| <i>Khorixas</i> | | | |
| Kunene | 26 | 5 395 | 36.3% |
| Erongo | 19 | 3 099 | 22.5% |
| <i>Windhoek</i> | | | |
| Otjozondjupa | 32 | 7 306 | 32.3% |
| Omaheke | 22 | 7 808 | 60.9% |
| Khomas | 27 | 3 883 | 9.9% |
| <i>Keetmanshoop</i> | | | |
| Hardap | 32 | 3 384 | 18.5% |
| Karas | 33 | 2 704 | 19.4% |
| Total | 244 | 51 698 | 11.5% |

In 1993, N\$121 million was spent on hostels



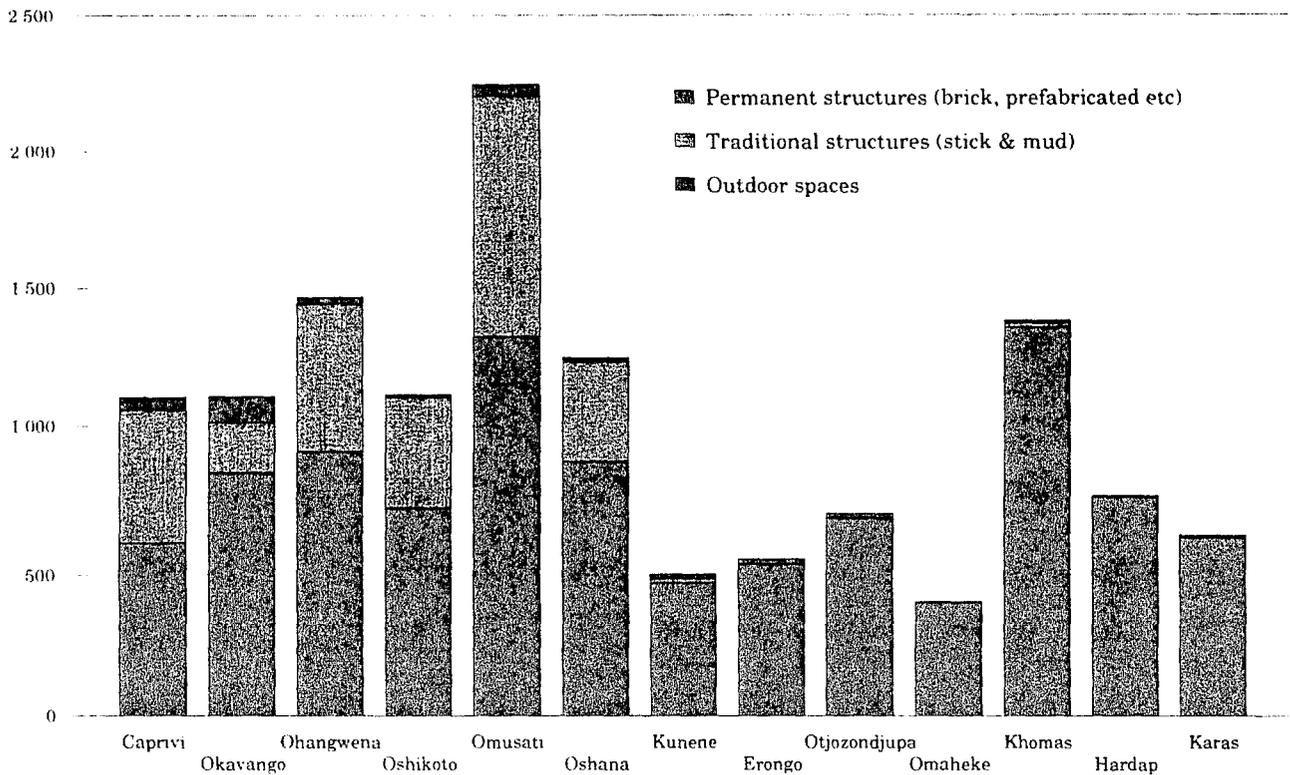
On average, N\$2325 is spent on each learner in Government hostels

Hostels increase access to schooling in sparsely populated areas of the country. In the Omaheke Region almost 61% of the learners are boarders while in the Ohangwena and Oshikoto Regions, less than 4% of the learners board. The cost of providing hostel accommodation to learners is high. In 1993 it cost N\$121 million to accommodate 11,5% of the country's learners.



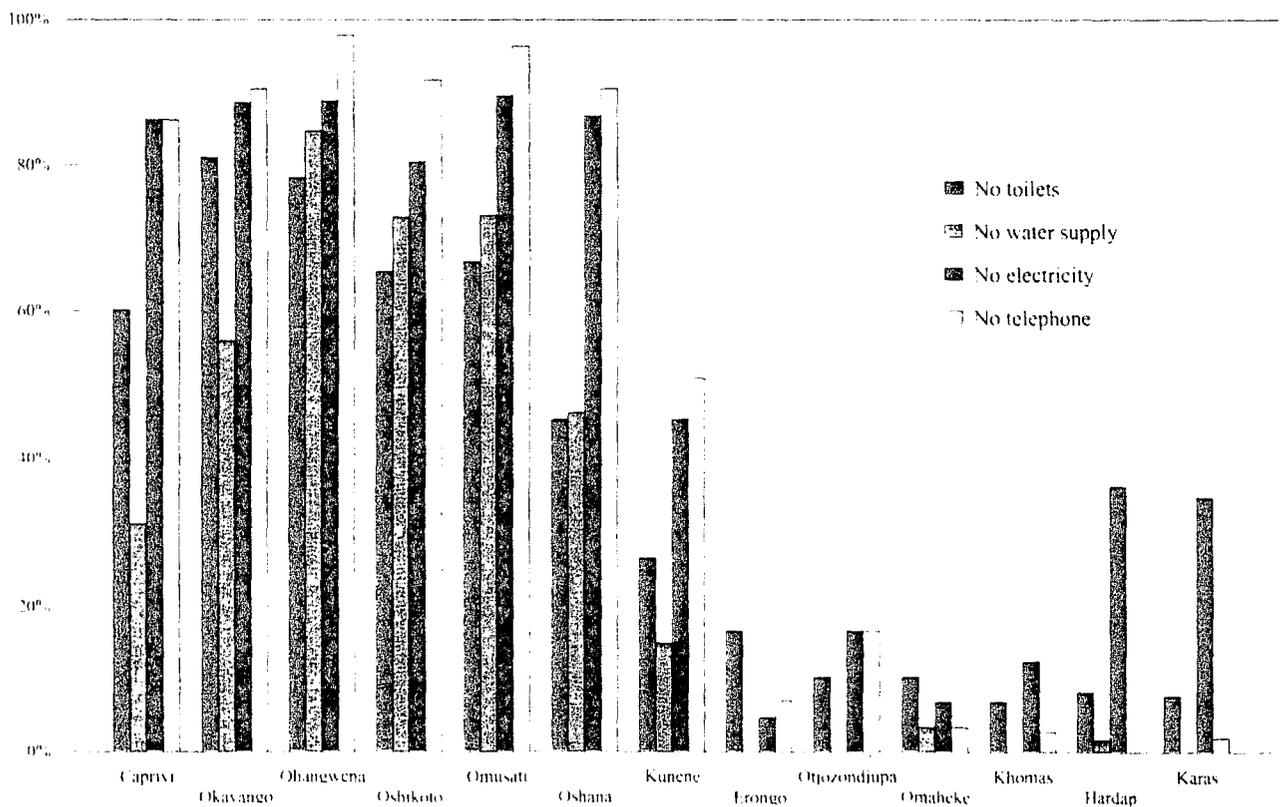
4/20

Numbers of permanent and traditional structures, and outdoor spaces used for teaching, 1993



The quality of classrooms and the provision of basic services vary greatly between the Regions. The graph above highlights the significant proportion of classrooms in the north that are constructed of mud, sticks or metal sheets or are outdoor spaces with no walls. These structures have been built by communities anxious to have schools near to their children. Such classrooms are rare in the rest of the country. The graph below indicates that a large percentage of schools in the north have no toilets, water supply, electricity or telephones. Electricity is also unavailable in over 30% of the schools in the Hardap and Karas Regions.

Percentages of schools that lack toilets, water, electricity or telephones, 1993



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Life Long Learning

- Since 1992, 41 000 adult learners have gone through the literacy programme.
- In 1993, another 8 400 adult learners continued in Stage 2 and Stage 3 classes.
- It is estimated that 62% of adult males and 62% of adult females are literate, using a minimum of four years of schooling as a measure of literacy.
- In 1993, 14 326 people sat for Grade 12 examinations as continuing education learners.
- In 1993, 5 913 people sat for Grade 10 examinations as continuing education learners.

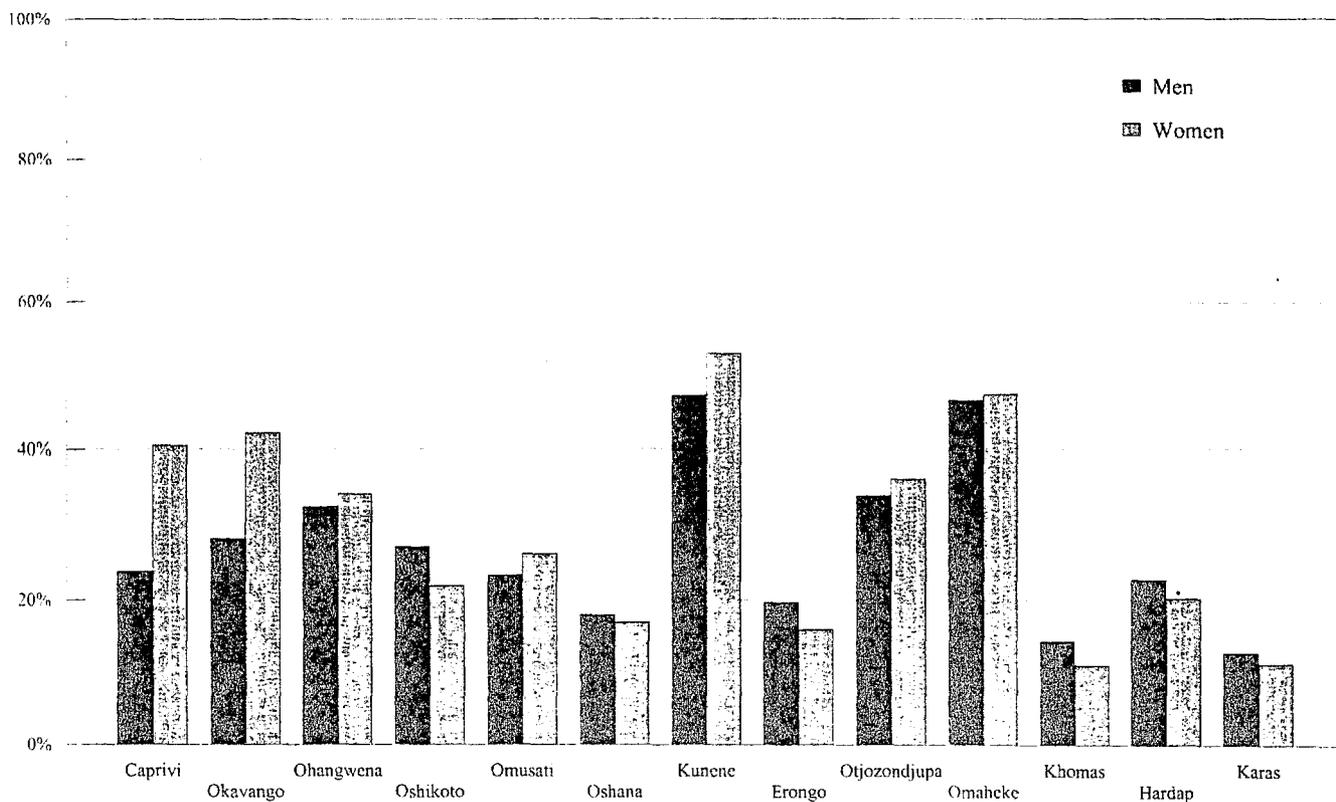
The table, graphs and map on the following pages provide details on the formal educational backgrounds of adults above 16 years throughout the country. In estimating literacy rates, it is commonly assumed that a minimum of four years of schooling is required to attain literacy. Using this measure in the table below, the first two columns under Male and Females ("Never attend school" and "1-3 years schooling") would together equal the number of illiterate adults in the region. Nationally, 38% of Namibia's population of 16 years and over are estimated to be illiterate. The top graph on the next page indicates the different proportions of men and women who have never been to school. A larger proportion of women than men in Caprivi and Okavango Regions have not been to school while in Oshikoto, Oshana, Erongo, Khomas, Hardap and Karas Regions more men than women have not been to school. The bottom graph shows the proportion of males and females who have reached various levels of education. In the northern regions, a smaller percentage of males and females have more than 10 years of schooling compared to the southern sections of the country. The map that follows provides details on variations within regions as well as between regions.

Levels of education of people 16 years and over

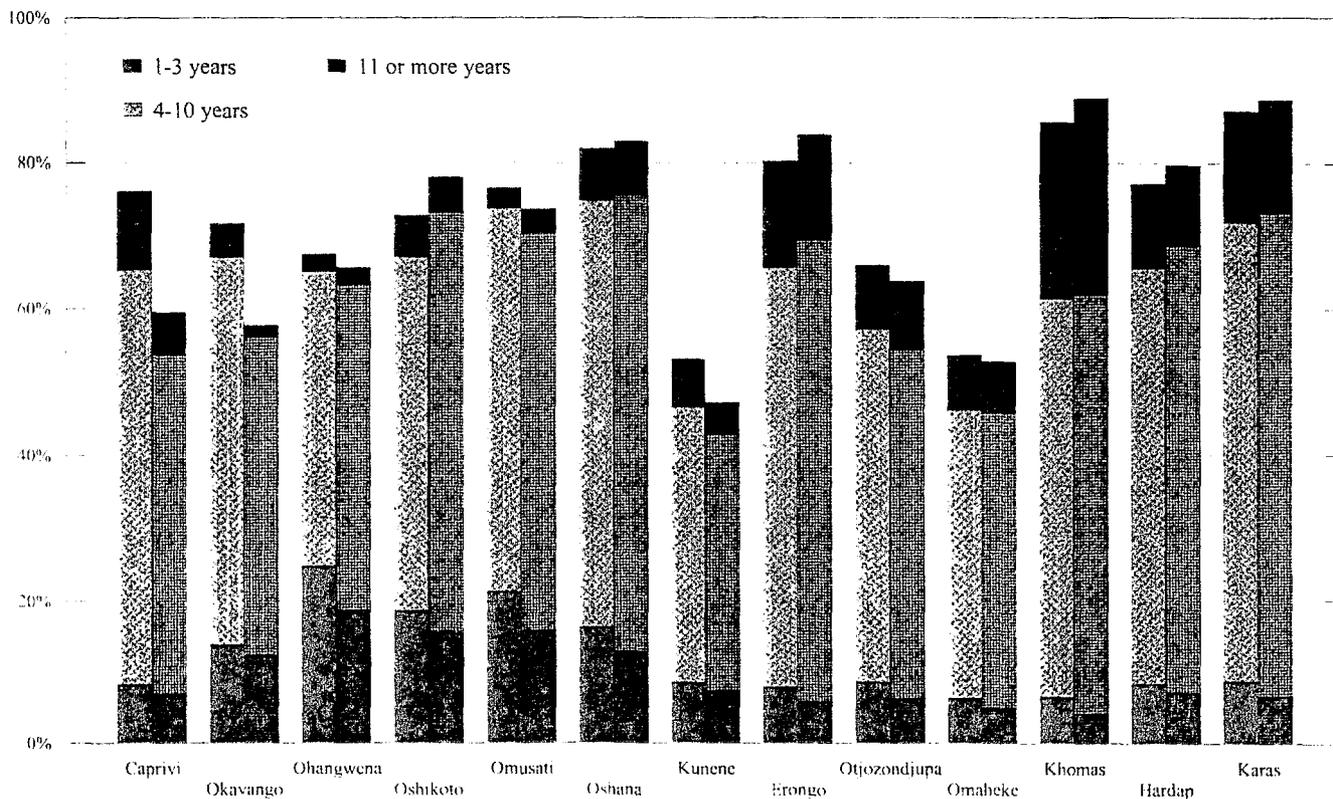
| Region | Male | | | | | Female | | | | |
|-----------------------|---------------------|---------------------|----------------------|---------------------|---------|---------------------|---------------------|----------------------|---------------------|---------|
| | Never attend school | 1-3 years schooling | 4-10 years schooling | 11+ years schooling | Total | Never attend school | 1-3 years schooling | 4-10 years schooling | 11+ years schooling | Total |
| <i>Katima Mulilo</i> | | | | | | | | | | |
| Caprivi | 5 656 | 1 952 | 13 503 | 2 546 | 23 657 | 10 465 | 1 785 | 12 085 | 1 483 | 25 818 |
| <i>Rundu</i> | | | | | | | | | | |
| Okavango | 7 578 | 3 701 | 14 235 | 1 223 | 26 737 | 13 530 | 3 973 | 13 985 | 514 | 32 002 |
| <i>Ondangwa East</i> | | | | | | | | | | |
| Ohangwena | 11 024 | 8 402 | 13 647 | 778 | 33 851 | 17 801 | 9 685 | 23 180 | 1 171 | 51 837 |
| Oshikoto | 8 515 | 5 819 | 15 161 | 1 745 | 31 240 | 8 028 | 5 700 | 21 056 | 1 791 | 36 575 |
| <i>Ondangwa West</i> | | | | | | | | | | |
| Omusati | 8 465 | 7 707 | 18 982 | 1 014 | 36 168 | 15 162 | 9 181 | 31 382 | 1 859 | 57 584 |
| Oshana | 5 723 | 5 187 | 18 630 | 2 247 | 31 787 | 7 195 | 5 493 | 26 462 | 3 120 | 42 270 |
| <i>Khorixas</i> | | | | | | | | | | |
| Kunene | 8 550 | 1 571 | 6 919 | 1 195 | 18 235 | 9 284 | 1 308 | 6 250 | 735 | 17 577 |
| Erongo | 3 785 | 1 537 | 11 092 | 2 801 | 19 215 | 2 651 | 980 | 10 490 | 2 404 | 16 525 |
| <i>Windhoek</i> | | | | | | | | | | |
| Otjozondjupa | 12 002 | 3 073 | 17 155 | 3 077 | 35 307 | 10 004 | 1 756 | 13 307 | 2 596 | 27 663 |
| Omaheke | 6 885 | 954 | 5 930 | 1 111 | 14 880 | 6 366 | 671 | 5 516 | 946 | 13 499 |
| Khomas | 8 893 | 4 076 | 34 003 | 14 937 | 61 909 | 5 902 | 2 229 | 30 751 | 14 278 | 53 160 |
| <i>Keetmanshoop</i> | | | | | | | | | | |
| Hardap | 4 552 | 1 683 | 11 441 | 2 330 | 20 006 | 3 885 | 1 398 | 11 813 | 2 106 | 19 202 |
| Karas | 3 038 | 2 074 | 14 971 | 3 618 | 23 701 | 1 926 | 1 139 | 11 347 | 2 624 | 17 036 |
| <i>National Total</i> | 94 666 | 47 736 | 195 669 | 38 622 | 376 693 | 112 199 | 45 298 | 217 624 | 35 627 | 410 748 |

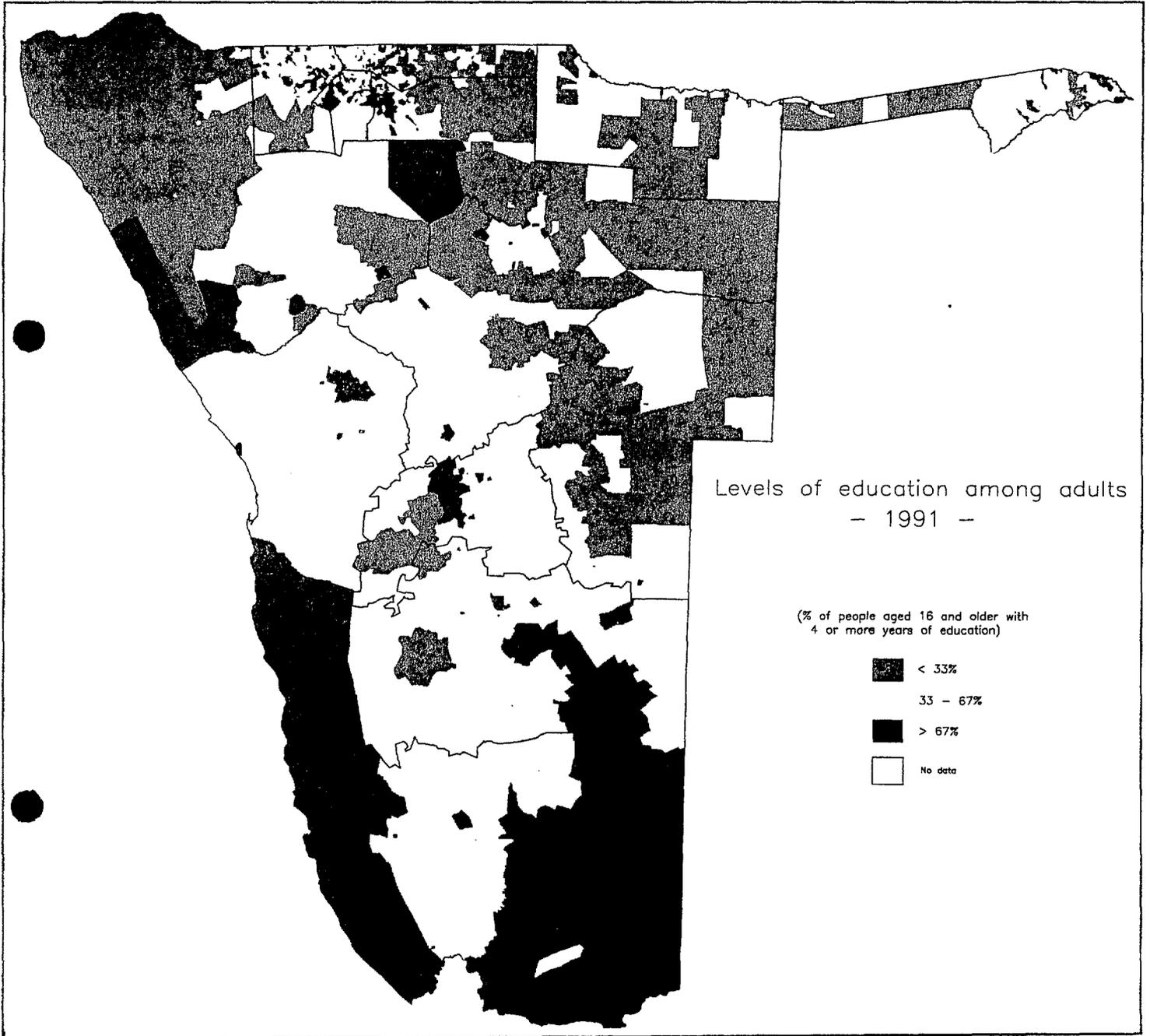
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Percentages of people aged 16 and over who have never been to school

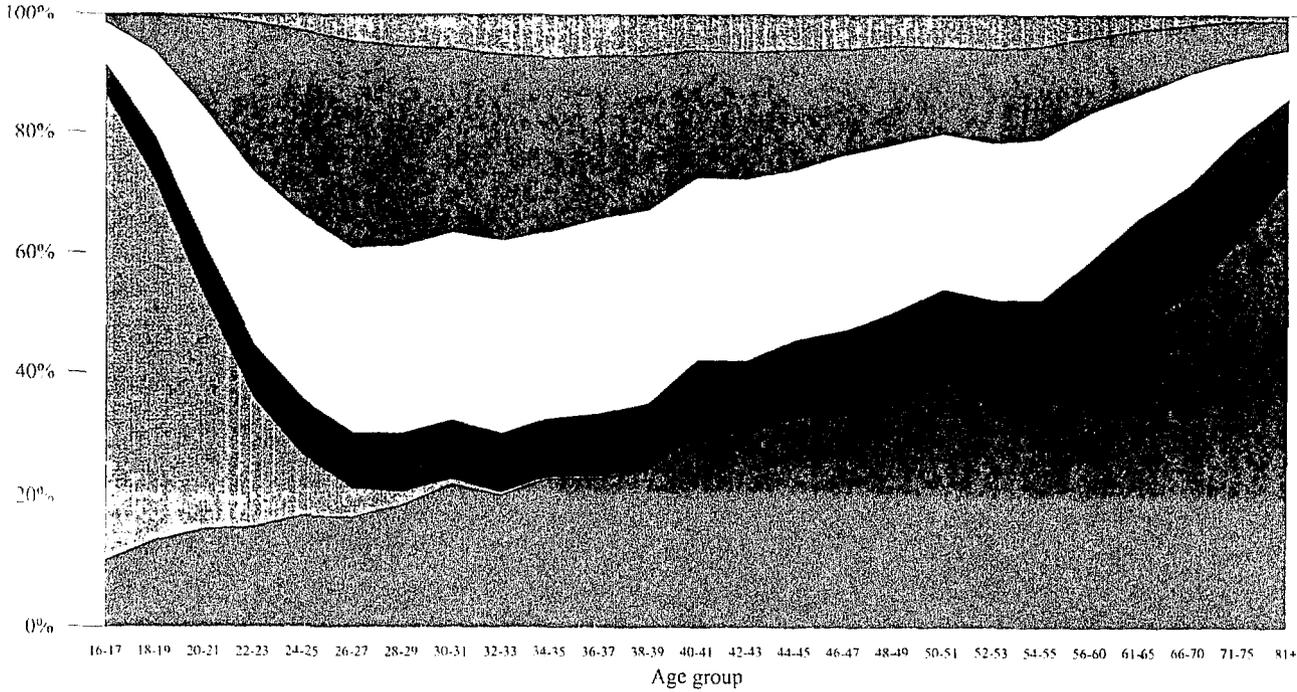


Levels of completed education among men (left) and women (right) aged 16 and over
Percentages of people who have completed various levels of schooling





Levels of education for males aged 16 and over
 Percentages of males who have completed various levels of education, or who are still studying

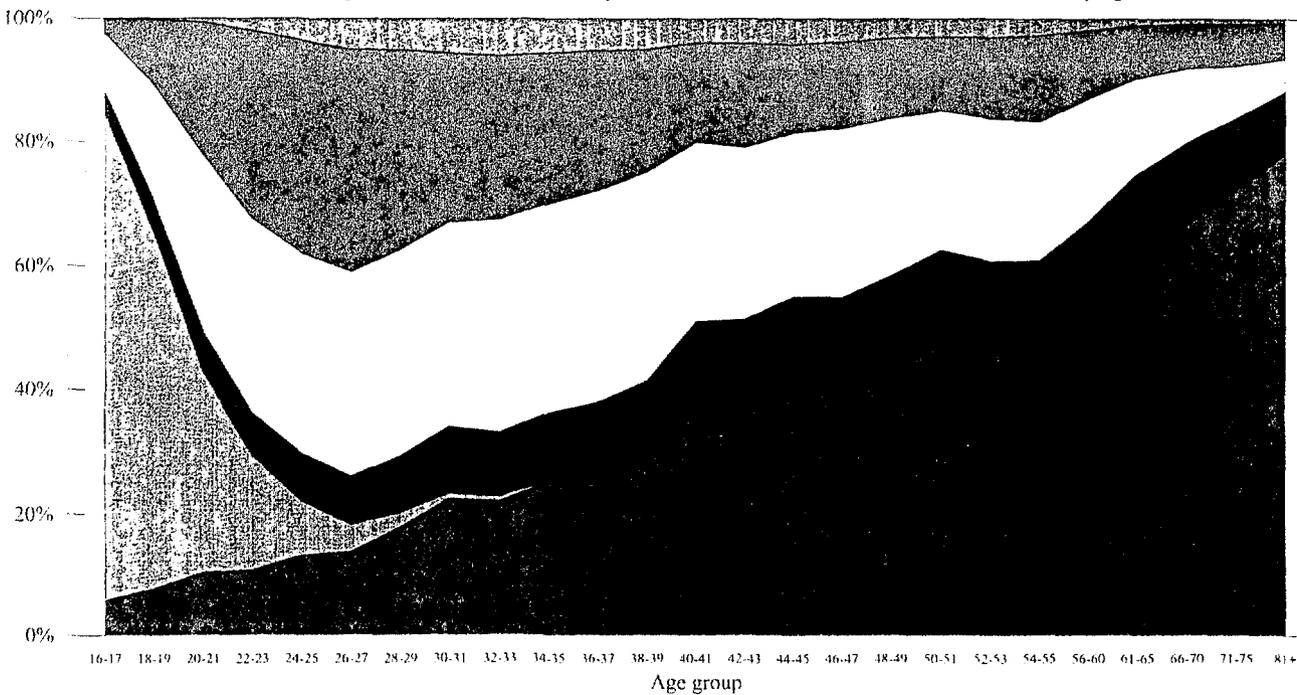


These two graphs show us the level of education of males and females of different ages in 1991. This allows us to see changes in educational attainment (grade completed) over the years. For example, in the top graph it is evident that among males 61 years and older, about 50-72% of them have never been to school while only 20% of the males between 26 and 40 years have never been to school and only 10% of 16 year olds have never been to school. A higher proportion of people have been to secondary school in recent years. Between 5% and 15% of males over 50 years attended some secondary schooling but 30% of males between 26 and 35 years attended secondary school.

The educational attainment of females has also improved over the generations. Only 6% of the 16 year old females in Namibia have never been to school while the figure for females aged 61 years and older ranges between 60% and 78%. Female educational attainment now surpasses male, a change that appears to have happened when today's 31 year olds were of school age, that is 25 years ago.

- Never attended school
- At school/college
- Completed Grades 1,2 or 3
- Completed Grades 4,5,6 or 7
- Completed Grades 8,9,10,11 or 12
- Completed post-school training

Levels of education for females aged 16 and over
 Percentages of females who have completed various levels of education, or who are still studying



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Report 3

Summary of Technical Analyses from the 1994 BES PPA 2

6/94

4. SUMMARY OF MAJOR ANALYSES

4.1 Summary of Technical Analyses

4.1.1 Target Schools Intervention

Namibia's pre-independence Apartheid legacy is perhaps most clearly manifested in the nation's basic education system. Overall, Namibia's schools are characterized by high repetition, failure, and drop-out rates; oversized classes; large numbers of overaged learners; and in some instances, a lack of teachers altogether. One reason for these problems is Namibia's acute shortage of qualified teachers, especially in lower primary (Grades 1-4). There are two dimensions to this problem: the shortage of teachers, and the low level of teacher qualifications.

In order to keep pace with Namibia's increasing school enrolments, at least 1,000 new teachers must enter the workforce every year⁷⁴. The Ministry of Education and Culture (MEC) is rapidly expanding its capacity to train teachers through its pre-service efforts in its four Colleges of Teacher Education (CTEs), and the University of Namibia. Yet in 1993, graduates of these institutions totalled approximately 700, a shortfall of about 300 teachers. The Ministry is also working to upgrade the skills and qualifications of teachers already in the field, especially through the UNESCO-sponsored INSET in-service teacher education program. Yet this program is still in its piloting phase, and mechanisms for accreditation of INSET and other in-service programs offered by the Ministry and donor agencies have not yet been established.

Namibian teachers are also, in the main, underqualified. Only 64% of Namibia's primary teachers are professional trained and only 49% have Grade 12 or higher academic qualification (EMIS 1993)⁷⁵. The low level of teacher qualification in Namibia has had dire consequences on both learners and teachers. Learners receive relatively poor instruction, and teachers face constant job insecurity. Only teachers with teaching diplomas have permanent positions; uncertified teachers must renew their teaching contracts on a yearly basis. And as more certified teachers enter the workforce each year, the uncertified teachers are more at risk of losing their jobs.

The BES Project will assist Namibia's teachers by providing approximately 50 Peace Corps Volunteers (PCVs) over the LOP to train teachers one-on-one in the country's most disadvantaged lower primary classrooms. Another 12 PCVs will help to build the capacity of Namibia's teacher education system by assisting Namibia's education officers with support and teacher education activities, and by assisting the Ministry's materials development effort to ensure that materials are developed and workshopped throughout the target schools.

⁷⁴ However, once the current "bubble" of overage learners passes through the system and gross enrolment ratios approach 100% rather than the 130% in some regions today (EMIS 1993), pressure on teacher recruitment will be significantly reduced.

⁷⁵ It is estimated that only 5-10% of teachers in the primary grades are fully qualified (i.e. certified) to teach.

Finally, the BES Project will coordinate its efforts with the MEC in order to provide teachers who participate in the Project with the possibility of partial credit toward certification⁷⁰.

4.1.2 Assessment and Testing

Another legacy of the Apartheid system is a gross unevenness and inconsistency in educational standards across regions, owing to the former separation of Namibia's population into eleven separate ethnically-based education authorities. The inconsistency continues to this day, with arbitrary and inappropriate assessment and testing standards still characterizing Namibia's educational system. Partly as a result of these inconsistencies, a high percentage of lower primary learners are retained or drop out of school each year. In Rundu and Ondangwa, approximately 40 percent of Grade 1 learners were retained in 1992; approximately 40 percent also dropped out before the end of Grade 4 (EMIS 1993).

In response to these problems, the MEC has established an Examinations Directorate which is responsible for designing and administering certificates, particularly the IGCSE (Grade 10). At this point in time, the exact relationship at the primary level between NIED and the Examinations Directorate is still somewhat unclear, beyond the broad definition of NIED being responsible for the new curriculum and syllabi, and the Examinations Directorate being responsible for validating standards and tests.

Nevertheless, the MEC is moving forward with several initiatives designed to reform the assessment system. These include:

- the development and promotion of criterion-referenced testing;
- graded pass option (instead of automatic promotion without grades, or mandatory retention);
- adoption of IGCSE and HIGCSE testing protocols and curricula for Secondary levels;
- adoption of continuous assessment practices; and
- the development of an End-of-Grade 4 Assessment.

MEC has requested assistance with the development of its continuous assessment system. The BES Project will provide assistance in two key areas: to development and conduct workshops of continuous assessment materials and protocols; and will continue to development and conduct workshops of an End-of-Grade 4 Assessment.

4.1.3 Curriculum and Materials Development

Namibia's Ministry of Education and Culture (MEC) is attempting to develop a new curriculum for Grades 1-12 in all subjects: 39 at the basic education level (Grades 1-10) and 42 at the Senior Secondary level (Grades 11-12). In addition to the scope and speed of this

⁷⁰ The TSIC will be invited to sit on the accreditation committee in order to ensure that teacher education materials developed through the Project will conform with part or all of BETD or other teacher accreditation system modules.

effort. curriculum reform is complicated by the fact that numerous syllabi and teaching and learning materials must be developed in Namibian African languages, requiring an additional step of translation (especially for Grades 1-3) or in the case of Namibian African languages as subjects, finding experts who can develop materials in the Namibian African languages directly (for all grades). The MEC also has a shortage of curriculum development expertise. In particular, there is a shortage of curriculum development personnel trained as subject specialists within the Ministry⁷⁷. Finally, there are three critical constraints at the materials production end of the process:

- a lack of trained materials development personnel;
- the absence (until rationalization is implemented) of an organized MDU within the Ministry; and
- an inadequate supply of in-house publishing equipment and materials.

The BES Project aims to complement and strengthen MEC's curriculum reform effort by capacity building to broaden the skills base of curriculum developers, thereby strengthening their ability to produce quality syllabi on schedule, including Namibian African language materials and necessary teaching and learning materials production to camera ready copy; by assisting with the planning and training of staff for the MDU; and providing in-house publishing equipment and materials as necessary. The Project's curriculum and materials development inputs will reinforce the teacher education efforts made in target schools as part of the Project's Target Schools Intervention component.

4.2 Macroeconomic and Financial Analysis Summary

At Independence, the people of Namibia inherited a highly dualistic society with stark differences in economic conditions, living standards and the provision of public services. The economy experienced a deep recession in the 1980s with a decrease in real pre capita income of 23 percent between 1998 and 1989. Since Independence, a combination of world recession, regional drought and significantly depressed mineral prices, have hampered growth. Projections for 1994 and 1995 are positive and a reversal of this negative pattern is anticipated; although, long term prospects will likely be strongly influenced by regional economic and political developments.

Inefficiencies in the inherited pre-independence administration, exacerbated financial problems due to slow economic growth. The MEC, for example, had to be fashioned out of eleven separate pre-Independence education authorities. During the first few years following independence, government expenditures rose significantly. In large part, this was in response to meeting the long-neglected needs of the majority population.

Government expenditure is currently quite high, exceeding 40 percent of GDP in most years since Independence, with budget deficits running in excess of five percent of GDP. Public sector employment is also high by most standards. The GRN is committed to reducing expenditure and the size of the civil service. A public expenditure review is currently

⁷⁷ The shortage of expertise can be attributed to the historic shortage of such expertise (a legacy of Apartheid) and is exacerbated by the fact that many positions are shifting as a result of the rationalization process.

progress and plans for rationalizing the civil service (which have been under development for almost two years) are expected to be implemented soon.

Social sector ministries, and the MEC in particular, have experienced severe budget constraints since late 1992. The share of GRN recurrent budget going to education has exceeded 25 percent in recent years, with over ten percent of GDP currently allocated to education. The share of GDP allocated to education in Namibia is more than twice the mean for low-middle income countries and is three times the mean for low-income countries. Recent public statements by both the Minister of Finance and the Minister of Education and Culture, clearly acknowledge that such levels of expenditure are not sustainable.

There is therefore concern about the long-term financial sustainability of the existing education system and, by extension, the sustainability of projectized assistance. A major factor contributing to the high costs of education in Namibia is its low internal efficiency, a legacy of the pre-independence era. Each year, approximately one-third of all primary school places are taken by learners repeating a grade. This leads to very large class sizes, the presence of large numbers of over-aged learners, the need for extra books, supplies and facilities and low learner moral. The MEC is currently involved in the design and implementation of a basic education reform which, among other objectives, is intended to significantly improve internal efficiency and bring about related reductions in system cost. A central element of the reform program is the design and implementation of a new curriculum at all levels of basic education. This includes moving to a learner-centred pedagogy, continuous assessment, and the providing the option of instruction in local languages in grades 1 through 3. During the next several years, the reform will be implemented at the lower primary level and success in implementation is seen as key to reducing repetition and lowering recurrent costs.

While curriculum reform is essential to providing a financially sustainable system, it is not, in itself, sufficient. Improvements in planning, decentralization, resource allocation, and other areas are also critical. The MEC is currently undertaking an education expenditure review and is committed to reducing inequalities in expenditure per learner. The MEC is also developing a five year education plan and is actively strengthening planning capacity at the headquarters and regional levels.

The amended BES Project is designed to assist the MEC in meeting critical constraints to designing and implementing the curriculum reform at the lower primary level, and to assisting "target schools" serving traditionally disadvantaged groups, in benefiting from the reform. In helping the MEC to accomplish the reform, the Project will contribute directly to relieving one of the principal constraints to attaining financial sustainability.

4.3 Economic Analysis Summary

A standard cost-benefit analysis of the investment is proposed in the amended BES Project. In social sectors such as education, economic analyses are highly dependent upon assumptions regarding difficult to measure and quantify variables. For this reason, the approach used is to test a range of assumptions which are highly biased against the investment, to assure that within the full range of plausible assumptions, the Project is likely to produce a reasonable rate of return. The rate of return estimates developed are therefore minimum estimates.

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Improvements in lower primary education curriculum are hypothesized to ultimately yield six general types of benefits including improved market outcomes, non-market social improvements, and increases in the internal efficiency of the education system. For purposes of the economic analysis, only one of the six benefits, reduced repetition, is considered.

The BES Project will represent only one of many factors contributing to the lower primary curriculum reform. For purposes of the economic analysis, it was assumed that only 20 percent of the benefits associated with implementation of the reform nationally should be attributed to the Project. At target schools, where Project support is more intensively focused, it is assumed that an additional 20 percent of projected reduction in repetition could be attributed to BES.

The value of avoided repetition was estimated at average school-level salary costs at each phase. Costs of facilities, books, materials, supervision, administration, etc. were excluded from the calculations.

Under this set of assumptions (which exclude the value of all benefits other than avoided repetition), the internal rate of return to BES is estimated at 83 percent. To further test the sensitivity of the analysis to assumptions, less favourable assumptions about reductions in repetition, the share attributable to BES, cohort effects at secondary school and the projected salary savings, were also tested. Under each of these alternative assumptions, the Project was assessed to have a very favourable rate of return.

The conclusion of the cost-benefit analysis is that, under a range of extremely conservative assumptions, the investment in the BES amendment is justified on economic grounds.

4.4 Institutional and Administrative Analysis Summary

One of the first institutional challenges facing the new government of Namibia was the need to replace eleven separate systems of education, each based upon an ethnic division, with a single, national system. In building the new unified system in line with the GRN policy on National Reconciliation, the GRN has redeployed into the MEC all officials of the previous administrations who wished to remain⁷⁸. In addition, a relatively small number of previously excluded Namibians who were qualified to fill positions of importance in the new administration were integrated into the unified structure. The task confronting educator officers was to construct the new institutional structure, while ensuring that the school system continued to function under staffing patterns and regulations inherited from the old system. Given the immensity of these challenges, it is hardly surprising that a number of problems have arisen:

- A proportion of the most experienced and qualified administrative and technical personnel absorbed from the previous administrations, although highly competent, did not necessarily fully understand the aims of the reform and are not necessarily fully committed to ensuring its success. Neither were the posts that they occupied fully suited to new functions.

⁷⁸ The vast majority of education personnel wished to work under the unified system.

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- Given skill shortcomings and lack of staff in key areas. MEC acquired technical assistance through its several overseas cooperating partners. Thus, a relatively large number of expatriates from very diverse origins, with varying experience in Africa, were introduced at all levels of the system (e.g. from top advisors to classroom teachers). The presence of these expatriates, while clearly adding to the capacity of the MEC to fulfil its technical functions, added further to the Ministry's management and communication challenges.
- The aim of rationalization is to construct a new institutional structure better able to implement the reformed curriculum, MEC goals and objectives. However, rationalization processes are long and often slow, which means that the structures and staffing of the MEC have been in transition throughout the period since independence and the process of transition will continue even after the rationalization plan is fully implemented. Delays in implementing the rationalization plan have had a particularly pronounced impact on NIED, as a newly created unit of the MEC. This is especially significant for the proposed project due to its focus on activities that are based in NIED.
- To operate most effectively, the MEC needs improved communication and formal linkages between the planning functions and the budget functions in its head office and in the regions. In addition, while the MEC has collected and stored a substantial amount of data about its schooling system, it is only in the last year that the process of analyzing that data in order to inform the decision-making process has begun to bear fruit.

The situations in the seven regional offices of the MEC tend to reflect the impact of the same set of difficulties. These regional offices were newly created at independence, using personnel primarily from the various separate, pre-existing ethnic authorities. Just as funds are allocated to regions largely on the basis of the past year's allocation prorated to fit the funds available, the allocations of resources made by the regions to schools are very heavily influenced by historical inertia and the resourcing of schools in the past. Relationships between communities and schools are still recovering from the tensions created during the struggle for independence. The MEC has also attempted to revitalize or to establish School Boards or Committees, which represent parents and communities, control school funds generated by community activities and from voluntary fees, and, in conjunction with the school principal, set various policies. At present, some of these boards or committees are very active and successful at some schools but in need of further development in others. Also, regulations covering their election, powers, and limitations are needed.

The capacity of an organization is a function not only of the skills and experience of its personnel, but also of their motivation, of the suitability and efficiency with which they are organized, the appropriate and rapid flow of communications, and the success of team work within the organization. The process of consolidation and unification within the MEC headquarters has been slower than MEC would have preferred. The reform process requires capacities in the MEC that were not required in any of the precursor authorities because the functions in question were either not performed at all or were carried out in South Africa. The reform process not only requires entirely new categories of skills, it also requires very different attitudes about performance of duties and a different management style than was appropriate in the former authorities. And, until the reform process is complete in 1997, at the earliest, there will be two curricula in use in the school system, which represents

additional demands on the MEC's capacity. Since independence, a lack of appropriate counterparts for many of the Ministry's donor funded technical experts, has resulted in relatively little capacity building taking place among the Namibians working with the expatriates.

Given these constraints on the capacity of the MEC to implement the reform program expeditiously, it is important that the MEC's rationalization plan be implemented in order to determine where capacity constraints may create bottlenecks that are likely to directly affect the proposed project. The establishment of the new staffing patterns associated with the rationalization plan, and equally important, the filling of key positions with appropriate personnel, are also important to ensuring sustainability, technology transfer and effective utilization of project assistance. Furthermore, it is important that MEC staff be available to work with project staff to ensure productive integration of activities into the MEC's own program.

4.5 Socio-Cultural Analysis Summary

The diversity of cultures, physical environments, and economic possibilities found in Namibia has been magnified by the distances that stretch between communities and by Namibia's long history of external political control and war. The resulting social variation has created different contexts in which the impact of the former educational system has had differing effects on the access, persistence, and achievement of learners. One of the most difficult tasks facing the educational reform is determining how to achieve a more equitable schooling system within this diversity of contexts without stifling or denying the cultural traditions of the various groups. There is a tension created by attempting to: 1) simultaneously provide increased educational opportunities for historically disadvantaged ethnic and regional groups, while continuing to address the needs of the privileged minority; 2) efficiently supply increased resources to learners and teachers in remote areas; and 3) create a unified system that can address the cultural diversity of the country. This tension slows the pace of reform.

In addition to social and cultural variation, which is a constraint to the rapid reform of the educational system, poverty and historical inequities in the distribution of educational resources (human, physical, materials and financial) have been identified as key constraints to learner enrolment, persistence and achievement. This inequitable distribution of resources has in turn resulted in significant inter and intra regional variation in the quality of education offered, the skill base of teachers and learner educational achievement.

It is not possible within the scope of this project to tackle all of these issues, especially those related to poverty. However, by focusing the target school intervention on the teachers in the most marginalized schools and by adding resources where they are most needed, the project will enhance equity in the provision of lower primary educational services. The target school focus will also enhance the pedagogical skills of teachers in historically disadvantaged schools, which is expected to result in improvements in the quality of the learning experience and in learner achievement. It is assumed that at the same time some provision will be made by Regional Educational authorities to retain teachers targeted by the Project and trained in the lower primary system in order for these improvements to be sustained.

Project inputs to accelerate the design and development of the new curriculum, teaching and learning materials and a comprehensive continuous assessment system will also have impact

on both the quality, the relevance and the cultural sensitivity of education throughout Namibia. It is hoped that these improvements will increase learner and teacher motivation, as well as parental desire to both enrol and keep their children in school. Because support for the development of mother tongue instruction (grades 1-3) is also essential for improving the quality of education, the project will work to develop materials in Namibian African languages and to translate texts in key subject areas which in turn will promote the richness of Namibia's cultural diversity.

In addition, while the project is not directly addressing the issue of poor school community relationships, it is hoped that by basing O-RPs in communities and encouraging them to consult with key community leaders (both traditional and modern) and by improving the quality of instruction, as well as the relevance of the new curriculum, these relationships will also improve.

The primary beneficiaries of the project will be learners and teachers from historically disadvantaged groups who attend or work in schools selected for the target school intervention. Other direct beneficiaries will include circuit and regional education professionals benefiting from the activities of C-RPs. In addition, all lower primary teachers and learners will benefit from project-financed contributions towards the development of the new curriculum, teaching and learning materials, and translations.

Given the widespread support generated in favour of MEC educational reform and the significant consultations with stakeholders which have taken place in the development of this project, the only constraints on the social feasibility of the project appear to be the ability of O-RPs to integrate into communities and attain working knowledge of the language in their target school cluster and the motivation of teachers to participate in project activities.

Every effort will be made to identify areas where not only will the presence of O-RPs be welcome, but will be actively supported. In addition, ORP training will include intensive language instruction both before and during their initial placement. In order to enhance motivation, any training offered will conform with and enhance teacher training schemes designed to increase teacher qualifications, which over the long term will enhance their job security. In addition, training activities for teachers will be developed in consultation with them, so that no teacher is unable to attend because of family or farm obligations. Finally teacher networking for mutual support and options for enhancing teacher recognition will be explored during the life of the project.

In terms of the greater social good, primary education has been shown to have direct and positive effects on earnings. In addition, primary education has been shown to decrease human fertility in the long term and to have inter-generational effects on child health, nutrition and education (World Bank Development Reports, 1990, 1991). The project has therefore been designed to improve the quality of life for the majority of Namibians, by promoting equal access to quality educational services, which will in turn provide Namibia with the human resource base necessary for equitable social and economic development.

Report 4

**Re-Cast READ Amendment
by Dr. Curt Grimm**

2/95

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REACHING OUT WITH EDUCATION TO ADULTS IN DEVELOPMENT (READ)

USAID/ Namibia

(673-0004)

Re-Cast READ Project Amendment

PROJECT RATIONALE

The Namibian Development Challenge

Despite the significant achievements of the Government of the Republic of Namibia (GRN) since independence, apartheid's legacy is still very much in place in Namibia with income distribution remaining extremely uneven. The minority 5 percent white population receives 70 percent of the Gross Domestic Product (GDP), enjoys incomes on par with those found in the Western World, and has almost exclusive access to quality education and social services. By contrast, 55 percent of the majority black population, primarily rural, shares 3 percent of the GDP, with a per capita income of less than \$100 per year. The 1994 United Nations Development Program (UNDP) report of income, life expectancy, and education, ranked Namibia a poor 127 out of 173 countries surveyed. This is well below South Africa at 93. Social problems among the impoverished majority include high infant mortality (157 deaths out of 1,000 live births), high population growth rates (3.3 percent), high unemployment (over 30 percent), lack of access to basic social services, inaccessibility of water, and a high incidence of communicable diseases including increased malaria cases (190,000 to 306,000 since 1991) and HIV/AIDS. Environmentally, Namibia has a fragile ecological base. There is scarce surface water and the arid land is drought prone.

Since independence, the GRN has undertaken an ambitious development program to eliminate the extreme economic and social disparities between the two populations, allocating up to 27 percent of its annual budget to education and another 17 percent to health and social services, initiating major education reforms and starting adult literacy programs. The December 1994 Presidential Election -- the second successful national election since independence in 1990 -- was pronounced free and fair by international observers, including the British Commonwealth and the European Parliamentarians for Southern Africa (AWEPA). Seventy-six percent of the eligible electorate voted. However, Namibia's democratic institutions are new and weak, and it will take several years before a popular culture of democracy, with full popular participation, can be firmly rooted. Namibia will require moderate, well-placed assistance on a sustainable basis for the next ten years to enable it to meet its development challenges.

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USAID's Strategy for Sustainable Development

USAID's worldwide strategic orientation places fundamental importance on sustainable development as the guiding force of the United State's foreign assistance program. Sustainable development is characterized by economic and social growth that does not exhaust the resources of a country; that respects and safeguards the economic, cultural and natural environment; that creates many incomes and enterprises; that is nurtured by an enabling policy environment; and that builds indigenous institutions that involve and empower the citizenry. For USAID, sustainable development is the critical link that connects strategic plans in specific development sectors.

Thus, the fundamental thrust of USAID's programs, whether in democracy building, environment, economic growth, or population and health, will aim at building indigenous capacity, enhancing participation, and encouraging accountability, transparency, decentralization, and the empowerment of communities and individuals. The implementation of a sustainable development strategy gives central importance to programs that establish and strengthen indigenous non-governmental organizations (NGOs), and it relies on these intermediary organizations to take the lead in building popular participation.

Namibia's development challenge is fully confronted by USAID's strategic orientation. The READ project in particular, with its goal to empower disadvantaged people and its purpose to build indigenous intermediary organizations, fits squarely within the global USAID strategy and it meets Namibia's critical development needs.

USAID/Namibia Program Strategy

USAID/Namibia's program recognizes the key constraints to development faced by the historically disadvantaged majority population and focuses on economic and political empowerment through sustainable, democratic and efficient use of human and natural resources. To accomplish this goal, USAID/Namibia is pursuing two interrelated Strategic Objectives (SO1 and SO3) which address increased participation by formerly disadvantaged Namibians in economic activity and democratic institutions. Activities under these objectives seek to build empowerment at all levels of civil society. A third Strategic Objective (SO2) supports sustainable use of Namibia's scarce natural resources, particularly its wildlife. USAID is currently developing a new strategy focused on these objectives that will cover the period from 1995 to 1999.

The READ project was initially designed to provide assistance for non-formal education in support of USAID's first Strategic Objective (SO1) - "increase participation of formerly disadvantaged Namibians in the economic, social and political development of Namibia through education and

training". Non-formal education was a vital strategic element in USAID/Namibia's draft program strategy of Fiscal Years 92-96 because: (1) of the linkage between skills training and post-training employment and income generation; and (2) the ability of non-formal education and skills development to reach adults and youth who have been bypassed by the formal basic education system. The project sought to redress inherited inequities and open up possibilities for the full participation of Namibian citizenry in the development of their nation. The methodology adopted by the READ project to achieve these objectives was to strengthen the institutional capacity of NGOs to supply adult non-formal education and training services to disadvantaged Namibians; and to strengthen the institutional capacity of the GRN to develop, implement and coordinate non-formal education policy.

Since the READ project was approved, USAID/Namibia has developed a third Strategic Objective (SO3) - "expand participation of Namibians in human rights, democracy and governance activities". This, coupled with the ongoing strategy development, has opened the door for amendment of the READ project to better reflect project realities and USAID/Namibia strategic foci. The amended READ project continues with the overall goal of empowering historically disadvantaged Namibians to improve the quality of their lives. The focus, however, has shifted from one of service delivery (non-formal education and skills training in five sectors) to strengthening the institutional capacity of Namibian NGOs (selected according to criteria established by USAID and the project steering committee) to meet the skills training and representational needs of historically disadvantaged populations. The goal and purpose statements in the amended Project Paper remain similar to the original. The real difference in the End of Project Status and output indicators, which better reflect the project emphasis on NGO institution building rather than individual skills training.

Strengthened NGOs not only serve as vehicles for empowerment through individual capacity building, but also through improved outreach and the use of innovative technologies to deliver education and training services to their constituent communities. Through READ, Namibian NGOs build the capacity of citizens who were ignored under the apartheid regime and who remain disenfranchised and marginalized by lack of skills. The project amendment allows for greater emphasis to be placed on the methodology employed to achieve this purpose -- namely enhancing NGO's capacity to undertake participatory non-formal education and training -- as well as allowing for heightened emphasis on building NGO capacity (and that of their clients) to effectively articulate or represent the interests of constituents in local, regional and/or national fora. As such, the project continues to be a linchpin in the education and empowerment strategies of USAID/Namibia by contributing significantly to the Mission's first and third Strategic Objectives.

In helping key Namibian NGOs to more fully and effectively address the needs of their constituents, the project also encourages NGO growth and dialogue with the government, thus building civil society. To further enable dialogue between NGOs and different levels of Government, the READ project will strengthen Government capacity in relevant departments (i.e. DACE, NACP, MET) to develop, implement and coordinate efficient, participatory non-formal education and training strategies in collaboration with NGOs.

GRN Development Strategy

Education

The Project is fully consistent with GRN policy on formal and nonformal education, outlined in the White Paper on National and Sectoral Policies. That paper establishes education as one of three key national priorities and outlines a framework for reorientation, reform and redirection of the country's education system. Specifically, the GRN policy on non-formal education is to "establish a national nonformal and vocational training system with the objectives of:

- a) developing curricula adapted to Namibian needs;
- b) promoting nonformal education to meet the needs of the 'drop-outs' and the rural population, especially women;
- c) initiating affirmative action to offset disparities in training opportunities; and
- d) enhancing cooperation and coordination between and among the Government and NGOs."

With more than one million Namibian citizens functionally illiterate, building institutional and human capacity to deliver non-formal education and skills training is a prerequisite for social and economic development and the meaningful participation of all citizens in national life. Local NGOs and the GRN are actively involved in the field of nonformal education and training. To meet the needs of the population, however, they require outside assistance to perfect and implement their activities. READ will provide assistance to an educational and skills development subsector which is severely underfinanced, fully in concert with GRN national priorities.

Democracy Building

As stated in its Constitution, the Republic of Namibia was established as a sovereign, secular, democratic and unitary State founded upon the principles of democracy, the rule of law, and justice for all. It further states that all power shall vest in the people of Namibia who shall exercise their sovereignty through the democratic institutions of the

State. The GRN has guaranteed its citizens fundamental human rights and freedoms through adoption of its Constitution. It goes further to say that the Parliament may not make any law and the Executive may not take any action that abolishes or abridges individual rights and freedoms.

With its emphasis on building institutional capacity to meet the Government's educational objectives and its goal to democratically empower disadvantaged Namibians, the READ project is fully in line with Namibia's development strategy. Furthermore, by employing participatory methodologies, READ will build the capacity to identify expressed needs and devise acceptable solutions. It is anticipated that the benefits to Namibian citizens will remain long after the PACD.

Other Donor Activities

The GRN's foreign assistance program is coordinated by the National Planning Commission (NPC). Currently the largest bilateral donors are Germany, Sweden, and the United Kingdom, with the United States approximately fourth. Major multilateral donors in Namibia are the UNDP and its affiliate organizations, the European Union, and the African Development Bank. A round table of donors is planned for October 1995. A newly formed group of donor organizations active in democracy and human rights issues meets quarterly to exchange information and coordinate donor support in these areas. Membership include representatives from most of the organizations named above.

Sweden, Norway, Germany and United Kingdom have been in the forefront of democracy, human rights, women's legal rights, and legislative reforms activities. Sweden is supporting the establishment of a justice training center, human rights workshops and chairs periodic donors meetings. Norway is supporting the strengthening of women's legal position and women in development activities, legal assistance, and voter education training. Germany, through GTZ, has provided funds to strengthen local and regional councils through workshops and production of material, voter and civic education, and support to the Faculty of Law. The United Kingdom is providing technical assistance to the Auditor General and local and regional governments. The Ford Foundation is providing annual grants in support of the justice training center and to local private institutions.

Major education donors are Sweden's International Development Authority (SIDA), Denmark's International Development Agency (DANIDA), the United Kingdom's Overseas Development Administration (ODA) and the U.S. through USAID. In Fiscal Year 1994, at USAID's request, the Ministry of Education and Culture (MEC) convened a major meeting of donors involved in the education sector for the purpose of exchanging information with subsequent meetings held on specific topics. With respect to nonformal education and skills training,

support has been extended to GRN by ODA, NORAD, SIDA, FINIDA and USAID.

READ's aim is not to create a mechanism to coordinate donor activities in participatory nonformal education and skills training. However, the capacity of NGOs and the various institutions of GRN to network on key issues, policies and procedures will be strengthened as part of the project's effort to foster and build civil society. In addition, GRN departments and other donors supporting activities related to READ (skills development, environmental education, women's programs, income generation, literacy, HIV/AIDS awareness/prevention, civic education) will be consulted on a regular basis throughout project implementation. This process will ensure that the project remains in line with overall national development priorities and will help avoid duplication. The consultative process will be carried out both directly by USAID and through the project Steering Committees.

READ PROJECT DESCRIPTION

Project goal, purpose and outputs

As detailed in the Project Log Frame (Annex A), presented below are key READ Project objectives and motivations:

- | | |
|---------|--|
| GOAL | Historically disadvantaged Namibians are empowered to improve the quality of their lives. |
| PURPOSE | To strengthen the institutional capacity of Namibian Non-Governmental Organizations to meet the needs of historically disadvantaged populations. |
| OUTPUTS | <ol style="list-style-type: none">1. NGOs deliver needed services through participatory, non-formal education and training methodologies.2. NGOs effectively articulate and/or represent the interests of their constituents in local, regional and/or national fora.3. Innovative training methodologies and training support mechanisms tested in Namibia and disseminated among NGOs.4. Government capacity strengthened to develop, implement, and coordinate efficient, participatory non-formal training strategies in collaboration with NGOs. |

Project Components and Inputs

To logically group Project concepts, as well as for USAID administrative ease, the Project consists of two separate but interrelated components: 1) NGO and GRN institutional strengthening to provide participatory nonformal education and training and (for the NGOs) to articulate and/or represent the interests of their constituents; and 2) Project Coordination and Guidance. Inputs (training, technical assistance, and a grants program) funded under the first component will seldom support only a single project output, but in most cases will lead to several (or even all) anticipated project outputs. The Project Guidance and Coordination component will supply needed expertise, training and technical assistance to support all aspects of project management and direction, including: 1) USAID project management; 2) a cooperative agreement with World Education Inc., a U.S. PVO, to provide NGO and GRN institution building assistance, to administer subgrants to Namibian NGOs, and to deliver and track project inputs; and 3) a cooperative agreement with The Rössing Foundation, a Namibian NGO, for a national, regional and local program of environmental education through technical assistance, training and subgrants to Namibian organizations and institutions.

Namibian NGO Institution Building

The READ project was originally designed with the assumption that a sufficient number of Namibian non-governmental organizations possessed the institutional capacity to provide nonformal education and training services to an historically disadvantaged population. Despite the fact that several successful program delivery grants have been made to Namibian NGOs in the first year of implementation, the on-the-ground reality revealed that many of the organizations interested in READ support were not prepared to properly utilize subgrant funds. Many of the initial proposals were found to be outside of the READ project focus or to be lacking in the definition of clear objectives, workplans, monitoring and evaluation strategies, and realistic budgets. More fundamental, the World Education staff discovered a widespread need for intensive assistance in the organizational development of Namibian NGOs. Most of the potential subgrantees identified during the design phase have demonstrated institutional weaknesses that inhibit the effective provision of quality services to an identified clientele. A significant amount of READ project effort to date has been focused on the development of NGO mission statements, the identification of client target groups, and the definition of management structures and program goals. Capacity building programs have dominated implementation activities and, given the need within the NGO community, they are likely to remain the primary focus throughout the project. USAID/Namibia and READ project staff have, therefore, decided to re-cast the project goal and purpose to reflect the current needs of the Namibian NGO community.

The amended READ project goal and purpose do not make strengthening Namibian NGO institutional capacity an objective in and of itself. Rather, the project seeks to better achieve Namibia's development needs and the USAID Mission's strategic objectives by building the capacity of NGOs to provide a range of services that help to empower an historically disadvantaged population. The services to be provided by Namibian NGOs, described further in the following section on Project Outputs, include: 1) the delivery of participatory, nonformal education and training in a variety of needed skills; and 2) the articulation and/or representation of the interests of historically disadvantaged Namibians in various local, regional, and/or national fora.

To become effective and sustainable in the provision of needed skills and representational services, Namibian NGOs must improve their institutional capacity in a variety of organizational spheres. The End of Project Status indicators (see Project Logframe) identify a number of key institutional criteria that are generally identified with capable non-governmental organizations. The READ project has delineated an assortment of measures to track the institutional development of the Namibian NGOs working with the project. These include:

- the capacity to plan, implement, monitor, and evaluate activities such that they meet the expressed needs of beneficiaries;
- the ability to assess and track the impact of services provided;
- the development of a functional plan for financial sustainability;
- the establishment of appropriate, transparent, and functional financial accounting, personnel, and management policies and systems;
- the formation of clear, accountable and diverse governing structures.

These criteria are not all that are needed to establish effective and sustainable non-governmental organizations, nor do they all need to be present at the same time to demonstrate substantial improvement in the institutional capacity of any given NGO. In addition, NGOs are dynamic institutions. Organizations will change through time and the READ project cannot expect a linear progression of institutional capacity improvements over the life of the project and beyond. A variety of factors such as personnel changes, funding availability, and changes in the regulatory and political environment can have positive and negative impacts on the institutional capacity of non-governmental organizations.

The READ project provides a range of inputs to strengthen the institutional capacity of Namibian NGOs. Project activities include:

Technical Assistance to help:

- 1) plan, execute and evaluate overall NGO organizational development;
- 2) devise personnel systems, compensation plans and recruitment procedures;
- 3) regularize and formalize management and decision-making processes;
- 4) prepare proposals and long-term organizational plans;
- 5) institute innovative and relevant methodologies for the implementation, monitoring, and evaluation of participatory nonformal education and training;
- 6) build representational and advocacy skills;
- 7) provide post-training support services and evaluations.

General Support to offset recurrent expenditures (salaries, travel, telephone, office rental, per diem, etc) for participatory nonformal education and training operations and to realise constituent representation and advocacy goals.

Commodities to improve institutional efficiency through the purchase of copy machines, typewriters, computers, fax machines and other equipment and supplies.

Training to upgrade techniques, knowledge and skills base of key employees, members and leaders of NGOs through workshops, study tours, and short-term studies at Namibian or regional universities, institutes, and associations. (Long-term training is being provided for five GRN Department of Adult and Continuing Education employees in nonformal education.)

In deciding what mix of the above inputs are appropriate for particular subgrantees, READ project staff conduct individualized, participatory/consultative analyses of current and potential subgrantees. These assessments include examinations of organizations and personnel structure and quality, efficiency and effectiveness of planning and decision-making processes, financial posture and accounting capabilities, and the capacity to represent, advocate for, and respond to constituent needs.

Project Outputs

- 1) NGOs deliver needed services through participatory nonformal education and training methodologies.

READ's methodology for achieving the project's goal, purpose and outputs is to emphasize participatory non-formal education and training approaches in all project activities. A participatory approach is key not only to effectively meet needs, but to overcome the legacy of apartheid which denied the majority of Namibian citizens the right to participate in decisions which effect them. A majority of Namibians were prohibited from involvement in civil society, and thus denied the ability to take initiatives and to assess, choose, plan or create. Developing the capacity of Namibian organizations and individuals to employ participatory approaches is fundamental to the empowerment of historically disadvantaged Namibians and to building Namibia's new democracy.

The READ project is based on the assumption that adults (over age 14), whether poor or rich, illiterate or literate, rural or urban, are capable of becoming their own best resources. Technology and expertise from outside therefore play a facilitative role, while the participants provide the context for implementing solutions.

Nonformal education is defined in Namibia as all learning which takes place outside of the formal educational system. World Education Inc. (WEI), as one of the cooperating agencies implementing READ, has brought to Namibia its expertise in furthering nonformal education through participatory approaches to capacity building. This approach helps make training and skills development more learner-centered, in concert with the major thrust of education reform in Namibia. Indeed, WEI stresses self-assessment, self-direction and self-governance as key principals governing all activities. WEI seeks to work with NGOs which employ participatory approaches at the community level. In addition, all training programs supported by WEI will employ participatory approaches in needs assessment, training design, implementation and evaluation.

In order to both enhance the institutional capacity and improve the quality and quantity of participatory nonformal education programs available to Namibians, WEI and The Rössing Foundation offer a range of technical services, financial assistance, and technical support. Each component is designed to reinforce the others, thus facilitating attainment of NGO and project objectives and avoiding extensive time lags. Before an organization can effectively implement services, however, it must have a threshold level of institutional capacity, with more institution building emerging from the implementation of activities. To enable Namibian NGOs to efficiently and effectively deliver participatory nonformal education and training services, the READ project, primarily through the WEI component, provides a series of core institution building activities, offered in the form of

workshops with follow-up technical assistance. Namibian NGOs are encouraged to gradually take on more and more responsibility for the training activities themselves -- both by running training programs within their own organizations and by offering training services to other NGOs.

Once an organization has demonstrated an institutional potential to cost-effectively deliver needed services, the READ project offers financial and technical assistance for the implementation of a wide variety of programs that use a participatory nonformal education approach. Activities will be supported in a variety of sectors from health and environmental education to functional literacy and workplace education, and from income generation and microenterprise activities to civic awareness and legal rights. The sector of activity is not the critical issue in determining organizations and activities that receive financial support. Rather it is the employment of a participatory approach and the potential for the activity to empower historically disadvantaged Namibians by meeting their expressed need for skills and services. The aim is to help NGOs to increase the impact and expand the scale of their programs -- to make the participatory nonformal education approach and methods more effective while, at the same time, reaching many more beneficiaries.

- 2) NGOs effectively articulate and/or represent the interests of their constituents in local, regional and/or national fora.

The READ Project seeks to strengthen and expand Namibian civil society by building NGO capacity to effectively articulate and represent the interests of constituents in a variety of local, regional, and/or national fora. Namibia's past socio-economic and political development has not led to the development of organizations with advocacy objectives and skills for fear of repression. In the current pluralistic environment, previously existing and new organizations have greater opportunity to participate in the public realm and play a leading role in defining the content and direction of policy formation at the local and national level.

A pluralistic environment with a government sympathetic to increased public participation is of fundamental importance for effective NGO participation in policy dialogue and formation. READ is building government awareness and acceptance of the skills and potential of Namibian NGOs by including relevant government officials in working groups and training activities.

In the selection of subgrantees and NGOs for participation in capacity building programs, READ is concentrating on institutions that have the potential to provide services and demand good governance through participation and advocacy. While there is plenty of room in Namibia for organizations that are strictly service delivery

or pure advocacy, the READ project links these roles. Service delivery organizations and community-based special interest associations are in the best position to identify and voice the constraints that ordinary people feel. An important aspect of READ's institutional capacity building program is to help Namibian NGOs translate this position of insight and voice into affirmative action in the interest of, and on behalf of, their constituents. Technical assistance and training activities will be conducted throughout the life of the project to help Namibian NGO staff and leaders to learn and perfect the skills needed to elicit public concerns and to effectively communicate those concerns in the proper forum for resolution.

The articulation of constituent concerns and the representation of client interests can take place at many levels and in a variety of different ways. The words "advocacy" and "civil society" are value-laden terms with no universal definition or common theoretical conceptualization. The READ project has adopted an approach that seeks to empower people and organizations to influence and participate in decision-making at all levels of society. In this approach, increased participation in neighbourhood or community-level decision-making processes is considered equally valid and just as important for building civil society as major advocacy campaigns within national government bodies or the media. The READ project is prepared to work with Namibian NGOs to build their capacity to serve as intermediaries and empowering agents at the local, regional, and national level.

Service delivery NGOs often represent the interests of their clients and advocate for them without actually recognizing that they are doing more than providing services. This is the case, for instance, when health service organizations negotiate for better quantities and prices for supplies or when water user associations obtain credit or grants to upgrade equipment and expand services. The READ project is strengthening the institutional capacity of Namibian NGOs to become more efficient and effective in activities already underway and to help organizations recognize and act on opportunities as they occur.

In helping Namibians to recognize and improve their representative and advocacy roles and skills, the READ project is committed to a culturally sensitive, participatory, demand-driven approach. Basic awareness of civil society functions and the potential for NGOs to mobilize communities and interest groups and to act as intermediaries between a government and its people will be provided during various institution building workshops and technical assistance activities by both WEI and The Rössing Foundation. In addition, the project implementors are prepared to provide specific training in advocacy or representational techniques and skills on a case-by-case, as needed and desired basis. It is anticipated that NGOs will recognize the need for assistance in this area as they institutionally develop and

acquire strong ties to particular communities and issues and naturally fall into intermediary and representative roles. READ project assistance will encourage NGO participation in policy dialogues and help make that participation effective.

3) Innovative training methodologies and training support mechanisms tested in Namibia and disseminated among NGOs.

Through WEI and The Rössing Foundation, the READ project will apply innovative techniques which will be tested and refined in Namibia to engage learners (members of NGOs, their clients and Government employees) in inquiry, problem-solving, and objectives-setting activities in order to arrive at a solution. These techniques will be delivered in a learning context, which has been found most effective since it also enables members of the group to learn from each other and collectively build confidence to find solutions. In this collaborative manner, and with the participation of beneficiaries, READ will support the formation of working groups to produce training modules on sectoral and institutional topics.

WEI is responsible for a series of workshops as part of institution building activities and more specialized training in advanced methodologies. These will be implemented to provide NGO staff, board members, and relevant government officials with state-of-the-art instruction in participatory nonformal education theory and techniques. At least 1500 workshop person days will be devoted to building training skills. More advanced Training of Trainers activities will also be conducted to provide NGOs and appropriate GRN departments with the skills to develop their own training programs and materials. Namibian institutions are thus receiving the competence to continue to expand those reached through participatory nonformal education.

In addition, READ will support applied field research activities to test training methodologies and to develop participatory monitoring and evaluation techniques to effectively track the impact and results of project activities. Finally, throughout the life of the READ project, all of the participants will be asked to disseminate materials and information regarding innovative techniques as widely as possible and highlight particularly successful (or unsuccessful) project activities through quantitative and qualitative reporting.

4) Government capacity strengthened to develop, implement, and coordinate efficient participatory nonformal training strategies in collaboration with NGOs.

The READ project is simultaneously building government capacity to provide participatory nonformal education and

training services and promoting greater awareness of the role, skills, and potential of NGOs in a democratic society. Government staff from DACE, NACP, and MET are developing their own skills and capacity by participating in working groups on training design and in workshops on institution building, planning strategies and participatory nonformal education and training methodologies. In addition, five DACE officials are earning Masters Degrees in the United States in disciplines with a nonformal education focus.

USAID and the READ project are also helping to legitimize the Namibian NGO community in the eyes of the GRN by building the capacity of the organizations to become more influential and self-sufficient. The READ project, through the WEI and The Rössing Foundation Cooperative Agreements, is consciously and actively encouraging the Namibian government to trust and cooperate with national NGOs (and vice versa) by including both parties in meetings, conferences and workshops; on project design and steering committees; and through joint NGO/government implementation of READ-funded activities.

General Criteria for the Selection of NGO Partners

READ seeks to work with NGOs which have the potential to effectively meet the expressed needs of an historically disadvantaged population over the course of the project and beyond. The primary cross-cutting criteria for involvement is the potential to have an impact and the employment of participatory approaches at the community level. The following criteria are illustrative of the standards Namibian NGOs must meet, or present a realistic plan for being able to do so within a specified, brief period of time, in order to be eligible for READ support and assistance:

Institutional Criteria:

- demonstrate that it is a legitimate organization in the eyes of the community it serves and that it is accountable to people other than its own staff;
- does not discriminate on the basis of race, ethnicity, political affiliate, religion or gender;
- works principally with historically disadvantaged adult Namibians, with a special emphasis on women through an implementable a gender plan;
- is led and managed by historically disadvantaged Namibians, or demonstrates a genuine commitment to and specific plan for increasing their participation in leadership and decision-making roles at all levels of program management;
- demonstrates an ability to respond to changing needs in the community;

- demonstrates a capacity or desire to build capability to effectively articulate and/or represent the interests of their constituents in local, regional, and/or national fora;
- demonstrates the potential to continue to expand operations and numbers of beneficiaries;
- has staff appropriate for their tasks and/or a staff development plan to make this so;
- can demonstrate financial soundness;
- has multiple sources of funding.

Technical and economic criteria:

- engages in voluntary or development assistance relevant to improving the quality of historically disadvantaged Namibians's lives;
- employs participatory nonformal approaches in project planning, implementation and evaluation;
- is committed to articulation and/or representation of the interests of their constituents in local, regional and/or national fora;
- has the capacity to monitor and evaluate activities and track impact and results through time;
- experimentation and demonstration activities are important and encouraged;
- is cost effective;
- financial plan shows a decreased dependence on READ funding over time.

Benefits and beneficiaries criteria:

- serves historically disadvantaged adults, especially women;
- improves the quality of life for adults;
- contributes to equitable national geographic coverage;
- demonstrates the potential to meet the needs of a growing number of beneficiaries;
- involves beneficiaries in need or problem identification, project or program planning and evaluation.

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3 February 95

DRAFT Logframe

Reaching out with Education for Adults in Development (READ) --- Re-cast Exercise

| Narrative Summary | Objectively Verifiable Indicators | Means of Verification | Important Assumptions |
|---|---|---|---|
| <p>Goal: Historically disadvantaged Namibians are empowered to improve the quality of their lives.</p> | <ul style="list-style-type: none"> - Standard Quality of Life measure such as household incomes - Increased % of historically disadvantaged population, disaggregated by gender, involved with organizations which encourage participation in needs assessment and resolution | <ul style="list-style-type: none"> - National Statistics - USAID, WEI, NGO, and Rössing Foundation project documentation | <ul style="list-style-type: none"> - Internal and external political environment permit effective project implementation - Government policies favour democracy, equity and private sector (formal and informal) development - Public and private structures allow for participation - Positive GNP growth - Involvement in participatory organizations leads to empowerment |
| <p>Purpose: To strengthen the institutional capacity of Namibian Non-Governmental Organizations to meet the needs of historically disadvantaged populations.</p> | <p>End of Project Status (EOPS)</p> <ul style="list-style-type: none"> - 20 to 25 NGOs can plan, implement, monitor, and evaluate their activities such that they meet the expressed needs of beneficiaries - 20 to 25 NGOs assess and track the impact of their services on adults - 20 to 25 NGOs have functional plan for financial sustainability - 20 to 25 NGOs have appropriate, transparent, and functional financial accounting, personnel and management policies and systems - 20 to 25 NGOs achieve lowered unit cost of service delivery by 15 percent - 20 to 25 NGOs have clear and accountable governing structures with diverse membership - 5 to 10 NGOs meet all the above criteria for institutional sustainability | <ul style="list-style-type: none"> - NGO reports and proposals - Site visits - WEI data base and reports - Rössing Foundation data base and reports | <ul style="list-style-type: none"> - NGOs find continued funding for priority programs - The regulatory environment for NGOs permits effective operation, institutional strengthening and a full range of NGO activities - Trained staff remain with NGOs - Sufficient number of NGOs are willing to critically assess their programs and institutions, and take steps to improve and expand them - NGOs which have large and equitably distributed target populations seek project assistance |

| Narrative Summary | Objectively Verifiable Indicators | Means of Verification | Important Assumptions |
|---|---|--|--|
| <p>Outputs: 1. NGOs deliver needed services through participatory, non-formal education and training methodologies.</p> | <ul style="list-style-type: none"> - Annual increase in number of adults (men and women) receiving services from and participating in NGO programs - Adult skills increased through participatory nonformal education and training services delivered by NGOs and DACE - Minimum of 50% female and 35% male beneficiaries targeted through grant awards - 20 to 25 NGOs provide participatory non-formal education and training services - 5 historically disadvantaged Namibians conduct high quality participatory training and training of trainers (minimum of two are women) - 20 organizations receive and apply training skills in nonformal environmental education | <ul style="list-style-type: none"> - NGO reports - Periodic qualitative evaluations - Site visits - WEI data base and reports - Rössing Foundation data base and reports - DACE documentation | <ul style="list-style-type: none"> - Adults want new services and skills - Sufficient numbers of viable grant proposals are received - Trained trainers remain in Namibia working with NGOs |
| <p>2. NGOs effectively articulate and/or represent the interests of their constituents in local, regional and/or national fora.</p> | <ul style="list-style-type: none"> - Increased number of NGOs being consulted and/or participating in dialogues on behalf of their constituents - Umbrella/federation groups of NGOs formed/strengthened around specific sectors or issues - Increased membership (among membership organizations) - 5 to 10 NGOs develop and successfully use skills for representational activities | <ul style="list-style-type: none"> - NGO constitutions/ operating procedures and other documentation - WEI data base and reports - Rössing Foundation data base and reports - Media reports - Meeting minutes | <ul style="list-style-type: none"> - People want intermediary organizations to represent their interests - NGOs seek to represent the interests of their constituents, influence decision-making and/or promote dialogue - Political climate for participation by NGOs and their beneficiaries continues and improves |

| Narrative Summary | Objectively Verifiable Indicators | Means of Verification | Important Assumptions |
|--|---|---|--|
| <p>3. Innovative training methodologies and training support mechanisms tested in Namibia and disseminated among NGOs.</p> | <ul style="list-style-type: none"> - A minimum of 10 working groups produce training modules on sectoral and institutional topics in collaboration with beneficiaries - 5 NGOs and 2 GRN departments capable of developing own training materials and assisting other NGOs - 1500 workshop person days provided to NGO staff, board members, and GRN officials in participatory training workshops (historically disadvantaged Namibians and balance of gender) - Applied field research projects conducted to test non-formal training methodologies (NGO and/or GRN participation) - 10 Training highlights memos disseminated to NGO, GRN and wider community - A participatory non-formal training resource center established and accessible to all interested organizations | <ul style="list-style-type: none"> - Workshop reports - Field assessments of training results - Research reports - Site visits - NGO and GRN documentation - WEI data base and reports - Rössing Foundation data base and reports | <ul style="list-style-type: none"> - NGOs send appropriate participants to workshops - Applied research capacity exists or can be developed |
| <p>4. Government capacity strengthened to develop, implement, and coordinate efficient, participatory non-formal training strategies in collaboration with NGOs.</p> | <ul style="list-style-type: none"> - # Fora/networks established among NGO interest groups and relevant GRN institutions - GRN invites NGO partners to relevant meetings and events - 5 DACE staff participated in working groups on training design - 10 training opportunities involved DACE staff (workshops, study tours, etc) - 5 Masters Degrees earned by DACE staff with nonformal education focus - 2 DACE/NGO/WEI joint ventures undertaken - 4 MEC/MET staff receive post-secondary training in environmental education | <ul style="list-style-type: none"> - Forum/network documentation - Workshop reports - Media reports - NGO/GRN documentation - Qualitative evaluation - Degree certificates - WEI data base and reports - Rössing Foundation data base and reports | <ul style="list-style-type: none"> - GRN makes qualified staff available for Masters degrees and for appropriate training opportunities and working groups - GRN has financial and other resources required to develop and implement participatory non formal strategies - GRN sees the NGO community as a resource and seeks NGO participation - NGOs have time/capacity to participate in NGO/GRN fora/networks, meetings and events |

| Narrative Summary | Objectively Verifiable Indicators | Means of Verification | Important Assumptions |
|--|--|---|--|
| <p>Inputs:</p> <ul style="list-style-type: none"> - A cooperative agreement to WEI to manage the project, provide TA and training (including 5 MA scholarships for DACE staff) and to administer sub-grants to Namibian NGOs - A cooperative agreement to Rössing Foundation for a national, regional and local program of environmental education including administration of sub-grants, provision of technical assistance and training (including scholarships) - Steering committee - USAID project personnel, technical assistance and commodities | <ul style="list-style-type: none"> - USAID funds allocated and disbursed - WEI cooperative agreement disbursed - NGO grants allocated and disbursed - Rössing Foundation cooperative agreement disbursed - commodities in use - steering committee appointed and meeting regularly | <ul style="list-style-type: none"> -USAID audits - Project reports, evaluations and other records - Annual reports of participating NGOs and GRN - Steering committee minutes | <ul style="list-style-type: none"> - NGOs develop acceptable proposals to obtain grants - Funds from USAID are made available on a timely basis - NGOs are able to effectively and efficiently use the additional resources |

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Report 5

Summary of Analysis from the 1992 READ Project Design

9/92

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III. SUMMARY OF ANALYSES

INTRODUCTION

This section presents the central conclusions from the technical analyses carried out to determine the context, beneficiaries, sustainability, and rationale for the Project. The technical analyses determine that the Project design is likely to achieve the Project's purpose and goal. The READ design was analyzed from several perspectives:

- The problem and the objectives of each of the two major components and seven subcomponents of the Project;
- The proposed means to reach the objectives; and
- The planned human and financial resources available to plan, implement, and evaluate Project activities.

Each analysis describes the background, issues and concerns of each technical area. All analyses point to a consensus that (a) the umbrella strategy is warranted; (b) justifies the two key assistance components of the Project; and, (c) confirms the mix of Project inputs. As a result of these analyses, USAID concludes that the design is feasible and is the most appropriate available technical approach to achieve the Project's purpose.

A. NONFORMAL EDUCATION (ANNEX E)

This analysis covers two sections: one, the nonformal education activities of the public sector, with specific reference to MEC/DANFE; the other, nonformal education capabilities of NGOs. This analysis looks at key issues from both sectors and discusses the Project inputs needed to overcome key educational constraints. This section concludes with recommendations for Project implementation.

1. The Public Sector

DANFE has the key GRN role to develop and implement policies and programs in nonformal and adult education. Other GRN ministries have also initiated nonformal education and vocational skill training efforts, and are expanding their rural and urban assistance programs. While these programs are smaller initiatives than DANFE, they point to need for enhanced coordination of Project activities within the GRN. DANFE sees this as an important aspect of its work.

DANFE has established four distinct programs in nonformal education which share a common pedagogical principle of being learner-centered. Each program area has received foreign technical assistance and some budgetary support in its formulation and implementation. Through the Project, DANFE plans to contribute to existing and planned programs of NGOs and other organizations, particularly in literacy and adult skills training. It is recommended that READ concentrate support at high and mid-level staff levels of DANFE in the form of evaluation services, short-term study tours and long-term training. Assistance will be directed to only full-time, permanent employees of MEC. Although READ will work primarily with NGOs and DANFE, at least four other ministries offer

delivery training through READ are those specializing in giving technical assistance to community-based groups, such as holistic education and literacy with traditionally neglected such groups as the of Ju/'hoan people (Nyae-Nyae Foundation), or legal aid and human rights education to groups (Legal Assistance Center). Other coordinating NGOs have started to define their roles in assisting member NGOs, and will benefit from READ by strengthening themselves or their member organizations.

Several medium-sized NGOs identified by the READ design for capacity building training also have experience in developing innovative methodologies for promoting community-based solutions. Some "survival" problems addressed, for instance, are establishing water irrigation systems for producing vegetables from inadequate soils; or producing literacy materials and instruction relevant to immediate concerns of learner groups. Other NGOs concentrate on networking and information-sharing as part of the informal learning and training cycles that they support.

(c) Smaller NGOs

Smaller NGOs are the critical participants in capacity building and training for delivery of nonformal education services. Many opportunities exist for these groups to submit proposals for funding directly to the PVO and the Steering Committee. Training programs need to be designed for these smaller groups to create self-funding mechanisms locally without straining Project funds for seed capital. In this respect, the Project must carefully weigh its capacity to seed smaller income-generating projects as part of its overall capacity building strategies. Finally, many of these NGOs are likely to have their origins in church or political party groups. There is a clear need to ensure a non-partisan, non-sectarian and non-sexist strategy to work through NGOs.

3. Other Project Activities

Because of information sharing and spread of influence, it is expected that some organizations may come forth with specific requests for training that have not been anticipated, e.g., a farmer's association request for assistance in developing its newsletter. An analysis of the status of environmental education in Namibia determined that it is a new concept for most of the populace, there is no national strategy to address the subject nor adequate funding, materials, and infrastructure. There is also a lack of qualified and experienced environmental educators. Environmental and natural resources laws and policies also mitigate against acceptance of the concepts and participation of much of the rural communities. Such a situation is inconsistent with Namibia's Constitution. Opportunities exist for incorporating environmental issues into the activities of many of the NGOs through the environmental education cooperative agreement to the Rossing Foundation and the establishment of closer links between the MWCT and the MEC.

4. Conclusions

The READ Project should help build positive attitudes and negotiation frameworks towards NGO collaboration and resource-sharing, given past mistrust and poor communication among each other. The Project also needs to strengthen the participatory approaches of NGO programs, both in training methods and program planning. There is substantial evidence in

utilized a "least cost" approach. For each of READ's outputs, the purpose and subgoal, alternative means and options were identified. An assessment was then conducted in terms of feasibility and cost. Because of the characteristics of READ and constraints specific to the Namibian situation, a number of options were eliminated because excessive implementation delays which would be associated with their use.

1. Institutional Development

With emphasis on institutional development, the READ Project is expected to affect some 25 NGOs during the LOP. The Institutional Development component reflects efficiency measures and economic benefits through strengthening the organizations' overall operational capability and allocation of resources. In addition to subgrants, institutional development will be facilitated by PVO-funded short-term technical support services for NGO assessments and upgrading of NGO administrative skills and managerial systems. Economic returns to NGOs will be measured in terms of their improvements in the internal and external efficiency of their design and delivery of nonformal education services. The institutional development approach will offer flexibility and redirection to NGOs to reduce administrative costs and increase efficiency of operations. The anticipated economic benefits of strengthening NGO capacity include the following: first, given the past history of inefficiency and the lack of accountability standards, it is anticipated that administration and management of NGOs will increase relatively quickly. An immediate and direct benefit will, therefore, be the strengthening of a significant number of Namibian NGOs. Because allocation of subgrants will be contingent on the demonstrated cost-effectiveness of proposed activities, the overall impact of resources allocated to nonformal education will increase substantially. A major impact of improvements in administrative capacity will be reductions in the unit cost of service delivery. This will, in turn, improve overall economic efficiency of the nonformal education subsector, contribute to economic growth and will increase the sustainability of these programs.

Financial sustainability is the main concern for economic and financial accountability (see the previous Financial Analysis) which READ must address for the following reasons:

- (a) NGOs have an urgent short-term need to deliver training services to adults, and because NGOs already exist, they can offer more cost-effective and flexible alternatives than can the GRN at this time. However, NGOs are not yet efficient, and nonformal education programs being implemented by MEC will encourage NGOs to function more viably in the long term and to keep up with MEC's revised National Education Plan.
- (b) A potential threat to NGO sustainability is the ability of NGOs' to retain key staff, especially those who will have improved their skills through READ training, and might be more marketable elsewhere. The economic and social returns will be gained and retained so long as such staff members continue to work within Namibia's economy. Also, investments in strengthening institutional capacity will provide cost-effective returns by meeting immediate needs for nonformal education services.

6. Appraisal and Evaluation

Economic criteria for appraisal and evaluation of READ activities in the skill areas differ: for literacy/numeracy criteria, even with a common definition of what constitutes "literacy" or "numeracy", gains are hard to measure, except by developing common assessment instruments. Other measures could be the use of drop-out rates, enrollments and follow-up assessments on literacy retention.

Life skills and environmental education criteria would involve pre-and post-participation measures and sample measures of behavior, like improved child health or key environmental principles. For income generating skills training, it is recommended to measure whether the training has been used. Though difficult to measure economically, improved understandings about human rights and democratic behaviors may result in less gender-typing and more opportunities for women to move into a variety of economically viable trades and businesses earlier closed to them. Measuring the sustainability of skill acquisition, given the experiences of skill atrophy, particularly in areas of literacy, will be done by carrying out Project research activities on the rates and types of skill utilization and the impact of complementary inputs such as tools, market information, etc. Sustainability of democracy skills will be largely a function of factors contributing to the social and political environment, often outside of the variables directly influenced by the Project.

7. Nonformal Education Methodologies

The adoption and dissemination of information dissemination about appropriate methodologies, instructional materials, participatory training techniques, etc., will have significant economic benefits in the skills training and environmental education areas of READ. Evaluation of the external efficiency of the Project may also include commissioning studies on market conditions for skills. Similarly, short term study tours can provide timely and cost-saving learning opportunities for key participants to obtain information to apply to Project activities.

The appraisal and evaluation of new methodologies and information exchange will identify the rate of adaptation and usefulness within the Namibian context, and provide cost-saving information. Study tours could be evaluated by short and long-term follow-up interviews and recording of new or innovative activities undertaken. Determining sustainable information and techniques will be feasible once the Project begins operation.

8. Outreach and Information

Well-connected "insiders" in the NGO community have tended to dominate, and there is fear that READ may perpetuate this. To avoid exclusion of smaller NGOs, community mobilization and grassroots participation will be a primary focus for Project activities, complemented by follow-up support and accountability measures that can be shared. Such supports might include the marketing of NGO services, such as legal aid assistance, newsletters to facilitate information sharing, and conferences to encourage sharing experiences. Since participation and information sharing are intermediate products, they do not lend themselves to direct economic evaluation.

E. INSTITUTIONAL ANALYSIS (SEE ANNEX J)

This analysis discusses the historical background to institutional developments, such as with NGOs, community mobilizing forces, government transformation, and GRN educational policy. The purpose of the institutional analysis is to determine whether the key implementing entities have the capacity and capability to fulfill the roles and responsibilities assigned them under the Project. Considered in the analysis were the numbers of entities involved, their specific roles and responsibilities, the number and qualifications of staff, and organizational and management experience available to meet Project objectives.

1. The matrix of NGOs trying to strengthen community-based initiatives covers a wide range of service, coordination and funding roles. The Project categorized NGOs: the larger ones (like Rossing and CCN), medium-scaled NGOs (like IMLT, Private Sector Foundation, Namibia Development Trust), and smaller NGOs. Umbrella-type organizations (NANGOF) exist which the Project can support, but without appearing to be fulfilling a coordination function or establishing umbrella activities. The analysis concludes that no legal problems inhibit READ's plans to work with NGOs. Also, the cooperative agreement to Rossing Foundation will enhance its ability to provide environmental education.

2. Several issues are raised in the analysis:

- (a) To what degree can implementing NGOs meet the scope of capacity building and delivery of services under READ objectives, in order to effect some sustaining impact?
- (b) There are institutional considerations -- both barriers and strengths -- in providing Project skills training. Some issues revolve around the coordination of literacy/numeracy objectives by MEC and the NGOs; others point to the separate development of plans and programs by different ministries to establish skills training and income-generation opportunities through a semblance of nonformal education training.
- (c) External donors are funding an increasing number of development programs which emphasize employment and income generation. A strong coordination effort must be developed to ensure that READ complements rather than duplicates such programming.
- (d) Characteristics of community participation and compassionate GRN response to nation-building concepts and other new practices must continue to move away from former behaviors and attitudes which inhibited democratic practice. The ability of the NGO communities and Ministries to coordinate their policies and plans and adopt new attitudes and practices must be a major concern of READ to achieve long-term impact.

3. Women have few marketable skills; teen pregnancies resulting in school drop-outs have caused women to lose chances to develop their skills for future employment. Both genders must deal with these life-coping and family preparation issues.

4. Many Namibians have been dispossessed of land, forcibly resettled, had family life disrupted by the labor contract system, and have suffered active discrimination. This has seriously harmed the traditional livelihoods and cultures of both men and women.

5. Namibia's new Constitution, which guarantees equal rights for women, has not automatically changed the role and status of women, especially in marriage rights and inheritance. All citizens of Namibia and all age groups must learn the basic principles of human rights, and eliminate inequitable legal advantages. Because of women's disadvantaged status in Namibia, they will benefit greatly from active participation in READ Project activities.

H. CONCLUSIONS

The analyses demonstrate that the design of READ proposes a logical rationale for all anticipated assistance components, is technically sound from administrative and non-formal education methodology perspectives, will provide the best economic and financial returns for the buck under the umbrella strategy selected, and is culturally appropriate. The ultimate beneficiary of the efforts of the Project will be the Namibian nation, which will benefit from a more literate/numerate and employable population, improved awareness of the fragility of the natural resource base, a population that has had increased participatory experience, and adults who generate more income. In summary, READ activities will contribute to NGO sustainability by improving management, administration and efficiency, by increasing the relevance and responsiveness of NGOs as service delivery organizations, by identifying options and strategies for cost recovery, and by strengthening NGO capacity to mobilize external resources.

Report 6

**Non-formal Education and Training Results Package:
HIV/AIDS Activity
by Ruth Peters**

12/95

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SUPPORTING ANALYSIS FOR HIV/AIDS ACTIVITY

I. BACKGROUND

In 1986, official Namibian statistics placed on record the first six (6) HIV positive cases. In the interim four year period leading up to independence, the increase of HIV/AIDS worldwide and its presence in Namibia were kept secret from the majority of Namibians under the Apartheid system of oppression, isolation and ignorance. In 1995, five years after independence, government statistics identified 13,098 HIV positive cases in Namibia -- a frightening 2000% increase in nine years. This translates into 0.82% of Namibia's 1.6 million inhabitants with HIV/AIDS. Newspaper reports have placed the number of HIV positive cases at 14,000 and it has been rumored that the unofficial figures (December) are closer to 15,000 positive cases.

During the nine year period between the reported initial six cases and release of the GRN 1995 HIV/AIDS statistics, Namibians have undergone tremendous political, social and economic transitions. Politically, the first free elections were held in December 1989 ending the illegal Apartheid era and bringing to power the first freely elected Namibian government. This was followed by Namibia's independence in March 1990. Social and economic changes began with the return of 40,000 exiles shortly after independence from neighboring Angola, Zambia, Zimbabwe and Botswana as well as from Europe and the Americas. Some of these countries had the highest ratio of HIV/AIDS prevalence worldwide. Besides the influx of exiles into post-independent Namibia, high migrations from rural areas to towns and cities for labor reasons occurred and continue to accelerate within Namibia.

Within the first year of independence, the newly elected President, Sam Nujoma, initiated and inaugurated the National AIDS Control Program (NACP) under the Ministry of Health and Social Services (MOHSS). The primary aim of the NACP was and remains HIV/AIDS prevention through information, education and communication (IE&C). A secondary responsibility of NACP was, along with MOHSS, to oversee the procurement and distribution of condoms to the public sector and ensure availability. In 1992 and 1993, the Government expanded its HIV prevention effort beyond MOHSS to include the Ministry of Youth and Sport (MYS) and the Ministry of Basic Education and Culture (MBEC). MYS implemented a peer education program targeted to teenagers and school drop-outs. MBEC, in its HIV/AIDS focus, is developing education material for integration into its supplementary HIV/AIDS booklets.

In May 1993, President Nujoma requested USG assistance in combatting HIV/AIDS in Namibia during a State visit to the U.S. In response, senior USG State Department officials promised our

support in this area and later advised USAID Washington that such assistance would need to be absorbed within the current USAID Namibia program. In April 1994, at the MOHSS sponsored HIV/AIDS Resources Mobilization meeting, USAID pledged to fund an HIV/AIDS assessment to identify possible areas of USG assistance in response to the Washington promise, with the caveat that such assistance must be within the present NGO strengthening and adult non-formal education activity. This assessment was the first of three study-related activities on HIV/AIDS. The second was a socio-economic Knowledge, Attitude and Practices study and the third was a post-project intervention condoms study. Major findings and recommendations of each are provided below in part III of this report.

II. NAMIBIA'S CULTURAL AND TRADITIONAL SETTING

Namibian society remains a culture of ignorance and denial regarding HIV/AIDS. Internal migration of laborers from rural to mining cities and towns for extended periods (up to 11 months), has been accompanied by the practice of multiple families: one at the work site and another remaining at the home village. This practice is believed to be the prime cause of the escalating incidence of sexually transmitted diseases (STDs), now reported in rural areas and industrial-based cities and towns. However, Namibians, for the most part, are very conservative when it comes to sex related issues. There is vocal and active opposition to the introduction of sex education into school curricula and use of public fora for discussions of sex topics across ethnic and tribal lines. Denial about the presence of HIV/AIDS remains high. Deaths due to AIDS complications are directly and solely contributed to the illnesses manifested by AIDS sufferers, and not to the disease itself. To date, no GRN leaders and public figures have spoken openly about the true impact of HIV/AIDS on Namibia's society, communities and/or individuals.

III. USG FUNDED STUDIES AND ANALYSES

A) Major Findings and Recommendations:

In July 1994, USAID undertook the first of three HIV/AIDS related studies to assess the capacity of GRN and community and NGO support to HIV/AIDS victims and to educate the public on HIV prevention. The consultant met with GRN officials, public and private health providers, donors and NGOs and ended with a workshop to discuss major findings and recommendations:

Findings:

The capacity of both GRN and NGOs were very weak in terms of HIV/AIDS program development and implementation. Both GRN and NGOs received support from donor organizations, with the GRN receiving the bulk of the support. No assistance was provided for institutional capacity building which was identified by both the GRN and NGOs as their crucial need. NGOs had a community based approach, but requested greater assistance in developing community based HIV/AIDS education programs. The highly

bureaucratic operations of the NACP made it less accessible to direct donor assistance in capacity building.

Recommendations:

The assessment recommended NGO strengthening and training to deliver services under a four phase \$4 million sub-program under the non-formal adult education activity (READ) spanning four years. The scope and required management precluded USAID taking on such an activity given staffing and funding constraints. This proposal was therefore scaled back to a two year limited intervention costing \$1 million.

USAID funded a Youth (age 18-25) Sexual Knowledge, Attitudes and Practices (KAP) study. The KAP study was started in September 1994 and completed on a national scale in June 1995. The most relevant findings were: (1) a lack of any significant relationship between knowledge, attitudes and practices, (2) shallow overall sexual knowledge, (3) confusion in terms of AIDS knowledge and what can be done about it, and (4) positive attitudes do not appear to translate into improved behaviors. These findings assisted in the design of the HIV/AIDS activity towards a community based approach.

A condom logistics study funded in 1995 focused on procurement, distribution, handling and supply side of condoms as well as the responsible GRN entity. The study revealed that free condoms are distributed by, and presently supplied through emergency government funds to the network of health clinics. Brand name condoms are available at pharmacies in bigger towns at an unaffordable price to the majority of Namibians. The study recommended a condom coordinating committee be set up within MOHSS, and a condom coordinator be assigned within NACP, to keep track of the condom supply and make the appropriate purchases as needed on a national scale. To date, the NACP has not yet hired a condom coordinator, or made a decision on methods to maintain the condom supply besides the sporadic, emergency purchases which are presently made. It further discovered that problems in the public distribution of condoms were many and complicated. Since independence, condom donations were generally made by donor organizations on an ad hoc basis.

A key finding in gathering statistics on HIV/AIDS is that all of the statistics being cited in official GRN reports are from voluntary sources and voluntary testing. At present, there is no mandated HIV/AIDS testing in Namibia. Given the statistical source for the 13,098 HIV positive cases is solely voluntary and given the large group of sexually active adults (ages of 18 to 40), most health professionals in Namibia believe the official statistics to be vastly underestimated. If one were to use the voluntary data collected at antenatal clinics and in view of the high incidence of 13% in the north among pregnant woman against a low 4% nationally (statistics provided by MOHSS), a figure of 37,600 would be nearer to the actual statistics. The number of infected cases would be approximately 37,600.

B) NACP Institutional Capacity:

The HIV/AIDS assessment and the condoms logistics study looked at NACP's institutional capacity to carry out its mandate and stated objectives in IEC and condoms distribution. The first assessment found serious weaknesses in NACP's policy and planning capacity, its management structure and its ability to provide adequate services to the community. In the area of IEC owing to poor planning and weak systems, the results of their public campaigns have been mixed and sometimes the messages have been confusing and missed the intended target audience. The USAID funded assessment confirmed little had occurred to improve NACP since an earlier 1993 donors assessment which also looked at the capacity of the (MOHSS) Ministry of Health and Social Services to implement the NACP prevention and information campaign. The earlier report identified that NACP staff lacked the necessary skills to implement an HIV/AIDS program on a national scale, and their existing program did not effectively reach the community level. The NACP has been slow in making progress on their national level AIDS awareness campaign. They are looking at opening an office in Caprivi sometime next year.

In the latter study on condoms it was determined that neither NACP nor the Family Planning Unit of MOHSS have taken on the responsibility of procuring and maintaining an ample condom supply for either HIV prevention or family planning purposes. Further, neither unit has budgetary items to procure condoms thus its supply and availability are not guaranteed. The condoms study found that neither NACP nor the family planning unit of MOHSS had ever conducted a condoms inventory and required forecasting necessary to ensure availability and an appropriate logistical system. There were also serious shortcomings on the logistical end of handling and storage of condoms required to ensure overall confidence in the safety of the stocks. The above concluded that at this point neither the MOHSS nor the NACP are in the position to take on more assistance until they have established a National Policy, and improved on their program and technical skills needed to deal firmly and effectively with the pandemic.

C) Non-Governmental Organizations:

Most NGOs are fairly new in the field and are tackling different regions of the country, and different aspects of the pandemic. Effective cooperation between NGOs has been established due to assistance from the USAID HIV/AIDS activity, particularly in the capacity building and training of the umbrella NGO, the Namibia Network of AIDS Services Organizations (NANASO) to enhance its leadership amongst HIV/AIDS NGOs.

D) Major HIV/AIDS Donors:

USAID's efforts are assisted by other donor activities in this area. GTZ, Oxfam-Canada, UNDP, WHO, Swedish International Development Organization (SIDA), Norwegian Development Organization (NORAD), Italy, and other donor organizations have

provided funds and technical assistance to both NACP and NGOs.

IV. USAID HIV/AIDS \$1 MILLION INTERVENTION AND APPROACH IN NAMIBIA

Owing to staffing and program constraints the prospects of undertaking a major HIV/AIDS intervention are not high.

A) In January 1995, USAID added US\$1 million to the Non-Formal Education and Training Results Package to implement the 2 year HIV/AIDS activity in partnership with local HIV/AIDS NGOs. The Non-Formal Education and Training Results Package implementation organization, World Education Inc., in conjunction with local NGOs, developed the HIV/AIDS activity framework to consist of: 1) training curricula and material development, 2) the training of NGO trainers who in turn will train community educators in developing a participatory community based HIV/AIDS program, and 3) technical training of NGO staff to design and implement a monitoring and evaluation system for their HIV/AIDS programs. The activity is implemented in close collaboration with local HIV/AIDS NGOs and with the expert assistance of a specialized HIV/AIDS trainer from Uganda who will remain for the two year period.

B) USAID signed a Memorandum of Understanding with the Ministry of Health and Social Services in April 1995, and formally invited the NACP to participate in the Non-Formal Education and Training Results Package steering committee. To date, one staff member from the NACP attended two out of ten steering committee meetings held since the MOU was signed in April 1995, and has expressed no desire to work in collaboration with NGOs in the fight against HIV/AIDS.

C) Other assistance.

The non-formal adult education activity is assisting the MYS HIV/AIDS youth peer education program through staff training under our HIV/AIDS training of trainers activity. MYS also utilizes the skills of Peace Corps Volunteers in their program.

USAID also sponsored two NGO counselors to attend a two week training course on HIV pre-and-post test counselling in the U.S. HIV counselling is an area that is severely neglected by the government. Only these two NGOs are providing counselling to HIV/AIDS infected individuals.

Report 7

**Training Needs Assessment and Country Training Strategy
for Affirmative Action under the HRDA Regional Project
by AMEX, Int.**

6/94

469

D R A F T

This document reflects the
opinions of the consultants
and not necessarily USAID

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USAID/NAMIBIA

A TRAINING NEEDS ASSESSMENT AND
COUNTRY TRAINING STRATEGY
FOR AFFIRMATIVE ACTION

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June 1994

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I. INTRODUCTION

Apartheid discriminated against all non-white peoples in South-West Africa, but it did not discriminate equally. The traditionally disadvantaged population comprised people of mixed racial descent, known as "coloureds," and African blacks. The blacks incurred greater handicaps under apartheid in education, employment, and political development than the coloureds; they remain, four years after Namibia's independence, the least advantaged group. They also represent nearly ninety percent of the country's population.¹ Apartheid's legacy, then, embraces an issue of impoverished human capital as well as one of social inequity.

Both matters jeopardize the peaceful advance of the country. On the one hand, demands for equal opportunity from the majority group are likely to become critical political agendas, diverting attention from economic growth. On the other hand, economic growth will be compromised by a dearth of skilled workers and competent managers, and no country can afford to import costly human capital indefinitely.

USAID in Namibia has discerned clearly the lineaments of this problem and is prepared to confront the issues through a keenly focused application of human resources development. To frame an HRD strategy, the Mission assembled a four-person consulting team partially financed through HRDA core funds.² The Consulting Team was managed by AMEX International, Inc. and spent four weeks in Namibia, from April 18 to May 13, 1994.

In contemplating the many directions that training assistance could take in Namibia, USAID narrowed its sights to a group that is receiving little attention from other donors and which could produce tremendous leverage through increased skills: black managers. Working closely with the Mission, the team defined the objective of the proposed Project as the *creation of a core group of black Namibian managers in positions of senior responsibility.*

The Mission also proposed that three quarters of Project training funds be allocated to the private sector, with remaining funds going to those government offices most directly related to private enterprise. The individual beneficiaries would be men and women currently employed in management positions, or assured employment by a company or public office. The task of the Team was to determine the feasibility of the undertaking and, if appropriate, to suggest the best means for implementing the project.

The consultants prepared a work plan and brief interview questionnaires to ensure consistent gathering of information in a rapid appraisal. The Mission reviewed and approved these instruments, which are located in Appendix N of this report. The consultants then conducted extensive interviews with senior management in private firms, in the GRN, among international donors, and with representatives from training, educational, business support, and civic organizations. The Team's internal consultative process was continuous: all statements, conclusions, and recommendations in this report represent full consensus among the four Team members.

The report comprises three primary chapters: a Training Needs Assessment (TNA), a Country Training Strategy (CTS), and a Country Training Plan (CTP) for HRDA. Descriptions of the private and public sectors and of affirmative action are located in the appendices. These are the chapters upon which the



analyses and recommendations in the TNA and the CTS have been based. The Team believes that this organization of the report enhances overall readability, while permitting as great an inclusiveness of material as can be expected from the exercise. A more comprehensive essay on affirmative action stands, by Mission request, as a separate document.

NOTES

¹ An ILO survey revealed that blacks comprise 88 percent of Namibia's population, whites 5 percent, and coloureds and "other races" 7 percent: GRN, *The Reconstruction and Development of Namibia* (Windhoek, 1990), p. 1.

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II. TRAINING NEEDS ASSESSMENT

A. Statement of Work

The objective of the proposed project—to help create a core group of black Namibian managers at senior levels of responsibility—channeled the needs assessment towards clearly defined beneficiaries among both institutions and individuals. Individual beneficiaries are black Namibian professionals who occupy, or are prepared to assume, positions of substantive managerial authority. The principal institutions are mainstream private businesses; a second category of institutions are government offices with direct influence upon private enterprise. Other possible beneficiaries or collaborating partners include training providers and business support organizations.

The affirmative action agenda also guided the training needs assessment towards the individual, not the institution. The individuals, however, must be employed, or assured employment, in organizations large enough to house a diversified work force with a managerial staff permitting career development through vertical movement. Companies must embrace the philosophy of affirmative action and make special commitments to the project; they must participate actively in seminars on organizational transformation to ensure full success in the training objectives set for the affirmative action employee.

Finally, it is clear from the outset that training will be programmed at an executive level.

B. The Private Sector Focus

During the life of the HRDA Project, Missions across Africa have conducted over twenty Private Sector Training Needs Assessments (PSTNA). Most of these assessments have concentrated on small and medium businesses, defined in the context of sub-Saharan Africa, and have looked closely at the training needs of the emerging entrepreneur.¹ The present assessment differs from these past efforts. Rather than evaluate the skills of sole proprietors, small business managers, and line foremen, the Team had to inquire into the general needs of men and women who already boast substantial experience and who are employed in businesses sufficiently large to contain a staff of managers.

♦ Selection of industries

The assessment survey focused on private businesses from mining, the fishing industry, the financial sector, from retail and wholesale trade, and from tourism. The survey included as variables a few small enterprises and one manufacturing business. Reasons for this choice of industries, as well as background on much of the following discussion, is detailed in Appendix A. The assessment also comprised black-owned business with no need for internal affirmative action (though in clear need of management development) as well as business support organizations. Interviews with the managing directors followed the format prescribed in the survey instrument supplied in Appendix M.

The Team chose firms for interview on the basis of diverse criteria: high-level visibility, representativeness in a priority sector, eminence of the CEO, and upon the recommendations of USAID and local chambers of commerce. It is essential to bear in mind that the interview data do not constitute a statistically valid survey sample: *no extrapolations from the data may be used to describe the private sector in Namibia or in Windhoek.*



◆ **Results of the survey**

Of the twenty-five firms surveyed, the work force in companies ranged from eight to three thousand employees, though the median would be close to eighty. Black Namibians hold thirty-nine percent of overall ownership, which includes sole proprietorship, partnership, and employee shareholding. The employment figures of most immediate interest to the present purpose are in the table below.

Employment in Private Firms Surveyed

| | Actual numbers | Percents | Range |
|---------------------------|----------------|----------|-----------|
| Total work force | 8004 | | 8 - 3,000 |
| Total managers | 396 | | 1 - 80 |
| Managers/work force | 396 | 5% | |
| Total black managers | 82 | | 0 - 25 |
| Black managers/management | 82 | 21% | |
| Women/work force | 1695 | 21% | 2 - 492 |
| Women managers/management | 72 | 18% | 0 - 13 |

The figures suggest that there is a resource pool of potential candidates for training that, while small, represents a sufficient base for recruitment. The data do not reveal management levels, but the research showed that in fact few blacks occupy senior posts, and most can be found with lower-middle level management responsibilities. Though one out of five managers is female, the number of black women managers is quite small.

In response to questions about in-house training, one third of the firms have a formal program, one tenth use local training providers outside of in-house work. Few have training budgets; these ranged from US\$37,000 to \$140,000.

In the specific area of affirmative action, 50 percent of the businesses have a written policy; half of these are affiliates of foreign companies. Only a quarter of responding firms have a program document with which to implement their policy and track progress in affirmative action placements.

Firms were divided over whether Namibia should legislate affirmative action. They enjoyed greater consensus on the form such legislation should assume, if passed: nearly all respondents felt that quotas and impositions would be counterproductive, that legislation should instead set guidelines, recommend goals, and suggest incentives. They also felt that non-compulsory legislation of this nature would not compromise a firm's productivity, since it would not interfere with promotion through merit. Most respondents believed that affirmative action, properly implemented, would be a positive force for their business: it enhances their image, obviates worker disruptions, expands markets, and may boost productivity by raising employee morale. A majority of respondents claimed that the single greatest



constraint to affirmative action lies in the limited pool of qualified blacks, in both technical and managerial domains.

All interviewees were asked if USAID's proposed assistance would be useful for their firms, even though participation in the Project would imply specific commitments regarding employment and promotion decisions, senior managerial time, and co-financing. Nearly one hundred percent of the respondents answered affirmatively.

The survey instrument did not list a series of specific areas for training, a methodology that was common in the prior PSTNA process. The consultants felt that open-ended questions would be more appropriate for the managerial level being discussed; furthermore, the open-ended approach presaged the strategy we believe the project should follow: determining needs on the basis of enlightened consultation with candidates and their employers.

Respondents frequently raised the need for long-term technical training, but that sort of assistance lies outside the scope of the Project. Although several respondents felt that they could not define training requirements for middle or senior managers without extensive reflection, others spoke to predictable needs in marketing and sales, financial analysis, personnel management, and customer relations. A few needs were quite specific: preparation of joint ventures, negotiation for credit, participation in Asian trade fairs, and learning European quality standards.

The responses from the companies interviewed do not permit Project focus on any one area of skill development. These results are appropriate: whereas new entrepreneurs across the world can benefit from training in a broad range of basic skills, experienced managers with substantive corporate responsibilities require structured training at high levels in order to assume more senior roles in their companies.

Although the survey questionnaire remained unchanged during the course of the interviews, during the second week of work the consultants discussed with each respondent matters regarding Project management: private versus public, an indigenous versus a foreign firm, chambers of commerce versus private business, and where and how the work should commence. Discussions gathering around these issues were open-ended; they produced two observations of import:

1. The Project should be managed by a local, private institution.
2. Success in this project will almost certainly depend upon gaining the confidence and good will of the small, tightly knit community which runs business in Namibia, a community dominated by powerful and wealthy whites. The Mission should nurture success initially from within this structure. Successes could be within foreign-owned corporations as well as local, family-owned businesses, but they should first be sought within the larger, more prominent firms.

♦ **Summary**

Factors critical to success for the Mission's affirmative action objective are already in place in the business sector of Namibia. Larger companies are doing in-house training and many have formal or unwritten affirmative action policies or principles. Senior officers of companies state that they are



ready to collaborate with USAID's project. Competent black managers at mid-levels are at a premium, but they are not scarce: the resource pool exists.

A trump for USAID lies in the present achievements of the Project's target clientele. These are managers who have already reached remarkable levels of success for their social group. Caretaking in recruitment and selection will harness some of the best talent in the country for human resource development.

Potential candidates may be found in companies which might be burdened by the costs of training; others will be working in corporations which do not need outside financial assistance. USAID need not balk at working with the latter group. Affirmative action at real managerial levels is very new in Namibia. While CEOs and their staffs may be able to articulate the general directions to be pursued, they do not have the practical experience to change their corporate culture or to design and conduct managerial training programs, and they may welcome assistance. Large businesses that have done relatively little in affirmative action but which express interest in the Project may prove to be excellent partners.

A challenge for the Project lies in seeking female candidates from businesses. Our research shows that, as a group, women in Namibia suffer greater discrimination in business than do blacks. It will not be easy to meet HRDA Project objectives in the selection of women candidates from private enterprise.

One should consider looking at the value of affirmative action in Namibia from a sectoral, as well as from an individual, perspective. From one point of view, there is little affirmative action activity to be realized in a black-owned business with a majority of black employees. But expansion of black-owned businesses through the improvement of its management can become a means for the entire social group to acquire greater prominence in an industry. In this case, the promotion of the individual becomes less relevant than the promotion of the firm through enhanced management. The fishing industry may be a case in point. It is a matter of accelerating empowerment.

Public Sector Focus

The Team surveyed the status of black Namibian management and related training needs within GRN public sector and parastatal entities to fulfill the Terms of Reference's mandate of 25 percent public sector participation. Background information on the public sector and its human resource development system is presented in Appendix B.

◆ Target organizations

The Mission directed the Team to focus the public sector training needs assessment on those offices and parastatals which interact most directly with private enterprise and, within this category, to identify those agencies with significant under-representation of black Namibian managers. The Team further met with representatives of organizations playing central coordinating roles. Consequently, examinations concentrated on the following entities:

- **direct interaction with private enterprise**—Ministry of Trade and Industry; Ministry of Fisheries and Marine Resources; tourism portfolio of Ministry of Environment and Tourism;²



- Ministry of Finance; Namibian Ports Authority; Namibian Development Corporation; Swawek; Telecom; TransNamib; Namibian Wildlife Resorts (a parastatal to be formed in late 1994);
- **black Namibians significantly underrepresented in management**—Ministry of Environment and Tourism; Namibian Ports Authority;
- **central role coordinating development of GRN's management cadre**—Office of the Prime Minister; Ministry of Labour and Human Resource Development;³
- **principal local provider of management training**—University of Namibia.

◆ ***Target organizations and private sector-led economic growth***

The Ministry of Fisheries and Marine Resources clearly has a direct role in private sector development because fisheries is the second largest industrial employer in Namibia, second to mining, employing over 10,000 people including seasonal workers and paying US\$62 million in wages. It is expected that the fishing industry will become the single largest industrial employer within the next five years.⁴ The recent incorporation of Walvis Bay⁵ will add further business growth in this area. The Ministry is responsible for ensuring that fishery resources and the development of the industry are sustainable and will provide a lasting contribution to the economy.

The Ministry of Environment and Tourism also has a direct role in economic growth: since independence, tourism has grown almost 30 percent⁶, with further growth projected over the short to medium term. The Ministry is responsible for marketing Namibian tourism internationally and for addressing weaknesses in the tourism sector.

The Ministry of Trade and Industry is GRN's principal agency charged with promoting the growth of trade, commerce, and industry by formulating appropriate policies and strategies. The Ministry of Finance is responsible for regulating and controlling GRN finances and for advising on fiscal and monetary policy which directly effect all businesses in Namibia. Parastatals were included in the TNA because of their varying direct involvement in private sector-led growth.

◆ ***Target organizations and affirmative action***

Once the key GRN organizations involved directly in economic growth areas were identified, the Team gathered data on affirmative action within these organizations.

The GRN can claim substantial achievement in placing blacks into the management cadre. Significantly less progress has been made with women in management positions. While further information is supplied in Appendix B, management represents less than one percent of the total public sector work force. Seventy percent of these public sector managers are black or coloured. Women in management account for some 16 percent of the total work force; data was unavailable on the racial distribution of women in public sector management.

Within the organizations targeted under this TNA, over 60 percent of the management cadre is black or coloured, according to May 1994 OPM data and to subsequent conversations with ministry personnel. Women, however, account for a mere 8 percent of management in these target organizations. Parastatals have shown the least success: the proportion of black managers ranges from 0 (Namibian Ports Authority and Swawek) to 44 percent of management (Namibian Development Corporation).



The GRN maintains that there is no need for more specific affirmative action legislation.⁷ In this area, as in others, the GRN values national reconciliation and has chosen a pragmatic approach toward a sensitive and potentially divisive issue.

◆ **Findings from the training needs assessment**

The Team's review of relevant documents and extensive interviews with senior government officials within the target organizations revealed that the Namibian public sector suffers from an extremely small pool of qualified managers who can understand and use state-of-the-art management principles and practices. In addition, the corporate culture is not conducive to proper use of management knowledge and skills.

The apartheid system depended on a cadre of white managers who were narrowly skilled as administrators to enforce apartheid's rules. Progressive management practices had no place in such a system. Many Namibians returned from exile over the past five years, bringing advanced professional and technical qualifications. Although the GRN has actively promoted these returnees into management positions, in many cases, they have had little practical management training or experience.

All ministry personnel interviewed strongly endorsed the Project and cited a tremendous need for management development training. Developing a highly skilled management cadre has become a GRN priority with the changes inherent in a restructured public service and with the need to ensure that disadvantaged Namibians succeed in management positions.

- Special deficiencies in management skills mentioned during interviews include planning, analysis, project formulation and management, policy making, policy implementation, and financial and personnel management.
- A recently completed ODA training needs assessment of the management cadre reinforced the need to strengthen the skills of the management cadre. The study identified priority training needs in strategic planning, financial management, personnel management, communication, and delegation.
- These findings are reinforced by sector-specific training needs studies conducted over the past year in the Ministries of Fisheries and Marine Resources and of Environment and Tourism. These studies identified needs in the Ministry of Fisheries and Marine Resources in strategic management, managing change, risk management, decision-making, and total quality control; and, in the Department of Tourism and the upcoming Namibian Wildlife Resorts parastatal, in senior management/chief executive skills, hotel management, catering and tour agency management.

Of equal importance—yet less recognized—is the need to transform government organizations to create an environment that will ensure success of managers, particularly black managers newly placed in the management cadre.

◆ **Summary**

Placement of additional disadvantaged Namibians into management positions will continue at a decreased rate: the GRN's rationalization program will reduce opportunities by lowering the number of management positions by a sixth, from around the current 480 to around 400. A number of GRN



officials believe that disadvantaged Namibians currently in management positions will be reassigned and that white Namibians will increasingly leave the public service. The GRN's challenge will thus be three-fold:

- to improve disadvantaged Namibian management capacities;
- to transform government organizations to create environments conducive to success for black Namibians managers;
- to ensure a suitable pool of disadvantaged Namibians to assume positions in the management cadre as these become available.

The following table proposes public and parastatal sector organizations that are eligible for HRDA assistance, selection criteria, and information on the types of training that might be provided.

| PROPOSED PUBLIC AND PARASTATAL TRAINING UNDER HRDA/NAMIBIA | | | |
|---|--------------------------------|------------------------------------|---|
| ORGANIZATION | SELECTION CRITERIA | | HRD ASSISTANCE |
| | Need Affirmative Action | Direct Role in Econ. Growth | |
| Ministry of Environment and Tourism | Yes | Yes | Extensive (in-country, third country, U.S.) |
| Ministry of Finance | Yes | Yes | Extensive (in-country, third country, U.S.) |
| Office of Prime Minister | Yes | No | Limited (in-country, U.S. degree) |
| Ministry of Fisheries and Marine Resources | No | Yes | Limited (in-country, third country, U.S. degree) |
| Ministry of Trade and Industry | No | Yes | Limited (in-country, U.S. degree) |
| University of Namibia | Yes | No | Limited (U.S. degree) |
| Parastatals: | | | |
| Namibian Ports Authority | Yes | Yes | Extensive |
| Namibian Wildlife Resorts (new) | Likely | Yes | Extensive |
| Namibian Dev. Corp. | Yes | Yes | Extensive |
| Swawek | Yes | No | Limited |
| Telecom | Yes | No | Limited |
| TransNamib | Yes | Yes | Extensive |

To be successful, senior Namibian managers will need to demonstrate competency in the technical area that they oversee as well as be able to effectively manage a diverse work force. The Project will



therefore adapt a two-pronged approach, providing executive leadership and management development skills to black managers from about 15 government agencies and parastatals as well as transforming their organizations so that Project alumni can succeed as managers. Assistance under this Project will emphasize short-term (three months or less) management training in Namibia (using highly specialized regional or U.S. consultants), in the region (primarily South Africa), or in the U.S. Some targeted degree training will be an option, primarily masters degrees for parastatal organizations' managers. Degree training under HRDA or ATLAS funding will focus on specific technical skills—masters degrees in development economics or in finance—coupled with management training.

D. Local Training Resources

Namibia has virtually no local resources to provide the sophisticated management training required by this Project. A variety of NGOs offer low-level skills development, vocational training, and small business development skills. Foremost among these are IMLT (Institute for Management and Leadership Training), the Private Sector Foundation, and the Rössing Foundation.

The East and Southern African Management Institute (ESAMI) maintains a one-person office which can develop specific training programs using regional trainers. The University of Namibia (UNAM) is the locus for formal academic training in management. The GRN has designated UNAM's Centre for Public Service Training (CPST) as the primary training provider for public service management training, though few courses have been offered to date due to staffing and funding constraints, and reports on results have been disappointing.

To compensate for a limited range of executive leadership and management development courses in Namibia, the Project can draw upon a rich variety of management skills training resources from the southern Africa region. Illustrative regional institutions are described in Appendix F, along with further information on the local training institutions.

E. Conclusions

The Project is feasible and timely for both the public and private sectors. Furthermore, the narrow focus on a specific social group as well as on the achievers from within that group enhances the Project's chances of delivering early success. USAID will be positioned to assume leadership in affirmative action within the donor community. The Mission enjoys a special opportunity to make significant progress through concrete actions because it is neither subordinating project implementation to formal legislation nor imposing unwelcome policies upon recipient companies.

For the private sector, the most influential business leaders of Namibia must endorse the Project. This requirement has implications for the Project's management structure as well as for the measures to be taken within the business community. To gain the confidence of the dominant business community, the Project should be managed by an organization that is accessible, politically neutral, and well regarded. A foreign entity would be unlikely to meet these criteria unless it operated under a local partner. The consultants believe that project management must be external to USAID offices and housed in a Namibian organization.



Government endorsement of the Project is no less important than the blessing of private sector leadership and will require time-consuming efforts on the part of senior Mission personnel. Government offices are likely to compete actively for inclusion in the Project. Intense interest from the public sector will mandate good training management from within the Mission: solid criteria for selection and intimate knowledge of relevant agencies.

It will be inadequate to move forward on affirmative action solely on the side of the trainee, who must be re-integrated into his or her organization in a way that leverages the training received. Effective reintegration implies that an affirmative action framework must provide the participating companies with a means for effecting internal cultural changes, which we denote as organizational transformation. Such commitment to engage the businesses or agencies in a process of organizational review will at the same time constitute the most essential commitment of the organization to the Project.

Meeting HRDA directives for women's participation will be a challenge and an opportunity for USAID. The pool of resources shrinks dramatically when moving from qualified black males to their female counterparts. Nonetheless, the opportunity for USAID to make a clear statement about the promotion of women in the private sector and in government lies within the Project's potentials. The Mission may find that it has to define candidates more broadly—perhaps to include coloureds—in order to ensure adequate female participation. Insofar as the Project's goal is to expand the human resource base for the benefit of all Namibians, the Mission should see the promotion of women as integral to Project success.

NOTES:

1. For an early analysis of these efforts, see Harmon and Orsini. "Synthesis of HRDA Private Sector Training Needs Assessments" (Labat-Anderson, Inc., 1989).
2. The Mission requested that HRDA focus on the tourism portfolio of the Ministry of Environment and Tourism because USAID/Namibia's LIFE project already deals specifically with its environmental wing.
3. The Ministry of Labour and HRD was interviewed to obtain information on GRN's approach to affirmative action in the private sector. This Ministry was not included in the training needs assessment because it primarily performs a regulatory function related to private sector labor matters. The Ministries of Agriculture and of Mines and Energy were not examined because of the need to focus the Project sharply on priority sectors; according to the National Planning Commission, there is limited growth potential in those sectors.
4. GRN, *Analysis of the Training Needs of the Fisheries Industries and the Ministry of Fisheries and Marine Resources*, October 1993.
5. Walvis Bay reverted to Namibian ownership on March 1, 1994, six weeks prior to the Team's arrival in Namibia.
6. European Union, *Namibia Tourism Development Study*, n.d.
7. In his speech to Parliament, June 7, 1991, the Prime Minister stated that the Public Service Act and its Amendment "give the public service commission ample power to carry out its affirmative



action and balanced structuring in the Public Service without the need for any further legislation or committee of commission."



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III. COUNTRY TRAINING STRATEGY

A. Basis for the Strategy

HRDA guidelines propose a Mission's strategic objectives as the point of departure for a CTS.¹ In the present case, the Consulting Team followed Mission directives and used the following objective to design a CTS for the HRDA Project in Namibia: the creation of a core group of mid-level and senior black Namibian managers, largely in the private sector.

The TNA revealed consistent, active interest in the type of affirmative action work that USAID suggests.² The CTS takes into account these elements as well as USAID/Namibia's limited relationships to date with the private sector and with those line ministries interviewed during the TNA. In both the CTS and the HRDA CTP, recommendations for implementing all phases are grounded on the recognition that:

- the resource pool of individual candidates is shallow, more so in private companies than in government;
- training must take place at a senior management level;
- training of individuals must be accompanied by intensive organizational transformation work within the recipient firms and public offices.

The CTS is guided by the Team's firm conviction that the Project's success depends upon lodging its management with a local private institution (the Mission has excluded from consideration Project management by a government entity). This conviction, unanimously held by the consultants, emerged from both spontaneous and solicited advice from Namibians interviewed in all sectors.

1. Organizational Commitment to Affirmative Action

Successful affirmative action is not a unilateral operation undertaken on behalf of the previously disadvantaged individual. Effective affirmative action requires that responsibility be shared between the individual and the employer through a process of organizational transformation designed to facilitate and sustain the results of affirmative action throughout the organization. Organizational transformation implies employer commitment to the individual's career path and provision of an environment conducive to support career development. Consequently, USAID/Namibia's HRDA Project places considerable emphasis on working with employers prior to initiating any HRD activities for the manager being developed.

Affirmative action policies and implementation plans, in-company line change agents, commitment to individual career paths as well as the necessary skills, are all elements of a successful affirmative action strategy. This CTS differs from other USAID training strategies in the focus placed on the employer and on the employment conditions that will ensure that training is used as intended.

2. Participation by Women

Experience across Africa shows that recruitment and selection mechanisms are critical to increased participation by women in USAID training activities. Most women do not learn about training



opportunities through the standard recruitment mechanisms, which is another reason to encourage transparency and open advertising of training.

The Team therefore recommends that the Advisory Board include influential members who can reach out to women in business and in government, and that the Project's work with employing organizations specifically address female candidates for affirmative action.

The Team believes, however, that the defined target population for this Project—black Namibians with the potential to become middle and senior managers in public and private organizations—will by definition restrict women's participation. The pool of black Namibians who can benefit from Project activities is already limited. The Team's research has shown that the number of black Namibian women who qualify is extremely small. The Team believes that HRDA as currently defined in Namibia will not meet the project target of 35 percent female participation.

A possible solution is to expand the target population for women. This might include reaching out to:

- in the GRN—women in government working at lower levels than the middle and senior managers generally targeted by the Project;
- in the retail trade sector—there is a large pool of women that represent an opportunity for Mission intervention;
- coloured as well as black women in all target sectors.

3. Using ATLAS as a Resource

The Africa Bureau's ATLAS project is an important resource for USAID/Namibia's affirmative action HRD strategy. ATLAS is the Mission's cheapest mechanism for long-term training in the U.S.: participating American universities provide tuition scholarships that significantly reduce the cost of training. ATLAS should therefore be the Mission's first choice for any long-term training needs. Women can pursue undergraduate degrees in the U.S. under ATLAS funding; ATLAS should therefore be the first recourse for such training.

ATLAS funds bi-annual regional conferences, workshops, and seminars in Africa; this resource should be used when appropriate to meet individual employer or trainee objectives. ATLAS funds can also be used for three to six month non-degree training in the U.S. for former long-term trainees who may want to develop new skills or become familiar with new techniques.

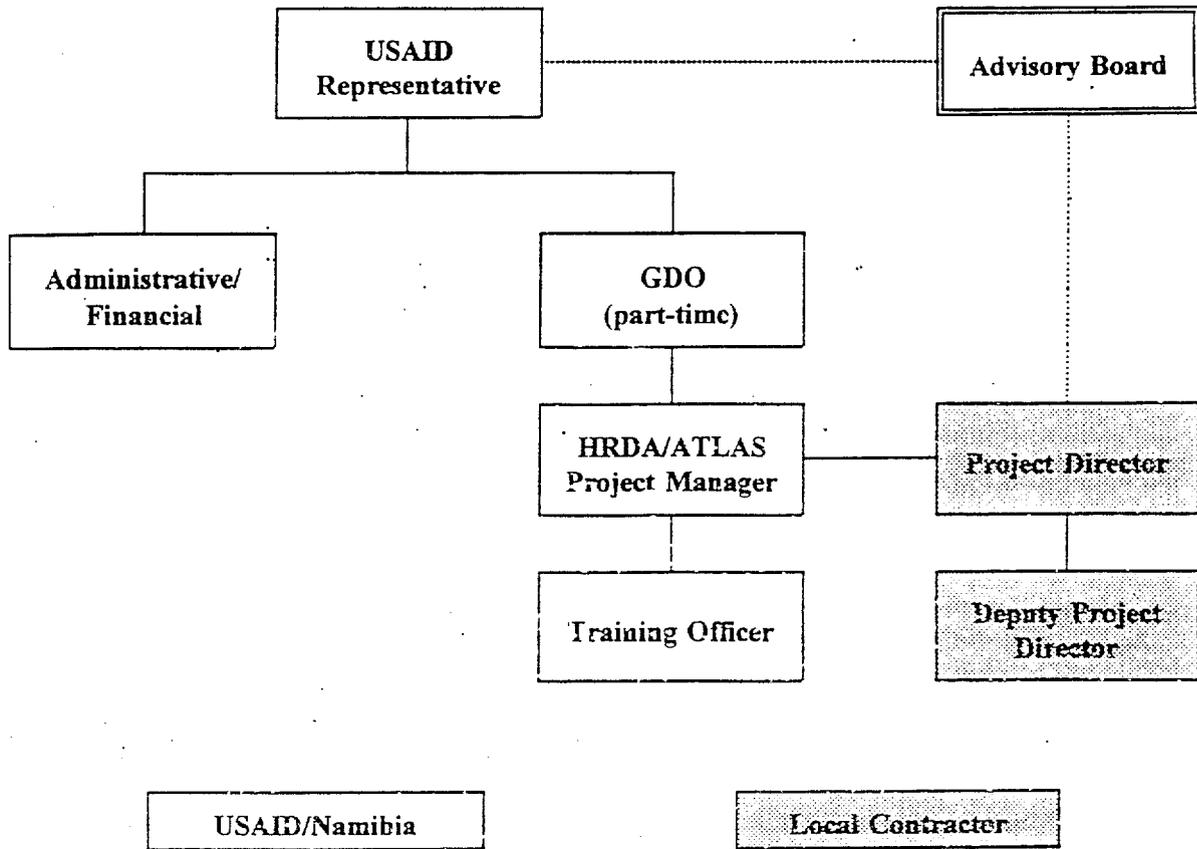
ATLAS is the Africa Bureau's most prestigious leadership training project. The Team therefore urges the Mission to use it as a targeted mechanism to support its objectives and strategies. This implies developing and adhering to transparent procedures and channels.

4. Proposed Management Structure

Three entities share HRDA management: USAID/Namibia, a local Contractor, and an Advisory Board. The chart below shows how these three key entities interact. Detailed information on the various roles and responsibilities recommended for the Contractor, Advisory Board and the Mission are supplied in Appendix G.



PROPOSED HRDA/NAMIBIA MANAGEMENT STRUCTURE



To ensure competent supervision of the contract, USAID/Namibia will hire an HRDA/ATLAS Project Manager. Because this person should be an experienced training manager with extensive familiarity with USAID regulations, the Mission will probably need to recruit a U.S. PSC. The Mission should also hire a Training Officer who will take primary responsibility for USAID training documentation and for the PTMS system. The Training Officer will likely be an FSN. The GDO will supervise the HRDA/ATLAS Project Manager.

The Contractor will hire a full-time Project Director and Deputy Project Director under the USAID contract. The Project Director will manage the contract team to ensure fulfillment of the contract's statement of work and subsequent workplans. The Project Director will define Project interventions and provide primary affirmative action interventions within companies, government offices, and other Project target organizations. The Deputy Director will coordinate HRD activities with the target organizations. The Contractor will make a good faith effort to recruit for both positions among qualified Namibians so as to ensure credibility and access to the Project's target organizations.

The specific level of effort for contractor administrative and support staff will be determined by organizations submitting proposals to USAID.



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The Advisory Board is one of the three key players sharing Project implementation responsibilities, advising the Project on policies and project administration, reviewing requests and selecting candidates for HRD interventions from and private employers, monitoring the progress and results of project activities, and participating in regular consultative colloquia on affirmative action with government and business leaders. Advisory Board functions and member qualifications are furnished in Appendix G.

B. Steps to be Taken Prior to Implementation

The Team's research revealed that the time is ripe for a strong, highly targeted affirmative action project. There is no history of failed affirmative action in Namibia. Yet USAID visibility will be required in order for influential business and government leaders to participate in the Project. USAID must be perceived as trustworthy and effective in order to provide strong Project leadership. The Team recommends the following series of steps to initiate the Project.

1. USAID and the Private Sector

Namibia's private sector is run by a small number of major firms managed by key business leaders with a strong influence on directions within the sector. These leaders must see the worth of and be willing to promote the Project in order for businesses to take part and for the project to succeed.

The Team's research revealed that key Namibian private sector figures are little aware of the Mission's presence and activities. In a small country where personal contacts are extremely important, the Mission's leadership profile will be crucial to the Project's success. Accordingly, the Team recommends that the Mission continue the dialogue initiated during the data collection process for this strategy by meeting with private sector leadership. These meetings should serve to introduce Mission staff to the influential people within Namibia's private sector, to begin the process of identifying Project Advisory Board representation, and to develop a short-list of firms with which Project activities could be launched.

2. USAID and the GRN

GRN leaders in critical agencies must support the Project; successes in their departments will encourage other agencies to participate in the Project.

Mission leadership is not well known within key GRN offices. The AID Representative and GDO should immediately capitalize on the good will and interest expressed during the Team's visit by holding substantive meetings with the Office of the Prime Minister, Ministry of Labour and HRD, and the Permanent Secretaries and Managing Directors of each target organization. These meetings have multiple purposes: to introduce Mission leadership to pivotal GRN agencies and actors, to reinforce GRN and Mission commitment to Project activities, and to identify potential GRN representation on the Project Advisory Board.

3. USAID and the Training Office

Setting up and administering this Project are labor-intensive processes that the Mission cannot manage under its current staffing pattern. The Team recommends that the Mission identify a U.S. PSC to serve as Project Manager for HRDA and ATLAS, under the Mission's GDO's direct supervision.



The sheer volume of activities and paperwork will be beyond the scope of a single U.S. PSC. The Team recommends that the Mission identify a Namibian to serve as Training Officer. The ideal candidates' qualifications and responsibilities are spelled out in Appendix G.

4. USAID and the Local Contractor

Affirmative action bares sensitive nerves in a society. It will not succeed if it is perceived as an outside agenda. In Namibia, where a few key people wield tremendous influence, strong management housed in or associated with a local, well known and respected organization or group of organizations is critical to the Project's success. Non-indigenous management will hamper the Project's ability to generate the commitment that will be required by government and business.

Effective local management will offer politically neutral inroads to Namibia's private sector while alleviating USAID/Namibia's Project management burden. The Team therefore strongly recommends that USAID/Namibia contract this Project's implementation to a Namibian organization or to a group of organizations operating under a Namibian partner.

We recommend that USAID/Namibia issue a Request for Proposals (RFP) to all interested organizations resident and registered to conduct business in Namibia. The Team is confident that there are organizations in Namibia with the technical expertise and administrative skills to manage this Project, including such critical activities as constituting an Advisory Board, supervising organizational transformation, formulating training requests, and monitoring the HRD process.

The Namibian contractor will provide links between relevant affirmative action and human resource development resources in Namibia, elsewhere in southern African, and in the U.S.

Project staff should perform only limited technical assistance work themselves. Their role is to help organizations articulate their technical and HRD assistance needs and to facilitate access to the right training resources. Appendix G supplies a detailed description of the Contractor's roles and responsibilities.

5. Baseline Data Collection

Data are critical to demonstrating Project impact on black Namibians in senior positions within the public and private sectors. There are currently no reliable baseline figures on black Namibians in management positions in the private sector, and data from the public sector cluster blacks and coloureds together. Baseline data collection is thus a prominent feature of the Mission's ability to demonstrate the Project's progress in reaching its objectives.

The scope of work for collecting this data should be an integral part of the Mission's RFP for the local Contractor. The types of quantitative and qualitative baseline data that should be collected are discussed below under Monitoring and Evaluation.



C. The Contractor: Establishing the Project

Project initiation can begin in earnest once Project management has been locally contracted, including identifying a suitable Project Director. The Team recommends that the Contractor perform the following project initiation steps.

1. Develop the First Annual Workplan

The Contractor will develop a two and a half-year workplan for the life of the project as well as a suggested first annual workplan as part of its proposal. USAID/Namibia will review and approve this first year plan before any further implementation steps take place.

2. Constitute the Advisory Board

The Advisory Board will include the USAID/Namibia Representative or his designee as well as approximately seven eminent leaders from Namibia's business community and government, of which at least two should be women. The Board will serve four principal functions. It will counsel the Contractor on overall Project direction and management. It will provide feedback on the progress and results of Project activities. It will review and determine selection of private sector requests for assistance. Lastly, the Board will participate in an annual symposium on affirmative action.

One of the Contractor's first tasks should be to constitute the Advisory Board by:

- inviting appropriate GRN and business leaders to join the Advisory Board;
- holding an initial Advisory Board meeting to devise the protocol and procedures that will govern Board functioning;
- training Board members in what is expected of them.

3. Collect Baseline Data

The Team recommends that the Contractor collect baseline data on black Namibians currently in public and private sector management prior to beginning any HRD interventions under the Project. Such data will be necessary for the Mission to demonstrate its progress towards meeting the Project objective.

4. Institute a Public Relations/Marketing Campaign

The Team recommends that the Contractor develop a suitable campaign to disseminate information about the Project to a widespread audience. The campaign should use appropriate media including radio, television, and Project brochures, and it should help advance the recruitment of women.

5. Hold a National Symposium on Affirmative Action in Namibia

Public and private leadership expressed a remarkable degree of interest in affirmative action during the course of developing this Strategy. The Project should capitalize on this interest by holding a national symposium on affirmative action, bringing together business and government leaders.



6. Conduct Workshops on Affirmative Action for the Private Sector and GRN

Workshops on affirmative action are the next step in moving the affirmative action debate out of theoretical considerations into a practical, measurable process of implementation. The Team recommends that the Project's workshops bring business and government together in this endeavor and cover the status quo in Namibia regarding affirmative action.

The proposed workshops will serve two purposes. They will provide information about affirmative action strategies. They will develop a model which includes organizational transformation as well as individual affirmative action plans for identified AA candidates. The workshops should remain highly practical, with exercises to apply the model to each organization so that participants leave the workshop with tentative blueprints for implementation in their organization. These plans should spell out recommendations about recruiting and selecting affirmative action candidates.

The workshops should be conducted by an affirmative action specialist with experience in the practical implementation of affirmative action strategies and procedures for measuring success.

7. Develop Selection Criteria

The Team recommends that HRDA in Namibia be implemented according to a set of criteria and guidelines; to be applied to selecting organizations for assistance as well as to identifying individuals as candidates for affirmative action. Guidelines will ensure transparency of decisions and will facilitate the Contractor's and Advisory Board's contributions to Project implementation. They will also expedite turnaround of HRDA activities: with guidelines formally accepted by USAID, the Contractor can proceed to implement the Project without continual recourse to the Mission for approvals. Guidelines we recommend include:

- selection of firms
- selecting individuals
- organizational prerequisites for absorbing training interventions and appropriate utilizing Project alumni
- defining HRD interventions.

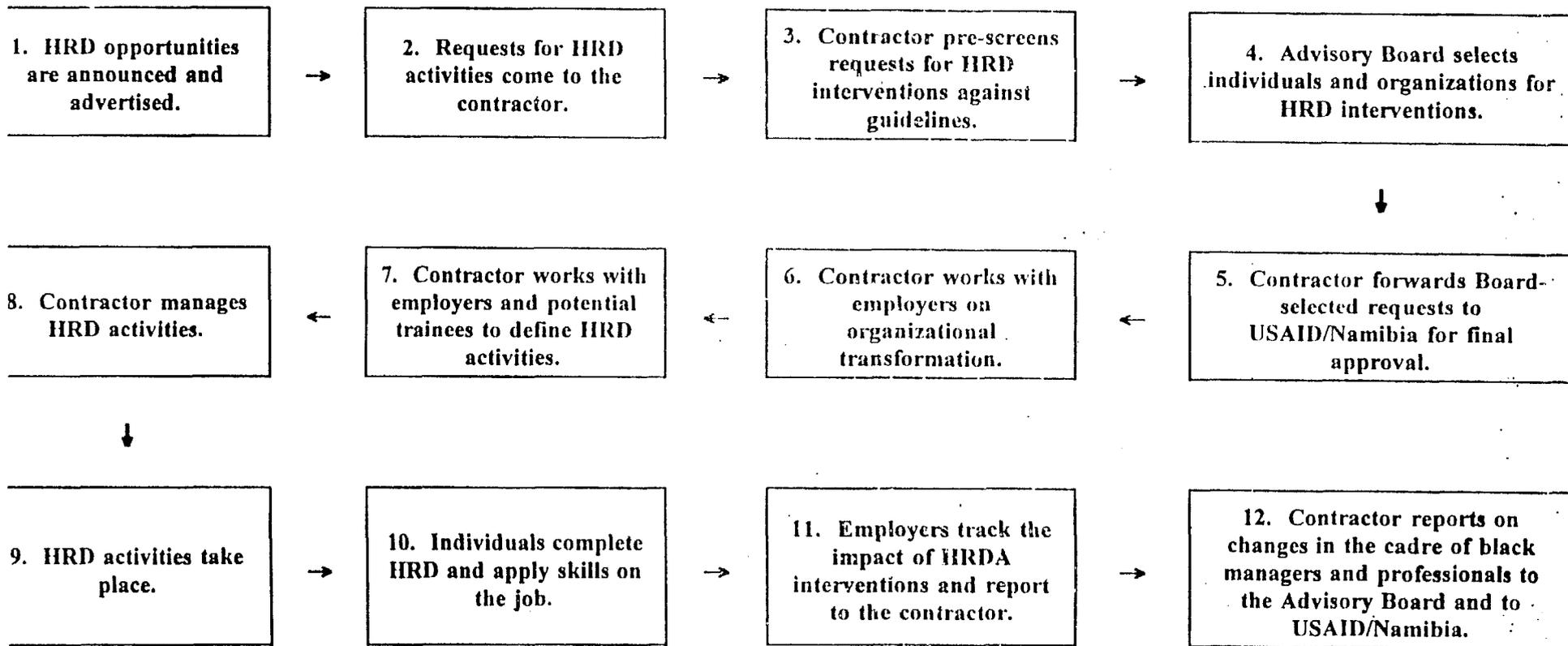
Sample guidelines for selecting organizations for assistance and individuals for training are provided in Appendix H, Appendix C describes the organizational environment required for affirmative action to succeed, and Appendix I provides guidelines for programming training (choosing the type of training—academic or non-degree—and the training location—in-country, third country or U.S.)—on the basis of the goals identified.

D. The Contractor: Implementing Project Activities

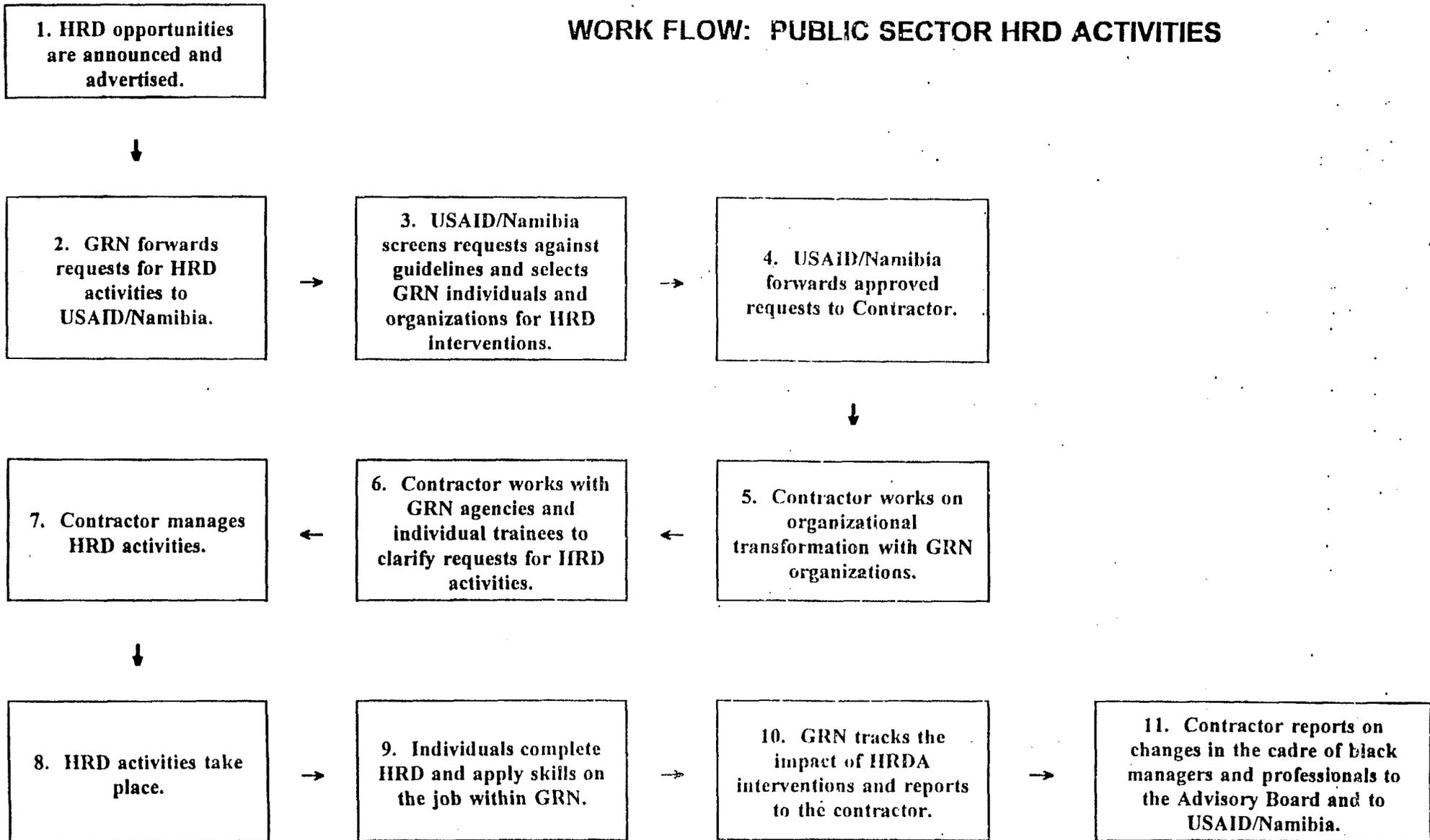
The process for defining and implementing education and training activities under HRDA must be smooth enough to ensure quick turnaround of training requests. It should also include substantive work with employers prior to actual training to ensure that the organizational structures and commitments are in place, a necessary condition for careers to advance according to project and individual employer objectives. The processes the Team recommends for defining and implementing private and public sector HRDA activities are shown in the work flow charts on the following pages.



WORK FLOW: HUMAN RESOURCES DEVELOPMENT ACTIVITIES — PRIVATE SECTOR



WORK FLOW: PUBLIC SECTOR HRD ACTIVITIES



1. Selecting Beneficiary Firms and Organizations

The Project should begin by focusing on firms and organizations where interventions are likely to have the greatest immediate impact on the Project objective. Initially, firms should also hold promise to serve as role models for additional organizations wishing to join the Project in its later years. Appendix H discusses the recommended profile for private sector firms, including their sector of activity, size, visibility, and potential for leadership in affirmative action in Namibia.

The Project should also accept applications for education or training from individual candidates for affirmative action who are not yet employed. Such candidates should secure commitments from future employers, with Contractor or Advisory Board assistance if necessary, to make sure that Project-funded training is applied as intended.

2. Developing the Organizational Context for Affirmative Action

The Contractor will work extensively with beneficiary firms to develop the organizational context required for affirmative action to be successful. In this manner firms express their commitment to affirmative action (through policies, plans, codes of conduct and commitment of resources) and to the Project (demonstrated by agreement to the Contractor's and Advisory Board's role and by commitment to maintaining the data required to demonstrate impact). The Contractor will develop organizational criteria for successful affirmative action activities for USAID/N approval at Project outset. Illustrative criteria are furnished in Appendix H.

3. Selecting Individual Participants

Once the organizational context is confirmed, the Contractor will work with beneficiary organizations to identify candidates for HRDA-funded training who meet the criteria and guidelines for candidates' management potential and professional and personal profile that were developed at Project outset. Appendix H shows sample criteria for selecting individual participants.

The Project will emphasize people who are already employed within target firms or GRN agencies. The Project can fund training for individuals who are not currently employed, provided that the training is linked to its ultimate usage. This means that unemployed candidates for affirmative action must have commitments from firms that they will be suitably employed and that the firms are willing to undertake the organizational transformation procedures that are linked to the success of any affirmative action program under this Project. If necessary, the Contractor or Advisory Board members will work with the employers to secure these commitments.

It is beyond the scope of this Project to perform a search and outreach function to recruit Namibians currently in exile. However, the Project Advisory Board should be constituted in such a way that its members have outreach into this valuable pool of potential affirmative action candidates.

4. Establishing Commitments and Obligations

Certain organizational commitments should be required in order for employers to benefit from HRDA-funded assistance. These include affirmative action policies, plans, and programs as described above and in Appendix C.



Employers must also commit themselves to tracking black Namibian career mobility within their organizations and to reporting complete gender-disaggregated data to the Contractor.

5. Defining an HRD Intervention

The specific HRD intervention is defined during the consultative process between Contractor, employer and the future trainee. This collaboration will allow the Contractor to determine what type of HRD to provide, and where, on the basis of the specific skill deficiencies and career objectives. Education or training can of course be provided in specific organization and managerial skills. The Project will emphasize providing skills, not credentials; consequently, it is likely that the Project will stress non-degree training. The Mission may consider providing long-term academic training to competitively selected applicants in targeted fields; this training would be entirely funded through ATLAS.

To enhance the impact of HRDA-funded training on individual black Namibians' careers, all HRDA training should encompass career acceleration techniques, career management skills, and training in counteracting the psychological effects of discrimination.

HRDA offers a wide array of programming choices: training can be academic or non-degree, and can take place in Namibia, in the region, or in the U.S. Appendix I provides guidelines for decisions concerning types and locations of training.

6. Managing Training

The Contractor, under the direction of the HRDA/ATLAS Project Manager, will be required to provide the full array of services to manage HRDA-funded training activities in Namibia, in the region, or in the U.S. This includes provision of all regulation allowances, placing and monitoring trainees, following up on Project-funded trainees and organizations, managing the collection of data showing the impact of HRDA training, and reporting to USAID as stipulated in the contract.

The Contractor will specifically be responsible for managing all aspects of training taking place in Namibia or in third countries. U.S.-based participants will be programmed through Partners for International Education and Training (PIET) and its private sector development arm, Entrepreneurs International. This is the existing, competitively contracted, and most cost effective mechanism for programming all types of U.S.-based training, from long-term academic education to short-term, highly targeted skills training, internships, and study tours.

The USAID/Namibia Training Officer will be responsible for tracking all HRDA training through the Participant Training Management System (PTMS), a database management system that allows the Mission to maintain key statistics on all aspects of processing in-country, third country, and U.S.-based training. All PTMS tracking is disaggregated by gender. While PTMS as programmed does not offer a built-in method to track interventions in organizational transformation, the databases can be adapted to suit this purpose.

7. Follow-On

This Project's emphasis on organizational transformation as the key pre-condition for individual training and advancement means that the Contractor must maintain an ongoing relationship with each employer



benefiting from HRDA-funded activities. The Contractor's responsibilities should incorporate managing this relationship as well as determining additional skills training for Project alumni colleagues, work groups and the alumni themselves.

8. Celebrating Success

The business-government dialogue will be critical to the Project's success and momentum. The Team recommends that the Contractor work to maintain this dialogue by holding regular colloquia between GRN and the private sector to enhance the business-government dialogue and to celebrate Project successes.

E. Monitoring and Evaluation

The objective of the monitoring and evaluation activities under HRDA is to provide information to make informed decisions on Project direction. USAID/Namibia has described the HRDA Project as a ground-breaking project in affirmative action. Success will require that timely and accurate information be collected and reported to enable USAID and the Contractor to make informed decisions on the Project.

1. Monitoring

Measurement of Project progress towards its objective will require tracking the number of blacks in management positions in Namibia. The Contractor will conduct a baseline study to gather the data against which Project results will be measured. The research will incorporate data on the number of blacks in middle and senior management positions and will devote special attention to statistics on women. Firms and government agencies benefiting from Project interventions will report on changes in these numbers, enabling the Contractor to maintain the database to reflect changes in affirmative action results. This information will be included in the workplans and progress reports and will be provided to USAID/Namibia and the Advisory Board as requested and to the USAID mid-term and final evaluation teams.

The Project should bring about both quantitative increases and qualitative improvements in the number of successful black managers in Namibia.

◆ *Quantitative performance indicators.*

Quantitative indicators of performance should include:

- increased number of black managers country-wide;
- increased number of women as middle and senior level managers;
- increased number of organizations in Namibia which have adopted affirmative action policies and programs.

◆ *Qualitative performance indicators.*

Qualitative indicators of achievement should include:



- improved performance of black managers;
- appropriate services for women clients;
- the introduction of staff development policies which support the development of black managers and role models;
- transformation of the corporate cultures within Namibian organizations;
- increased organizational effectiveness through instilled values and norms more appropriate to modern business practices.

◆ **Monitoring responsibilities.**

The recipient organizations will assume primary responsibility for data gathering and reporting as a condition for HRDA assistance. The Contractor will provide guidance to the recipient organizations on the types of information that is required. If necessary, the Contractor will follow up with the individuals and organizations to verify certain information.

The quantitative and qualitative changes will be assessed and measured at the level of the individual black manager and at the level of the organization, with minimal Project effort devoted to more expensive and methodologically complex data collection. The overall monitoring and evaluation system should be as cost effective as possible, focusing on obtaining information of direct and immediate use in Project management, using means to produce meaningful impact data. The Contractor's proposal to manage the Project should specify a plan to monitor the Project's impact, including sources of data and means and frequency of data collection.

2. Evaluations

USAID/Namibia will finance a final evaluation of the Project. Contractors to perform the evaluations will be competitively selected from among firms with USAID evaluation IQCs. The Mission may also do a formal internal review of the Project after one year of implementation.

3. Contractor Workplans and Reporting Requirements

The Contractor's Project Director will be responsible for all official communications and reporting of the Project between the Contractor team and USAID. In addition to regular meetings and discussions between the Project Director, the Advisory Board, and the USAID HRDA/ATLAS Project Manager, the Contractor will supply the following reporting documents.

◆ **Two and a Half Year Workplan**

The two and a half-year workplan as submitted in the Contractor's proposal will be further refined and developed through consultations by the Contractor team and submitted for review and approvals to the USAID HRDA/ATLAS Project Manager within 90 days after the contract is signed. At a minimum, the workplan will be based on the submitted proposal and will contain initial baseline information on Project beneficiaries including needs identified, strategies to meet the needs, local, regional and U.S. resources, year by year budgets, and contingency plans to respond rapidly to the experimental nature of this Project.



◆ **Annual Workplans**

These workplans will contain information on levels of effort for all activities planned for the year in terms of needs, levels of anticipated activities, resources, costs. The first annual workplan will be developed by the Contractor team and submitted for review and approval by USAID within 30 days of the signing of the contract. Subsequent workplans will be due 60 days before the end of each contract year.

NOTES:

1. *HRDA Project Paper*, Annex N.
2. The Team also encountered some skepticism in the community in regard to donor interventions in affirmative action: the Namibian Development Corporation greeted us by saying we were the thirteenth affirmative action team to visit their offices in the four years since independence, with no projects initiated as yet.



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Labor market segmentation and wage dispersion have created a clear economic dualism in Namibia, where unskilled workers earn as little as four to five percent of senior management's income. Around independence, per capita GDP—essentially an indicator of wages when broken down by social groups—looked as indicated in the following table. Although the situation has improved today, the proportions have not changed radically.

Indicator of Wage Segmentation

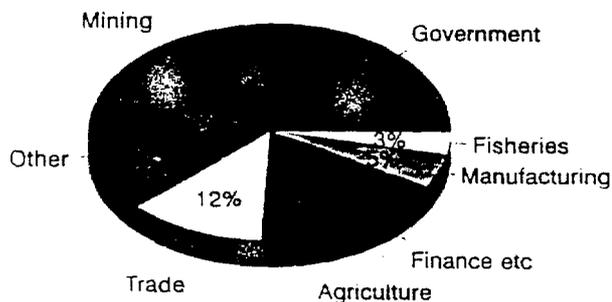
| <i>year</i> | <i>white modern</i> | <i>black wage</i> | <i>subsistence</i> |
|-------------|---------------------|-------------------|--------------------|
| 1988 | 12.839 | 585 | 55 |

Source: UNDP, "Population and National Accounts of Namibia." 1989

It is well known that following independence, the process of national reconciliation led to a bloated civil service, assuring new positions for blacks and other traditionally disadvantaged Namibians as well as guaranteeing the tenure of virtually all currently employed whites. One implication for the private sector was the rapid depletion of qualified black Namibians from the available pool of managers and technicians. Today, for full-time workers, government and formal private sector employment rolls achieve near parity at around 65,000 workers each. Parity of work force in public and private sectors does not fit easily into this relatively free-market economy and distorts the natural allocation of manpower. Only applied human resources development can redress this distortion in an expanding economy.

Namibia's GDP in 1992—the last year for which official figures are available—can be broken down as follows:

Namibian Economy Contribution to GDP

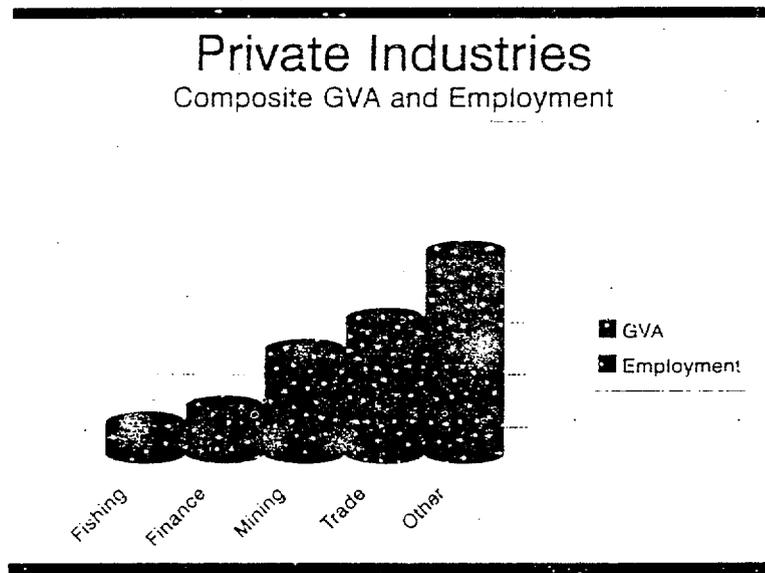


Source: GRN, *Economic Review*, 1993

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The figures suggest that the Gross Value Added (GVA) of private economic activity constitutes three quarters of GDP. Because these data do not disaggregate parastatal firms—which have mixed shareholding—the actual private GVA is somewhat less. The figures also join formal and informal enterprise, the latter including subsistence farming, barter, and petty commerce. A rough estimate of formal private sector GVA would bring its contribution to somewhere between 55 to 60 percent of GDP.⁵

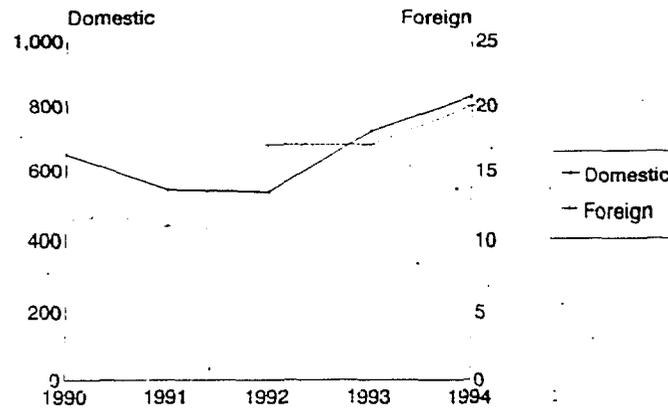
The following chart demonstrates the relative stature of various industries in the private sector when their contribution to both GDP and to employment are joined.



The total number of registered firms in Namibia is around 7,000.⁶ Trends in new registrations are a meaningful indicator of a country's investment climate. The chart below shows that a plunge in domestic business investment in 1991 was followed by a brief period of stability, then by rising figures. The figure for 1994 is a direct extrapolation from the high number of registrations recorded during the first three months of the year (207). Registration of new foreign companies appears to be more or less stable, documenting the GRN's disappointment in its failure thus far to raise the level of foreign direct investment.

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New Company Registrations



Source: Registrar of Companies

Despite the even trend in foreign investment, the growth in new domestic business is encouraging. Most new registrations come from small businesses, a phenomenon which will mandate increasing needs for competent management. In coming years, some new businesses will inevitably be formed by men and women who leave large firms to launch their own enterprises. These entrepreneurs will bring their acquired management skills with them. The better those skills, the more the new owners will contribute to broad business success in Namibia. The following section discusses those industries, or business sectors, where the field for management development appears to be the most fertile.

2. The Industries

♦ *Mining*

No description of the Namibian economy, much less of the private sector, can avoid commentary on the mining industry. Although waning in relative importance owing largely to diminished external demand, mining still stands as a giant in the macroeconomic profile of the country. In recent history, this industry generated over a third of the GDP, 75 percent of Namibia's export earnings, and almost 40 percent of tax revenues. The following table portrays both a recent and a more contemporary position of the sector.

The Mining Sector Expressed as Percentages of the Economy

| Year | GDP | Fixed Investment | Exports | Tax Revenues |
|------|-----|------------------|---------|--------------|
| 1988 | 36 | 26 | 58 | 14 |
| 1992 | 32 | 14 | 59 | 13 |

Source: GRN, *Economic Review*, 1993.

The big mining companies, six in number, are the largest group of firms in Namibia and are all wholly or in majority foreign-owned. Rössing Uranium and Consolidated Diamond Mines enjoy high reputation among Namibians for their dedicated efforts towards training managers and skilled workers from the previously disadvantaged classes. (Tsumeb, the third largest firm, is quite different and is not a role model for training disadvantaged citizens.) Mining is not likely to be a growth sector in Namibia for years to come, so that opportunities within the companies remain limited. Nonetheless, the mining firms will remain among the best training grounds for management in Namibia and can at the least serve as models for the Mission's Project.

◆ *Fishing*

Exploiting some of the richest coastal waters in the world, fishing has long been an important industry for Namibia. Now that the country claims rights over 200 miles of these waters and that sovereignty of Walvis Bay has been turned over by South Africa, the fishing industry is primed for steady growth. Its GVA increased by five percent in 1991 and 38 percent in 1992. The formerly depleted resource is recovering more quickly than predicted, and Namibia is steadily acquiring its own fleets, reducing the fees paid to foreign charter boats.

Parts of the fishing sector have been effectively "blackened," in the words of the Namibians. Fishing rights have been leased to aspiring entrepreneurs. Unfortunately, preparation for this transfer of rights was ill-conceived: many who received them possessed neither the financial security nor the managerial know-how to exploit their concessions effectively. Furthermore, the processing and exporting side of the industry remains by and large in the hands of a few whites.

Black Namibians in the fisheries sector are now keenly aware of their need for specialized management training. They have cited specifically a need to learn to develop business plans for credit purposes and to negotiate joint ventures. This may be a sector where training is justified for black owners of small businesses, since they really enjoy far less ownership of the industry than the levels of their activity would seem to indicate.

◆ *Financial institutions*

Banks, insurance companies, and pension funds control most of the allocation of money to the private sector in Namibia. Because the secondary market is virtually non-existent, and because most of the institutions are subsidiaries or affiliates of South African companies, this sector has channeled its investments out of the country. The commercial banks have not been generous with their resources to black businesses. Partly in response to the traditional banks' restricted lending policies, one black businessman has established a new commercial bank, City Savings and Investment Bank Limited. He



has wisely brought in some of the more powerful white businessmen as shareholders and members of the board. As the official opening for the bank took place during this consultancy, we can offer no commentary on the institution's viability. The bank is, however, highly interested in accessing managerial training resources through HRDA.

Two of the largest and longest established banks are Standard Bank and First National. They are affiliates of South African institutions and generally follow headquarters' guidelines on financial matters as well as on hiring and promotional policies. They are among the more progressive organizations in the traditional private sector in promoting affirmative action through real training rather than through window-dressing.

The largest private insurance company in Namibia, SANLAM Corporation, also follows the policies of its RSA headquarters. SANLAM's affirmative action targets align with its percentage of black policyholders, and SANLAM is one of the few companies operating locally that have a program for tracking progress in affirmative action placements and promotions. Because its potential market among black Namibians is vast, SANLAM needs black sales staff and managers.

A parastatal that prior to independence operated as a homelands development bank is the present Namibian Development Corporation. Totally restructured and divested of its direct investment arm, the NDC continues to exercise commercial banking functions under government subsidies. The NDC also has a strong human resources department and has actively placed trainees in other countries as well as in workshops in Namibia. The recent restructuring has impaired the NDC's financial ability to do much of this work. This parastatal financial intermediary provides debt financing to indigenous businesses and would welcome working with the HRDA Project.

In Windhoek there are several holding companies that have diversified investment portfolios. Commercial Investment Corporation is one of the largest of these in total assets. CIC holds equity in areas as divergent as food distribution, pharmaceuticals, and plastic manufacturing and has an extensive series of wholly or partially owned firms in Namibia, South Africa, Botswana, Zaire, and Angola. As early as 1973 the company enacted its own anti-discrimination policies and put some black supervisors in charge of white workers. The firm would like to discuss possibilities of executive training for black managers once the Project is launched.

♦ *Tourism*

Tourism continues to play a relatively small role in foreign exchange earnings and in creation of employment; nonetheless, it is considered to be a sector with potential for significant growth. In 1992—the latest date for which we have figures—the increase in tourism measured by the number of bed-nights sold was 11 percent.⁷ Namibia currently expects that stability in South Africa following elections will bode well for this sector. While the larger hotels currently follow their headquarters' leads in affirmative action policies, and have made remarkable progress up to junior management, they have not taken the measures necessary to build staffs of middle or senior management among blacks. The consultants believe that the hotels would be willing participants in the HRDA Project.

◆ Wholesale and retail trade

Contributing 13 percent to GDP and providing over a third of the jobs in the formal private sector, wholesale and retail trade in Namibia can, for present purposes, be divided roughly into three groups: large subsidiaries or affiliates of foreign companies, large family-owned businesses, and small local businesses. In accordance with USAID's directives to the Team, this report is concerned with the first two categories.

For several reasons the trade sector is important to the Project: It is a slowly but steadily growing industry; it employs a majority of blacks and coloureds; and management needs fewer technical skills than in finance, food processing, or manufacturing.

Powerful interests control the sector. Even in the South African affiliates, local merchants often own shares and sit on boards of directors. To our knowledge, there is no employee shareholding.⁸ Anecdotal evidence suggests that this merchant group will block entry into the market for rival retailers, even in the poorer districts of urban Namibia.

As might be expected, the South African companies are moving more rapidly in affirmative action than are the local family businesses. Given the size of the sector, near certainty of continuous growth, and the heightened possibility of recruiting black female candidates, HRDA should aggressively seek to work in wholesale and retail trade.⁹

3. Affirmative Action and the Private Sector

A visitor to Windhoek perceives immediately that private enterprise in this capital is of a different order from that of most of sub-Saharan Africa. There is no hawking or peddling; the sidewalks are lined with modern storefronts, attractive merchandise displays, and a broad variety of goods such as one might see in the better commercial sections of Europe or the U.S. There is an air of contemporaneity, marketing know-how, and competitiveness.

This image is less distorted than it is shallow. It disguises deep insecurities in Namibian private enterprise. In fact, the private sector in this country thrives on protectionism. External protectionism has sheltered manufacturing, agriculture, and financial services. Internal protectionism is related to the external and is more pervasive and insidious. Whites dominate the private sector, in particular a very small group of powerful families. Some consequences of this intimate, exclusive network of owners are highly restricted procurement patterns, tax evasion, imperfect understanding of international business, the choking of entrepreneurship, and, through importation of management, failure to develop the indigenous human resource.

Creating a strong cadre of black Namibian managers in the private sector will contribute to unravelling internal protectionism. For several reasons this undertaking is indispensable: in every country, and in any time frame but the short-term, indigenous management is cheaper, more productive, and more loyal. Long-standing, visible foreign management inevitably becomes a source of disaffection in society. But most importantly for Namibia, building local black management capacity will curtail a dangerous tendency towards splitting the society into white private enterprise and black government.



This split emerged as a tacit agreement during the first years of national reconciliation following independence. In the short-term it very likely proved the only sound approach, since most private capital was in the hands of white owners who husbanded their resources responsibly. But revenue derives only from production, trade, or taxation; a government comprising individuals with little or no stake in either of the two first sources of rents will eventually raise fiscal imposition and flirt with various forms of government control over commerce and industry. Black civil servants at all levels must perceive that class and national benefits accrue through the growth and dynamism of private business.

An affirmative action project should seek approbation from both government and business. Beyond approbation, it must join their foremost representatives in the project's implementation. One means to this end is the constitution of an Advisory Board, such as discussed in the CTS. Through an Advisory Board, the Project must disseminate a vision beyond redressing historical inequities: it must capture a sense of developing the Namibian human resource base for the advantage of all citizens, irrespective of race. The fact that blacks constitute not only the vast majority of the population but are also those in greatest need of training makes them the appropriate target for Project interventions at senior managerial levels. This is a project about the leadership of Namibia in future generations.

NOTES:

1. In this chapter, data are gathered from diverse sources, of which some are more contemporary than others; accuracy is not assured in all cases. Nonetheless, for the present purposes, proportion and change take primacy over precision.
2. GRN, "Tackling Unemployment in Namibia," 1993, p.2, and GRN, *The Status of Economically Active Population* [sic] in Namibia, 1991, pp. 23-45.
3. World Bank, *Namibia: Poverty Alleviation with Sustainable Growth*, p. 16.
4. GRN, *Economic Review*, 1993, p.15.
5. Subsistence agriculture is calculated at about two percent of GDP (*ibid.*); we are estimating that 10 percent of quarrying and trade are actually informal, or non-structured, and that some ten percent of transport, construction, and manufacturing falls within the public domain.
6. This and the information that follows was gotten in direct conversation between the consultants and the Office of the Registrar of Companies in the Ministry of Trade and Industry.
7. *Economic Review*, 1993.
8. In our very small sample of companies, only the Commercial Investment Corporation had an employee stock option plan.
9. The consultants had a chance to observe a workers' demonstration in front of one of the family-owned businesses during their stay in Namibia. The workers, primarily women, were demanding training.



APPENDIX B: THE PUBLIC SECTOR IN NAMIBIA

The GRN since independence has pursued moderate and enlightened economic policies, including encouragement of market forces in private sector growth. One of the major challenges the government now faces is long-term development of its human capital. Although white Namibians control 85 percent of the nation's wealth, they represent only about five percent of the population. These figures summon concerns of both social equity and human resource availability. Regardless of the effectiveness of Namibia's enabling environment for private sector-led growth, its underdeveloped work force and small pool of skilled Namibian managers place it in an uncompetitive position relative to its regional and international trading partners. Before addressing the human resources development plans of the government, this chapter presents a brief summary of the public sector's structure.

◆ *GRN structure*

The public sector consists of:

- 18 ministries;
- the Office of the Prime Minister;
- 5 other offices, including the National Planning Commission;
- 13 regional administration offices that function under the direction of the regional councils;
- parastatal organizations including the Namibia Development Corporation (formerly the First National Development Corporation), Swawek (the water and electrical corporation), TransNamib (rail, airlines, and transportation), Telecom, and the Namibian Housing Enterprise: a new parastatal, the Namibia Ports Authority, has recently been established to manage transportation activities into and out of newly incorporated Walvis Bay; another new parastatal, tentatively named Namibia Wildlife Resorts, will be created with GRN, employee, and local and outside investors to manage the government's numerous resorts and game park facilities;
- a number of marketing boards.

The University of Namibia is an autonomous institution governed by an independent council, mostly funded by the GRN.

Three significant features characterize the public sector for the purposes of this report:

- the large size of the public service;
- the GRN's affirmative action agenda, particularly at the managerial level;
- the rapid policy and procedural changes that are occurring within the public sector.

◆ *Size of the Public Service*

The public sector currently has about 60,500 public servants; GRN expenditure on personnel rose from 25 percent of total government expenditure in 1989/90 to well over 50 percent by 1992.¹ This is probably much larger than it needs to be given Namibia's population and comparing with similar countries such as Botswana. This is a significant increase from the approximately 41,000 public servants at independence.



This increase, due in large measure to the policy of national reconciliation, led to overstaffing, overlapping functions, occasional confusion about primary responsibilities for government initiatives and policies, misinformation on the status of new policies and procedures, and wastage of government financial resources.

♦ *GRN's affirmative action agenda*

Affirmative action is controversial in Namibia. Although some perceive it as "apartheid in reverse," in one interviewee's words, most Namibians see affirmative action more broadly as a human resource development challenge to create both a larger pool of quality Namibian managers and a more broadly diverse and representative work force to reflect better the needs and aspirations of all the people of Namibia. All recognize that affirmative action is intended for the majority who were denied opportunity because of race.

The public service's mandate for affirmative action or "balanced structuring" is embodied in Article 23 of the Namibian Constitution, "Apartheid and Affirmative Action" which specifically declared the practice of racial discrimination a punishable offense. However, this Article is only an enabling provision giving power to Parliament to act on affirmative action if it so chooses.

Parliament approved the 1990 Public Service Act and the 1990 Public Service Act Amendment to provide implementation guidance on affirmative action. These acts allowed the Public Service Commission to deviate from existing "career systems" procedures towards filling posts to a system based on open competitive announcements. The Commission accepted ministerial requests for advertising and filling management vacancies by relaxing experience requirements in favor of qualification requirements. Disadvantaged candidates are to be hired when candidacies are otherwise judged equal, though not at the expense of the minimum qualifications and experience required to perform the job; the GRN defines "disadvantaged" to include both blacks and coloureds. All personnel for ministry management posts must be submitted through the Office of the Prime Minister for approval by the Public Service Commission and Cabinet.

In practice, affirmative action was largely left to the ministries' Permanent Secretaries. The Public Service Commission referred a number of cases back to particular ministries for disadvantaged candidates to be considered, especially in ministries where the results of balanced structuring caused concern and where disadvantaged candidates were judged equal to or better than advantaged candidates.

The GRN recognizes the special discriminatory practices to which women have been subjected. Accordingly, the GRN's prioritized sequence from most disadvantaged to most advantaged runs: disadvantaged female to disadvantaged male to advantaged female to advantaged male (it is appropriate to note that the HRDA strategy development Team did not follow this prioritization during its assessments, since the Team received explicit instructions from USAID to focus on black Namibians).

GRN claims that there is no need for more specific affirmative action legislation. In his speech to Parliament on June 7, 1991, the Prime Minister stated that the Public Service Act and its Amendment "give the public service commission ample power to carry out its affirmative action and balanced structuring in the Public Service without the need for any further legislation or committee or commission." GRN has adopted the same pragmatic approach in dealing with this sensitive and potentially divisive issue as in others where national reconciliation is valued.



GRN has made significant progress in hiring black Namibians despite the lack of specific affirmative action legislation or watchdog agencies. GRN can show significantly less progress in hiring women. The following provides summative data on affirmative action in the public sector. GRN reports on affirmative action using the categories of advantaged (white) and disadvantaged (black, coloured); we use these terms in the following analyses although they differ from the nomenclature adopted in the remainder of this document.²

Affirmative Action in the Public Service

| Category | Number | Percentage of Total Work force | Distribution | |
|---------------------|--------|--------------------------------------|--------------|---------------|
| | | | Advantaged | Disadvantaged |
| Total work force | 60,500 | 100% | 9% | 91% |
| Management cadre | 480 | > 1% | 30% | 70% |
| Women | 16,432 | 27% | n/a | n/a |
| Women in management | 75 | 16% | n/a | n/a |

Over 60 percent of the management cadre is disadvantaged within the organizations targeted under this TNA, according to May 5, 1994 OPM data and to subsequent conversations with ministry personnel. GRN has been most successful with black and coloured males, accounting for over half of management, and least successful with women, who only represent 8 percent of management within these target entities as shown in the following table.

HRDA/Namibia Target Organizations: Affirmative Action in the Management Cadre

| Ministry | Disadvantaged | | Advantaged | | | | |
|--------------------------|---------------|------|------------|------|---|----|-----|
| | Female | Male | Female | Male | | | |
| Office of Prime Minister | 2 | 4% | 9 | 17% | 0 | 7 | 14% |
| Min. of Finance | 1 | 2% | 6 | 11% | 0 | 5 | 10% |
| Min. of Fisheries | 0 | 0% | 4 | 8% | 0 | 1 | 2% |
| Min. of Trade & Industry | 1 | 2% | 7 | 14% | 0 | 3 | 6% |
| Min. of Env. & Tourism | 0 | 0% | 1 | 2% | 0 | 4 | 8% |
| Totals | 4 | 8% | 27 | 52% | 0 | 20 | 40% |



For the parastatals, the Team conducted primary research focusing on black, rather than on black and coloured, managers. The parastatals cannot boast nearly the progress of the government agencies in promoting black management.

Affirmative Action in Namibian Parastatals

| Parastatal | Total Managers | Black Managers | Black mgrs/ all mgrs |
|------------------------------------|----------------|----------------|-------------------------|
| Namibian Development Corporation | 9 | 4 | 44% |
| TransNamib | 70 | 6 | 9% |
| Namibian Ports Authority | 8 | 0 | 0% |
| Swawek (total work force) | 750 | 0 | 0% |
| University of Namibia ³ | n/a | n/a | n/a |

GRN is drafting a comprehensive affirmative action bill, to be presented to Cabinet and Parliament in late 1994. According to information supplied by OPM and by the Ministry of Labour and HRD, this bill will apply to all private and parastatal organizations in Namibia but not to the public sector.

♦ *Rationalization: policy and procedural changes within the public service*

The public sector is in a state of transition. Virtually all ministries, offices, and parastatals have policy documents in various stages ranging from draft to final acceptance by Parliament. New government procedures are also being prepared and implemented. Parastatals have been created to assume government staff and activities because of Government White Papers in ministries such as Fisheries and Environment and Tourism.

A public service rationalization strategy was instituted approximately 18 months ago. Each ministry submitted and secured Cabinet approval for a Rationalization Plan through the Office of the Prime Minister. The Plans are intended to streamline the objectives, functions, and activities of each ministry, thus reducing duplication and the size of the public service.

Rationalization is meant to create a leaner and more effective public service. The management cadre should be downsized by over a third, from 480 to around 300. In all likelihood, however, the rationalization process will never be completed. Changes will continually be introduced: as with any government bureaucracy, personnel will only be retrenched as a last resort. With the upcoming elections, retrenchment is unlikely. Many government leaders hope that personnel slated for retrenchment will find new jobs in other government offices or in the private sector.

♦ *GRN's human resource development system*

On paper, the GRN enjoys a comprehensive human resource development system that compares favorably to others in this part of Africa.⁴ The system can be summarized as follows.



The *Office of the Prime Minister* is charged with overall responsibility for coordinating training for public servants. OPM handles this through two departments. First, OPM's *Directorate of Human Resource Development* coordinates service-wide management training. Second, the *Department of Public Service Management* interacts with each ministry's personnel office to coordinate public service training, directed by an Undersecretary reporting to the Secretary to Cabinet. Within this department are Directorates for Human Resource Development, Management Services, Personnel Policy and Systems, and Human Resource Management.

The Constitution provides for a Public Service Commission, an independent government agency appointed by Parliament which, with Cabinet, must approve all hiring decisions involving the public service management cadre. According to OPM, the Public Service Act, currently with Cabinet for revisions, will make the Commission an advisory, not executive, body, which will act as a watch dog for the public service, though with no explicit affirmative action role.

Each Ministry has a *Training Committee*—and will soon appoint a Training Officer, where none exists—to coordinate training within the ministry.

OPM and each ministry have training budgets, often modest: OPM's training budget is N\$1 million which includes the cost of OPM trainers delivering training; additional funds can be requested.

Most training within the public service is reactive: training is generally in response to apparent problems within the system rather than a systematic process of identifying training needs based on performance and then preparing programs to meet those needs. There appears to be little analysis of performance problems to determine if training is the appropriate intervention or if structural or other impediments are the cause of the performance problem. Furthermore, much training within the public service is donor-driven. While providing needed funds to the GRN, donor-funded training can be wasteful and disruptive if it is not well planned and integrated.

OPM appears to recognize the need for a more precise HRD Plan to identify and respond to human resource development requirements within the public service. OPM has recently completed a training needs assessment of the public service management cadre with ODA support. Another assessment is currently underway to compile data on training needs at supervisory, technical, and administrative levels of all ministries within the public service.

The recently introduced GRN Training Policy⁵ mandates that all training not specific to a ministry's portfolio—including management development, training abroad, and training by private/other institutions—"of Offices/Ministries staff is to be coordinated by [OPM's] Directorate of Human Resource Development... in cooperation with each Office/Ministry Training Committee and Personnel Office."

Human Resource Development plans do exist for the Ministry of Environment and Tourism and for the Ministry of Fisheries and Marine Resources through donor assistance. This CTS was not able to determine if other ministries have human resource development plans. Some parastatals, such as the new Namibian Ports Authority, will prepare human resource development plans later this year.

Management training is offered at the University of Namibia Centre for Public Service Training. GRN acknowledges this Centre as the main institution for the delivery of in-service management training



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within the public service, although little training has occurred due to staffing and financial constraints and reports on performance are disappointing. Other institutions, such as IMLT, have offered public service training although only about 10 percent of IMLT's participants are drawn from the public service. OPM currently provides basic courses covering introduction to computers, supervision, training of trainers, induction into the public service, registry control, secretarial training, and English proficiency.

Technical and other ministry-specific training is normally carried out each ministry's training staff.

◆ *Organizations assessed*

The Team selected organizations according to two principal criteria:

1. *Direct relationship to private sector-led economic growth:* Ministry of Trade and Industry; Ministry of Fisheries and Marine Resources; tourism aspects of the Ministry of Environment and Tourism; Ministry of Finance; critical parastatals: Namibian Ports Authority, Namibian Wildlife Resorts (a parastatal that may be formed later this year), Namibian Development Corporation, Swawek, Telecom, and TransNamib.
2. *Central role coordinating development of the GRN management cadre:* Office of the Prime Minister; Ministry of Labour and HRD.

Regarding the following data, a word of orientation is due. In the public sector, data aggregating black and coloured employees are available, but managers interviewed were seldom prepared to cite numbers for blacks alone. For this reason, the public sector assessment often quotes affirmative action figures uniting blacks and coloureds. These figures must be taken with caution in the context of the present report, because they are not always indicative of the status of the assessment's target clientele, black managers.

The Team visited the Ministry of Labour and Human Resource Development to obtain information on the GRN's approach to affirmative action in the private sector; the Ministry was viewed as a target for the TNA primarily because it performs a regulatory function related to private sector employment.

The Ministry of Mines and Energy and the Ministry of Agriculture were not examined because of limited growth potential in these sectors.⁶

The *Ministry of Trade and Industry's* principal role is to promote growth of trade, commerce, and industry by formulating appropriate policies and strategies. Black and coloured Namibians account for eight—72 percent—of the eleven management positions. While this ministry has and continues to do an admirable job related to affirmative action, it appears that more is needed to strengthen senior officials' management skills.

The *Ministry of Environment and Tourism* promotes tourism, an area which has grown sharply since independence and is expected to continue to grow.⁷ Black and coloured Namibians represent 37 percent of management—three of the eight management positions. The Ministry has offices in London and Frankfurt to market Namibian tourism overseas, and is responsible for addressing weakness in the tourism sector.



GRN is in effect the major tourism company in Namibia, employing 870 people and owning 30 percent of all beds in Namibia. GRN is discussing creating a new parastatal, Namibian Wildlife Resorts, to manage the GRN's resorts. This parastatal will be owned 30 percent by the GRN, 20 percent by employees, and the remaining 20 percent by local or outside investors.

The Ministry is working with the Namibian Association of Training in Hospitality, related to the Hotel Association and providing hotel training, to expand its functions to cover all training related to tourism. Eventually, in coordination with the Namibians Association of Training in Hospitality, a formal Hotel and Tourism School will be established at the Technikon where some tourism training has already commenced.

Major donors in the ministry are the German Government, which provides training to ministry staff, and the EC, which provides major technical assistance on tourism policy.

The *Ministry of Fisheries and Marine Resources* is responsible for ensuring that fishery resources and the development of the industry are sustainable and will provide a lasting contribution to the economy. Namibia's fishing industry offers considerable potential: fisheries now employ over 10,000 people including seasonal workers and pays N\$220 million in wages, making fisheries the second largest industrial employer in Namibia next to the mining industry. It is expected that the fishing industry will become the single largest industrial employer within the next five years.⁸ Fish processing and other resulting business activities such as transportation should also benefit from this sector. Walvis Bay's recent incorporation will add to further business growth in this area.

There are six management positions in the ministry with disadvantaged Namibians holding three of these positions. The Ministry appears to be well advanced in policy formulation and implementation, a comment supported by a number of outside observers. Senior management is qualified in relevant technical areas but lacks coherent management skills development.

A new Fisheries Training Institute will be developed at Walvis Bay, possibly using the former South African Naval barracks. The fisheries school at Lüderitz, administered by the Rössing Foundation, will likely remain.

The major donor in fisheries is Norway, with Germany, Japan, Iceland, Denmark, France, Australia, and the FAO all contributing technical assistance personnel, particularly on the GRN fleet, or various types of training.

The *Ministry of Finance* is responsible for regulating and controlling finances of the government and advising on fiscal and monetary policy. There are 14 management positions in the Ministry with black and coloured Namibians accounting for half of these positions.

The *Office of the Prime Minister* has 18 management positions; black and coloured Namibians hold eleven (61 percent) of these. OPM is responsible for administering the public service and for coordinating personnel and human resource development functions. The British government and UNDP furnish major assistance in training and with public service rationalization.

The *Ministry of Labour and Human Resource Development* is responsible for facilitating labor matters with employers and unions and for developing and implementing policy related to labour matters in

the private sector. The Labour Commissioner is responsible for affirmative action matters in the private sector.

There are nine management positions in the Ministry with black and coloured Namibians holding seven—78 percent—of these.

The Ministry of Labour and HRD has recently been involved in the ongoing development of an affirmative action bill, funded in part by the Australian Government, which the Ministry states will be completed for Cabinet review by the end of 1994. Other initiatives include a Training Fund established through the Vocational Training Act to pay for artisan and technical training. The amount of the levy has not yet been established. Another training incentive scheme exists whereby companies investing in Namibia can deduct from their taxes up to 125 percent of the costs of training their staff. This scheme is in effect over a set number of years, on a diminishing percentage basis.

The *Namibian Ports Authority* is a fully owned GRN parastatal that has been in existence for about two months. No black or coloured Namibians hold any of the eight management positions in the organization. The Marketing Manager and the Accounts Manager positions are vacant at the present time; the CEO has said they are actively recruiting among disadvantaged Namibians. The total work force numbers 340 positions with about 180 positions occupied by black and coloured Namibians.

The Permanent Secretaries of Transportation, Finance, and Fisheries sit on the Advisory Board. The Authority may be split into two companies, one for cargo handling and one for port management.

An affirmative action policy was written into the parliamentary bill establishing the Authority. In essence, the policy follows public service guidelines: if competing candidates have equal qualifications (not considering experience), disadvantaged Namibians will be selected. The Authority has no training plan nor is training currently occurring.

The *Namibian Development Corporation* has 380 staff with disadvantaged Namibians holding 4 of the 9, or 44 percent of management positions. NDC is a fully GRN-owned parastatal created by act of Parliament in October 1993 when the prior South African government-created First National Development Corporation was split into two companies: the NDC and the Amalgamated Holdings Company, a holding company with extensive small businesses, primarily in the north.

NDC reports to the Ministry of Finance; Permanent Secretaries from the Ministries of Finance, Agriculture, Trade and Industry, and Mining serve on the Advisory Board.

Swawek employs 750 people, with no black managers. A parastatal under the Ministry of Mines and Energy, Swawek is responsible for providing electricity within Namibia. The Team was not made aware of any affirmative action program at Swawek.

The Team was not unable to obtain statistical information on the management cadre within the *University of Namibia (UNAM)* though UNAM appears to have a considerable number of non-Namibians in senior positions. UNAM was created by an act of Parliament in 1992 and receives most of its funding from the GRN. Its Centre for Public Sector Training and the Faculty for Economics and Management Science are potential providers of training under this Project.



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TransNamib has 70 managers; six of these—9 percent—are disadvantaged Namibians. *TransNamib* is a parastatal although no government official sits of the Board of Directors. *TransNamib* has consistently made a profit each year; its major holdings are in transportation, airlines (*Namib Air*), and Namibia rail. The organization has a well developed HRD function but most training is focused on artisans and technical staff. *TransNamib's* Human Resource Manager is coordinating in-house non-degree management training through the University of Cape Town in South Africa.

NOTES:

1. These figures derive from data provided by the Office of the Prime Minister.
2. GRN affirmative action statistics are based on April 1993 OPM data; new data will be available in June 1994 and are not expected to vary significantly according to OPM.
3. Figures on affirmative action placements were not available for the University of Namibia though it is understood that non-Namibians hold many senior management positions.
4. Basic documents that describe GRN's human resource development system are the Acting Secretary to Cabinet's recently released "Training Policy for the Public Service," OPM's compilation of ministry rationalization plans, and subsequent strategy papers on sectoral matters.
5. OPM *Circular Number 12*, 1994.
6. According to NPC, GRN anticipates mining, especially uranium and other metals, to grow only slightly during National Development Plan I—1995 to 2000. Discovery of gas and oil is uncertain and unreliable. Commercial agriculture is expected to provide some employment potential through higher value crop production, though fewer workers are expected to be employed since Namibian markets in South Africa and especially in Europe are unlikely to expand.
7. The EC Report on Tourism states that the sector has grown at almost 30 percent per year since independence; this estimate seems exaggerated.
8. According to the Analysis of the Training Needs of the Fisheries Industries and the Ministry of Fisheries and Marine Resources.



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APPENDIX C: AFFIRMATIVE ACTION

1. Legislation in Namibia

Namibia's 1990 Constitution specifically allows for "equality and freedom from discrimination to all Namibians," with the provision that nothing in the above article shall prevent Parliament from enacting legislation for the advancement of Namibians who have been disadvantaged.¹

The ILO with Australian funding developed a draft bill on affirmative action. This was submitted to GRN in April 1991 but was rejected after consultation with private sector executives. No further bill has been tabled.

2. Affirmative Action's Status in Namibia

In Namibia the *private sector* evinces no sense of urgency towards affirmative action. Although there is general consensus amongst medium to large businesses that affirmative action is necessary, very few businesses have actually formulated AA policies. Even fewer have implemented AA programs, and those companies that are implementing are usually following the policy of their South African headquarters.

The *public sector* presents a different picture. Through the GRN's policy of national conciliation, people already in the public sector before independence were guaranteed government employment through to retirement. Though these numbers have diminished to some extent by natural attrition, the public sector is overstaffed, and the GRN has now embarked on a policy of rationalization intended to reduce the size of government. At the same time, there is a cadre of black public sector managers who came into office after independence. Some of these have been promoted too quickly, are inexperienced, and lack management skills.

3. Implementing Affirmative Action in Namibia

There is no pressure for legislation to accelerate the process of affirmative action in Namibia. At the same time, awareness is growing within both government and business that there is a great need for competent managers and that these people will have to be drawn from local black Namibians.

Many private sector managers voice support for affirmative action, but cite a shortage of qualified black Namibians because of weak educational backgrounds, including low academic retention rates, poor subject choice, and a lack of math, science, and accounting teachers at school. The pool of black managers in the private sector is small at present, but large enough to lead a positive trend in their development as high-level black managers. Investment in their development and that of their peers from the public sector would be worthwhile.

Many organizations lack knowledge about implementing affirmative action, although there are some very informed people in high level management positions in Namibian firms. Most managers in this survey demonstrated positive attitudes along with a willingness to participate in an affirmative action undertaking, yet said they did not know how to go about implementing affirmative action in their



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organization. Most people were enthusiastic about participating in a network to support AA initiatives and to share expertise and experience.

The combination of enthusiasm and a willingness to participate in a comprehensive affirmative action project are strong factors in favor of embarking on this project in Namibia.

4. The HRDA Approach to Implementing Affirmative Action in Namibia

The key to a successful affirmative action strategy lies as much with the employer's commitment to the manager's success on the job as with the training provided to the upcoming manager. The HRDA/Namibia implementation strategy incorporates organizational development activities to provide an environment conducive to supporting career development alongside training for the affirmative action candidate.

a) Organizational Transformation

Three critical elements must be in place for affirmative action activities to be successful. Affirmative action must be an explicit element of the organization's *strategic plan*. The organization's *entire work force* must be involved. There must also be *in-company, line management change agents* to support implementation of the policy.

♦ Strategic plan

Top leadership must explicitly advocate affirmative action. It is essential that the strategy for affirmative action be incorporated into the organization's strategic business plan. The elements which must be discussed and ratified at the top executive level are:

- the affirmative action policy document;
- the organization's philosophy regarding affirmative action;
- the target group for affirmative action and the rationale for this;
- targets for affirmative action;
- guidelines for implementation;
- recruitment and selection guidelines;
- broad outlines on development and promotion procedures based on specific performance management principles.

The components of the affirmative action program must be specified and must incorporate organizational transformation designed to create a climate conducive to career development, including supportive and productive working relationships. The cultural transformation of the organization is a vital element in the success of affirmative action programs.

It is essential that a budget be approved for the affirmative action strategy as part of the overall strategic plan. The budget must be carefully aligned to affirmative action targets.

◆ *Work force involvement*

Organizational transformation implies a change in the general cultural climate of the organization. It also means a change in management style from an authoritarian model to a more collaborative approach. Such change requires a great deal more consultation with the general work force, particularly with union leadership. Implementing affirmative action is often an emotionally charged process. Transparency is a key factor in gaining commitment to success.

Consultation should encompass:

- discussion of the policy document;
- discussion of the AA program;
- implementation issues such as selection of AA candidates;
- measurement of success;
- promotion procedures;
- the implementation of the organizational transformation process;
- communication of proposed plans to the work force.

◆ *In-company line management change agents*

The affirmative action and organizational transformation processes must be internalized within the organization in order to be effective. Success thus indicates that the organizational transformation process be run by in-company line people trained to implement such a process. The major role of these change agents is to facilitate a communication process throughout the entire organization that results in better inter-group understanding, more effective problem-solving techniques, and open working relationships beneficial to career development and acceleration.

Experience shows that when organizational transformation is run by outside consultants, internal commitment falters once the consultants have left. Consultants should instead be used to train change agents and to teach the procedure of organizational transformation including management style change, facilitation skills, effective problem-solving techniques and communication models that foster group understanding. Ownership of the transformation process must remain with line people in the company.

It is also important that ownership of the organizational transformation process is not left totally within a human resources department because this also tends to absolve line people from becoming fully involved with the process. Once top-level ratification for the policy and program has been secured, human resource personnel can be involved in the program's organization and set-up, but they should not be expected to serve as the organizational change agents.

b) The Transformation Process

The transformation process should cascade through the organization so that at least 80 percent of the entire work force participates in a workshop designed to facilitate effective communication and problem-solving. If it is possible to put the entire work force through the process, the benefits will be worth the extra effort.

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Many organizations believe that the process will not be understood or appreciated by lower level employees. Experience in the field proves that this is not so. On the contrary, these people, often excluded from consultation in many work-related areas, prove to have a much greater capacity for understanding and contribution than is generally appreciated. Lower level employees on their return to the workplace usually perform better, have a much more positive attitude to work in general and enjoy being considered a valuable part of the work force. Other factors which often become evident include sensitivity to interpersonal relationships and a much deeper understanding of fellow workers than is usually indicated in everyday behavior.

c) Implementation Steps

Once executive-level commitment to affirmative action is secured and demonstrated through an organization's AA policy and program, implementation of the AA program can proceed through the following steps.

◆ *Select change agents*

These should be line management people at about mid-level in the organization who are trusted and respected by their fellow workers. The most effective way of gaining commitment to the process is to run an in-house seminar to explain the organizational transformation process, clarifying its aims, objectives, and role in the business plan. People can then be asked to participate in the training workshop for change agents.

◆ *Change agent workshop*

The workshop must be run by a person fully conversant with the process of organizational culture change and the most effective methods to achieve this. A three-day workshop is usually sufficient to teach a maximum of 10 people the principles of effective communication techniques, problem management, conflict resolution, group process management, facilitation skills and presentation skills.

The change agent training should also incorporate the program content of the two-day in-house workshop which is the next step in the organizational transformation process. This program content is largely dictated by the issues raised by the group, but should be run according to a defined structure. The previously identified drivers of the transformation process must participate fully in change agent training.

The organization's line change agents will be running the organizational transformation workshops. This means that the AA consultant should coach the line agents closely. We recommend that this coaching take place over two workshops, with the change agent observing on the first and running the second under the consultant's guidance. Once change agents are competent in running workshops, they can then train further internal change agents themselves. If possible, and if participating organizations are agreeable, change agent training can be done in groups comprising several organizations. A lot of networking amongst change agents and drivers is generally beneficial unless there is some conflict of interest.

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◆ *Organizational transformation workshops*

These are usually two-day programs because less time than that seldom affords participants the opportunity to participate fully in the group. Despite the obvious difficulties inherent in getting a fairly large part of the work force away at the same time, especially if a shift system is in operation, the benefits that accrue from the effort outweigh the difficulties in setting this up.

The program should include sessions on methods to communicate on sensitive issues such as cultural differences, stereotypes and attitudes, common beliefs about various groups, typical problems encountered at work, racism, sexism, and the effects of discrimination. At the same time, it is vital that in the beginning the line change agents do not allow a negative emotional climate to develop. The group should be led through the practice of effective communication methods in order to be able to address sensitive issues later on in the program. It is also vital that the program end positively, and that real issues and negative feelings be openly communicated and dealt with through the facilitation process.

It is usually most practical to relate issues directly to the work situation and to use the problem management model to assist participants in solving these and in formulating an action plan to be carried out in the workplace. The action plans form the basis for follow-up workshops back at work which keep the process of change and transformation continuous and ongoing.

Change agents should run these workshops in pairs so that they can back each other up and assist in identifying issues which are important to the group.

Workshops can be run on-site where there is a suitable training facility, though there are definite benefits in running them off-site or even in the training center of another organization. The greatest benefits accrue from running workshops in a retreat setting where people have time and social situations to get to know each other better. This is strongly recommended in light of potential results even though it is more costly. A casual, unprestigious venue often makes people more comfortable and more likely to be open and communicative. It is also important to take cultural differences into account—dietary restrictions, for instance—and to ensure that such sensitivities are considered during planning.

The composition of groups in these organizational transformation workshops should be planned to achieve the greatest intergroup mix. This may mean that people of different levels are included in the same groups, which can be highly effective in breaking down some of the status barriers at work. If there are known areas of conflict, the staff involved can be grouped in the same workshop and the issue used to demonstrate the communication and problem-management models which are taught as the basis for group interaction.

◆ *Mentors*

Mentor systems have received a great deal of criticism yet are nonetheless important to the career development process, provided that the mentor has been trained in coaching and development techniques specifically directed towards the needs of disadvantaged people. The affirmative action mentor must understand and can be trained in the need for the career management skills described below. The mentor must be able to assist in providing the necessary support and assist in the career



pathing process. The locus of control for career advancement must however remain with the AA candidate and not be taken over by the mentor.

◆ *Follow-up process*

A follow-up process must be incorporated into the organizational transformation plan. This can take the form of regular meetings of the workshop group to discuss progress in terms of the action plans formulated during the workshop and to find ways of dealing with any new issues. Some companies already have structures such as quality circles or green areas which are a suitable vehicle for the follow-up process.

Change agents must work hard to get the momentum for the follow-up workshops going, because people inevitably get caught up in everyday problems as soon as they return to work; follow-ups will soon be regarded as a waste of time unless they are useful and continue the growth process of the workshops. They should therefore have a definite agenda which gives everybody a chance to contribute. They are also suitable opportunities for celebrating success in problem-solving and in communicating success of affirmative action candidates.

d) **Recruiting and Selecting Affirmative Action Candidates**

Once the organizational structures that contribute to the success of affirmative action are in place—policies, programs, change agents identified, organization-wide transformation workshops undertaken—the process of recruiting and selecting candidates for affirmative action can begin.

◆ *Selection criteria*

Selection criteria for an affirmative action program must be clearly defined and consistent with the aims of the program as well as appropriate to the philosophy and values expressed in the organization's AA policy document. Selection of a particular group for a specific intervention is acceptable and often practical as it keeps the scope of the intervention manageable, but it must be part of the consultation process within the organization.

Examples of considerations for selection are:

- Specifics of targeted group (race, sex);
- Educational level;
- Work experience;
- Cognitive agility/intelligence;
- Specific personality factors (resilience, drive, motivation);
- Ability to manage stress and pressure;
- Locus of control;
- Present level of ability;
- Potential level of skill and expertise;
- Language proficiency;
- Specific skills related to anticipated career path or work orientation.



Where possible, it is recommended that people be developed internally from the present work force in order to create an environment where career development is available to many. It is important here to explore stereotypes about the potential of present employees and to see to what extent they have been included in an assessment process to determine their real potential. Further comments regarding assessment are given below.

However, it is not always possible to select internally, and organizations need to recruit externally. In affirmative action employment, the organization's standard recruitment techniques should be examined and expanded in order to select the best candidates from other sources. This includes traditional advertising techniques, school or university recruitment, which may need to be supplemented through other networks or sources of information, including any placement firms that specialize in finding affirmative action candidates.

◆ *Assessment*

Assessment of candidates for employment using psychometric tests is highly controversial, but the practice is still used in Namibia. New techniques of assessment are being developed which focus on potential to learn rather than actual level of ability. These alternate techniques are recommended for people who have been disadvantaged by inferior education because they enable employers to award affirmative action positions to people identified as capable of benefiting from special treatment through an affirmative action program. These techniques can be used both for literate and illiterate people.

The use of assessment center technology is recommended where the assessment center has been carefully designed to suit the particular organization and where it is possible to use a progressive screening technique which makes assessment time cost-effective. Validation is important to ensure that there is no bias in the assessment procedure.

e) **Career Development for Affirmative Action Candidates**

An essential component of an affirmative action strategy is the specific planning and implementation of the AA candidate's career development. There are four elements in the career development plan:

- career path development;
- formal education;
- organization-specific training;
- career management skills.

◆ *Career path development*

An organization which commits to affirmative action needs a system by which the career path of every employee can be planned to form part of a composite deployment picture for the whole organization. Dossiers can most effectively be put together on a cumulative basis, with information being collected according to need and level of employee. Employee information might also be collected from outside the workplace as it can be useful when assessing suitability for promotional positions—for instance, when suitability for leadership is under consideration and the candidate holds a significant leadership position in the community.



Affirmative action candidates need to be taught how to manage the career path system and to take responsibility for their own development.

◆ *Formal education*

The affirmative action candidate's level of formal education should be carefully considered so that it is appropriate for the career path. Formal education may be an important component to prepare for some positions, but is not sufficient to ensure success. Formal education must be reinforced by on-the-job or practical training such as internships in order for the candidate to become fully competent in the job. This is particularly true of management positions where skills are not always clearly defined and depend on more than formal knowledge.

◆ *Organization-specific skills training*

Distinctive skills the organization requires are usually best acquired through on-the-job training or through training programs offered in-house or specially tailored for the organization and individual.

◆ *Career management skills*

Career management skills are the less tangible interpersonal and influential skills essential to success in a corporate system. They are vital to affirmative action because these are precisely those skills which are unlikely to be acquired automatically by anyone who does not form part of the organization's current power system. In the context of Namibia's corporate private sector, and until recently, public sector, people other than white males were unlikely to acquire these skills with great ease.

In planning training in these areas, assumptions should not be made regarding any particular candidate. It is more effective to have some system of self-assessment whereby people are able to identify their own training needs and be assisted in meeting these needs.

f) **Measuring Success**

The process of implementing affirmative action successfully must pull together the organizational transformation and the career development of affirmative action candidates, and must operate in terms of the policies and philosophy of the affirmative action policy document. Measurement of success needs to be closely related to the strategic business plan and reviewed regularly as part of the strategic plan of the organization.

g) **Time Frame and Level of Effort for Implementing an Affirmative Action Program**

A sample time frame for these activities is provided below.



| IMPLEMENTING AN AFFIRMATIVE ACTION PROGRAM | | |
|--|--|---------------------------------|
| STEP | ACTIVITY | LEVEL OF EFFORT |
| 1 | Executive strategic planning workshop | 2 days |
| 2 | Change agent training | 3 days |
| 3 | Organizational transformation program training | 2 days |
| 4 | Mentor training | 3 days |
| 5 | Organizational transformation program monitoring | Depends on change agents' skill |
| 6 | Career acceleration skills | 3 days |
| 7 | Assertive skills | 2 days |
| 8 | Relationship-building and skills in influencing | 2 days |
| 9 | Time and stress management | 2 days |
| 10 | Self-development program | 2 days |

Steps 6 through 10 may be run as coordinated workshops for a network of organizations, recommended as a method to assist AA candidates in establishing a practical network of peers.

Some companies may need an additional workshop to gain commitment from middle management and to alter their management style (2 days).

NOTES:

1. Namibian Constitution, Articles 23 and 24.



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APPENDIX D: DONOR ACTIVITY IN RELATED SECTORS

◆ Support to Namibia's Private Sector

Donors are little involved in management development for the private sector. Lead donors in Namibia are Germany, Sweden, the European Community, the British, French, and USAID. Donors are working in developing legislation on affirmative action; their activities in support of manpower for private business concentrates on the provision of vocational and technical skills. Sample key donor activities are summarized below.

Embassy of the Federal Republic of Germany (FRG)

Germany is by far the largest donor to Namibia. German technical assistance has ranged from a high of DM 100 million in 1919 to its current rate of some \$23-29 million a year,¹ with pledges totalling \$162 million for the period 1990-1993 above and beyond Germany's share of EC assistance.

Germany's current priorities encompass water supply, environmentally friendly livestock husbandry, advisory assistance to the Geological Survey, AIDS control, and promoting public legal institutions and renewable energy sources. Additional projects focus on roads, constructing low-cost housing, and rural infrastructure.

Germany provides support to small-scale businesses through the Windhoek Vocational Training Center (WVTC) which offers four-year theoretical and practical courses in a range of vocational areas—auto mechanics, electrical engineering, masonry—to approximately 200 full-time students. Apprenticeships are incorporated into as many programs as possible though there is not enough opportunity within the Windhoek community to absorb all 200 students. German funding has dropped from 100 percent to roughly 80 percent; discussions are underway with the Swakopmund industrial community to share costs of training and internships. Expansion to four affiliated centers in the North, a GRN priority, are also currently under discussion.

Germany funds an advisory project to the Ministry of Fisheries and Marine Resources, assisting in developing regulations and provisions in fisheries law. This assistance led to a needs assessment for training in the fisheries sector and for approaches to a modern fisheries information system; German resources have not yet been available to expand technical cooperation in response to these activities.

The Frankfurt Chamber of Commerce is deeply involved in supporting the Namibian National Chamber of Commerce (NNCCI), though not through FRG government funding.

French Mission for Cooperation and Cultural Affairs

France provides grants to Namibia totalling approximately \$4.3 million, along with 12 to 15 French technical assistants stationed in various ministries. Although France is one of Namibia's top five donors, the budget is small for a French development assistance program in Africa.



France's current strategy focuses on health, water supply, rural development in the north, fisheries, and on refugees and squatters in urban areas. Activities in fisheries began in 1991 with a \$1 million pilot project to define further interventions. These have included provision of equipment, technical assistance, and training. The current French budget for fisheries development runs at \$3.4 million.

France has contributed to human resource development for Namibia since prior to independence, with some 40 to 50 long-term scholarships provided overall. Five Namibians are still in long-term training. France now restricts HRD interventions to short-term training in a wide variety of fields, limiting the pool of qualified applicants to those who already speak French.

British High Commission

The British development assistance budget for Namibia runs at roughly £4 million a year, focussing on education, public service reform, police training, primary health care, agriculture, and rural development. Civil service training is currently performed through the Public Service Commission in the Office of the Prime Minister, and will be conducted through the University of Namibia as of late 1994.

Britain primarily provides technical assistance. Britain also offers a few graduate scholarships each year: there are currently four Namibians studying in the UK through British High Commission sponsorship.

United Nations Development Programme (UNDP)

UNDP and the UN agencies' portfolio focuses on poverty alleviation and grassroots participation, environment and natural resources management, development management, women in development, and technical cooperation among developing countries. UNDP's Country Programme for Namibia foresees a total of \$4.2 million to be supplied for economic diversification through public service restructuring, development plan and aid coordination, and strengthening fiscal and monetary institutions. UN sister agencies coordinated through UNDP also work in employment generation, food security, housing, health, and education.

The International Labour Organisation (ILO) has been working with the GRN to develop affirmative action legislation in coordination with the Australian Development Board.

The Ford Foundation

The Ford Foundation's approximate \$1 million annual budget supports NNCCI, UNAM, and local NGOs. Ford initiated support to NNCCI's affirmative action activities in early 1993 with a \$30,000 grant to help plan NNCCI's affirmative action statement. Ford is currently expecting a proposal from NNCCI for assistance in setting up the proposed Affirmative Action Advisory Service, a unit within NNCCI that will work to provide capacity within companies to develop affirmative action plans and policies and to provide related training.

Ford provided a \$30,000 grant in 1993 to help NNCCI to plan its gender and race affirmative action initiative. Ford has further supplied a \$50,000 grant for NGO capacity building to support in-service



training for Namibia's private sector, primarily training trainers within national NGOs in organizational management, financial management, gender analysis, and participatory research techniques.

Ford's public sector activities center on a \$250,000 grant made in 1993 to provide masters degrees in the U.S. or UK to 6 economists from the National Planning Commission. Recruitment is not yet underway because NPC has not been able to release anyone for training. Ford is also working to establish an open recruitment board for future such activities in the future.

Ford's work with UNAM includes provision of masters degree training (in South Africa and the UK) to develop the Social Science Division's capacity to conduct research on rural development. Ford is also providing in-service training to support UNAM's Justice Training Center and supplies funds towards the formation of higher education policy in Namibia, in particular, strategic and academic planning and curriculum reform.

Swedish International Development Authority (SIDA)

Sweden's 1994 budget is \$12.5 million, down from \$15 million in 1993: Namibia qualifies as one of approximately 20 countries worldwide that the Swedish Parliament has targeted for substantial assistance. Swedish support focuses on the education, transport and communication sectors, with additional assistance provided to the Bank of Namibia, Central Statistics Office, and to Namibia's Bushmen.

Three Swedish NGOs are also active in Namibia. The Swedish Board for Investment and Technical Support (BITS) offers short-term training averaging \$625,000 to \$875,000 per year in administration, industry, energy, management, health care, environmental protection, telecommunications, and social sciences. Since 1991, 67 Namibians have received BITS-funded training. Women have accounted for 9 percent of this training, and blacks, for 34 percent.

Australian Development Board (ADEB)

The Australian Development Board, represented by the Australian Embassy in Harare, Zimbabwe, has committed \$350,000 to provide technical assistance to the GRN to develop policy and legislation to support affirmative action. GRN was to contract with ILO using ADEB funding. Although funds have been set aside since 1990, the GRN has not yet submitted a proposal that meets with ADEB approval.

Norwegian Agency for Development Cooperation (NORAD)

NORAD mainly provides grants to NGOs and works through government ministries, primarily in fisheries, marine resources, health/AIDS, mines, energy, and the environment. NORAD focuses on the east and south in Namibia.

◆ *Support to Namibia's Public Sector*

In recognition of skills deficiencies within the public sector, a number of donors are providing assistance to the GRN.



The IMF and UNDP have offered in-service training to the Ministries of Finance, NPC, and the Bank of Namibia to build an effective economic and financial management and planning capacity. UNDP has provided an advisor to OPM to provide organizational development and management by objectives training of the management cadre of government; the current advisor has been here one year and is scheduled to depart in May 1994. UNDP has not yet decided on the continuation of the program.

The Educational Development Institute of the World Bank has established a Centre for Public Service Training at the University of Namibia, the primary management training institute for the public service in Namibia.

The Swedish International Development Authority contributes to public administration development projects through human resource development activities to organizations such as Telecom, NPC, Auditor General's Office, and the Ministry of Education and Culture. It also supports a variety of short term and in-service training for public servants through seminars, courses, study tours, etc.

The European Community has shown particular interest in human resource development. Areas of support include the Ministry of Environment and Tourism and the University of Namibia.

The British Government is assisting with public service reform and policy training. The ODA has been helping the GRN restructure and rationalize the public service since 1990. Senior managers have attended short term training courses in the UK.

The German Government has regularly invited public servants to attend two week courses on public administration in Germany. The German Foundation for International Development has sent trainers to Namibia to give courses on local government administration. The Frederick Ebert Foundation and the Hans Seidel Foundation have funded training courses involving public servants, most notably through IMLT.

The Norwegian Development Agency has provided significant assistance to the fisheries and mining sectors.

The Commonwealth Fund for Technical Cooperation has occasionally been involved of management training for the public service through courses outside of Namibia.

The International Labour Organization, the World Health Organization, the Food and Agriculture Organization of the UN support public service training and technical assistance in labour and health respectively.

◆ *Conclusion*

The donor community in Namibia has expressed interest but achieved little in affirmative action during the four years since independence. The ILO and the ADEB have supported development of draft legislation, and the Ford Foundation has provided financial assistance to the NNCCI for crafting a policy document. Namibians express disappointment in the lack of concrete results from donor interventions.



Although various donor agencies are active in supporting vocational as well as some management training in Namibia, none of their programs consistently targets management at the advanced level proposed in the HRDA Project. USAID/Namibia has therefore a chance to become the first donor to make palpable achievements in affirmative action and to become a leader in management training for outstanding blacks. While the Mission should keep abreast, through the OPM, of other work in this area, it has no need at the present time to coordinate its efforts with those of other donors.

NOTES:

1. The US dollar figures in this section are based on the exchange rates in effect on April 28, 1994.



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APPENDIX E: BUSINESS SUPPORT ORGANIZATIONS AND TRADE ASSOCIATIONS

Namibia's business support organizations mirror to a limited degree the dualism in the economy: there are organizations, like the WCCI, whose constituency is in the majority white businessmen, and others, like the NNCCI, supporting largely black business. There are no organizations dedicated solely to women in business.

By and large the business support organization structure is fragmented and uncoordinated. Blacks and women are poorly represented both in staffing and in activities. Business support organizations are largely voluntary; the Namibian National Chamber of Commerce and Industry (NNCCI) and the Windhoek Chamber of Commerce and Industry (WCCI) are the only organizations with full-time staff.

Both the national and regional organizations visited during the Team's visit showed varying degrees of interest in affirmative action. Summary descriptions of a sample of major organizations follow. Additional information can be found in NNCCI's March 1994 study entitled "Compilation of Business Organisations and Trade Associations in Namibia."

◆ *Namibian National Chamber of Commerce and Industry (NNCCI)*

NNCCI is a Windhoek-based umbrella organization whose role is to promote small and medium enterprises, to interface with business owners, and to promote trade. Established in 1990 with the aim to "unite the private sector in Namibia and provide them with the opportunity to speak with one voice," NNCCI boasts nine full-time staff of which one is white. NNCCI is funded through membership dues, through income generated from services, and through substantial donor support.

NNCCI offers training services, primarily management training for entrepreneurs. NNCCI in cooperation with its members also set up the first hotel school in Namibia. NNCCI uses in-house trainers who create each specific program.

NNCCI has developed an affirmative action statement which advocates a participative approach to "broaden the participation and involvement of disadvantaged groups."² The policy focuses on removing legal and attitudinal obstacles, on creating incentives, on nurturing a participative economic culture, on developing role models, and on addressing educational and experiential disadvantage.

NNCCI enjoys considerable donor support. In particular, the Frankfurt Chamber of Commerce is working closely with NNCCI, and NNCCI might move towards a highly centralized German model with greatly increased powers over private business such as mandatory registration.

◆ *Windhoek Chamber of Commerce and Industry (WCCI)*

WCCI comprises 230 members representing 70 percent of capital invested in Namibia, primarily the traditionally white businesses of Windhoek. A totally independent and voluntary organization, WCCI describes its mandate as to channel trade information to its membership, to represent members on issues, to develop new business, and to expand the wealth generated.



WCCI supports affirmative action and has played a role in developing the Ministry of Labour's affirmative action guidelines.

WCCI can play a role in this Project because of the nature and influence of its membership and clientele. The Contractor should examine whether WCCI would be a suitable presence on the Project Advisory Board.

◆ *Other Namibian Chambers of Commerce and Industry*

Namibia enjoys Chambers of Commerce and Industry in virtually every major town in the country—Tsumeb, Ondangwa, Walvis Bay, Swakopmund, Lüderitz. These are voluntary organizations chaired by local businesspeople, established to promote local business with varying degrees of aggressivity. Funding generally derives from membership dues.

The local Chambers vary in their degree of support for affirmative action. Some could serve as channels for the Project Advisory Board, especially for businesses outside Windhoek. The Contractor should investigate each Chamber for its willingness and suitability.

◆ *Chamber of Mines of Namibia (COM)*

COM represents 95 percent of the mining industry. COM is the sole forum coordinating information and activities for the mining industry among large and small mining companies and unions.

COM supports affirmative action, and affirmative action activities would be most viable in the larger organizations.

◆ *Namibian Employers Federation (NEF)*

The Namibian Employers Federation represents major employers throughout the country, primarily on labor issues.

◆ *Voluntary Associations*

Namibia's business community enjoys a number of voluntary associations—Rotary Clubs, Lions Clubs—whose members meet regularly and contribute to voluntary and civic activities in Namibia and elsewhere.

NOTES:

1. NNCCI, *Brief Overview of the Organization, its Activities, Services, Programmes and Projects*, p.1.
2. NNCCI, *Affirmative Action Policy Statement (Draft for Discussion)*.



APPENDIX F: LOCAL AND REGIONAL TRAINING RESOURCES

1. Local Training Resources

The Eastern and Southern African Management Institute (ESAMI) established an administrative office in Windhoek shortly after independence. Trainers and other personnel are often bought to Namibia from ESAMI's principal training institution in Arusha, Tanzania. ESAMI is offering courses for senior government personnel. ESAMI has a solid reputation within eastern and southern Africa and will likely be an important training resource for the project. Courses offered by ESAMI, which may be relevant to this Project, include Human Resource Management and Development, Appraising Staff Development Performance, Training of Trainers, and ESAMI's various executive management courses. Earlier this year, ESAMI conducted a training needs assessment of the Ministry of Finance. ESAMI is located in the SANLAM Building in Windhoek; the Namibian coordinator is Mrs. Akwake.

The University of Namibia (UNAM) is the locus for formal academic training in management. GRN has designated UNAM's Centre for Public Service Training (CPST) as the primary training provider for public service management training, though only four courses have been offered to date due to limitations in staffing and funding. Funding from the World Bank has just been provided to hire staff. The Director of CPST is Professor Andre du Pisani. The Faculty of Economics and Management Science provides Diplomas and Bachelors Degrees to Namibians entering private companies and the public service. The College for Out of School Training provides correspondence courses for Namibians. The Technikon provides numerous certificate and diploma courses.

A variety of NGOs offer training in basic skills development and small business management. Foremost among these are IMLT (Institute for Management and Leadership Training), the Private Sector Foundation, and the Rössing Foundation.

Two new training institutions are expected to be established in Namibia within the next year. These are a new Fisheries Training Institute, which will be developed at Walvis Bay, and a Hotel and Tourism School, which will be developed at the Technikon in Windhoek. The Fisheries Training Institute will be a joint effort of the Ministry of Fisheries and Marine Resources and the fishing industry. Most courses will focus on developing technical skills related to fisheries; it is hoped that management development courses will also be offered. The Tourism Department of the Ministry of Environment and Tourism and the Namibian Association for Training in Hospitality, which wants to extend its function to cover all training related to tourism, are working together to develop a Hotel and Tourism School at the Technikon. The Technikon has already provided some courses.

2. Regional Training Resources

There are a number of training resources in the region which can satisfactorily meet the needs of black Namibian managers from the private and public sectors for executive leadership and senior management development training. Most of these resources are located in South Africa, with some suitable management training available from Botswana and Zimbabwe.



◆ **South Africa**

Because many South African training institutions are new to USAID/Namibia, we recommend that the Project Contractor conduct a thorough analysis of these institutions before any training is initiated.

◆ **Universities and Technikons**

Some South African universities are providing management training to Namibians. Foremost among these universities are:

- **The University of Stellenbosch**
Unit for Innovation and Transformational Leadership
PO Box 610, Bellville, 7535
Phone: 021-913-3117
- **The University of Cape Town**
- **The University of Witwatersrand**
Centre for Continuing Education
Private Bag 3, Wits, 2060
Phone: 011-716-5509
- **The University of the Western Cape**

These universities offer first degrees, graduate business degrees, and non-degree management training through their schools of business. Some of these universities will accept students with suitable work experience in place of certain courses. A number of Namibians are currently engaged in correspondence programs. These programs are a combination of individual correspondence study supplemented by regular study groups meetings under the direction of a lecturer who travels to Namibia from South Africa.

- **Peninsula Technikon**
Centre for Continuing Education
PO Box 1906, Bellville, 7535
Phone: 021-989-6412; Fax: 021-959-6107

There are other suitable technikons in Natal, Durban (M.L. Sultan and Umlazi), Cape Town, and Johannesburg.

◆ **Management Training Institutions and Company Training Centers**

There are literally hundreds of management training institutions in South Africa. The following is a representative sample of those identified by the Institute of Personal Management in Parktown, South Africa.



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- **Central Training Unit**
Anglo-American Corporation
PO Box 649, Vereeniging, 1930
Phone: 016-21-3050; Fax: 016-21-3776.
[Programs offered in team building, analysis, and multi-skilling.]
- **Centre for Innovative Leadership**
237 King Willow Crescent
Randjesfontein
PO Box 1779, Rivonia, 2128
Phone: 011-314-1143; Fax: 011-314-1051
[Courses in Leadership Development.]
- **Malimela and Associates**
Sandton
- **Charter Training Group**
9 Chartes Crescent, Sandton
PO Box 559, Wendywood, 2144
Phone: 011-444-2887; Fax: 011-444-4634
- **Clive Acton Associates**
18 Granistar, 5 Hope Road, Mountainview
PO Box 51118, Raedene, 2124
Phone: 011-483-1214; Fax: 011-728-6889
[Courses in management development.]
- **HR Training**
HR Training House, 18-8th Ave., Edenvale
PO Box 75399, Garden View, 2047
Phone: 011-453-1537; Fax: 011-453-8852
[Courses in change management, strength in diversity, leadership programs, management development.]
- **MAST Training Consultants**
15 Chaplin Road, Illovo, Johannesburg
PO Box 78087, Sandton, 2145
Phone: 011-880-3900; Fax: 011-880-4139
- **National Productivity Institute**
Prodinsa Bldg, 501 Pretorius St., Arcadia
PO Box 3971, Pretoria, 0001
Phone: 012-341-1470; Fax: 012-44-1866



- **PE Corporate Services SA (Pty) Ltd**
77 Bristol Road, Parkwood
PO Box 8550, Johannesburg, 2000
Phone: 011-442-4334; Fax: 011-442-4758
- **Sou Africa Institute of Management**
Braamfontein Centre
Braamfontein
Johannesburg
- **Thomas International Management Systems**
MSL House, 17 Baker St., Rosebank
PO Box 52327, Saxonwold, 2132
Phone: 011-880-3452; Fax: 011-442-7036

◆ **Zimbabwe**

- **Bulawayo Technical College**
PO Box 1392
Bulawayo
Phone: 63181
[Diploma and certificate courses in tourism and hotel management.]
- **Zimbabwe Institute of Management**
PO Box 3733
Harare
Phone: 705291
[Variety of short term supervisory and management training courses.]
- **Louis Allen Associates, Inc.**
Box BW 412, Borrowdale
Harare
Phone: 704-554; Fax: 704-554
[Variety of management courses.]
- **Organizational Training and Development**
PO Box MR 175, Marlborough
Harare
Phone: 301-001; Fax: 703-734
[Variety of management courses and consulting services.]
- **Price Waterhouse Management Consultants**
PO Box 455
Harare
Phone: 738-601; Fax: 752-584
[Management trainers and consultants.]



◆ **Botswana**

• **Institute of Development Management**

Gaborone

[Variety of short-term management courses for public and private sectors.]



APPENDIX G: HRDA/NAMIBIA MANAGEMENT ROLES, RESPONSIBILITIES AND SELECTION CRITERIA

The three key players that implement HRDA in Namibia are the Contractor, the Project Advisory Board, and USAID/Namibia. This appendix spells out the roles and responsibilities we recommend for each of these three entities, alongside suggested criteria for selecting a Contractor, Advisory Board members, and USAID/Namibia training management staff.

1. The Contractor

The local Contractor is responsible for administering HRDA in Namibia and serves as the focal point for all business, government and parastatal training activities, including identifying employing organizations, working in organizational transformation within employing institutions, and developing individual candidates for affirmative action.

a) Contractor Responsibilities

The Project provides for links between relevant affirmative action and HRD resources in Namibia, elsewhere in the southern African region, and in the U.S. To be effective, the Project needs a basic office in Namibia that stays current with the needs and status of clients, keeps close touch with evolving HRD technology, and communicates well with USAID.

Such a structure must be small and based upon local participation. The Project's facilities will operate only for the Project's lifetime: the Contractor should seek to transfer all the skills embodied in the Project Director to Namibian staff over the life of the Project.

Project staff should perform only limited technical assistance work themselves. Their responsibility is to help organizations articulate their technical and HRD assistance needs and facilitating access to the right institutions to respond to requests for help.

The HRDA/Namibia Contractor must:

- manage contract in compliance with FAR and other USG requirements;
- constitute the Project Advisory Board;
- oversee the organizational transformation process;
- advertise Project HRD opportunities;
- receive HRD requests from firms, organizations and people;
- pre-screen HRD requests from private firms;
- identify training for both public and private sector candidates;
- administer approved public and private sector HRD requests;
- monitor all HRD activities under the Project;
- report to USAID on Project implementation and finances.



b) Criteria for Selecting a Contractor

The ideal Contractor offers a combination of institutional profile, technical expertise, and proven management experience. Guidelines in these categories follow.

◆ Institutional Profile

The Contractor's institutional profile demonstrates the capacity to administer the Project in Namibia. The ideal Contractor:

- has a strong track record in project management;
- demonstrates commitment to and understanding of affirmative action;
- brings satisfactory financial systems;
- is politically neutral;
- is respected by GRN and private sector leaders;
- wields influence in the community.

◆ Technical Expertise

The Contractor must offer the technical capabilities required to implement HRDA successfully. The ideal Contractor must have the capacity to:

- constitute an Advisory Board comprising senior executives in government and business;
- work with beneficiary organizations for successful affirmative action;
- help formulate training requests;
- screen requests for training;
- identify suitable training resources and to arrange for technical assistance for organizational transformation.

◆ Management Expertise

The Contractor must be able to manage the Project to USAID/Namibia's satisfaction, an especially important requirement in view of the Mission's lean staffing pattern. The Contractor must be able to satisfy USAID's documentation requirements, create training plans, and monitor the project.

c) Contractor Staff

We estimate that the Contractor will provide a full-time Project Director and Deputy Project Director in addition to clerical and financial support staff to manage HRDA in Namibia.

◆ Project Director responsibilities

The Contractor's Project Director, based in Windhoek, will:

- Manage the project team in Namibia to ensure compliance with and attainment of the contract's statement of work and subsequent workplans.



- Regularly consult with and seek the guidance of the Project Advisory Board on all matters of relevance to successful Project implementation.
- Handle or oversee all interactions with USAID/Namibia on behalf of the Contractor.
- Consult widely in the business and official communities in Namibia on affirmative action.
- Provide primary affirmative action interventions within beneficiary organizations.

◆ *Project Director qualifications*

- Experience as a Project Director or Chief of Party in projects funded by donor organizations.
- 10 years professional experience relevant to the proposed assignment.
- 5 years experience in the private sector.
- 5 years professional experience in southern Africa.
- Demonstrated knowledge of affirmative action issues.
- Demonstrated ability to use word processing and spreadsheet software.

◆ *Deputy Project Director responsibilities*

The Contractor's Deputy Director, based in Windhoek, will:

- Meet regularly with businesses, government officials, and other target organizations.
- Develop approaches to organizational needs.
- Assist the organizations to develop affirmative action programs.
- Prepare scopes of work for all U.S. and regional HRD activities.
- Develop information campaigns for the Project.

◆ *Deputy Project Director qualifications*

- Knowledge of and experience with Namibian businesses, government and other target organizations.
- Work experience with business and/or business consulting and training organizations.
- Proven management skills and abilities at a level commensurate with responsibilities.
- Knowledge of affirmative action in business and government.
- Relevant educational qualifications.

2. Project Advisory Board

The Project Advisory Board is the body most critical to the Project's outreach into Namibia's business and government communities, providing a transparent recruitment and selection mechanism that allows the Mission to assume a leadership role in affirmative action in Namibia.

a) Advisory Board Functions

The Project Advisory Board will play a key role in supporting HRDA implementation in Namibia and will:

- Select candidates from private business;
- Advise the contractor on Project policies and administration;



- Provide feedback on the Project's progress and results;
- Participate in an annual consultative conference on affirmative action.

b) Selection Criteria for Constituting the Advisory Board

The Advisory Board will comprise approximately seven respected leaders from business, government, and civic life, who in the aggregate are:

- objective;
- credible;
- representative of a broad outreach to diverse constituencies;
- respected by business;
- perceived as autonomous from USAID;
- representative of and able to provide outreach to women;

3. USAID/Namibia

We recommend that USAID/Namibia identify and recruit two new staff members: first, a U.S. PSC to serve as HRDA/ATLAS Project Manager, and second, an FSN Training Officer to support implementation of both projects.

a) HRDA/ATLAS Project Manager

Managing HRDA will require a fully staffed Training Office within USAID/Namibia. This office should include at a minimum a Project Manager for HRDA and ATLAS and a Training Officer to provide management support.

♦ *HRDA/ATLAS Project Manager responsibilities*

The HRDA/ATLAS Project Manager will be responsible for all aspects of implementing both projects. For HRDA, the HRDA/ATLAS Project Manager specifically will:

- Oversee the HRDA Contractor.
- Approve HRDA implementation guidelines.
- Participate in HRDA Project Advisory Board meetings.
- Draft documents required to put into action USAID agreements with the GRN.
- Consult with GRN and officials and business leaders to explain HRDA policy.
- Provide guidance to implement HRDA training activities.
- Oversee participant recruitment, selection, departure and follow-on.
- Approve public sector candidates for training.
- Provide guidance for managing training through Mission Orders.
- Respond to AID/W requests for training-related information.
- Participate in preparing the CPSP, API, and CP.
- Oversee Mission Training Office administrative services.
- Supervise Training Office staff.



◆ **HRDA/ATLAS Project Manager qualifications**

The ideal HRDA/ATLAS Project Manager presents the following capabilities:

- 10 years professional experience relevant to the present assignment.
- 3 years work with USAID training programs.
- 3 years experience working in Africa.
- Demonstrated experience drafting USAID documentation.
- Experience in selecting, placing and monitoring training candidates.
- Good writing skills.

b) **Training Officer**

The USAID/Namibia Training Officer will be a local hire capable of the following seconding the Project Manager, performing assistant managerial duties at a professional level, and of maintaining the Participant Training Management System (PTMS).



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APPENDIX H: SELECTING ORGANIZATIONS AND CANDIDATES FOR TRAINING

1. Selecting Organizations

The Contractor will develop materials to advertise the Project to both the public and private sectors. The Project Advisory Board will also play a key role in promoting Project activities and should be constituted with Namibia's varying constituencies in mind.

◆ *Organizational Criteria*

The Project emphasizes the organizational context necessary for the success of affirmative action. As discussed in Appendix C, this commitment incorporates AA policies and programs organization-wide as well as identifying and training in-company line management change agents and mentors.

The Project should limit participating firms and government agencies to those who offer or are willing to create an environment that supports the affirmative action manager's success on the job. Project activities with an organization can begin with this process of organizational transformation; no education or training should be provided to an individual employee without this context in place.

◆ *Selecting Private Sector Firms*

At the outset the Project should focus on firms where interventions are most likely to have the greatest immediate impact on the Project objective and which are most likely to serve as role models for additional organizations wishing to join the Project in its later years. Criteria for private sector firms include:

- *visibility*: firms broadly known and enjoying name recognition;
- *size*: firms that are large enough to be able to continue in the absence of at least one senior manager for an extended period of time;
- *sector*: firms within growth or strategic sectors;
- *work force differentiation*: firms with substantive numbers of middle and senior management;
- *contemporaneity*: firms with relatively modern management practices;
- *leadership*: firms whose owners or senior executives are influential in Namibian society.

◆ *Selecting Public Sector Organizations*

The Project should again begin in government agencies where interventions are most likely to have the greatest immediate impact on the number of black Namibians in middle and senior management and can serve as role models for additional organizations wishing to join the Project in its later years. Criteria for public sector and parastatal organizations include:

direct role in economic growth, as measured by immediate interface with private business.
need for affirmative action, as seen by the proportion of black Namibians in middle and senior management positions;



2. Recruiting and Selecting Trainees

◆ *Process for Private Sector Participation in HRDA*

The Chief Executive (CEO) or his/her designee will forward applications for Project assistance to the Contractor. The application will include a cover letter signed by the CEO committing the organization to the transformation process required to sustain affirmative action. The application for assistance will also contain a standardized form with basic information on the candidate for affirmative action: name, address, phone/fax, brief job description of candidate, type of training requested, and summary of how training will be used. In the case of candidates for U.S. training, letters of recommendation, transcripts, TOEFL and other appropriate documentation will be required.

Training requests from candidates for affirmative action who are not currently employed will also be linked to the ultimate utilization of training: applicants must secure a commitment for suitable middle or senior management employment from a Namibian firm, which in turn must commit itself as well to the process of organizational transformation stipulated previously.

The Contractor will assemble the material into a summary format for review and approval by the Project Advisory Board.

◆ *Public Sector Participation*

The Permanent Secretary or his/her designee will send applications for Project assistance to the USAID HRDA/ATLAS Project Manager through the Office of the Prime Minister, as per GRN training policy regulation. The application will have a cover letter signed by the Permanent Secretary committing the organization to the transformation process discussed above. The application for assistance will also include a standardized form containing basic information on the candidate: name, address, phone/fax, brief job description of candidate, type of training requested, and summary of how training will be used. In the case of candidates for U.S. training, letters of recommendation, transcripts, TOEFL and other documentation will be required.

3. Candidate Selection Criteria

The following guidelines are recommended for selecting managers from the private and public sectors for HRD assistance:

◆ *Organizational Profile*

- The candidate's organization is a mainstream business operating in Namibia, a business support organization, or a government unit identified for participation in this Project. Special exceptions will be considered on a case-by-case basis by the Project's Advisory Board, provided sufficient justification is provided in terms of such assistance meeting the Project's overall objective.
- The candidate's organization needs affirmative action assistance to achieve black Namibian representation in management positions.



- The organization is genuinely committed to affirmative action as demonstrated by a letter of commitment from the most senior executive of the organization or his/her designee and, in the case of private enterprises, through the development of an affirmative action policy.
- The organization is willing to develop and sign a code of conduct related to affirmative action.
- The organization will sustain the cost of a comprehensive and ongoing in-house affirmative action program to support human resource development.
- The organization will be in regular communication with the Contractor.
- The organization will participate in the Project's affirmative action network and will communicate affirmative action successes through this network.
- The organization agrees to measure the progress of the candidate once he/she is back on the job and will report results to the Contractor, based on reporting guidelines provided by the Contractor.

To ensure that this is a national program, special attention should be given to organizations and candidates from outside Windhoek.

To ensure that women candidates are selected for HRD assistance, the organization will indicate the steps it will take to identify women for training and for management positions.

◆ **Management Potential**

- The candidate is making or has the potential to make a significant impact on the management of the employing organization.
- The candidate has the potential to represent and promote black empowerment at the national level.

◆ **Professional Profile**

- The candidate's primary training needs relate to developing or strengthening executive leadership and management development skills.
- The candidate shows a clear training "gap" which prevents him/her from assuming positions of more senior responsibility within the firm.
- The candidate will use the training in his/her job and through other organizations.
- The candidate has the educational and professional background required to benefit from the training.

◆ **Personal Profile**

- The candidate is adaptable, of good character, and highly motivated.
- The candidate shows the ability or desire to effect change related to black empowerment within the employing organization and within Namibian society.

APPENDIX I: DEFINITION OF TERMS

The following defines key terms as used in this report.

| | |
|--|---|
| Historically Disadvantaged Namibian | Black Namibian. |
| Human Resource Development (HRD) | Any educational or training activity, degree-oriented or non-degree, aimed at developing individual skills or at effecting organizational change. |
| Affirmative Action | Distinct policies and activities intended to redress disadvantage that go beyond provisions for equal opportunity. |
| Organizational Transformation | A formal process of change within firms and government agencies that engages employer commitment to creating a hospitable environment for affirmative action. |
| Project Manager | USAID/N staff member responsible for managing ATLAS, the HRDA contract, and related training activities. |
| Project Director | Contractor staff member responsible for administering HRDA. |
| Advisory Board | The group of Namibian business and government leaders who provide direction to the HRDA project and select private sector candidates for Project-funded training. |
| Executive | A managing director or member of the board of directors in a private corporation. |
| Executive Training | Skills development intervention calculated to provide an upper-middle or senior manager with the abilities required to take on an executive function. |



ACRONYMS

| | |
|--------------|---|
| AA | Affirmative action |
| AAI | African-American Institute |
| ADEB | Australian Development Board |
| AED | Academy for Educational Development |
| AFR/ONI/TPPI | USAID Africa Bureau, Office of New Initiatives, Technical Programs and Project Implementation |
| AIPA | Africa Institute for Policy Analysis |
| ANC | African National Congress (South Africa) |
| ATLAS | African Training for Leadership and Advanced Skills Project |
| BERP | Basic Education Reform Project (USAID/Namibia project) |
| BES | Basic Education Support (USAID/Namibia project) |
| BITS | Swedish Board for Investment and Technical Support |
| BMF | South African Black Management Forum |
| CIC | Commercial Investment Corporation |
| COM | Chamber of Mines |
| CPSP | Country Program Strategic Plan |
| CPST | Centre for Public Service Training |
| CTP | Country Training Plan |
| CTS | Country Training Strategy |
| DIMES | Durban Integrated Municipal Employees Society |
| DM | Deutsch Mark |
| EC | European Community |
| EO | Equal opportunity |
| ESAMI | Eastern and Southern African Management Institute |
| FABCOS | Foundation for African Business and Consumer Services (South Africa) |
| FAC | Fonds d'Aide et de Coopération de la République Française (French Fund for Aid and Cooperation) |
| FAO | Food and Agricultural Organization |
| FAR | Federal Acquisition Regulations |
| FRG | Federal Republic of Germany |
| FSN | Foreign Service National |
| FY | Fiscal Year |
| GDO | General Development Officer |
| GDP | Gross domestic product |
| GNP | Gross national product |
| GRN | Government of the Republic of Namibia |
| GTZ | Deutsche Gesellschaft für Technische Zusammenarbeit (German Organization for Cooperation) |
| GVA | Gross value added |
| HRD | Human resource development |
| HRDA | Human Resources Development Assistance project |
| HRDO | Human Resources Development Officer |



| | |
|--------|---|
| IESC | International Executive Service Corps |
| ILO | International Labor Organization |
| IMF | International Monetary Fund |
| IMLT | Institute for Management and Leadership Training |
| IPM | Institute of Personnel Management |
| IQC | Indefinite Quantity Contract |
| LIFE | Living in a Finite Environment (USAID/Namibia project) |
| MD | Managing Director |
| NAFCOC | National African Federation of Chambers of Commerce (South Africa) |
| NANAW | Namibian National Women's Organisation |
| NBBC | National Black Business Caucus |
| NDC | Namibian Development Corporation |
| NEF | Namibian Employers Federation |
| NEI | National Economic Initiative |
| NGO | Non-governmental organization |
| NHE | National Housing Enterprise |
| NNCCI | Namibian National Chamber of Commerce and Industry |
| NORAD | Norwegian Agency for Development Cooperation |
| NPC | National Planning Commission |
| OCCI | Ondangwa Chamber of Commerce and Industry |
| ODA | Overseas Development Assistance |
| OPM | Office of the Prime Minister |
| PACD | Project Assistance Completion Date |
| PIET | Partners for International Education and Training |
| PIO | Project Implementation Order |
| PS | Permanent Secretary |
| PSC | Personal Services Contract |
| PSTNA | Private Sector Training Needs Analysis |
| PTMS | Participant Training Management System |
| READ | Reaching Out to Adults in Education and Development (USAID/Namibia project) |
| REDSO | Regional Economic Development Services Office |
| RFP | Request for proposals |
| RSA | Republic of South Africa |
| SACOB | South African Chamber of Businesses |
| SADC | Southern African Development Community |
| SASIF | South African Student Internship Foundation |
| SCCI | Swakopmund Chamber of Commerce and Industry |
| SIDA | Swedish International Development Authority |
| SME | Small and medium scale enterprise |
| SWAPO | South West African Peoples' Organisation |
| TCCI | Tsumeb Chamber of Commerce and Industry |
| TNA | Training needs assessment |
| TOEFL | Test of English as a Foreign Language |
| UNAM | University of Namibia |
| UNDP | United Nations Development Programme |

UNIDO United Nations Industrial Development Organisation
USAID United States Agency for International Development
USIA United States Information Agency
USG United States Government
WBCCI Walvis Bay Chamber of Commerce and Industry
WCCI Windhoek Chamber of Commerce and Industry
WID Women in development
WVTC Windhoek Vocational Training Center



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APPENDIX J: PEOPLE INTERVIEWED

◆ ***U.S. Government Agencies***

American Embassy, Windhoek

Ambassador Marshall McCallie, U.S. Ambassador to Namibia
Mr. Philip Drouin, Economic Officer
Ms. Kathy Petersen, Deputy Chief of Mission

USAID/Namibia

Mr. Edward J. Spriggs, AID Representative
Ms. Barbara Belding, Human and Natural Resources Development Officer
Mr. Nicholas Jenks, Acting General Development Officer (TDY)
Ms. Joan Johnson, Program Officer
Mr. Allen Rossi, Executive Officer

USAID/Washington

Mr. Paul Knepp, AFR/ONI/TPPI Project Manager, HRDA and ATLAS
Mr. Bernard Lane, Country Development Officer for Namibia

U.S. Department of State, Washington

Mr. Philip Egger, Desk Officer for Namibia

U.S. Department of Commerce

Mr. Finn Holm-Olsen, International Trade Specialist

◆ ***Government of the Republic of Namibia***

Embassy of the Republic of Namibia, Washington

Mr. Neville Gertze, First Secretary

Local Government Officials

Ms. Vivienne Graig, Mayor, Windhoek; Business Manager, *New Era* newspaper; member of the Board, TransNamib
Mrs. Susan Nghidinwa, Deputy Mayor, Tsumeb; Chairman, Chilumwo School, Nomtsoub

Ministry of Finance

Mr. Douglas Cruickshank, Customs and Taxation Advisor (seconded by the International Monetary Fund)
Mr. Hermanus Kasper, Deputy Permanent Secretary

Ministry of Fisheries and Marine Resources

Dr. J.D. Jurgens, Director, Resource Management

Ministry of Foreign Affairs

Mrs. Nutembo Nandi-Ndaitwah, Deputy Minister and Chairperson, Namibian National Proprietary Committee, 1995 International Women's Conference, Beijing

Ministry of Labour and Human Resources Development

Mr. Urbanus B. Dax, Deputy Permanent Secretary
Ms. A.T. Heita, Acting Deputy Director for Vocational Training
Mr. Andrew Paulus Ndishishi, Director, Human Resources Development



Ministry of Local Government and Housing

Hon. Min. Dr. Libertina Appolus-Amathila, Minister

Ministry of Trade and Industry

Mr. Louis Becker, Chairman of the Board of Trade and Industry

Mr. W. Emvula, Deputy Minister

Mr. Steve Galloway, Director, Investment Center

Mr. T. Guirab, Permanent Secretary

Ministry of Wildlife, Conservation and Tourism

Mr. Hennie Fourie, Director: Tourism and Resorts

National Planning Commission

Mr. Jacob Basson, Development Planner: Manpower and Employment

Mrs. Bernadette M.K. Menyah-Artivor, Director of Development Cooperation

Hon. Dr. Z. Ngavirue, Director-General and Chairman, Namibian Broadcasting Corporation

Mr. Christoph Schumann, Head: Bilateral Development Cooperation

Office of the Prime Minister

Mr. Gerrit de Vos, Human Resources Planning, Department of Human Resources Management and Development

Mr. Kit Kirchner, Chief Training Officer, Training Policies and Coordination

Dr. Mel Schnapper, Chief Technical Advisor (seconded by the United Nations Development Programme)

Mr. Jaap Smith, Under-Secretary

Mr. Chris Viljoen, Deputy Director, Personnel Advice, Inspections and Training

♦ **Namibian Parastatal Companies****Namibian Development Corporation**

Mr. M.S. Blaauw, Chief Personnel Officer

Mr. Henning Snyman, Consultant

Namibian Ports Authority

Mr. Terence Clark, Acting Human Resources Manager, Walvis Bay Ports Authority

Capt. Jens-Dieter von der Fecht, Chief Executive Officer, Namibian Ports Authority (Walvis Bay)

National Development Corporation (NDC)

Mr. du Plessis, Assistant Manager

National Housing Enterprise (NHE)

Ms. Maria Dax, Public Relations Department

Mr. A. Gaweseb, General Manager

Mr. Titus Malima Joseph, Senior Manager, Human Resources Administration

Mr. Axaro M. Tsowaseb, Chief Executive Officer

Swawek

Mr. Paulo Brand, Chairman

Telecom

Ms. Lynn Swart, Human Resources Director

TransNamib

Mr. Mike Hill, Human Resources Director



University of Namibia

Prof. Terence Davis, Pro-Vice Chancellor

Prof. Andre du Pisani, Director, Centre for Public Service Training and Professor of Political Science

♦ **Namibian Private Sector**

Mr. Clive Algar, Manager: Corporate Affairs, Rössing Uranium Limited

Mr. Axel M. Behnsen, Managing Director, Metje & Ziegler Ltd.

Mr. Paul Blauch, Managing Director, Caltex

Mr. Basil Bloch, Chief Advisor to CEO, Olthaver and List

Ms. Christine Bloemstein, Manager, OK Bazaars

Mr. Buddy Bramwell, Managing Director, Etosha Fisheries

Ms. Gaby Bruchner, Director, Professional Assignments

Mr. David S. Cownie, Managing Director, SIAPAC

Mr. Manuel de Castro, President, Cadilu Fishing and President, Namib Fisheries

Mr. Anthony R. de Beer, General Manager, Tsumeb Corporation

Mr. Willie Dewet, Training and Development Manager, Metro Cash and Carry

Mr. Jerry Funk, Resident Director, Leotemp Namibia Ltd.

Mr. Ivan Ganes, Marketing, International Technique Industrie

Mr. C. Hengari-Kandjou, Director, Omuhuka Holding Ltd.

Ms. Louise Howes, Director, Professional Assignments

Mr. John S. Kirkpatrick, Chairman, Rössing Uranium Ltd.

Mr. Jurgen Klein, Owner and Manager, Salt Company

Mr. Krausse, Manager, Kohler Corrugated

Mrs. Letta, Manager, PEP Stores, Ondangwa

Mr. Johnny Maritz, Owner, Marsons Holdings Ltd.

Ms. Maria Michael, Consultant, Jobs Unlimited

Mr. Aaron Mushimba, Chairman, City Savings and Investment Bank Ltd.

Mr. Dixon Norval, free-lance consultant

Mr. Peter Pahl, Administrative Manager, Consortium Fisheries

Mr. Price, General Manager, Standard Bank

Mr. Harald Pupkewitz, Chairman, Pupkewitz Holdings

Mr. John J. Rascher, Managing Director, City Savings and Investment Bank Limited

Mr. Ellis Ratjama, Managing Director, Namibia Industries (Pty.) Ltd.

Mr. John Rogers, President, JR Consulting Services

Mr. Gerrit Roux, Public Affairs Manager, Olthaver and List

Mr. P.C.M. September, General Manager, Vandenberg Foods Namibia (Pty.) Ltd.

Mr. E.P. Shimi, Managing Director, Heka Market

Mr. Trevor J. Solomon, Director, TJS and Associates Management Consulting

Ms. Rosa Smit, Owner, Jobs Unlimited

Mr. Fanie Smith, Chairman, Commercial Investment Corporation

Ms. Carmen St. Clair-Bolam, Personnel Manager, First National Bank of Namibia

Ms. Christine Thompson, Manager, International Operations, First National Bank of Namibia, Ltd.

Ms. Ulla von Holtz, Manager, Strategic Marketing, Standard Bank of Namibia

Mr. Mario von Zyl, General Manager, Sanlam Namibia

♦ **Namibian Business Support Organizations****Chamber of Mines (COM)**

Mr. Rainer Gevers, General Manager

Namibian Agricultural Union

Mr. Paul Smit, Acting Head



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Namibian National Chamber of Commerce and Industry (NNCCI)

Mr. Cyril Wallace Jacobs, Vocational Training Officer
 Mr. Hafeni Nghinamwaami, Head: Trade and Marketing
 Mr. Eckard Schleberger, Coordinator for Regional Development

Ondangwa Chamber of Commerce and Industry (OCCI)

Mr. Kamati, President

Swakopmund Chamber of Commerce and Industry (SCCI)

Mr. Mike McDonald, President

Tsumeb Chamber of Commerce and Industry (TCCI)

Mr. Oscar Norich, Chairman

Walvis Bay Chamber of Commerce and Industry (WBCCI)

Mr. Stefan Hrywniak, President

Windhoek Chamber of Commerce and Industry (WCCI)

Mr. Harald Schmidt, Director

Windhoek Lions Club

Members present at weekly meeting

Windhoek Rotary Club

Members present at weekly meeting

♦ ***Namibian Women's Support Organizations*****Namibian National Women's Organisation (NANAW)**

Mrs. Nutembo Nandi-Ndaitwah, President

♦ ***Namibian Providers of Training*****Private Sector Foundation**

Mr. Charles Truebody, Executive Director
 Ms. Miriam Truebody, Project Manager

Institute for Management and Leadership Training (IMLT)

Mr. Harald Schmidt, Managing Director

Rössing Foundation

Mr. David Godfrey, Executive Director
 Mr. Len Le Roux, Deputy Director
 Mr. Duncan Paton, Deputy Director

♦ ***Donor Community, Windhoek*****Australian Development Board (ADEB)**

Ms. Catherine Bennett, First Secretary, Australian Embassy, Harare, Zimbabwe

British High Commission

Mr. John G. Rice, Deputy High Commissioner



Ford Foundation

Dr. Steven W. Lawry, Assistant Representative and Program Officer

French Mission for Cooperation and Cultural Affairs

Mr. Jean-Pierre Lahaye, Deputy Head

German Embassy to Namibia

Mr. Horst Gebauer, Councilor

International Labour Organization (ILO)

Ms. Judica Amri-Makhetha, Senior Advisor for Namibia and WID Focal Point for Southern Africa

Norwegian Agency for Development Cooperation (NORAD)

Ms. Kjersti Lie Holtar, Programme Officer

Swedish Embassy to Namibia

Ms. Solweig Clacey, Second Secretary

Ms. Anna Holmén, First Secretary

Ms. Helle Jensen, Gender Officer

Dr. Anton Johnston, Programme Officer, Development Cooperation Office (SIDA)

United Nations Development Programme (UNDP)

Mr. Aliou Diallo, Resident Representative and Resident Coordinator of the United Nations System in Namibia

United Nations Industrial Development Organization (UNIDO)

Mr. Masayoshi Matsushita, Regional and Country Studies Branch

♦ Donor Community, U.S.**United Nations**

Mr. Paul Szasz, Team Leader, UN Constitutional Advisory Team prior to Namibia's independence

♦ U.S. Organizations**African-American Institute**

Ms. Louise Africa, Regional Representative, Johannesburg

Ms. Anita Johnson, Education and Training Advisor for Namibia

Ms. Niamani Mutima, Field Services Officer

Creative Associates International Incorporated

Dr. Brenda Bryant, Team Leader, USAID/Namibia BERP Evaluation

Florida State University

Dr. Greg Miles, USAID/Namibia BERP Project

Ohio University

Dr. Max Evans, Professor and Research Associate, Center for Higher Education and International Programs, College of Education; Ford Foundation Consultant with University of Namibia

♦ Other Organizations

Mr. Charles Manton, Hurley Manton Partnership, Consultants in International Manpower Development



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APPENDIX L: INTERVIEW GUIDES

The Team developed five interview guides to collect the data on which the Training Needs Assessment was based. A questionnaire was developed for each category of person interviewed:

- private firms
- public sector agencies (GRN and parastatals)
- business support organizations
- donors
- local providers of training.

The five survey instruments follow.

HUMAN RESOURCES DEVELOPMENT ASSISTANCE PROJECT

USAID/NAMIBIA

QUESTIONNAIRE: PRIVATE FIRMS

FIRM _____ INTERVIEWER _____

INTERVIEWEE _____ DATE _____

PRODUCT OR SERVICE

- 1. Product
- 2. % exports
- 3. % imports

OWNERSHIP

- 4. Date created and legal status
- 5. % Namibian ownership
- 6. % foreign ownership
- 7. % black ownership

EMPLOYMENT

- 8. Total number employees
- 9. Number professional and managerial employees
- 10. Number black employees
- 11. Black Namibians in management
- 12. Total women employees
- 13. Women in management

TRAINING

- 14. Does firm have a formal training program?
- 15. Used local training providers? Which? Results?
- 16. % budget allocated for training



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AFFIRMATIVE ACTION

17. Does the firm have a policy document?
18. Does the firm have a program document?
19. How do you recruit and hire?
20. Does Namibia need an official affirmative action policy?
21. If yes, what form should this take?
22. If no, why not?
23. Are other donor organizations playing a useful role?
24. Will official AA policies compromise productivity in general?
25. What might make AA good business policy for your firm?
26. What constraints impede implementation of AA in your firm?
27. Would your unions support your objectives?

USAID AND AFFIRMATIVE ACTION

28. Can USAID's idea work for your company?
29. If yes, how?
30. What kind of training would you request?
31. If not, does it have any place in Namibia?
32. Would you be willing to co-finance training?



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For the parastatals, the Team conducted primary research focusing on black, rather than on black and coloured, managers. The parastatals cannot boast nearly the progress of the government agencies in promoting black management.

Affirmative Action in Namibian Parastatals

| Parastatal | Total Managers | Black Managers | Black mgrs/ all mgrs |
|------------------------------------|----------------|----------------|-------------------------|
| Namibian Development Corporation | 9 | 4 | 44% |
| TransNamib | 70 | 6 | 9% |
| Namibian Ports Authority | 8 | 0 | 0% |
| Swawek (total work force) | 750 | 0 | 0% |
| University of Namibia ³ | n/a | n/a | n/a |

GRN is drafting a comprehensive affirmative action bill, to be presented to Cabinet and Parliament in late 1994. According to information supplied by OPM and by the Ministry of Labour and HRD, this bill will apply to all private and parastatal organizations in Namibia but not to the public sector.

Rationalization: policy and procedural changes within the public service

The public sector is in a state of transition. Virtually all ministries, offices, and parastatals have policy documents in various stages ranging from draft to final acceptance by Parliament. New government procedures are also being prepared and implemented. Parastatals have been created to assume government staff and activities because of Government White Papers in ministries such as Fisheries and Environment and Tourism.

A public service rationalization strategy was instituted approximately 18 months ago. Each ministry submitted and secured Cabinet approval for a Rationalization Plan through the Office of the Prime Minister. The Plans are intended to streamline the objectives, functions, and activities of each ministry, thus reducing duplication and the size of the public service.

Rationalization is meant to create a leaner and more effective public service. The management cadre could be downsized by over a third, from 480 to around 300. In all likelihood, however, the rationalization process will never be completed. Changes will continually be introduced: as with any government bureaucracy, personnel will only be retrenched as a last resort. With the upcoming elections, retrenchment is unlikely. Many government leaders hope that personnel slated for retrenchment will find new jobs in other government offices or in the private sector.

GRN's human resource development system

In paper, the GRN enjoys a comprehensive human resource development system that compares favorably to others in this part of Africa.⁴ The system can be summarized as follows.

HUMAN RESOURCES DEVELOPMENT ASSISTANCE PROJECT**USAID/NAMIBIA****QUESTIONNAIRE: THE PUBLIC SECTOR AND PARASTATALS**

Name of Organization: _____

Name and title of person being interviewed: _____

Address: _____

Phone No.: _____

- I. Indicators of organizational position in relation to private sector led growth and access to increased economic opportunity:**
- A. 1. What role does your organization/work unit have in monitoring and/or promoting private industrial and commercial activities?
2. Who (key people and units) in your organization has responsibility for this function?
3. What other organizations share this responsibility?
- B. Which organization plays the lead role and which organizations exert the most influence in establishing and implementing policy regarding private industrial and commercial activity?
- II. Internal indicators of organizational change or need for change in relation to private sector led growth and access to increased economic opportunities:**
- Issues related to change:
1. What offices in your organization have assumed new functions relative to private industrial and commercial activities?
2. What new management systems and reporting requirements have been introduced in your organization?
3. What leadership changes have occurred in your organization, and what new perspectives do these people bring to the organization?
- B. What is the employment profile of your organization:
Total number of employees;
Number in management positions?
Number of Namibians?
Number of black Namibians?
Number of women?
- C. What training has occurred? Where? What results?
- D. What are work groups or individuals in your organization doing that they should be doing better?



- E. What type of training (degree/short term, duration, location) is required to promote black Namibians into senior management positions in your organization?
- F. What else must be done (besides training) to ensure that black Namibians are promoted into senior management positions in your organization?
- G. Does your organization have a human resource development plan and system in use to identify, develop, and promote Namibians (particularly black Namibians) into senior management positions? Do women have special opportunities or constraints for promotion into senior management positions in your organization?
- H. Is affirmative action a major priority of your organization? Is there a policy and program in place? Has your organization been successful with its implementation? Why? Why not?

III. External indicators of organizational change or need for change in relation to private sector led growth and access to increased economic opportunities:

- A. What is the forecasted demand for services or products of your organization to support private industrial and commercial activities (e.g. studies, consultancies)?
- B. What organizations are requesting this output?
- C. How successful has your organization been in getting the desired employees, either through government's allocation system or through the open labor market to respond to this demand?
 - 1. What changes have occurred in your organization's relationship to private industrial and commercial firms?
 - 2. How and how frequently do employees interact with these private firms?
- E. How have new regulations (e.g. affirmative action guidelines, civil service rules and policies) and international agreements (e.g. donor quotas for women scholarship recipients) affected the work force of your organization?

IV. Questions on the HRDA project:

- A. What donors are currently providing assistance to your organization? What is the assistance?
- B. Are there particular areas where this project should provide assistance?
- C. Is there anyone else that you recommend we meet, particularly parastatals related to your organization (in the case of ministries)?
- D. How would you implement this project?
- E. Is there anything else you would like to add that we haven't asked?



HUMAN RESOURCES DEVELOPMENT ASSISTANCE PROJECT

USAID/NAMIBIA

QUESTIONNAIRE: BUSINESS SUPPORT ORGANIZATIONS

Business Support Organization: _____

Meeting with (name; title): _____

Profile of the Organization

1. How would you describe your mandate/role/responsibilities?
2. How many members do you have?
3. What sort of affiliations do you enjoy (government, companies, other business support organizations)?
4. Do you have a relationship with NNCCI?
5. What sort of system do you have for providing your services?
6. What is your staff breakdown?
 - Men
 - Women
 - Black Namibians
 - White Namibians
 - Foreigners
7. How are you funded?
8. What are your principal activities?

If the business support organization is doing training...

9. What kind of training does your organization offer?
 - Leadership training
 - Management training
 - Professional training
 - Other training
10. Who are your principal clients?
11. What training methods do you use?
12. What facilities do you have?
 - Classrooms
 - Trainers
 - Audio-Visual Equipment
 - Computers
13. Who do you use for trainers?
 - In-house staff
 - External consultants (from where?)
 - Women

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- Men
 - Black Namibians
 - White Namibians
 - Foreigners (from where?)
14. What is the distribution of your student body?
- Men
 - Women
 - Black Namibians
 - White Namibians
 - Foreigners (from where?)
15. How are your training programs created?

Affirmative Action

16. Do you espouse affirmative action?
17. Do you have a policy?
18. Have you been active in developing policy?
19. Do you think affirmative action requires national legislation?
20. What do you see as the principal constraints to affirmative action in Namibia?
21. What do you see as the principal opportunities to implementing an affirmative action program in Namibia?
22. Do women face any special opportunities or constraints?
23. Do you know of any firms that have affirmative action programs?
24. What do you see as the principal constraints to implementing an affirmative action program in Namibia?

Training Providers

25. Do you know of any organizations that provide training to support private sector development in Namibia?

Documentation for the Mission

26. Do you have any brochures or other documentation that we could have?

Implementing the Strategy

27. How would you implement a strategy like this?

Other Potential Contacts

28. Is there anyone you would recommend that we see or talk to?



HUMAN RESOURCES DEVELOPMENT ASSISTANCE PROJECT

USAID/NAMIBIA

QUESTIONNAIRE: DONORS

Donor organization: _____

Meeting with (name: title): _____

Donor Activities: Public Sector

1. Do you have current activities that support Namibia's public sector?
What kind? With whom?
2. Are you planning anything to support Namibia's public sector?
What kind? With whom?
3. Do you/will you work with the policy environment?
What kind? With whom?
4. Do you/will you work with the implementors of government policy?
What kind? With whom?

Donor Activities: Private Sector

5. Are you currently engaged in any activities that support the development of Namibia's private sector?
What kind? With whom?
- Are you planning any activities to support private sector development in Namibia?
What kind? With whom?

Donor Activities: Women

7. Do you have activities that specifically target Namibian women?
What kind? With whom?
8. Are you planning any activities specifically to target Namibian women?
What kind? With whom?

Donor Activities: Human Resources and Human Resource Development

9. Are you currently involved in education and training/human resource development activities?
What kind? With whom?
10. Are you planning any new HRD activities?
11. How do you assess the human resource development pool for public sector employment in Namibia?
12. How do you assess the human resource development pool for private sector employment in Namibia?



Training Providers

13. Do you know of any organizations that provide training to support private sector development in Namibia?
14. Do you know of any local organizations here in Namibia?
15. Do you know of any organizations within the Southern African region?
16. What do you know of the quality of these organizations' programs?

Affirmative Action: Constraints and Opportunities

17. What do you see as the principal constraints to affirmative action in Namibia?
18. What do you see as the principal opportunities to implementing an affirmative action program in Namibia?
19. Do women face any special opportunities or constraints?
20. Do you know of any firms that have affirmative action programs?
21. Are these firms actually implementing their affirmative action programs?
22. What do you see as the principal constraints to implementing an affirmative action program in Namibia?

Other Donor Activities

23. Do you know if other donors are working in the fields of private sector development and affirmative action?
24. Do you know if other donors are preparing any projects in private sector development and affirmative action?

Implementing the Strategy

25. How would you implement a strategy like this?

Other Potential Contacts

26. Is there anyone you would recommend that we see or talk to?

Thank you!



HUMAN RESOURCES DEVELOPMENT ASSISTANCE PROJECT**USAID/NAMIBIA****QUESTIONNAIRE: ORGANIZATIONS PROVIDING TRAINING**

Training Provider: _____

Meeting with (name; title): _____

Overview of Training Provider's Activities

1. What kind of training does your organization offer?
Leadership Training
Management Training
Professional Training
2. Who are your principal clients?
3. What training methods do you use?
4. What facilities do you have?
Classrooms
Trainers
Audio-Visual Equipment
Computers
5. What is your staff breakdown?
Women
Men
Black Namibians
White Namibians
Foreigners (from where?)
6. What is the distribution of your student body?
Men
Women
Black Namibians
White Namibians
Foreigners (from where?)
7. What is your funding distribution?
GRN percentage
Donor percentage (which?)
Companies and employers (which?)
8. How are your training programs created?



Report 8

Memorandum of Understanding for HRDA

3/95



MEMORANDUM OF UNDERSTANDING

BETWEEN

**THE GOVERNMENT OF
THE REPUBLIC OF NAMIBIA**

AND

**THE UNITED STATES AGENCY FOR
INTERNATIONAL DEVELOPMENT
(USAID) IN NAMIBIA**

(hereinafter referred to as "the Parties")

CONSCIOUS of the desire of the Parties hereto to further develop training ties with the aim of strengthening our cooperation and collaboration as stated by the Presidents of our two nations on June 16, 1993;

ACKNOWLEDGING that the encouragement and development of mutually beneficial training links are in the common interest of both Parties hereto;

HEREBY RESOLVING to proclaim the attached Memorandum of Understanding (hereinafter referred to as "Memorandum") to serve as the basis for cooperation between the Parties in the field of Training.

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MEMORANDUM OF UNDERSTANDING

BETWEEN THE GOVERNMENT OF THE UNITED STATES OF AMERICA AND THE GOVERNMENT OF THE REPUBLIC OF NAMIBIA CONCERNING USAID SPONSORED TRAINING ACTIVITIES.

The Government of the United States provides funding and technical assistance to promote the economic and social development of Namibia. Some of this assistance is in the form of bilateral projects, which can include direct funding, research, technical assistance, commodities and training. For training funded under bilateral projects, all costs are born by the project. This memorandum sets out the mutual understanding and intentions of the Government of the United States and the Government of Namibia with regard to the way in which non-bilateral project training will be provided; however, the two Governments will remain free to arrange other technical arrangements within the scope of this Memorandum if warranted in any individual case.

1. POST-GRADUATE TRAINING

USAID has one vehicle for providing post-graduate training; the African Training for Leadership and Advanced Skills (ATLAS) program. In Namibia, the ATLAS program commenced in 1992 and is managed by the ATLAS committee which includes representatives from the Prime Minister's office, Ministry of Education and Culture, the University of Namibia, a Non-Governmental Organization, the United States Information Services and USAID. To date, U\$700,000 has been contributed by the U.S. with 11 students in the U.S., 1 having returned, and 13 about to depart for graduate training. Future post graduate training covered by this Memorandum, will be under the following procedures:

(a) Post-graduate training under ATLAS will be provided in response to requests transmitted from the partner Ministries within the Government of Namibia, unless otherwise agreed between the two Governments, to the USAID Mission by the annual deadline. The Government of Namibia will do everything within their means to ensure the effective use of any training including providing additional information when requested on the nature and purpose of the training sought and assistance in providing access for the Government of the United States to monitor and evaluate the effectiveness of such training. Item (f) of this Memorandum further delineates other obligatory factors for the Government of the Republic of Namibia under the ATLAS program.

The African American Institute (AAI) is the main contractor for ATLAS, responsible for the administrative oversight of the placement and monitoring of all ATLAS students selected U.S. universities. AAI co-operates with USAID Missions, via its Program Representatives, in the recruitment and selection process of ATLAS candidates, administers an enrichment program for ATLAS students in the U.S., and

implements and enhancement program under Field Services for returned AFGRAD and ATLAS alumni, as well as for other USAID-trained participants in Africa.

Nomination and Selection of Candidates: USAID advertises the scholarships in the local media in June and usually the deadline is set for the end of September. The list of criteria that guide the selection process include: Namibian citizenship, nomination by employer, and a four year undergraduate degree. The processing of applications is done by the ATLAS Committee which subsequently selects candidates for an interview. Candidates who are successful fill the official African American Institute application form. The second phase of the selection process entails the review of candidates' dossiers by the AAI Deans Committee, taking both the Test of English as a Foreign Language (TOEFL) and the General Records Examination (GRE) tests. Those who are successful at this stage are given a preparatory seminar called Pre-departure Orientation and continue to wait for their placements.

It is very imperative that each participating Ministry has a Training Committee that looks into the training needs of all segments of a Ministry and makes objective decisions that lead to the fulfilment of the Ministry's staff development plans. Nominations should come from this democratic organ of a Ministry. Nominating someone means securing their job, paying the round trip ticket and paying the stipend or salary for the candidate while on training and making a commitment to using the skills attained for their improved on-the-job performance.

The African Training for Leadership and Advanced Skills (ATLAS) program is a training project targeted at historically disadvantaged Namibians. The goal is to ensure that participants acquire advanced leadership skills that will enable them to make more pertinent and effective contributions to the development of Namibia. The beneficiaries should be primarily historically disadvantaged Namibians and at least 35% of the participants should be women.

(b) The seven (7) areas of study under ATLAS are: Disaster Management, Public Health (focus on HIV/AIDS), Education, Natural Resources, Private Sector/Parastatal Management, Democracy and Governance, and Public Administration and Finance. These areas have been selected because they reflect the strategic objectives of USAID in Namibia; as our training in the private sector expands, consideration of expanding the areas of study into technical fields will be undertaken (e.g. engineering, fisheries, etc.). They are subject to annual review and revision by USAID and the ATLAS Committee. Specific subject areas and specializations of these broad fields that can be pursued under the ATLAS program are attached.

2. UNDERGRADUATE TRAINING

Though a predominantly post-graduate study program, the ATLAS program also has about 25% of funding for undergraduate women in specified Critical Skill Areas (att. 1). The training of females at both undergraduate and post-graduate levels has

been lagging behind in many developing countries, a factor which has negative repercussions on gender inequalities in all sectors of modern development. In order to seek to redress this pervasive ill, the ATLAS program established, as one of its guiding principle in bringing more females into advanced education and skills' acquisition, that at least 35% of the total number of the post-graduate participants should be female and the undergraduate, 100% female.

3. SHORT-TERM, NON-DEGREE, MANAGEMENT AND TECHNICAL TRAINING

(a) Through a second USAID Training Program, the Human Resource Development Assistance program (HRDA), training may be provided in the United States, in Namibia or in a third country (Africa) for citizens of Namibia. The HRDA program is aimed at creating a core group of historically disadvantaged Namibian managers at senior levels of responsibility, in the private sector, primarily, but also in the public sector. The principal institutions are mainstream private businesses; a second category of institutions are government offices with direct influence upon private enterprise e.g. Ministry of Trade and Industry, Ministry of Finance, Ministry of Fisheries, Ministry of Environment and Tourism. HRDA advocates and hopes to inculcate, in the private sector, the idea of supporting and promoting diversity in the workplace. Training will normally be provided at an advanced professional level to meet Namibian development needs. The location of the training will be decided collaboratively with each employer.

The Human Resource Development Assistance program is primarily targeted at the private sector, for which approximately 75% of the program's training funds will be made available. An integral goal of this program is to assist historically disadvantaged Namibians, particularly those in middle management positions, to acquire relevant skills and experience that would promote upward mobility within their organizations.

4. GENERAL PROCEDURES, TERMS AND CONDITIONS FOR ATLAS AND HRDA PROGRAMS

(a) HRDA and ATLAS are governed by generally similar conditions. However, specifically, the following conditions should be met: Namibian citizenship, on-going salary while on training, job security and nomination by employer.

(b) Trainees under all USAID sponsored programs are referred to as participants. All candidates for training are to be nominated according to criteria jointly established by the GRN and USAID under each training program (e.g. ATLAS or HRDA).

(c) For persons employed in the public sector, and accepted for training in the United States under the ATLAS and HRDA, USAID will:

- i. pay training and examination fees;

ii. provide a monthly maintenance allowance (or per diem in the case of a short-term course) designed to cover basic living expenses including room and board, books, equipment, clothing, local transportation and incidentals;

iii. provide an additional allowance to meet the cost of essential books and equipment, in excess of the element contained in the allowance grant;

iv. provide health and accident insurance coverage; and

v. at the end of year one of ATLAS training, provide GRN with transcripts and adequate information to allow for the review of participants' status to allow for smooth and rapid provision of second year of payments of study leave.

vi. pay al short term (under 3 months or 90 days) travel costs.

(d) USAID will not accept responsibility for the fares and other travel expenses or for the accommodation or maintenance of any person other than the participant.

(e) The Government of the United States may terminate the sponsorship from participants who are guilty of misconduct, who do not meet the academic standards of the program or are not benefiting satisfactorily from their training. Before doing so, in the case of public sector participants, USAID will inform the Government of Namibia. The field of training for public sector participants will not be changed from that requested except with the consent of both Governments.

(f) For persons employed in the public sector and accepted for training in the United States, the Government of Namibia will:

i. insure that all nominees are nominated in accordance with the broad criteria and principles laid out in PSM Circular No. 23 of 1994, which addresses Special Study Leave with Full Pay; (attached)

ii. guarantee a smooth and rapid review of participants' status at the end of one year of training to facilitate extension by the GRN of the provision of payment of study leave for a second year according to the PSM Circular No. 23, which, it is understood, will be granted for participants in good academic standing and for whom all or part of a second year is required to complete the original course of study and obtain a degree.

iii. seek to insure that participants will return to Namibia upon completion of training to continue their employment;

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iv. facilitate the medical tests and examinations required under each training program or activity.

v. guarantee that participant's position of employment will be retained during his/her absence and that the returning participant will be assigned to duties that will fully utilize such training.

vi. assure that all nominations are made as part of a Ministry's Human Resource Development Plan and have been reviewed by Ministries Training Committees, assure transparent and equitable nomination procedures, and provide adequate notification time to regions beyond Windhoek of scholarship opportunities.

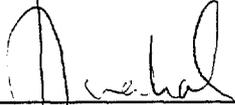
5. GENERAL

(a) All facilities and privileges to be provided in accordance with this Memorandum by the Government of Namibia will, except where the context or specific arrangements otherwise provide, be provided free of charge.

(b) The arrangements contained in this Memorandum may be amended from time to time and it shall be automatically renewed for periods of one (1) year at a time, until termination by either Government giving six (6) months' written notice to the other. This document represents the understandings reached between the Government of the United States and the Government of the Republic of Namibia upon matters of Training.

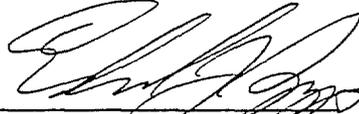
DONE AT WINDHOEK THIS TWENTY-EIGHTH DAY OF MARCH, 1995 IN TWO (2) ORIGINALS, BOTH IN THE ENGLISH LANGUAGE.

For and on behalf of the
Government of the
Republic of Namibia



Mr. Nama Goabab
Permanent Secretary
National Planning Commission

For and on behalf of the
Government of the
United States of America



Mr. Edward J. Spriggs
USAID Representative
USAID Mission to Namibia

- Attachments: No. 1. Undergraduate Critical Skill Areas/Post graduate study fields
2. PSM Circular No. 23

TECHNICAL ANALYSES

"ENVIRONMENTAL REVIEW"

Input Document for the Country Strategic Plan

**By Wes Fisher
Consultant**

**Developed during TDYs to Namibia
March 4 - April 7, 1995
April 24 - May 12, 1995**

S.O.#2

**Environmental Review
in Support of
Preparation of USAID/Namibia's Country Program Strategic Plan
for
the Period 1995-2000**

August 22, 1995

**Environmental Review
in Support of
Preparation of USAID/Namibia's Country Program Strategic Plan
for
the Period 1995-2000**

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Acronyms

| | |
|----------|---|
| AID | Agency for International Development |
| CAMPFIRE | Communal Areas Management Programme for Indigenous Resources in Zimbabwe |
| CBNRM | Community Based Natural Resource Management |
| CBO | Community Based Organization |
| CBTD | Community Based Tourism Development |
| C/CBNRM | Coordinator for CBNRM |
| CEDPA | Center for Development and Population Activities |
| DEA | Directorate of Environmental Affairs |
| DERO | Desert Ecological Research Unit |
| EE | Environmental Education |
| EEAN | Environmental Evaluation Associates of Namibia |
| EPU | Environmental Planning Unit, Ministry of Wildlife, Conservation and Tourism |
| GRN | Government of the Republic of Namibia |
| HRD | Human Resource Development |
| IEE | Initial Environmental Examination |
| IFA | Invitation for Application |
| IRDNC | Integrated Rural Development and Nature Conservation |
| IQC | Indefinite Quantity Contract |
| KFW | German Development Bank |
| LIFE | Living In a Finite Environment Project |
| LOP | Life of Project |
| MAWRD | Ministry of Agriculture, Water and Rural Development |
| MCWT | Ministry of Wildlife, Conservation and Tourism (now MET) |
| MEC | Ministry of Education and Culture |
| MET | Ministry of Environment and Tourism |
| MLRR | Ministry of Lands, Resettlement and Rehabilitation |
| MOHSS | Ministry of Health and Social Services |
| MSI | Management Systems International |
| MWCT | Ministry of Wildlife, Conservation and Tourism |
| NAAEE | North American Association for Environmental Education |
| NAPCOD | Namibia Programme to Combat Desertification |
| NDT | Namibia Development Trust |
| NEPRU | Namibian Economic Policy Research Unit |
| NGO | Non-governmental Organization |
| NFA | Non-Federal Audit |
| NISER | Namibian Institute for Social and Economic Research |
| NNDFN | Nyae Nyae Development Foundation of Namibia |
| NNF | Namibia Nature Foundation |
| NNFC | Nyae Nyae Farmers Cooperative |
| NRMP | Regional Natural Resources Management Project |
| PACD | Project Assistance Completion Date |

| | |
|-----------|---|
| PCC | Project Coordinating Committee |
| PIDT | Projects in International Development and Training, World Learning |
| PIL | Project Implementation Letter |
| PIO | Project Implementation Order |
| PVO | Private Voluntary Organization |
| READ | Reaching out with Education for Adults in Development |
| REDSO/ESA | Regional Economic Development Services Offices/ for East and Southern Africa |
| RIG | Regional Inspector General |
| RISE | Rural People's Institute for Social Empowerment |
| RLA | Regional Legal Advisor |
| SADC | Southern African Development Community |
| SARP | Southern African Regional Program |
| SC | LIFE Project Steering Committee |
| SOW | Scope of Work |
| TA | Technical Assistance |
| TA/CBNRM | Technical Advisor for CBNRM |
| TA/NRE | Technical Advisor for Natural Resource Economics |
| USAID | United States Agency for International Development |
| WLI | World Learning Institute |
| WWF/W | World Wildlife Fund/Washington |

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Executive Summary

Namibia's Country Program Strategic Plan (CPSP) currently under preparation has three interrelated Strategic Objectives:

- *Improved performance and education/training opportunities by historically disadvantaged Namibians.*
- *Increased benefits to historically disadvantaged Namibians from sustainable local management of natural resources;*
- *Increased accountability of Parliament to all Namibian citizens.*

The purpose of this review is to: (i) address Agency and Bureau for Africa environmental requirements as they relate specifically to CPSP preparation; (ii) assess key issues affecting the environment and natural resources in Namibia required for CPSP preparation; (iii) provide the analytical framework necessary to support USAID/Namibia's involvement in the environment and community natural resource management under Strategic Objective 2; (iv) provide the Mission with options for additional involvement in the environment/natural resources sector if additional Programmatic support were made available.

Prepared in collaboration with key stakeholders, the report begins by outlining Agency requirements, then provides an overview of the Namibian environmental and natural resource setting. Section 5 presents proposed USAID/Namibia Program modalities in the environment and natural resource sector. Section 6 examines selected issues which may affect the CPSP. Given the limited time and resources available to conduct this review, a full assessment of the issues affecting Namibia's environment and natural resource base was not possible. Through consultation with the authors of Namibia's *Green Plan* it is hoped that no major issues have been omitted. For each identified issue an assessment is provided of: (i) the Government of Namibia's response; (ii) possible effects on the USAID/Namibia Program, and (iii) recommended Mission actions in support of the CPSP and Agency requirements. Section 7 comments briefly on the appropriateness of the SO2 and Program Outcomes as they relate to the issues in Section 6. Section 8 summarizes additional resource requirements in planning the transition to sustainability under the CPSP, and Section 9 examines additional program options for future consideration. Conclusions are summarized in Section 10, and the review ends with a summary of recommendations for USAID to consider as part of the Mission's continuing commitment to assist the Government of Namibia, Namibia's NGOs, individual citizens, and other stakeholders to sustainably manage the nation's environment and natural resource base for current and future generations.

The following specific recommendations emerged from the review:

1. Through policy dialogue at Ministerial and Cabinet level, support MET efforts to bring about adoption of the *Green Plan*, the development of a more comprehensive investment strategy and workplan for the environment and natural resource sectors.
2. Continue to support efforts to form environment trust(s) or endowment(s) for sustainable financing of environment/natural resource activities. It is suggested that mechanisms be explored which are free as possible from political influence.
3. USAID continue to monitor the water development activities of USAID supported PVOs and NGOs undertaking water development activities in northern areas, to ensure, where appropriate, that mitigation strategies are planned and implemented to minimize environmental consequences.
4. USAID/Namibia monitor developments associated with the Eastern National Water Carrier scheme to ensure that the Okavango River Basin environmental assessment is adequately conducted and that a recommended strategy is followed that results in the water resources from the Okavango River Basin providing maximum long-term multiple-use benefits, both inside and outside Namibia. The Mission's monitoring of the proposed Epupa Falls dam should continue.
5. USAID discuss tropical forestry and biodiversity training requirements with the MET and the Directorate of Forestry and target a portion of Atlas and HRDA Project assistance to identified needs.
6. In meeting the requirements of Sections 118 and 119 of the Foreign Assistance Act for a Tropical Forestry and Biodiversity Assessment as required in CPSP preparation, seek the assistance of the Global Bureau's EPAT project, using the Scope of Work provided in Annex F.
7. USAID apply Africa Bureau and Global resources to assist in the development of a long-term food security and drought insurance strategy and action plan for northern Namibia, including where necessary, support for social-economic and ecological surveys and analyses, application of famine early warning systems, and pre-planning to ensure food security during drought years.
8. Since tourism represents a sector in which minimal donor investment could produce high returns, it is strongly recommended that USAID take an active interest in the current tourism legislation being drafted and seek dialogue at the Ministerial level within MET to encourage passage of legislation that fully reflects the need for, and provides support for, community-based tourism.

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9. USAID/Namibia and MET continue to pursue efforts to develop environmental accounting for Namibia, and avail themselves of Africa Bureau and Global Bureau resources for this purpose.

10. WWF Program Team and MET familiarize themselves with USAID IEE and environmental review requirements contained in USAID Environmental Procedures 22 CFR 216 (Reg 216) and carry out environmental reviews as appropriate, or alternatively request the assistance of the REDSO/ESA environmental advisor in Nairobi to assist with this process. Also there may be additional environmental requirements of the Government of Namibia which, if more stringent than USAID's, must also be taken into account.

11. USAID increase policy dialogue at the Ministerial level of MET and above to (i) explore the implications of current revenue authority, especially the effect of Tourism's revenue retention autonomy may have on the long-term viability of the other Directorates of MET and the future of the tourism industry in Namibia, and (ii) help ensure that MET develops a financially sustainable system for parks management in which revenues derived from parks, wildlife and tourism are retained by MET to maintain Namibia's, parks, wildlife and protected areas and to provide necessary resource management services to communal area conservancies.

12. Ensure that Mission resources are applied to enhance interministerial cooperation especially between MET, MAWRD and MLRR on CBNRM and, if needed, increased collaboration in support of the *Green Plan's* development, adoption and implementation.

**Environmental Review
in Support of
Preparation of USAID/Namibia's Country Program Strategic Plan
for
the Period 1995-2000**

1.0. Purpose of the Review

Namibia's Country Program Strategic Plan (CPSP) currently under preparation has three interrelated Strategic Objectives:

- *Improved performance and education/training opportunities by historically disadvantaged Namibians.*
- *Increased benefits to historically disadvantaged Namibians from sustainable local management of natural resources;*
- *Increased accountability of Parliament to all Namibian citizens.*

The purpose of this review is to: (i) address Agency and Bureau for Africa environmental requirements as they relate specifically to CPSP preparation; (ii) assess key issues affecting the environment and natural resources in Namibia required for CPSP preparation; (iii) provide the analytical framework necessary to support USAID/Namibia's involvement in the environment and community natural resource management under Strategic Objective 2; (iv) provide the Mission with options for additional involvement in the environment/natural resources sector if additional Programmatic support were made available.

The report first outlines Agency requirements, then provides an overview of the Namibian environmental and natural resource setting. Section 5 presents proposed USAID/Namibia Program modalities in the environment and natural resource sector. Section 6 examines selected issues which may affect the CPSP. Given the limited time and resources available to conduct this review, a full assessment of the issues affecting Namibia's environment and natural resource base was not possible. Through consultation with the authors of Namibia's *Green Plan* it is hoped that no major issues have been omitted. For each identified issue an assessment is provided of: (i) the Government of Namibia's response; (ii) possible effects on the USAID/Namibia Program, and (iii) recommended Mission actions in support of the CPSP and Agency requirements. Section 7 comments briefly on the appropriateness of the SO2 and Program Outcomes as they relate to the issues in Section 6. Section 8 summarizes additional resource requirements in planning the transition to sustainability under the CPSP, and Section 9 examines additional program options for future consideration. Conclusions are summarized in Section 10, and the review ends with a summary of recommendations for USAID to consider as part of the Mission's continuing commitment to assist the Government of Namibia, Namibia's NGOs, individual citizens, and other stakeholders to sustainably manage the nation's environment and natural resource base for current and future generations.

2.0 Methodology and the Consultative/Participatory Process

This review was prepared in collaboration with key stakeholders. In developing Strategic Objective 2 and the Program Outcomes, two meetings were held involving LIFE and READ Project representatives, including WWF, the Rössing Foundation, USAID staff, technical specialists in strategic planning from REDSO/ESA, and a private consultant responsible for development of Program Impact Indicators. In addition, selected interviews and consultations were held on the environmental review with WWF and the Ministry of Environment and Tourism. The issues in this report are to be vetted with key NGOs, the Ministry of Environment and Tourism, and other affected ministries and key stakeholders, before being adopted in final form.

3.0 Agency and Bureau Requirements

USAID's experiences with integrating environment and development are articulated in several recent documents, including Environment and Natural Resources (1988), Environment Strategy (1992), and the Strategies for Sustainable Development (1994). These documents focus on five long-term constraints to development: (i) unsustainable agricultural practices; (ii) degradation and depletion of water and coastal resources; (iii) environmentally unsound energy production and use; (iv) urban and industrial pollution; and (v) loss of tropical forests and other habitats critical for biological diversity.

The Bureau for Africa's environmental strategy (USAID 1992) focuses on two of these five issues: unsustainable agricultural practices and loss of tropical forests and other critical habitats for biological diversity. The bureau's technical priorities emphasize preventing loss and degradation of vegetation, curbing soil erosion, stemming decline in soil fertility and biological diversity, and promoting integrated pest management.

Section 117 of the Foreign Assistance Act directs the President of the United States to make "special efforts...to maintain and where possible restore the land, vegetation, water, wildlife, and other resources upon which depend economic growth and human well-being, especially of the poor." Compliance requires preparing and taking fully into account an environmental assessment of "...any proposed program or project...significantly affecting the environment of any foreign country" (Section 117). Sections 118 and 119, respectively, place particular importance on the conservation and sustainable management of tropical forests and the preservation of biological diversity. The sections require USAID to analyze, in any country strategy statements or plans, what is required to achieve these objectives and the extent to which actions the agency proposes to contribute to their achievement.

In addition to Sections 117-119 of the Foreign Assistance Act, attention to Namibia's natural and environmental resources is consistent with the objectives of the Development Fund for Africa (DFA) and USAID's new approach to sustainable development. Since the DFA's inception and congressional approval in late 1987, USAID has sought to "help the poor majority of men and women in sub-Saharan Africa to participate in a process of long-term development through economic growth that is equitable, participatory, environmentally sustainable, and self reliant"

[Section 496(c)(1) of the Foreign Assistance Act as amended].

Similarly, in *Strategies for Sustainable Development*¹, the Agency plan focuses on five areas: protecting the environment; building democracy; stabilizing world population growth; encouraging broad-based economic growth; and providing humanitarian assistance and aid for post-crisis transition. In the chapter on the environment the Agency articulates a new strategic vision with two significant environmental goals: (i) reducing long-term threats to global environmental problems, including the loss of biological diversity; and (2) promoting "sustainable economic growth locally, nationally, and regionally by addressing environmental, economic and development practices that impede development and are unsustainable" (USAID 1994, p.13). To achieve these goals, USAID now requires all of its country strategies to include assessment of:

- (1) "agricultural, industrial and natural resource management practices that play a central role in environmental degradation"; and
- (2) "public policies and institutions to protect the environment." (USAID 1994, pp. 16-17)

Namibia's responsibilities as a core "sustainable development country"

As one of the Agency's core "sustainable development countries" USAID Namibia is also required under CPSP guidance on Environment (See Annex D) to pursue three environmental objectives:

- *Safeguarding the environmental underpinnings of broad-based economic growth;*
- *Protecting the integrity of critical ecosystems; and*
- *Ameliorating and preventing environmental threats to public health.*

In identifying environmental strategic objectives at the country level, USAID/Namibia is also required to assess the full range of environmental and natural resource threats and seek to prioritize them against these three objectives. Contained within the CPSP guidance on environment are detailed guidelines for setting priorities. Step 1 is to assess the relative severity of environmental problems according to USAID's three country level objectives. Step 2 is to estimate the potential effectiveness and sustainability of strategies available to address the most severe problems. Step 3 is to identify USAID's best opportunities for sustainable impact.

¹ Agency for International Development, *Strategies for Sustainable Development*, 1994, 56pp

Namibia's responsibilities in meeting Foreign Assistance Act requirements related to tropical forests and biodiversity

USAID/Namibia is legally obligated to conduct an assessment of tropical forestry and biological diversity in accordance with Section 118 and 119 of the Foreign Assistance Act. (See EPAT, November 1994). A cable (State 032584) on "Guidance for Preparation of Background Assessments of Biological Diversity for Use in CDSSs or Other Country Plans (See Annex E) was sent to all USAID missions and regional offices in February 1988. The cable states: "Amendments to Sections 188 (Tropical Forests) and 119 (Biodiversity) of the Foreign Assistance Act (FAA) require that CDSS or other Country Plans include an analysis of (a) the actions necessary in that country to conserve biological diversity and tropical forests, and (b) the extent to which current or proposed AID actions (if any exist in that country) meet those needs. The Bureau suggests this analysis involve a team of tropical forestry and biodiversity specialists, using local technical expertise where feasible, and that it be conducted up to one year in advance of CPSP preparation.

This environmental review in support of the CPSP does not provide a full assessment. Given the limits of time and resources under this consultancy, an attempt has been made to identify and only those key issues which might have a direct bearing on the CPSP. As a result it is strongly recommended that additional consultations be held with key ministries and NGOs to ensure that all important issues are adequately assessed, and no key constraints overlooked. Suffice to say all of the Agency's environmental/natural resource requirements above were taken into account in developing this document.

4.0 Overview of the Namibian Environmental and Natural Resource Setting

Namibia is one of the least densely populated countries in the world. Its land area is some 824,000 square kilometers, a little more than Pakistan or Turkey, which have over 50 million people each. Namibia's population is about 1.6 million (1995 estimate), giving about 1.9 people per square kilometer. Compared with the rest of the world, Namibia would appear to be free from population pressure. This, however, is not the case.

An arid country with a hyperarid zone along the Namib coast, only 8% of the land receives more than 500 mm per year, the minimum considered necessary for dryland farming.² 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 remaining 65% is clearly 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.³ As the driest country of Africa south of the Sahara, its

² Republic of Namibia Ministry of Environment and Tourism, *Namibia's Green Plan (Environment and Development)*, (Draft) 1994, p.v

³ *Ibid*, pp. 144-145.

constraint to future development.³ As the driest country of Africa south of the Sahara, its aridity is coupled with relatively low primary and secondary production potentials. Thus, assuming the current predicted population doubling time of about 23 years, Namibia faces as severe a threat from overpopulation as the majority of underdeveloped nations.⁴

Figure 1. Population density (persons per square kilometer) of Namibia as per administrative region (1992) 1. Kunene. 2. Omusati 3. Oshana 4. Ohangwena 5. Oshikoto 6. Okavango. 7. Caprivi. 8. Otjozondjupa 9. Erongo. 10. Omaheke. 11. Khomas. 12. Hardap. 13. Karas. Source Central Statistics Office. Map from Brown, S.E., *Namibia Environmental Profile* (draft), 1995, p37.

A majority of the Namibia's disadvantaged live 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

³ Ibid, pp. 144-145.

⁴ Ibid, p.2

of the country has low agricultural production capacity, and offers only a 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.

Figure 2. Geographical Distribution of Communal Areas. Stipple = land reserved for recreation and conservation. White areas without names = commercial farmlands. Heavy line = veterinary cordon fence. Adapted from: Adams and Werner 1990 and taken from Brown, S.E., *Namibia Environmental Profile (draft)*, 1995, p38.

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 the Horn of Africa.

To reverse these trends will require an effective national and regional family planning strategy, more effective management and utilization of the natural resource base, a review of land reform options and the development of employment opportunities in other more productive sectors of the economy including mining, tourism and manufacturing.

Land reform will be a difficult process involving hard political decisions on land redistribution, and because of the marginal condition of commercial farm land (as largely determined by low and highly variable rainfall patterns), redistribution does not offer a significant alternative for improving the lives of the disadvantaged majority. As pointed out in Namibia's *Green Plan* even if 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"⁵. There is therefore 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.

Figure 3. Land tenure in Namibia: proclaimed conservation areas (stippled), commercial farmlands (hatched), and communal farming areas unmarked (Map taken from *Namibia's Green Plan (draft)*, 1994, p.viii.)

Economic opportunities in other modern sectors of the economy have been limited, with unemployment estimated at 30 percent.

On the other hand, Namibia offers a unique tourist experience with its vast unpopulated desert landscape, mountains, coastline, indigenous flora and fauna, parks and wildlife, and sites of historic, archeological and ethnographic interest. As one of the nation's fastest growing industry's, tourism offers considerable prospect for generating both local benefits

⁵ Ibid, p.86

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%.⁶

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. The Cunene, Kavango, Kwando-Chobe and Zambezi Rivers are situated on the northern border and the Orange River on the southern border.

Figure 4. Namibia's Biomes: deserts (stippled), savannas (unmarked) and woodlands (hatched)
[Map from *Namibia's Green Plan*, 1994, p.vi]

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.⁷

The coastal waters of Namibia support a rich fishery which is presently recovering from over-exploitation by foreign vessels. These fish resources also support an abundance of seabirds and seals.⁸

Namibia also has significant mineral deposits including diamonds, silver, gold, uranium

⁶ "Tourism Growing by 9%", *The Namibian*, May 5, 1995, p.8

⁷ Republic of Namibia Ministry of Environment and Tourism, *Namibia's Green Plan (Environment and Development)*, 1994, p.vi

⁸ *Ibid.*, p.vii

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copper, lead, zinc, graphite, salt and natural gas. There is also the possibility of undiscovered oil reserves.⁹

5.0 USAID's Proposed Program Modalities in the Environment and Natural Resource Sector

5.1 The Mission Strategic Objective: Increased benefits to historically disadvantaged Namibians from sustainable local management of natural resources.

USAID's Second Strategic Objective focuses on the disadvantaged and vulnerable groups in northern Namibia, by supporting the formation of 'pilot' communities who control, manage and derive benefits/income from their own resources on a sustainable basis. The approach emphasizes sustainable community-based tourism, wildlife utilization, and the development of small enterprise. The greatest potential for benefits/income for rural disadvantaged in these areas is CBNRM tourism and wildlife management. Community-based and commercial/community joint venture tourism has a particularly high potential with minimal investment. The ultimate longer-term objective, beyond the current five year CPSP, is to replicate these management models in the communal areas and throughout the north.

In addition, the objective supports the development of increased knowledge of the benefits of local natural resource and environmental issues and management principles to foster more sustainable use of the resource base.

Another key element of this objective is to create an improved policy and legislative environment for local control of the benefits and income derived sustainable natural resource management practices. A policy devolving control to the local level through the formation of conservancies in communal areas now exists, but the legislation, originally expected as early as 1992, still awaits passage.

USAID/Namibia's Second Strategic Objective is for disadvantaged Namibians to gain increased benefits from sustainable local management of natural resources. Following USAID *Guidelines for Strategic Plans - Key Factors in the Environment (February 1995)*, USAID/Namibia has also chosen this strategic objective because of rapid rates of degradation of key ecosystems, as evidenced by loss of soil productivity, declining wildlife populations and loss of biodiversity, deforestation and overgrazing.

Through efforts to increase control and improve management of natural resources at the local level, SO2 is also integrally tied with and helps to promote *SO3: Increased accountability of Parliament to all Namibian citizens*. Also, by supporting the development of increased understanding of local environmental issues and management principles, the SO2 also provides synergism with *SO1: Improved performance by historically disadvantaged Namibians in critical skill areas*.

It is important to recognize that most USAID-supported community-based activities across Africa, e.g., Niger, Mali, Senegal, and Zimbabwe, are predicated on the philosophy

⁹ Ibid, pp.vi-vii

embodied in the Bureau for Africa's guiding NRM strategy document, the *Plan for Supporting Natural Management in Sub-Saharan Africa* that agriculture and natural resource management projects should be based on adaptive processes rather than product-oriented approaches to implementation, and that achievement of significant nationwide community capacity-building may require a time horizon of up to twenty years. The rationale for an extended time horizon and adaptive approach in CBNRM development is discussed in greater detail under Section 5.3 below.)

For this reason, people level impacts in capacity-building will be relatively low in the initial phase of the program where model communities are being formed for replication and diffusion. Also, the cost to benefit ratio will not appear to be favorable over the near-term. Nevertheless, within the decade, a total of 200,000 persons/customers (or 20% of the population of the communal areas of Namibia) should be participating in or benefitting from legally established communal area resource management units.

On the other hand, the development of increased understanding of local environmental issues and management principles is a more rapid development process, and measurable strengthening of Namibian NGO capacity can be expected to occur well within the five year timeframe of this strategy.

5.2 Key Assumptions

Key assumptions underlying the selection of the strategic objective and sustainability are:

- *Overcrowding of communal areas does not increase.*
- *Pilot projects yield sustainable models for replication.*
- *Management at the community level will contribute to income generation.*
- *Community income is not distributed inequitably.*
- *Communities in communal areas play an increasingly effective role in Civic Society.*
- *Communities in communal areas gain a positive perception towards conservation and environmental issues.*
- *The linking of benefits and accountability will provide a strong incentive for conservation.*
- *Knowledge of natural resource management principles leads to improved resource use and resource management practices.*
- *Communities continue to invest in the resource base.*

5.3 Problem Analysis and Strategic Results Framework

Socio-economic environment affecting the natural resource base

A large proportion of the land which is suitable for arable agriculture or livestock rearing was reserved for white ownership until 1990. These commercial farms cover about 45% of the country. Much of the rest of the land (40% of the total) was divided into the "homelands", now known as communal farming areas¹⁰, for the most part located in the north.

While the World Bank estimated 1988 GDP per capita at \$1,200 (one of the highest figures in Africa), this masks considerable inequality. The top 5% of the population had a per capita GDP of \$16,500 while the remaining 95% of the people had an estimated per capita GDP of \$365. About 5% of the population earned 71% of the income while over half the population shared less than 3% of the income. This disparity in income is similarly reflected in housing standards, education and health care.¹¹ Land provides the basis of existence for about 85% of the population. While about 20% derive a living from working in commercial agriculture, more than 60% are engaged in farming at subsistence level. The quality of the natural resource base is therefore crucial to the present and future well-being of all Namibians. Its fragility places a special responsibility on the present generation to manage it to ensure that future generations will also be able to benefit from it.

¹⁰ Republic of Namibia Ministry of Environment and Tourism, *Namibia's Green Plan (Environment and Development, op.cit., p.vii*

¹¹ *Ibid, p.viii*

The natural resource legacy of colonialism

When Namibia gained independence five years ago the country inherited an ailing environment, people and economy. Many of the nation's current problems can no doubt be ascribed to this legacy. For example, under the artificial settlement patterns created during the 1920's by the colonial administration, more and more people were settled on marginal land primarily in the north with consequent overexploitation of many natural resources, including, water, grasses and trees. Non-renewable and renewable resources were used to produce short-term, high economic returns for the colonial regime and were not stewarded for future generations. There was little concern for the future of the environment in the so-called communal areas or in the commercial farming areas. Protection of the environment focussed on excluding people from wilderness areas to earn foreign exchange from tourism. Environmental management and development were seen to be in opposition.¹² USAID's Program outcomes under this Strategic Objective are directed at overcoming these constraints.

Natural resource policy and legislative reform

A key issue affecting ownership of natural resources on communal lands centers on the absence in the past of communal rights to utilize and profit from wildlife and other natural resources. Under early colonial rule, the concept of "King's Game" applied in which all wildlife belonged to the State. However, in 1968, with the expansion in white commercial farming, limited rights over wildlife were devolved to commercial farmers who met certain conditions. Providing these "conservancy" rights to commercial farmers did much to halt declines in wildlife numbers on commercial lands and eventually created an expanding wildlife industry.¹³ However, under the apartheid system, wildlife laws and natural resource policies effectively denied black Namibians access to the country's resources and economic opportunities. Recognizing the importance of providing communities with legal rights over natural resources in communal areas, USAID's SO2 will strive to support a policy and legislative enabling environment for CBNRM. Policy devolving authority to local levels recently was adopted by Cabinet, and the prospects are promising that legislation will follow in 1996 providing such authority through the formation of communal area "conservancies". USAID is assisting the Government in support of this necessary action.

The need for an extended time horizon and an adaptive approach in CBNRM

The rationale for an extended time horizon for developing improved agricultural/natural resource management practices with disadvantaged communities includes:

¹² Ibid, p.2

¹³ Jones, Brian T.B., *Wildlife Management, Utilization and Tourism in Communal Areas: Benefits to Communities and Improved Resource Management*, Research Discussion Paper, Number 5, Directorate of Environmental Affairs, Ministry of Environment and Tourism, January 1995, p.1

- new approaches to natural resource management and the development of community structures to apply them can take many years to spread, especially in societies which are not traditionally open to technological change.
- short-term horizons may result in initial nurturing of new CBNRM institutional arrangements and natural resource management practices, but failure to bring new concepts to the point where replication can occur. An analogy can be made to the development of forest nurseries, where, if only initial care is provided, the plants may never reach the point of distribution or propagation. Under such circumstances, large initial investments may then be lost. Short-term horizons may also fail to take into account longer-term vagaries in socio-economic, political and ecological conditions and their influence on community-based organizational development.

This is especially true in the unique Namibian context where local management and governance structures have undergone social disruption through prolonged colonization and war.

An adaptive approach to CBNRM (i.e. providing for a measure of flexibility and diversity) helps implementers and stakeholders avoid processes which are either too ordered or too open-ended and subject to random, unfocussed actions. It is also particularly advantageous when physical, political and economic environments have a high likelihood of undergoing rapid change or are in transition.

For this reason the community-based capacity building activities under this objective are considered to be of a "pilot" nature rather than as replicable demonstrations. The process approach being followed also supports human capacity building, since more attention can be paid to building local skills through mentoring and learning-by-doing. A process approach requires some reduction in specific outcomes and anticipated target levels. This should be recognized in the planning process and taken into account in future evaluations of program achievements. This is not to say that realistic and tangible output targets have not been devised and used to measure progress. The SO2 approach is both process and results oriented.

USAID's comparative advantage in community-based natural resource management

Through past activities in CBNRM in both West Africa (Mali, Senegal, and Niger), and similar efforts in East and Southern Africa (Zimbabwe, Botswana, Zambia, Lesotho, Madagascar, Uganda and Kenya) USAID has developed a strong experiential foundation with community-based natural resource management models. In some countries, notably Zimbabwe and Niger, these models are now undergoing replication at the national level. Under the Regional Initiative for Southern Africa, CBNRM is expected to be an important area of concentration in the natural resource sector, and USAID/Namibia should be in a position to both learn from and share experiences with other CBNRM implementers and stakeholders in the region.

Commitment of the development partners to the strategic objective

The legacy of colonization has resulted in an underdeveloped nation with a highly segregated society and vast economic disparities.¹⁴ The nation and her environment are in need of rehabilitation and the new government through various mechanisms, including policies established by the Ministry of Environment and Tourism (MET) and contained within the national *Namibia National Green Plan* has committed itself to rectifying the situation.¹⁵ USAID will foster a close working relationship with MET in CBNRM areas of mutual interest.

Program Outcomes

The Following Program Outcomes are to be achieved:

- Program Outcome 2.1:** *Improved policy and legislative environment for local control of benefits derived from sustainable resource management practices.*
- Program Outcome 2.2:** *Strengthened CBNRM activities in target communities.*
- Program Outcome 2.3:** *Increased knowledge of the benefits of sustainable natural resource management and environmental issues.*

Achievement of Project Outcomes

The primary delivery mechanism in reaching disadvantaged Namibians under the SO2 are Namibian NGOs and the Ministry of Environment and Tourism. Namibian NGOs have the longest history of experience as stakeholders working at the community level in the communal areas, and are fully cognizant and committed to CBNRM principles and approaches.

The PO2.1 results package consists of Mission policy dialogue with the Government, combined with LIFE Project inputs to the Ministry of Environment and Tourism, as needed, to accelerate passage of the required conservancy legislation, as well as to draft and implement necessary ordinances.

PO2.2 and PO2.3 are being achieved through two interrelated results packages:

The Living in a Finite Environment Project (LIFE) Project (690-0251.73) supports PO2.2. This \$10.5 million DFA grant is the Namibian Component of the Southern Africa Regional Program's (SARP) Natural Resource Management (NRM) Project. Its goal is "improved quality of life for rural Namibians through sustainable natural resource management" and its

¹⁴ Republic of Namibia Ministry of Environment and Tourism, *Namibia's Green Plan (Environment and Development)*, op.cit., p.2

¹⁵ Ibid, p.2

purpose for "communities to derive increased economic benefits in an equitable manner by gaining control over and sustainably managing natural resources in target areas." Implementation is through a partnership involving USAID, a lead PVO (WWF/US), field implementing NGOs, CBOs and the Ministry of Environment and Tourism. The largest partnership role is played by WWF/US through an \$8 million Cooperative Agreement who in turn coordinates subgrants to Namibian NGOs and targeted institutional support to the Ministry of Environment and Tourism.

The Reaching Out With Education to Adults in Development (READ) Project (673-0004) subcomponent on Non-Formal Environmental Education supports PO2.3. Its subgoal is to have "individuals and groups in rural and urban communities make environmentally sound choices which sustainably improve their quality of life," and its purpose is to have "both government and NGOs supported and strengthened to provide effective non-formal education activities to a diverse cross-section of the Namibian population." This results package will improve the understanding of natural resource and environmental principles and management practices among disadvantaged Namibians and involves a partnership among USAID, Rössing Foundation (a Namibian NGO), other selected NGOs and the Ministry of Environment. Rössing has the lead partnership role through a \$1.5 million Cooperative Agreement under which they coordinate support to other NGOs and the MET.

Through a combination of NGO and CBO capacity building and targeted support to the Ministry of Environment and Tourism these two packages should result in achievement of PO2.2 and PO2.3 in a direct causal relationship.

Together PO2.1, PO2.2 and PO2.3 lead directly to the achievement of the Strategic Objective: *Increased benefits to historically disadvantaged Namibians from sustainable local management of natural resources* and support the Program Goal: *The economic, social and political empowerment of Namibians historically disadvantaged by apartheid.*

Key assumptions at the SO2 Outcome level

Key assumptions that link achievement of PO2.1, PO2.2 and PO2.3 to the Strategic Objective include:

- *All stakeholders have the political will for improved equity in resource use and control.*
- *Increased information and knowledge leads to environmentally sound choices.*
- *Ministries responsible for various aspects of land and resource management do not adopt incompatible decisions in Project Areas.*

- *Sufficient opportunity for in-kind investment into environmental renewal exists to offset the lack of investment resources in communal areas.*
- *Enabling legislative and policy environment is created in a timely manner.*
- *Elected official and traditional leadership make compatible decisions in support of CBNRM policy.*

Complementarity of donor resources

The Ministry of Environment and Tourism is engaged in donor coordination internally and there appears to be complementarity rather than overlap among donor programs supporting MET activities. For example, KFW (The German Development Bank) in conjunction with their support for the Caprivi corridor road, is funding the development of six park management plans along the corridor. A N\$750,000 initial contribution is expected to be followed by further KFW investment at later stages for implementation of the management plans. NORAD is providing an environmental lawyer (from the University of Cape Town) to help rationalize environmental and CBNRM legislation in Namibia. This NORAD supported program has just begun and will last three years at a cost of US \$600,000 - 700,000. GTZ is supporting a major program (3 to 5 years) on desertification research, monitoring, and public awareness. UNEP is supporting the GRN Biodiversity Programme with a coordinator working on red data books. The Netherlands is funding work on Geographic Information System (GIS) Regional Profiles with a Namibian counterpart, beginning in the northeast, but to eventually cover the entire country. The British Council/High Commission is supporting the preparation of a publication on Namibia's environment for a general readership, including articles from MET staff, NGOs and environmentalists. USAID is by far the largest contributor to community-based natural resource management, but the GRN contribution of N\$4,098,404 also represents a significant long-term national investment. USAID will support increased donor coordination through the MET, as needed, including the holding of annual meetings of donors to discuss areas of focus and mutual interest related to the environment and natural resources.

All of the Agency's environmental/natural resource requirements as outlined in Section 3 were considered in the selection of USAID/Namibia's SO2 and associated Program Outcomes. The SO2 also addresses the Agency's new requirements to increase participation in program and project design and implementation, through NGO/CBO collaboration at both the national and local level. Attention is paid to issues of gender and equity, through processes such as Participatory Rural Appraisal (PRA) and baseline social analyses.

Relationship of the Strategic Objective to the Initiative for Southern Africa

In response to the positive changes taking place in the southern African region and South Africa's entry as a full member of the Southern African Development Community, USAID is undertaking a special Initiative for Southern Africa (ISA). The purpose of the initiative is to encourage the region to continue with growth-oriented reforms, to assist efforts already underway in the region to expand economic and political cooperation among the nations there, and to support the re-integration of South Africa's industrial, financial and technical

resources into the regional economy in a manner which stimulates mutually beneficial development.

There are four strategic objectives under the ISA: (i) *Strengthen Democratic Processes and Institutions*; (ii) *Increase Indigenous Business Development and Ownership*; (iii) *Establish Key Regional Conditions for Sustainable Increases in Productivity of Agriculture and Natural Resources by Smallholders*; and (iv) *Increase the Efficiency, Reliability and Competitiveness of Regional Transport and Telecommunications*.

Under the ISA's Strategic Objective 3 there are four anticipated outcomes:

- Strengthened southern African capacity to lead and participate in regional efforts to increase ANR productivity;
- Enabling policy environment for regional ANR collaboration and integration;
- Increased use of sustainable and profitable technology and approaches; and
- Improved data and analysis for regional ecosystem management.

For the purposes of considering possible ISA interventions in ANR, USAID's Africa Bureau has developed proposed guidelines for what constitute potential regional activities:

- Interventions which benefit two or more member states where costs and benefits outweigh the costs of individual member state initiatives (e.g., economies of scale, efficiencies of single management units, etc.).
- Programs which serve all or most member states (e.g., networking in policy, research, shared lessons and project experience, etc.).
- Activities which respond to problems transcending national boundaries, thus including two or more countries (e.g., transport corridors, river basins, wildlife migration).
- Programs which provide specialized training and human capacity development opportunities for all or most member states.
- Project demonstrations that have high potential spread effects, i.e. can serve as replicable models throughout the region.

- USAID ANR projects that are approaching, but have not yet reached sustainability, but which are no longer supported bilaterally, including those in closeout countries. (Support would be transitional in nature as a means of preventing the previous USAID investment from being lost.)

On August 20, 1989 USAID authorized the Southern Africa Regional Program (SARP) Natural Resource Management Project (690-0251). This regional project has provided funding to NRMP project components in Zimbabwe, Zambia, Botswana, and Namibia. In addition it has been used to support a coordinating NRMP function in Malawi under the SADC Sector Coordinator for Forestry, Fisheries and Wildlife. The PACD is August 18, 1999. The multicountry 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 Namibia Living in a Finite Environment (LIFE) Project (690-0251.73) component is directly related to these two goals. The Project goal is "improved quality of life for rural Namibians through sustainable natural resource management" and the purpose is "communities derive increased benefits in an equitable manner by gaining control over and sustainably managing natural resources in target areas." The LIFE Project was authorized September 3, 1992 as a five year, USD \$10.5 million effort. The Project Activity Completion Date is August 31, 1997. The Project has three components: (1) community-based natural resource management activities themselves; (2) coordination and exchange of information; and (3) project management and administration.

The LIFE Project is implemented through a Cooperative Agreement between USAID and World Wildlife Fund (WWF) with WWF having as part of its team, World Learning, Inc (WLI), Rössing Foundation (RF), and Management Systems International (MSI), together referred to as the LIFE Team. The Ministry of Environment and Tourism (MET) is responsible for interpreting the Government of Namibia's national policy, establishing policy and guidance for the LIFE Project, and assuring that all Project activities fit within the GRN national policy framework. All project activities are "coordinated and monitored" by a Steering Committee (SC), which is also responsible for "overall project management and oversight".

During the first year, field-based NGOs Integrated Rural Development and Nature Conservation (IRDNC) in the Caprivi, and the Nyae Nyae Development Foundation (NNDF) in Eastern Bushmanland received training, technical assistance and funding support to carry out activities in the first two target areas. As this time LIFE supported CBNRM activities have been under implementation in these two communal areas for 12 months and 9 months respectively.

Significant institutional strengthening assistance has also been provided to the Directorate of Environmental Affairs of the Ministry of Environment and Tourism (DEA/MET), the Namibia Nature Foundation (NNF), and the Social Sciences Division of the University of Namibia (SSD/UNAM).

A mid-term assessment conducted in May 1995 found the project to be highly promising and

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that "work with community-based organizations in target areas is proceeding on a solid experiential foundation, with several communities already making measurable progress toward the establishment of sustainable CBNRM regimes in East and West Caprivi."

An interesting insight was recently provided by consultants (Achim Steiner and Liz Rihoy) hired by SARP to coordinate and organize the Regional Natural Resource Management Workshop held in Kasane in April 1995. In the course of their duties the consultants were asked to travel to all of the regional country projects and review country-specific NRM design and implementation activities. As Namibia was the last country they visited, they were able to share comparative insights on the regional CBNRM activities as a whole. The team noted that the LIFE Objective Tree was the most advanced model being followed in the region. They stated that the other countries were only just beginning to recognize the shortcomings of focussing specifically on wildlife and not addressing the other critical natural resources and complementary range of uses of these resources which must be taken into account if wildlife are to remain viable as a benefit-generating resource.¹⁶

Also Namibian CBNRM policy has much in common with fundamental policy shifts in other countries of the USAID Regional NRMP area: Zambia, Zimbabwe and Botswana. Steiner and Rihoy conclude: "Although it may appear premature to talk of a 'Southern African strategy for CBNRM' based on the NRMP's in Botswana, Namibia, Zambia and Zimbabwe there can be little doubt that we are witnessing the emergence of a shared set of principles and policies. They represent a fundamental reversal of protectionist conservation philosophy and subsequent top-down models for development and resource protection."¹⁷

Recently (September 29, 1994) USAID/Zimbabwe initiated a Phase II to their community-based natural resource project to expand and extend that activity through a combination SARP DFA funding (\$4.5 million) and Mission bilateral funds (16\$ million), bringing their total project budget for the Zimbabwe NRM Project (690-0251.13) to \$28 million. The \$20.5 million amendment permits an extension into 1999 of on-going activities started in Phase I of the NRMP. Activities will continue along three broad lines: 1) research, outreach, networking and communications; 2) strengthening the institutional support system for community based management of natural resources; and 3) project administration and management. The expansion is to be significant with the number of Rural District Councils supporting CBNRM expected to increase from four to twenty-four; the number of implementing agents from three to nine. Thus Zimbabwe's national community-based NRM program (CAMPFIRE) has reached the point where CBNRM models are being replicated on an expanding scale. The goal of USAID/Zimbabwe's NRM Project is to "use natural resources management to develop economically sustainable communities on lands marginally suitable for agriculture" while the purposes are (i) "to develop community-based programs to increase incomes while sustaining natural resources;" and (ii) "to improve local capabilities to protect the resource base."

¹⁶ WWF, "LIFE Programme Assessment - WWF Contributions", February 10, 1995, p.10

¹⁷ Steiner, A. and L. Rihoy. "The Commons Without the Tragedy?" Background Paper for the 1995 USAID Regional NRMP Conference.

At the same time (September 14, 1994) USAID/Botswana added \$5.5 million in SARP DFA funding to the Botswana NRMP Project bringing the total budget for that project to \$19.9 million and extending the PACD to August 31, 1997. The goal of this project is "to increase incomes and enhance capability to meet basic human needs through sustainable utilization and conservation of natural resources, particularly wildlife; and to promote sustainable development of communities on lands that are not specifically suitable for agriculture." The purpose is "to demonstrate through practical examples, the technical, social, economic and ecological viability and replicability of community-based natural resource management and utilization programs on marginal lands, for increasing household and community income while sustaining natural resources; and to improve national and local capability to halt the decline in the wildlife resource base through training, education, protection, communication and technology transfer."

USAID/Namibia and collaborating partners under the LIFE Project have identified the following continuing needs for regional communication and information exchange:

- Initiative for Southern Africa regional NRMP and NRM Project Coordinating Committee (PCC) workshops to share information and experience.
- Annual comparative assessments of policy and implementation progress among community NRMP projects (USAID and non-USAID).
- Regional coordination in defining and prioritizing the regional CBNRM analytical agenda.
- Providing lessons and experiences from other NRMP projects, both in the Southern African region, and as far afield as Kenya, Uganda, Tanzania, Madagascar, Burkina Faso, Niger, Mali, Guinea and Senegal.
- Assistance with identification of replicable CBNRM models both inside and outside the Southern African region for field visits. 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-owned natural resource management regimes.
- Distribution of information on successful CBNRM models in Africa.
- Possible assistance in making arrangements for local facilitators at visitation sites.

- Sharing information, experience and lessons in areas such as:
 - establishing national legislation and regulations devolving control over natural resources and natural resource revenues to the community level.
 - establishment and management of community-run game guard and resource monitor programs.
 - involvement of the private sector in community joint ventures and other community-based income generating activities.
 - community-owned and operated tourism.
 - community equity issues, including empowerment of women.
 - community natural resource management training and environmental education.
 - sustainable use of veld products (common to Zimbabwe, Botswana and Namibia).
 - impacts of involuntary resettlement on human populations.
 - effects on the natural resource base and alternative approaches to re-establishing community management structures (again common to Zimbabwe, Botswana and Namibia).

- Re-establishment of the publications and baseline data exchange program in the Malawi SADC office.

The Malawi office was to serve as the link among all the USAID-supported NRM projects in the region. The LIFE PP emphasizes its importance by stating: "Through the monitoring and evaluation process and the comparison of results, a unique opportunity is provided for formulation of theories regarding necessary conditions and policy environment for success, viability of different approaches, and implementation constraints. The lessons learned provide a valuable knowledge base for the design of future community-based resource utilization programs."

USAID/Namibia therefore supports a more effective regional role for Malawi in communication and information exchange in natural resource management.

With the PACD for the Namibia LIFE Project currently scheduled for August 31, 1997 the mid-term assessment recommended extension to match the Regional PACD of August 18, 1999 and identifies additional resource requirements of approximately \$6.1 million to support newly identified needs related to extension and enhancement of LIFE Program Team staff, training of MET Resource Management staff in CBNRM, and development of a National CBNRM program to begin the replication of target area models throughout Namibia.

Given the LIFE Project's relationship to the other NRM projects in the region and the ties to the new ISA criteria for what constitute regional natural resource interests: (i) programs which serve all or most member states (e.g., networking in policy, research, shared lessons and project experience, etc.); and (ii) project demonstrations that have high potential spread effects, i.e. can serve as replicable models throughout the region, USAID/Namibia believes a strong case can be made for continuing support to the LIFE Project under the new Initiative

for Southern Africa.

SO2 Indicators

SO2: Increased benefits to historically disadvantaged Namibians from sustainable local management of their natural resources and environment.

Specific indicators are:

Indicator 1: Community income (Gross) from program supported natural resource management practices.

Indicator 2: Hectares of communal areas under local management.

Indicator 3: Improvement of the natural resource base in target areas.

Program Outcome 2.1: Improved policy and legislative environment for local control of benefits derived from sustainable resource management practices.

Specific indicators are:

Indicator 1: Number of resource user groups holding rights to resources in target communities.

Indicator 2: National policies, legislation and regulations adopted that promote environmentally sustainable resource management practices.

Program Outcome 2.2: Strengthened CBNRM activities in target communities.

The specific indicators are:

Indicator 1: Number of households in target areas benefiting from program supported natural resource management practices.

Indicator 2: Number and kind of project supported CBNRM enterprises that produce positive net economic benefits to resource users in target areas.

Program Outcome 2.3: Increased knowledge of the benefits of sustainable natural resource management and environmental issues.

The specific indicators are:

Indicator 1: Number of workshops, meetings and training events held on opportunities and constraints to natural resource management and environmental issues on a local, national and regional level.

Indicator 2: Number of organizations strengthened to provide information on natural

resource management and environmental issues.

Indicator 3: Number of regional visits and information exchanges by CBOs, NGOs and Government decisionmakers facilitated by USAID supported programs on natural resource management and environmental issues.

6.0 Assessment of Other Key Issues Which May Affect the Country Program Strategic Plan

6.1 Status and Effectiveness of the *Green Plan*

The *Green Plan* is a cogent planning and strategy tool, developed within Namibia by the Ministry of Environment and Tourism through a far reaching participatory process. Nevertheless, it remains in draft form and lacks elements necessary in the development of a national environmental/natural resource action plan. (See Annex G. Guidelines for Preparing National Environmental Action Plans¹⁸. The *Green Plan* provides (i) a summary of the country's overall environmental situation relative to its development strategy; (ii) an analysis of major demographic, public health and safety, cultural heritage and other socio-cultural and socio-economic factors important to the environment and resource use; (iii) an analysis of the legal and institutional framework; (iv) analysis of major development activity and economic growth trends, resource use, and conservation; and (v) analysis of key environmental and natural resource issues that threaten public health, social welfare, biological diversity and sustainable development. It also discusses the need for natural resource information management.

However, other important planning elements have not yet been incorporated including:

- (1) strategy and recommendations for specific actions (macro, sectoral, project investment) for dealing with each of the issues identified.
- (2) programs and projects for external donor financing which will support the environmental/natural resource strategy and are integrated with the National Development Plan.
- (3) a workplan or matrix that indicate the specific steps or timetable for carrying out all recommended actions.

A summary of Government priorities and future directions taken from the draft *Environmental Profile* (1995) is provided in Annex H.

The development of the *Green Plan* is, and should be, a continuing process, and therefore its current state is only a partial indication of the national planning process currently underway related to the environment. Nevertheless, adoption of the *Green Plan* would help

¹⁸ These NEAP Guidelines were developed by Albert Greve of the World Bank. Much of the discussion below is drawn verbatim from those guidelines which are contained in Annex G.

the Government move forward with more concrete steps to achieve sustainability over the long-term.

The Next Step: Preparing an Investment Program for *Green Plan* Implementation²¹

Once the *Green Plan* has been accepted by government as the foundation for the strategy for environmental planning and management, an implementation plan and investment program can then be refined to address the issues identified during the analysis phase of the work. This is really the most complex part of the process. The investment program must follow logically from the analysis contained in the *Green Plan* and the project actions identified should correspond to the types of actions broadly identified in the Plan as those necessary to begin tackling the priority issues.

The design process usually generates many project ideas, not all of which follow the strategy lines laid down in the Plan. Given the cross-sectoral nature of the work and the input from many public sector sources, this can be expected. The initial stages of preparing the investment program consists in prioritizing the activities which will be proposed to the donor community for funding, and retaining those which really fit the strategy of the Plan and address priority issues.

National Environmental Action Plans (NEAPs) in Africa

At this point, there are over twenty countries in Africa which have either prepared or are now preparing NEAPs. Only a few have been completed and accepted by government and are under implementation. Others are still in the design stage while others are just at the point of determining how to implement the NEAP.

There is a NEAP support network in Africa, recently created at the initiative of representatives of the twenty countries now engaged in the NEAP process. This network is called the Club of Dublin (so named because the first meeting of the African managers of NEAPs was held in Dublin, Ireland in December 1990). Background on this World Bank supported organization is contained in Annex G.

The World Bank also has a Multi-Donor Secretariat (MDS) on the environment that works in close coordination with the Club of Dublin secretariat in Abidjan. The MDS was established to assist African countries in the preparation and implementation of their NEAPs with a special

²¹ Greve, A., Ibid.

focus on donor coordination and helping countries prepare the investment programs for financing NEAP implementation. The MDS focuses on facilitation of communication both between donors and between donors and the national agencies responsible for NEAP preparation and implementation. The MDS provides special assistance to countries grappling with institutional issues for environmental management as well as legislative questions, drawing upon lessons from other countries in Africa which have already pondered the same issues. The MDS provides information internationally on the NEAP process in various countries, helping to stimulate interest in individual NEAPs and assisting countries in identifying appropriate sources for financial and technical assistance for NEAP implementation. The MDS is based in Washington DC at World Bank headquarters and is supported by a grant from the US Agency for International Development. Because of Namibia's current reluctance to involve the World Bank in national development programs, these resources have not been tapped in developing Namibia's *Green Plan*. The coordinator of the MDS is Dr. Albert Greve.

Partly as a result of the draft status of the *Green Plan*, the Government of Namibia does not yet have an overall investment strategy and workplan outlining how sustainable management of the environment and natural resources will be achieved. Thus many recommendations in the plan are being neglected or undertaken in piecemeal fashion. The adoption of the Plan would be an important step in establishing a firmer foundation for national decision-making in the environment/natural resource sector.

Recommended Response: Through policy dialogue at Ministerial and Cabinet level, support MET efforts to bring about adoption of the *Green Plan*, the development of a more comprehensive investment strategy and workplan for the environment and natural resource sectors.

MET, WWF, Namibian NGOs and USAID/Namibia are currently exploring the formation of environmental investment or endowment fund(s) or trust(s). The creation of such programs which operate off interest and investments could become a particularly effective means of providing for sustainable financing of environmental/natural resource management activities, and remove important long-term environmental/NRM development strategies from dependence on the vagaries of donor funding and budget cycles. Trust/endowment mechanisms are especially useful in preserving protected areas and promoting conservation of biological diversity and tropical forests over the long-term.

Recommended Response: Continue to support efforts to form environment trust(s) or endowment(s) for sustainable financing of environment/natural resource activities. It is suggested that mechanisms be explored which are free as possible from political influence.

6.2 Population Growth

This issue has been mentioned throughout this review (See Sections 4.0 and 5.0) as a major constraint to development and possibly to the achievement of the Strategic Objective: *Increased benefits to historically disadvantaged Namibians from sustainable local management of natural*

resources.

At current growth rates Namibia's population is expected to double from 1.6 million to 3.2 million in 23 years. Providing employment and infrastructure for the additional 1.6 million people will place an enormous burden on Namibia, in a nation whose current unemployment rate is estimated at 30%. For example, 155 additional school-going children now need to be included in the education program each day of the year: To keep up, the education authorities will need to build four new classrooms and train four new teachers each day."¹

The majority of Namibians live in the underdeveloped northern regions of Namibia, with about 44% living in Owambo alone.² At the [present growth rate in Owambo] the population will double from the 615,000 (1991) to 1,230,000 by 2014. Rapid increase in the number of people is almost inevitable given the fact that approximately 48% of the population is less than fifteen years of age. Rapid demographic growth is the single most important threat to achieving sustainable development in the area.³ Novel approaches to development will be essential to assure their sustainability. These approaches must be coupled with attempts to increase the human carrying capacity of the area. At present, however, the productivity of the area is decreasing and deforestation, sheet erosion and overgrazing attest to the degradation taking place.⁴ Unless a progressive and successful family planning programme is initiated in the near future, all efforts to raise living standards, no matter how innovative, will fail as economic gains are absorbed by the increasing numbers of people.⁵

¹ Republic of Namibia Ministry of Environment and Tourism, *Namibia's Green Plan (Environment and Development)*, 1994, p.2

² DFRFN and SIDA, *Oshanas, Sustaining People, Environment and Development in Central Owambo*, Namibia, July 1992, p.3

³ Ibid, p. 19

⁴ Ibid, p.2

⁵ Ibid, p. 19

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6.3 Water

In a semi-arid to arid climate, water is the key factor governing the biological carrying capacity of the land, including the size of human populations. In Namibia's case, 92 per cent of the country receives less than 500mm per year of rainfall, the minimum considered necessary for dryland farming. Also rainfall that does occur is historically highly variable, with variability increasing as the mean amount of rain decreases. Thus, historically not only do the southern and western regions receive less rain, but their rainfall is also considerably less reliable. In the north farmers can expect their annual rainfall to fluctuate within about 30-40% of the long-term mean, whereas in the south and west, farmers should expect the rainfall to fluctuate by 60% or more. It is this unreliability in rainfall that has led to special adaptations in animals living in these regions. And it is this variability which makes these arid regions so vulnerable to mismanagement and desertification.⁶

Notwithstanding the fact that water is the principal limiting factor in Namibia, increasing its supply does not necessarily guarantee an increase in human carrying capacity and therefore a raising of living standards. For example, increasing the security of water in Owambo through the use of Cunene River supplies, has interfered with traditional cattle migration patterns, resulting in longer residence times and therefore increased pressure on the already degraded grasslands. Similarly, injudicious irrigation of crop lands can increase soil salinities to the point where water reduces, rather than increases crop production.⁷

Figure 5. Water Uses by Sector
(from *Namibia's Green Plan* (draft)
1994, p. 10.

Without care in planning, the provision of wells and watering points in communal lands can have

⁶ Ibid, p.46

⁷ Ibid, p.5

severe environmental effects resulting from overgrazing by animals in the vicinity of the wells, and unplanned settlement of human populations and their animals near the wells.

The current overall water supply situation in most urban centers is satisfactory and has a reasonable coverage. This, however, is not the case in rural communities where only about 50% of the people have proper access to reliable sources of safe water. The Namibian Government is presently mounting a major effort to reduce the current shortfall in water supply in the communal areas.⁸

Ground-water extraction is another national concern. Groundwater sources at present supply about 57% of the country's needs. In many areas groundwater is being mined; the rate of abstraction far exceeds the rate of recharge. For example, the groundwater resources of the Kuiseb and Omaruru rivers in the Namib desert are being drawn down to supply the coastal towns of Walvis Bay, Swakopmund and Hentis Bay, the Rössing uranium mine and the mining town of Arandis. The aquifers are running out, yet there are no water restrictions at present or incentives for water management or conservation, despite the fact these are the driest towns in sub-Saharan Africa.⁹ The national groundwater infrastructure consists of more than 400 production boreholes that supply 100 state-owned water schemes, including towns and mines. Water levels, abstraction rates, rainfall, surface runoff and water quality are regularly monitored. This information is used to manage the long-term sustainability of aquifers. Salt-water intrusion into highly abstracted coastal alluvial aquifers is a serious problem and measures have been taken to avoid it.¹⁰

A major integrated long-distance water supply scheme is underway to divert water from the Okavango River in the north to meet the future water needs of Namibia. Known as the Eastern National Water Carrier, it will eventually supply water from the Okavango via series of aqueducts and storage impoundments. Other sources to this scheme include the state dams, Von Back, Omatako and Swakopport in the drier central regions of Namibia. The Karstveldt borehole scheme will serve as an interim water source.¹¹

There are potential implications associated with this scheme for the Okavango River Basin, and most notably the resources of Caprivi and the Okavango Delta in northern Botswana. Prior to embarking on large-scale water withdrawal from the river, the Department of Water Affairs has proposed an environmental assessment of the entire Okavango River Basin. This will involve Angola and Botswana and will determine the ecological water requirements of the river system

⁸ Ibid, p.41-43

⁹ Brown, S.E., op.cit., p.15

¹⁰ Ibid, p.37-39

¹¹ Ibid, p.35-37

so that a sustainable management strategy can be drawn up.¹²

Currently the management of water resources appears fragmented, un-coordinated and unsustainable and an urgent need exists for an integrated national water conservation and management policy.

Recommended Response: USAID should continue to monitor the water development activities of USAID supported PVOs and NGOs undertaking water development activities in northern areas, to ensure, where appropriate, that mitigation strategies are planned and implemented to minimize environmental consequences.

Recommended Response: USAID/Namibia should monitor developments associated with the Eastern National Water Carrier scheme to ensure that the Okavango River Basin environmental assessment is adequately conducted and that a recommended strategy is followed that results in the water resources from the Okavango River Basin providing maximum long-term multiple-use benefits, both inside and outside Namibia. The Mission's monitoring of the proposed Epupa Falls dam should continue.

6.4 Deforestation

Although Namibia is mainly arid and semi-arid, about 80% of the land area or 823,000 square kilometers supports trees and shrubs in vegetation types that range from open savannas to dry woodlands. About 20% is covered by dry woodlands, 29% by savannas with thorn or mopane trees and another 29% by scarce savannas with scattered trees and shrubs. The remaining 22% is desert. About 12% of the country, i.e. 100,000 square kilometers, supports commercially exploitable timber.¹³ According to the National Forestry Policy, 10% of the land area of the country will be managed as state forests.¹⁴

Deforestation has reached such proportions in the north of the country, particularly in Owambo, that the traditional way of life of many people is on the verge of collapse. Progressively there is inadequate timber to meet the needs for the construction of homesteads, fences, implements and fuel. People are being forced by circumstance to use less preferred alternatives. Many are turning to cattle dung as a source of cooking fuel, robbing the soil of nutrient value and accelerating the reduction in carrying capacity.¹⁵

¹² Ibid

¹³ Namibia's Green Plan, op.cit., p.60

¹⁴ Ibid, p.62

¹⁵ Ibid, p.5-6

6.5 Biodiversity and Tropical Forestry

Tropical Forestry

There is an important need to supervise commercial forestry by government to promote the industry, but also to ensure that the resource is harvested on a sustainable basis.¹⁶

Namibia has lost much of its riparian woodlands. In addition to protecting river banks from erosion, this habitat supports a large diversity of fauna and flora, many of which occur in higher rainfall regions and are confined in Namibia to these narrow corridors along rivers. The protection and re-establishment of riverine woodland is a priority within the forestry sector.¹⁷

Currently MET believes issues concerning tropical forestry are being adequately addressed with a combination of German and Finnish assistance.

The most critical need within the forestry sector at the moment is the training and management of scientific staff. Second is the improvement of management systems for indigenous woodlands, particularly with regard to fire and sustainable harvest. Third is a need to extend nursery networks.¹⁸

Biodiversity

The State Museum of Namibia (administered by the Ministry of Education and Culture) is the center of animal biodiversity taxonomy and biogeographical research as well as being the national depository for Namibia's biodiversity collection. The National Herbarium of Namibia (administered by MAWRD) is the center for plant taxonomy and research, and the depository for the nation's plant collection. Under the auspices of the Herbarium, Namibia has now established a gene bank which is to act as a storage and accumulation center for Namibia as part of the SADC region.¹⁹

About 13% of Namibia is currently proclaimed as protected areas. This figure hides the fact that the distribution of the protected areas is skewed in favor of the Namib desert, and that four of Namibia's fourteen plant communities have no protected status at all.

Based on an assessment of the number of endemic species, biodiversity richness and the extent

¹⁶ Ibid, p. 63

¹⁷ Ibid, p. 62

¹⁸ Ibid, p. 64

¹⁹ Ibid, pp. 115-116

of present protection, the priority areas for future protection in Namibia are²⁰:

- Western Damaraland
- Karstveld
- Bushmanland
- Thornveld Savanna
- Highland Savana
- Southern Khalahari
- Dwarf Shrub Savanna

With Namibia's low population densities, the high extinction rates and severe environmental degradation experienced in many other countries in Africa have not occurred in Namibia.²¹ The nation is in the enviable position of having a choice in the management of its biological heritage, and its preservation should also be a considered as a important factor in future ecotourism planning.

Primary support for biodiversity activities is coming from UNEP at this time and MET sees no need for USAID inputs aside from support for training.

Recommended Response: USAID should discuss tropical forestry and biodiversity training requirements with the MET and the Directorate of Forestry and target a portion of Atlas and HRDA Project assistance to identified needs.

Recommended Response: In meeting the requirements of Sections 118 and 119 of the Foreign Assistance Act for a Tropical Forestry and Biodiversity Assessment as required in CPSP preparation, seek the assistance of the Global Bureau's EPAT project, using the Scope of Work provided in Annex F.

6.6 Bush Encroachment

Approximately 17% of the country has already been encroached upon by undesirable bushes. In some places the bush is so dense that cattle and people can hardly penetrate it and there is the ever present threat that the remaining bush encroached areas will deteriorate to this extent as well. Bush encroachment is considered to be a result of inappropriate management practices that include fencing and the decline of browsing wildlife, a decrease in the frequency and extent of veld fires, overstocking and therefore overgrazing and inadequate rotational grazing.²² Most of these effects are in the commercial farming district. The problem is most severe in the 300mm to 500mm rainfall areas, particularly on calcareous soils in the Tsumeb and Grootfontein

²⁰ Ibid, p. 116

²¹ Ibid.

²² *Green Plan*, op.cit., p.5

districts. Under natural conditions these regions have a good grass cover with scattered trees and shrubs, and support a wide range of wild animals.²³

Costs of restoration of encroached areas depends on the density, species composition and method of bush destruction, but usually exceed the market value of land by a factor of 15 or more, depending on the selectivity of the method employed.²⁴

6.7 Desertification and Drought

Desertification

Desertification does not originate with deserts. It is most commonly associated with areas where: the rainfall ranges from between 350 and 600mm per annum; rainfed agriculture is practiced; human population densities are high; and resources are being overexploited.²⁵

The potential for desertification throughout most of Namibia is high, and in some areas the process is well-advanced. Namibia is attempting to stem desertification impacts through improved monitoring and land use planning²⁶.

MET believes this issue is currently being adequately addressed through GTZ support for a major program (3 to 5 years) on desertification research, monitoring, and public awareness. Also ODA is providing inputs to address this area of concern.

Drought

'Drought insurance' planning in Namibia incorporates:

- use of early warning systems including monitoring by remote sensing supported by ground checks;
- socio-economic monitoring;
- development of self-sufficiency;
- multiple alternatives to usual patterns of natural resource use;
- preparation of a feasible, current emergency plan;
- avoidance of market displacements by emergency food aid;
- research, education and extension.²⁷

²³ Brown, S.E., *Environmental Profile of Namibia*, (draft), Windhoek, April 1995, p.19

²⁴ Ibid, p.49

²⁵ Ministry of Environment and Tourism, *Namibia's Green Plan* (draft), 1994, p. 137

²⁶ Ibid, pp. 139-141.

²⁷ Ibid, p. 142

Figure 6. Map of desertification potential of the biophysical environment in southern Africa prepared for UNCOD. LEGEND: W - surfaces subject to sand movement; R - stony or rocky surfaces subject to aerial stripping by deflation or sheet wash; V - alluvial or residual surfaces subject to stripping of topsoil and accelerated runoff, gully erosion on slopes and/or sheet erosion or deposition on flat lands; S - surfaces subject to salinization or alkanization; H - subject to human pressure; A - subject to animal pressure. The direct threat of desertification in Namibia is ameliorated somewhat by the fact that most of the major population concentrations do not coincide exactly with those environments in Namibia that show the greatest potential for desertification. (Map is taken from Namibia's Green Plan (draft), 1994, p. 140.)

Recommended Response: USAID should apply Africa Bureau and Global resources to assist in the development of a long-term food security and drought insurance strategy and action plan for northern Namibia, including where necessary, support for social-economic and ecological surveys and analyses, application of famine early warning systems, and pre-planning to ensure food security during drought years.

6.8 Wetlands

Namibia's wetlands play a crucial role in meeting the food and household requirements for much of the population in the north. At present the MET's Wetland's Programme consists of a single technical expert. Given the importance placed on this resource as the primary source of food production in the north (and its importance as a source of plant biodiversity as well), the creation of an effective wetlands management and research program is a MET priority. USAID's HRDA or ATLAS projects might be used to support training in Wetlands Management

with particular emphasis on the sustainable management of wetland resources by disadvantaged populations in northern Namibia. USAID could also explore other modalities, including AID/W resources for providing assistance in wetlands management and research.

6.9 Tourism

An estimated 282,000 international tourists visited Namibia in 1992, 65% for holiday purposes, spending a total of N\$ 394 million in foreign exchange and generating employment for 20,000 people (half directly, half indirectly supplying the tourism industry). Foreign exchange earnings were equivalent to 12% of all Namibia's export earnings and exceeded exports of either agricultural products or meat and meat products. Tourism-related jobs accounted for 15% of all private sector jobs. The total contribution to national income, estimated at N\$ 355 million in 1992, is equivalent to 5% of Gross Domestic Product and is similar to that of fishing and fish processing.

Given the current rate of growth of tourism in Namibia and worldwide, its economic significance in Namibia is anticipated to grow further. Tourist numbers are expected to grow at an average rate of 8.5 per cent per year for the next ten years. This will mean a doubling of tourist numbers by 2002, from almost 300,000 per year now to over 600,000 with a target for the number of high-spending European tourists increasing 5-fold in that time (Hoff and Overgaard, 1993). If that happens...that would make tourism second only to mining in economic significance.²⁸

Although statistics show tourism growing at about 9% per year, registered accommodation establishments showed only a 40% occupancy rate in 1994. Guest and hunting farms had an even lower rate of 1.8%. The Ministry of Environment and Tourism is planning to increase emphasis on marketing Namibia's tourism attractions abroad, by establishing tourism offices within Namibian embassies.²⁹

Tourism has a largely untapped potential for creating employment with minimal initial investment, especially for disadvantaged Namibians at the community level. More however needs to be done to (i) market Namibia's attractions, (ii) ensure their preservation, (iii) enhance their maintenance, and (iv) encourage community-based management and control.

Little attention is being paid to the steps necessary to conserve archeological and historic sites, or to the value of maintaining local cultural heritage of potential interest to outsiders. Nor has the value been fully appreciated of maintaining sites with unique biodiversity because of their

²⁸ (These figures are taken from Hoff and Overgaard, 1993, and Hoff and Overgaard, 1994 and cited in Ashley, C., Barnes, J., and T. Healy, *Profits, Equity, Growth and Sustainability - The Potential Role of Wildlife Enterprises in Caprivi and Other Communal Areas of Namibia*, Research Discussion Paper Number 2, Directorate of Environmental Affairs, Ministry of Environment and Tourism, Windhoek, Namibia, August 1994, pp. 6-7.)

²⁹ *The Namibian*, "Tourism growing by 9%", May 5, 1995, p.8

interest to the 'ecotourist'.

Current draft tourism legislation does not properly address the needs of communities to share in and/or manage community-based tourism resources. In fact, parts of this legislation may be unintentionally exclusionary. For example, the new law would in effect exclude community-based guides from the tourism industry, because of the stringent training and licensing requirements proposed for guides. To date, this new draft legislation has tended to overlook the need for, or benefits of, community-based ownership of tourism resources.

The original LIFE Project design did not focus sufficient attention on the potential importance of tourism to community-based natural resource management. Subsequently, LIFE Program resource economists³⁰ estimate that non-consumptive activities, such as tourism enterprises, are expected to produce as much as 70% of all income generated in the CBNRM activities supported by LIFE).³¹ MET and the LIFE Program Partners may wish to develop further strategy for how LIFE resources might be applied to increase opportunities for community-based tourism.

Another factor affecting the long-term health of the Tourism Industry is the institutional condition of the Ministry of Environment and Tourism. Without effective parks management, protection of wildlife and MET assistance to communities whose lives are affected by state-owned wildlife, in or adjacent to parks and protected areas, much of Namibia's tourist potential could be lost. Currently MET lacks the financial and human resources necessary to ensure the long-term sustainability of tourism in Namibia. This issue is discussed further below under the section on MET institutional capacity.

Recommended Response: Since tourism represents a sector in which minimal donor investment could produce high returns, it is strongly recommended that USAID take an active interest in the current tourism legislation being drafted and seek dialogue at the Ministerial level within MET to encourage passage of legislation that fully reflects the need for, and provides support for, community-based tourism.

6.10 Environmental Education

USAID/Namibia's newly initiated BES Project is designed to increase the Ministry of Education's capacity to implement the new lower primary curriculum while improving learner outcomes in the most disadvantaged schools in the country. BES offers the opportunity to draw upon both PO1 and PO3 results packages, through (i) the experience gained under the READ Project's non-formal environmental education initiatives with NGOs to development

³⁰ Ashley, C., Barnes, J., and T. Healy, *Profits, Equity, Growth and Sustainability - The Potential Role of Wildlife Enterprises in Caprivi and Other Communal Areas of Namibia*, Research Discussion Paper Number 2, Directorate of Environmental Affairs, Ministry of Environment and Tourism, Windhoek, Namibia, August 1994, pp. 6-7.

³¹ WWF, *LIFE Programme Assessment - WWF Contributions*, February 10, 1995, p. 12.

understanding of environmental issues and principles among disadvantaged Namibians and (ii) the LIFE Project which focuses on increasing the capacity of disadvantaged Namibians to sustainably manage and derive benefits from their natural resources at the community level. Practical curriculum, specifically tailored to local community conditions may be developed by drawing upon the experience already gained by the LIFE and READ Projects. In addition, use of READ Project Resources should be considered to enhance wildlife and environment/natural resource interpretation in MET's national parks and protected areas as well as under READ's broader non-formal education efforts and BES. The Mission is already fostering BES, LIFE and READ coordination meetings to draw upon project complementarities and opportunities for collaboration and synergism.

6.11 Environmental Accounts

An opportunity exists to use resources available through the Bureau for Africa's AFR/SD/PSGE to assist the Ministry of Environment in examining the potential for establishing a system of National Environmental Accounting, which would become part of national indicators of long-term sustainability and progress in enhancing the quality of life of all Namibians.

Recommended Response: USAID/Namibia and MET should continue to pursue efforts to develop environmental accounting for Namibia, and avail themselves of Africa Bureau and Global Bureau resources for this purpose.

6.12 Compliance with USAID Environmental Requirements

Initial Environmental Examination and Environmental Assessment requirements

Under the LIFE Project, subgrantees are undertaking activities which could have adverse impacts on the environment, even though the project itself is directed toward improved natural resource and environmental management. Drilling of wells, fencing, relocation of human and animal populations, development of alternate land use strategies, harvesting of wild plant products (such as thatching grass, palm fiber and traditional medicinals), provision of water points or water catchments, are all examples of activities which could have unforeseen negative environmental effects. This apparently has been the case with recent water development activities undertaken by Africare in Namibia. It is therefore important for Mission and LIFE Project management staff to be cognizant of USAID Initial Environmental Examination (IEE) and Environmental Assessment (EA) requirements under USAID Regulation 216, and that subgrantees under the LIFE Project address IEE requirements in their proposals (and certainly before engaging in activities which alter the physical or biological environment) so as to avoid or mitigate possible negative effects.

As with many 'umbrella projects' with subgrant components, there has been a tendency under the LIFE Project to overlook the requirement for an "environmental review for each subgrant" once the overall USAID project has been approved. As the LIFE Program is now about to undertake activities which may have environmental implications, it is important that the USAID

"environmental review" requirement be met.

Recommended Response: WWF Program Team and MET familiarize themselves with USAID IEE and environmental review requirements contained in USAID Environmental Procedures 22 CFR 216 (Reg 216) and carry out environmental reviews as appropriate, or alternatively request the assistance of the REDSO/ESA environmental advisor in Nairobi to assist with this process. Also there may be additional environmental requirements of the Government of Namibia which, if more stringent than USAID's, must also be taken into account.

Environmental monitoring, evaluation and mitigation

For those subgrantee activities, which after environmental review may have current or potential negative environmental impacts, it is also important to include within the subgrant the input requirements (human, financial, material, time) to ensure adequate environmental monitoring, evaluation and mitigation should these be necessary.

6.13 The Ministry of Environment and Tourism - Financial Sustainability and Institutional Capacity

Under the LIFE Project design MET was assumed to have the resources (financial and human) to support management and monitoring of the natural resource base in the target areas. As is common to most of the national parks and wildlife programs in southern African, MET is under severe budgetary constraints, which have their greatest repercussions at the field level, where low salaries and lack of vehicles, equipment and basic necessities take their toll on the motivation and morale of general laborer, ranger and warden. Lack of motivation and demoralization is further compounded when parks and wildlife personnel are viewed by communities as policemen, restricting community access to natural resources which may in the past have been considered to be under communal ownership.

Also, the budgetary constraints on the MET affect national efforts to monitor the resource base or develop and implement plans for the sustainable management of parks, reserves and communal areas. The MET is heavily reliant on external donor financing for activities ranging from development of wildlife management plans, resource economics studies, aerial survey and census work, GIS development, to the training of staff at all levels. Numerous technical field positions are unfilled. These two factors leave the MET undercapitalized and understaffed. Given this scenario, the MET has been forced to prioritize and allocate its limited resources in support of Namibia's valuable reservoir of protected areas and parks. As a result, the MET has extremely limited capacity to apply to the communal areas assisted by the LIFE Program.

There are several negative consequences as a result of this situation, including:

- (i) the resource base (flora and fauna) is not being monitored effectively;
- (ii) there are frequently no baseline data against which progress can be measured or the impacts of management approaches gauged;

- (iii) the absence of good baseline data inhibits good resource management, particularly in the case of wildlife when inaccurate information on species populations and dynamics may lead to over-utilization of a valuable resource;
- (iv) staff may continue to carry out only protection and enforcement functions;
- (v) Problem Animal Control is inadequate; and
- (vi) MET District staff are unable to participate as a full partner in LIFE CBNRM activities, which can contribute to further loss of confidence or animosity in relations with target communities.

This situation has been recognized and through a mix of GRN and USAID funding steps have been taken to provide the MET with the appropriate resources to carry out key activities in some of the communal areas being assisted through the LIFE Program. Nevertheless the constraints on the MET discussed above are serious. There are severe limitations on human and financial resources. As a result staff within DEA, Resource Management and Research are overtaxed and less able to concentrate on new strategic initiatives. Ultimately the MET's future effectiveness will depend on the resources made available to it from the GRN. A positive sign is that this year's indicative budget from Treasury is expected to increase by 22 per cent beginning April 1, 1995, and Treasury will try to achieve an increase in the budget by 15 per cent per year for the next four years. However, national parks and wildlife systems across Africa are often subject to both vagaries of politics and demands for bureaucratic rationalization and down-sizing that can further erode personnel and financial resources, unless revenues generated from non-consumptive and consumptive uses can be retained by the departments responsible for their management. Currently the Directorate of Tourism has this authority, but not the other directorates of MET, an issue of considerable importance to the viability of those branches of the MET responsible for maintaining the resource base so that it (i) is sustainably managed for the benefit of all Namibians now and in the future, and (ii) it remains attractive to the international and local tourist community.

Recommended Response: USAID increase policy dialogue at the Ministerial level of MET and above to (i) explore the implications of current revenue authority, especially the effect of Tourism's revenue retention autonomy may have on the long-term viability of the other Directorates of MET and the future of the tourism industry in Namibia, and (ii) help ensure that MET develops a financially sustainable system for parks management in which revenues derived from parks, wildlife and tourism are retained by MET to maintain Namibia's, parks, wildlife and protected areas and to provide necessary resource management services to communal area conservancies.

6.14 Interministerial Involvement in Community-Based Natural Resource Management

Local government is *ipso facto* a critical component in CBNRM since the Programme seeks to establish localized regimes of natural resource management. Such regimes must be based on local authority, which may be legitimized on the basis of traditional or "modern" principles, or

a combination of the two. Communal lands in the project area exhibit a complex mix of these two legitimations, but traditional authority is generally more robust, in part because Namibia's structures of sub-regional government are still in a state of flux and lack definitive legislation. In the absence of such legislation conservancy formation will in effect itself influence a transition from traditional to "modern" units of governance, a process already observed by SSD CBNRM researchers in Caprivi. This is both an opportunity to influence the formation of units of governance which have ecological and economic cohesion, and also a danger in that it may lead to conflict, if legislation on the sub-units of regional government is not rationalized with CBNRM implementation. The harmonization of local government and conservancy policy is thus critical, as discussed in greater detail Section 4.2 of the recent LIFE Mid-term Assessment. Research currently initiated by SSD researchers in Caprivi could make a significant contribution to this policy debate.

Key and complementary ministries to MET for CBNRM are the ministries of Local and Regional Government and Housing, the Ministry of Agriculture, Water and Rural Development (MAWRD) and the Ministry of Lands, Resettlement and Rehabilitation (MLRR). MAWRD is linked since the ministry is also centrally concerned with resource use. MLRR is linked because of its centrality for tenure issues, another key component in CBNRM policy. MAWRD also has the potential to provide extension assistance to communities and conservancies. Furthermore, as a technical ministry dealing with land and water resources it is a potentially strong ally with MET in developing CBNRM approaches to land and natural resource use. Coordination between technical ministries and ministerial programs with similar interests in providing community services and in building community capacity will assist in bringing about the rationalization and implementation of local government legislation affecting CBNRM.

The strengthening of MAWRD knowledge and support for CBNRM principles among MAWRD and MET is particularly important given the need to convince MLRR of the importance of devolution of authority over communal resources to local levels.

MET, in its response to the issues analysis of the recent Mid-term Assessment process, indicated that inter-ministerial cooperation and coordination lie outside the direct mandate of the LIFE Project, and that these inter-ministerial issues are being discussed in other fora. MET has developed a close working relationship with MAWRD as part of the National Programme to Combat Desertification (NAPCOD) and this collaboration could be extended to CBNRM collaboration between the two ministries. A further coordinative mechanism is discussed in the Section on Sustainability (4.4) in the LIFE Mid-term Assessment and Annex F which accompanies it dealing with the formation of a National CBNRM coordinative body.

Recommended Response: Ensure that Mission resources are applied to enhance interministerial cooperation especially between MET, MAWRD and MLRR on CBNRM and, if needed, increased collaboration in support of the *Green Plan's* development, adoption and implementation.

6.15 The PVO/NGO NRMS Project

In supporting the transition to a National CBNRM Programme the Mission may wish to consider the technical assistance and training resources available through the PVO/NGO NRMS Project. This Africa Bureau funded project focuses on strengthening the technical and institutional capacity of private voluntary organizations (PVOs) and non-governmental organizations (NGOs) in natural resource management.

The project offers a package including training, technical assistance and information support for promoting NGO/NRM work. The model used is based on four years cumulative experience in four focal countries: Cameroon, Madagascar, Mali and Uganda.

Services also include:

- ▶ grants-making and implementation capacity
- ▶ participatory programs that promote partnerships between local and international NGOs, government and donors
- ▶ improved NGO coordination resulting from use of various information dissemination tools, including project newsletters, public print media, radio broadcasts and video
- ▶ workshops and publications addressing cross-cutting themes;
- ▶ designing CBNRM projects
- ▶ buffer zone management
- ▶ support to NGOs and NRM in Africa's pastoral sector
- ▶ NRM assessment methodologies
- ▶ farmer participatory research methods
- ▶ the role of NGOs in combating desertification

6.16 Training

MET human resource development

The LIFE Project supported a training needs assessment for MET covering 657 MET staff (approximately half the Ministry from 20 locations), with work focused on the Directorate of Resources Management. The work was carried out by a team of six consultants under the guidance of World Learning over a period of twelve weeks. (Resorts, Environmental Affairs and Tourism were not covered because of time constraints). The results of this assessment were well-received by the Ministry and the LIFE Program is considering a MET request for follow-up support. The proposed approach is under development by the LIFE Program Team and is discussed briefly under Annex J. The Mid-term Assessment recommended that the proposed intervention be targeted at developing CBNRM capacity within the MET by (i) providing an HRD Specialist under a consulting contract, (ii) revising job descriptions to incorporate CBNRM and competency-based affirmative action principles, (iii) developing CBNRM training modules at the laborer, ranger and warden level, and (iv) implementing training of MET staff in target areas.

Advantages of intervention in this area would not only be the support for the Program Objective 1 results package leading to the establishment of replicable community-based natural resource management models, it also support efforts to address equity and build up black Namibian human capacity. Total cost for the proposed intervention is on the order of 1 million U.S. and hinges on an extension of the LIFE Project PACD to at least July, 1998. Of this total \$600,000 would come from existing LIFE Project funds to support efforts through July 1997, with the remaining \$400,000 in additional funds required from either SARP or the new ISA to carry this intervention to August 1999.

USAID/Namibia is seeking a commitment of additional SARP or ISA resources leading to the development of CBNRM training modules for Ministry of Environment and Tourism personnel at the laborer, ranger and warden level, and the implementation of training of MET staff in target areas.

Other training opportunities

USAID/Namibia offers a unique opportunity to support the SO2 through two separate human resource development projects:

Atlas (698-0475): whose purpose is "to strengthen leadership and technical abilities and enhance professional performance of individuals serving in African public and private sector entities including universities, research centers and other key development institutions. This project provides academic degree training and professional enhancement and has a Public Management Training Component that could be tapped to provide additional opportunities for long-term training in natural resource management.

Human Resource Development Assistance (698-0463.73): whose purpose is to enlarge the core of well-trained historically disadvantaged male and female Namibian managers who are empowered to make significant contributions to the effectiveness of their organizations in both the public and private sectors. This recently established project focuses on developing improved managerial capabilities and increasing productivity rates. It provides opportunities for short-term training both in-country and elsewhere and could also be used to support visitation travel. It is specifically tailored for training events having a maximum duration of one year. (This recently initiated project is for \$4 million over 2.5 years.)

Both these programs could be utilized to support training in environment/natural resource related areas, including, but not limited to, those priorities identified above in:

- sustainable commercial forest management
- biodiversity and tropical forest management and ecology
- wetlands ecology and management
- community-based tourism
- urban and industrial pollution

- Other priority training need areas in NRM or environment

To strengthen the links between the LIFE Project and the Atlas and HRDA Projects, USAID/Namibia has formally briefed WWF Program Team, NGOs, MET and other concerned ministries to explain how they might best utilize Atlas and HRDA's available human resource development packages.

7.0 Appropriateness of the SO2 and Program Outcomes as They Relate to Other Key Issues

After reviewing the key issues above, the Mission and its NGO and GRN Partners (especially within the MET/DEA) believe that the SO2 selected is highly appropriate. Nevertheless, should the opportunity arise to significantly affect population growth in Namibia through a stronger national commitment to address this issue, family planning should clearly take precedence over additional interventions in the environment/natural resource sector.

8.0 Additional Resource Requirements in Planning the Transition to Sustainability

As expressed in the Agency's Strategies for Sustainable Development the goal of sustainability is foremost in USAID/Namibia's SO2 to support the capacity of disadvantaged Namibians to manage their natural resource base and environment. Recognizing that the development of sustainable community-based natural resource management is a long-term process, USAID anticipates seeking additional funds in support of the SO2 since under the PO1 results package, the LIFE Project currently reaches PACD on August 31, 1997. Five additional inputs are required: (i) additional grants to NGOs/CBOs in LIFE Target areas (\$1 million) (ii) the extension of appropriate WWF Program Team staff to provide necessary technical assistance and continuity through the CPSP planning period (costs of up to \$2.7 million if extended to near the Regional NRMP of August 18, 1999), (iii) implementation of the recommendations from the MET training needs assessment as described above (minimum \$400,000); (iv) funding to coordinate and implement CBNRM exchange visits, workshops and retreats on CBNRM principles for NGOs, CBOs and key GRN ministry personnel (approximately \$200,000), and (v) providing startup resources for a National CBNRM program to support replication and diffusion of CBNRM models nationwide (\$2.5 million). Total resource requirements are on the order of between \$6.1 to \$6.8 million. Initial background on projected needs for a National CBNRM Programme is provided in Annex I, with additional detail on total resource requirements in Annex J.

9.0 Future Options

The National Environmental Investment Fund

The possibility of forming environmental trust(s) or endowment(s) was discussed under Section 6.1. One such initiative currently under consideration is the creation of a National Environmental Investment Fund. This analysis is being supported by WWF/US expertise in trust formation, under WWF's LIFE Project match. If created, the Fund could become an important source of long-term sustainable financing in support of national environmental and natural resource priorities, providing a magnet for Namibian private sector investment, attracting multi-donor contributions and providing long-term endowment reserves for the environment. It is anticipated that support to CBNRM could be a component of such a trust fund. The Agency for International Development has only recently received authority to use AID funds in support of various endowment mechanisms. Thus significant USAID commitments to such a fund would probably have to await not only its formation, but the establishment of a track record of achievement. Nevertheless, as mentioned under Section 6.1 there are clear advantages to establishing such a fund in Namibia, since it could provide a dependable and continuous source of funding for environmental initiatives without having to rely on donor project cycles or potentially unpredictable GRN revenues. USAID may therefore wish to keep this as an important option for further investigation.

The Conservancy Association

Once the communal area conservancy legislation passes, the formation of a member body representing the interests of communities in CBNRM, a Conservancy Association, should be supported. Its mandate would be likely to include contributions to policy refinement and to lobby for CBNRM interests with Government. In addition, it might also provide services to its members (e.g. extension and marketing). The importance of this development cannot be overemphasized, but it will necessarily have to await the creation of conservancies, which should proliferate once the enabling legislation has been passed.

10.0 Conclusions

As one of the Agency's core "sustainable development countries" Namibia is required to follow a three step comprehensive environmental review as part of CPSP preparation. Given limits of time, this assessment follows a less rigorous approach. However, this document can be used as a framework for further analysis, if required. It is strongly recommended that the issues identified in this review be discussed further with relevant Ministries, the NGO community and REDSO/ESA to ensure that other important issues (and potential USAID responses) have not been overlooked. REDSO/ESA and AID/W resources are available to provide assistance in this process at little or no cost to the Mission.

11.0 Recommendation Summary

1. Through policy dialogue at Ministerial and Cabinet level, support MET efforts to bring about adoption of the *Green Plan*, the development of a more comprehensive investment strategy and workplan for the environment and natural resource sectors.
2. Continue to support efforts to form environment trust(s) or endowment(s) for sustainable financing of environment/natural resource activities. It is suggested that mechanisms be explored which are free as possible from political influence.
3. USAID continue to monitor the water development activities of USAID supported PVOs and NGOs undertaking water development activities in northern areas, to ensure, where appropriate, that mitigation strategies are planned and implemented to minimize environmental consequences.
4. USAID/Namibia monitor developments associated with the Eastern National Water Carrier scheme to ensure that the Okavango River Basin environmental assessment is adequately conducted and that a recommended strategy is followed that results in the water resources from the Okavango River Basin providing maximum long-term multiple-use benefits, both inside and outside Namibia. The Mission's monitoring of the proposed Epupa Falls dam should continue.
5. USAID discuss tropical forestry and biodiversity training requirements with the MET and the Directorate of Forestry and target a portion of Atlas and HRDA Project assistance to identified needs.
6. In meeting the requirements of Sections 118 and 119 of the Foreign Assistance Act for a Tropical Forestry and Biodiversity Assessment as required in CPSP preparation, seek the assistance of the Global Bureau's EPAT project, using the Scope of Work provided in Annex F.
7. USAID apply Africa Bureau and Global resources to assist in the development of a long-term food security and drought insurance strategy and action plan for northern Namibia, including where necessary, support for social-economic and ecological surveys and analyses, application of famine early warning systems, and pre-planning to ensure food security during drought years.
8. Since tourism represents a sector in which minimal donor investment could produce high returns, it is strongly recommended that USAID take an active interest in the current tourism legislation being drafted and seek dialogue at the Ministerial level within MET to encourage passage of legislation that fully reflects the need for, and provides support for, community-based tourism.

**Environmental Review
in Support of
Preparation of USAID/Namibia's Country Program Strategic Plan
for
the Period 1995-2000**

Annexes

Annexes

- A. References**
- B. Persons Contacted**
- C. Scope of Work**
- D. Technical Annex B: Environment**
- E. State 032584: Guidance for Preparation of Background Assessments of Biological Diversity and Tropical Forests for Use in CDSSs or Other Country Plans**
- F. World Bank Guidelines for National Environmental Action Plans**
- G. Government Priorities and Future Directions**
- H. Background on the Establishment of a National Community-Based Natural Resource Management Program**
- I. Background on Additional Resource Requirements**

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Scope of Work

ATTACHMENT A

TERMS OF REFERENCE

ENVIRONMENTAL SUPPORT FOR STRATEGY

I) Background

USAID has had no approved Strategy during its 5 years of operation. Several attempts have been made with AID/W, but nothing has been approved as yet. Although improving Community Based Natural Resource Management (CBNRM) has been proposed as a Strategic Objective, it has not received approval from Washington.

During the early start-up days of the Mission, it was decided that it was important to have a NRMS component in Namibia. In fact, Namibia had always been a part of the Regional plan for NRMS support. Our delayed project start date was due to a late start up of the Mission and a prolonged participatory design phase.

Now that the LIFE Project is 2 years into implementation, USAID/Namibia feels the inherited project remains a high priority for the Mission's Strategy. Namibia has a fragile environment, an explosive population rate, a high rural/urban migration rate in search of employment and a populace restless about unfilled promises of a new Democracy. These conditions (e.g. high expectations, land, poverty) have the potential for depleting natural resources throughout the country.

The CBNRM approach supports the empowerment theme of the Mission. As communities develop skills to meet, make decisions and work together, they are becoming empowered to take charge of their own lives. The experiences in CBNRM will carry over to other areas of community development and to advocacy at regional and national levels.

II) Statement of Purpose of Consultancy

The aim of the consultancy is to establish a baseline data source of CBNRM activities in Namibia to provide an overview and provide justification for strategies/ approaches for USAID to continue and/or increase support. It is proposed that a consultant who is an expert in natural resource management and who is familiar with the A.I.D. Regional NRMs projects conduct a study and write a paper on the environmental overview of Namibia and the reasons why USAID/Namibia is supporting this sector with the CBNRM approach. The information should be tailored to provide information relevant to the mission program, strategic objectives and logframes and will be used in the Strategy Document to justify the USAID/Namibia program in Washington in June. Mission PD&S funds will be used to support this consultant.

III) Activities

1. Review all LIFE Project documents relevant, Regional NRMS documents.
2. Review READ's Environmental Education project and activities.
3. Review MET documentation and on-going activities related to CBNRM.
4. Review regional ISA documentation on Ag/NRMs.
5. Review other relevant documents as appropriate.
6. Consult with REDSO/ESA Program Development Officer (PDO) regarding harmonization of LIFE Project documents.
7. Interview relevant Ministry officials and NGO staff.
8. Provide a broad overview of environmental issues and concerns in the national and regional context.
9. Develop analytical paper for inclusion in the Mission's Strategy Document.

IV) Topics for Inclusion

Specific items which should be addressed in the paper include:

1. Fragile natural environment of Namibia
2. Tourism is one of Namibia's growing industries and has the potential for being one of the strongest industries over the long run.
3. History and justification of Regional NRMs Projects
4. Need for coordination of natural resources in the region
5. Rationale for "Community Based" NRM rather than government or private sector led.
6. Need for Environmental Education in Namibia
7. Relationship to ISA's new objectives

V) Output

- a) The main output of the work will be a 25-30 page report with a 3-5 page summary of the background of CBNRM in the region with particular emphasis on Namibia and a justification for continuing the CBNRM program into the future.
- b) Develop a baseline data source for the purpose of USAID assessment of program impact and monitoring progress towards achieving objectives set out in the draft mission strategic objective logframe.
- b) Diskette containing Report and Executive Summary.
- c) Copies of all Reports/Documentation collected during the course of the consultancy.
- d) Receipts and statements of local expenses in support of payment.

VI) Finance

In general, payment is not made to a consultant until the product is completed. However, an advance of 80% of travel and per diem will be issued to defray expenses.

OUTLINE FOR ENVIRONMENT REPORT

SUGGESTED INFORMATION NEEDED FOR EACH STRATEGIC OBJECTIVE

The following are drawn from the February 1995 Guidance for Strategic plans, the November 1994 BAA core report and the May 1994 directive on setting and monitoring program strategies (refer to these including the annexes, the March 1994 strategies for sustainable development and the Administrators statement of principles on participatory development, Nov 16, 1993 for more information).

All of the following must include gender issues, people level impacts, participation and a discussion of how NGOs are/will be involved (cross cutting themes).

The OBJECTIVE is expressed in terms of a change that can be seen over a 5 to 8 year period and for which the mission accepts responsibility (ie it is within the manageable interest of the mission.)

1. The rationale and justification for selection. (Analytical basis and customers/partners)
 - a. Brief discussion of the development problem, evidence that it might be ameliorated, trends going on in the country that indicate the potential (opportunities) for achieving this objective, and proven models or approaches to address the problem. Explanation of how customer needs were identified and gender considerations.
 - b. If applicable, explanation of the synergism or complementary relationship with other strategic objectives.
 - c. Discussion of people level impacts. (timeframe, whether or not within manageable interest, ways one might determine these if not directly part of the program measurement system.)
 - d. Evidence that the SO represents an important achievement and lies within the manageable interest of the mission. (Also include a discussion of objectives and/or outcomes considered but not selected as part of the strategy and why.)
2. Key assumptions (underlying the selection of the strategic objective) and sustainability.

Assumptions may relate to partners' complementary efforts and the environment. What the host country and other donors are doing that relate to achieving the objective. Partners and customers critical to the achievement of the objective. Brief assessment of the risks associated with achievement (risks refer to those things in the external environment over which USAID has not control). Explain how results can be sustained, including human capacities and prospects for institutional political and financial sustainability over the long term.
3. Problem analysis and strategic results framework.
 - a. Summary of key problem areas to be addressed and evidence that the following have been considered in the selection of program outcomes:
 - the feasibility and appropriateness of the proposed approach

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- USAID's comparative advantage and experience in that approach
- commitment of development partners to this approach suitable delivery mechanisms.

b. Program outcomes (POs) to be accomplished. Explanation of how these outcomes will be achieved (opportunities) with projected inputs and demonstration that these results bear a favourable relationship to costs. Description of the causal relationship between POs and hypothesis related to these.

c. Key assumptions and hypothesis that link achievement of the POs to achievement of the strategic objective. (Key assumptions here may also include a discussion of efforts of development partners and customers critical; to achievement of the outcome). Brief assessment of risks associated with achievement (risks refer to those things in the external environment over which USAID has not control). Discuss complementarity of resources and skill areas to other donors.

4. Relationship to agency goals and priorities (including cross cutting themes, new initiatives (small business initiative, New partnership initiative) and the ISA. Discussion of the relationship to the agencies 5 strategy areas and its emphasis on participation.
5. Performance indicators and targets. Present indicators, baseline data and targets for levels of achievement and/or a plan for how these will be developed.
6. The consultative/ participatory process. A discussion of the role of participant of customers, partners and other donors in determining the strategy and approaches. Identify ways in which the views of customers and partners will be sought in monitoring reviewing and/or evaluating the results over time (customer surveys).
7. The approach / approaches planned to achieve the outcomes and objective with some specificity about the purpose and a notion of the tactics and tools to be used.
8. The results framework (a matrix or text if not included above showing the results needed to achieve the objective, their causal relationship or the underlying assumptions and hypothesis about the relationships).

Tables:

1. The objective tree (goal, SOs, illustrative results packages/activities).
2. The logframe (SO, POs, indicators, data source and assumptions).
3. Performance measurement plan, similar to the log frame (SO, POs, indicators, data source method/approach of data collection, frequency of data collection by whom, where data is lodged at mission, analysis and reporting schedule and responsible office/officer).
4. Baseline, expected and actual results data matrix, similar to API reporting (SO, POs, indicator, baseline year and value, targets by year including final target/EOP).
5. Resources (human and financial) required by year under for the SO by program outcome.

Proposed Time Schedule is as follows:

Travel

- May 3 Briefing with Mission
- May 3-5 Read documentation and conduct interviews
- May 9 Meeting with Mission to present first Draft and discuss Progress
- May 11 Meeting with Mission to present final Draft and Executive Summary
- May 12 By COB, submit 5 copies of final Report and Executive Summary and diskette

Technical Annex B: Environment



U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

TECHNICAL ANNEX B:

ENVIRONMENT

I. SETTING PRIORITIES FOR COUNTRY LEVEL PROGRAMS

- A. Country Level Environmental Objectives
- B. Indicators of Environmental Degradation
- C. Setting Priorities

II. ENVIRONMENTAL PROCEDURES

- A. Goals and Approaches
- B. Institutional Responsibilities

I. SETTING PRIORITIES FOR COUNTRY-LEVEL PROGRAMS

Based on nearly two decades of experience, USAID has developed a strong program of environmental activities at the country level. These guidelines do not attempt to overhaul USAID's approach. Given the agency's increasingly limited resources and the increasing activity of other donors, however, a more analytical, transparent, collaborative, and participatory process of priority-setting at the country level is required. Simply put, USAID must be able to demonstrate to ourselves and to our stakeholders that we are not trying to do everything, and spreading ourselves too thin to be effective in the process.

Country strategic plans submitted for approval in FY95 and future years should be based on a comprehensive assessment of environmental threats and opportunities, using the priority-setting framework described in this annex. Assessments should address the "Key Factors in the Environment" identified in the main body of these guidelines and, where feasible and appropriate, include targeted research to improve empirical understanding of these factors. Environmental strategic objectives identified in country strategic plans should be selected according to the priorities identified through these assessments.

A. Country Level Environmental Objectives

USAID's *Strategies for Sustainable Development* identifies two strategic goals:

- *Reducing threats to the global environment, particularly loss of biodiversity and climate change; and*
- *Promoting sustainable economic growth locally, nationally, and regionally by addressing environmental, economic, and developmental practices that impede development and are unsustainable.*

This annex provides guidance on the agency's efforts to pursue the second of these two goals at the country level.

In USAID's core "sustainable development countries" we will pursue three environmental objectives:

- *Safeguarding the environmental underpinnings of broad-based economic growth;*
- *Protecting the integrity of critical ecosystems; and*
- *Ameliorating and preventing environmental threats to public health.*

(Examples are provided in the main body of these guidelines under "Key Factors in the Environment.")

In identifying environmental strategic objectives at the country level, USAID will assess the full range of environmental and natural resource threats and seek to prioritize them against these three objectives. Section C of this annex provides guidance for setting priorities.

USAID pursues its global environmental goals (conservation of biodiversity and mitigation of global climate change) in selected "key" countries, as described in *Strategies for Sustainable Development* and in the main body of these guidelines. This annex does not address these global goals. Separate guidance on USAID's climate change activities can be found in our June 1994 report to Congress, *Global Climate Change: The USAID Response*. PPC and G/ENV intend to provide subsequent strategic guidance on biodiversity.

B. Indicators of Environmental Degradation

The main body of these guidelines identifies "Key Factors in the Environment" that indicate severe environmental degradation. These indicators correspond to the three environmental objectives described above. Where any of these factors are present, USAID will give serious consideration to programmatic interventions that seek to address their root causes.

Many of these factors in many countries are not currently measured. Expert judgement will often be required in lieu of actual data. Moreover, these guidelines include only a limited number of illustrative indicators. For example, measures of fecal coliform concentrations are only one of many indicators of water quality. Again, these indicators should be taken as illustrative and should be applied along with others on a case-by-case basis using expert judgement.

Where data is limited, missions, with support from G/ENV, should seek to work with host country counterparts and other donors to strengthen empirical understanding of these factors through strategically targeted research. For example, research efforts in environmental accounting can produce rough estimates of GDP losses from environmental degradation, which can aid policy-making and priority-setting by host countries, USAID, and other donors.

C. Setting Priorities

USAID, in its core "sustainable development countries," will pursue the three environmental objectives described above by addressing the root causes of high-priority environmental problems that can be effectively and sustainably impacted by our assistance. In preparing country strategies, missions, with support from G/ENV, will assess the full range of environmental threats and identify priorities using the integrated assessment approach outlined below. Where possible, USAID should support priorities identified by host country governments, NGOs, and other donors through participatory processes, such as National Environmental Action Plans. At minimum, relevant government agencies and a broad range of NGOs should be involved in USAID's priority-setting exercise.

USAID missions are expected to evaluate -- at least qualitatively -- the severity of environmental problems in terms of the three environmental objectives identified above. Environmental strategic objectives in country strategic plans must relate to at least one of the three objectives. Country strategic plans must also describe how a chosen priority relates to the activities of other donors and how sustainable impacts can be assured through domestic policies, priorities, and resource allocations. If a mission concludes that it cannot pursue an environmental strategic objective, it should consider opportunities to address priority environmental issues through its pursuit of strategic objectives in other sectors (e.g. support for environmental advocacy NGOs, support for economic policy reforms that encourage sustainable management of natural resources).

USAID regional bureaus may prepare regional strategies that provide further guidance for country strategic plans. Regional strategies should also demonstrate an integrated response to the three objectives described above -- safeguarding the environmental underpinnings of broad-based economic growth; protecting the integrity of critical ecosystems; and preventing environmental threats to public health.

Missions' assessments of environmental priorities should include the following three steps: (1) assess the relative severity of environmental problems according to USAID's three country-level environmental objectives; (2) evaluate the potential effectiveness and sustainability of strategies available to address these problems; and (3) identify USAID's best opportunities for sustainable impact. These steps should be regarded as sequential screens that result in the identification of priority environmental problem areas that USAID can address effectively and sustainably. This analysis should form the basis for the selection of environmental strategic objectives in country strategic plans.

Guidelines for this three-step analysis follow. Missions are encouraged to experiment and adapt this analytical framework to serve their needs and circumstances.

Step 1: Assess the relative severity of environmental problems according to USAID's three country-level environmental objectives.

Setting country-level environmental priorities begins with an assessment of which environmental problems represent the most severe threats to economic growth, critical ecosystems, and public health. The nature of this assessment can range from a quick and inexpensive synthesis of existing information, stakeholder opinion, and professional judgement, to a formal comparative environmental risk assessment including targeted research. USAID country assessments will likely fall in between these two extremes, involving a multi-week focussed assessment by an inter-disciplinary team of experts, but typically not involving new research. In any case, the relative severity of environmental problems will typically be classified no more precisely than "high," "medium," "low," "tolerable," or "uncertain."

Figure 1 presents a suggested format for assessing the severity of environmental problems according to USAID's three environmental objectives. The examples of environmental impacts

and their levels of severity are only illustrative, and the cutoffs between problem classes (high, medium, low, tolerable) are somewhat arbitrary. Thus, the scheme is not intended to be followed rigidly but should assist missions in constructing their own frameworks to prioritize among disparate environmental issues.

Environmental problems classified "high" under all three objectives would rank highest in an integrated assessment, followed by those ranked "high" under two objectives, and so on. As a general rule, a problem ranked "high" under any single objective or as intolerable (high, medium, or low) under more than one objective should be thoughtfully considered. Missions may also want to weight certain problems according to their impacts on particular human populations (e.g. women, indigenous peoples, the poor) or productive sectors (e.g. leading exports, major food crops) of special interest to USAID or the mission.

The relative severity of problems need not necessarily dictate environmental priorities and assistance strategies. Some severe problems may be intractable or so costly to ameliorate that greater environmental benefits may flow from tackling problems of lesser magnitude. Conversely, some problems may rank low in severity precisely because prior investments in environmental management have been effective. Maintaining such investments may thus be judged a high priority. Finally, assessing the relative severity of environmental problems should not dictate the strategic means of assistance (e.g., human resource development, institutional capacity building, policy reform, technology transfer, etc.). These considerations should be addressed in the subsequent two steps of the analysis.

Step 2: Evaluate the potential effectiveness and sustainability of strategies available to address the most severe problems.

The purpose of this step is to identify the major problems that may be addressed most effectively and sustainably, beginning with an evaluation of the environmental problems classified as most severe. This analysis will rely on the technical judgement of USAID's assessment team and their consultations with relevant in-country stakeholders. Consideration should be given to technical, institutional, policy, political, social, financial, and other constraints in the host country environment. The chapter on "Protecting the Environment" in *Strategies for Sustainable Development* and G/ENV's strategic plan both provide general guidance on the types of interventions appropriate for different environmental priorities (sustainable agriculture, urban and industrial pollution, energy, natural resources management). Subsequent guidance may clarify and update existing policies and guidance on programmatic approaches to these issues.

Cost-effectiveness may be considered as a criterion for comparing available strategies to address competing environmental priorities of similar severity. However, environmental planning should not be held hostage to present costs of environmental protection since, in many cases, the cost-effectiveness of environmental management will improve over time as the learning curve rises. Missions should pay particular attention to the sustainability of alternative strategies from financial, institutional, and political perspectives.

Step 3: Identify USAID's best opportunities for sustainable impact.

The final step in the assessment process focusses on USAID's comparative advantages in addressing competing environmental priorities. Mission staff, in consultation with USAID/W, will need to take primary responsibility for this step. Missions should evaluate USAID's technical capabilities to address the priorities that emerge from the first two levels of analysis (severe environmental problems that can be effectively and sustainably addressed). This evaluation should also include consideration of the existing and planned programs of other donors and their comparative advantages.

II. ENVIRONMENTAL PROCEDURES

The Environmental Strategy Paper states that "USAID will strengthen its institutional capacity to ensure that all Agency-supported efforts, whether projects or program-related investments, are environmentally sound. Where necessary, it will require mitigating measures or project redesign. Ensuring the environmental soundness of every USAID program, project, and activity is a prerequisite for sustainable development. It is also a legal obligation under the agency's regulations.¹

A. Goals and Approaches

These regulations will continue to provide the legal and policy framework to ensure that all activities undergo appropriate environmental analysis. Environmental officers and advisors will provide leadership and technical expertise, but responsibility for the success of the process will belong to every officer in the agency. Environmental work will continue to be done at the earliest practical point in the project identification and design process and be fully integrated. This allows for full integration of environmental and other project objectives and minimizes possible delays in project approval. While not formally required in USAID's regulations, the agency as a matter of policy will pay particular attention to ensuring the development, implementation and monitoring of appropriate plans to mitigate environmental impacts. Similarly, while not required under USAID's regulations, the agency will seek to undertake environmental analysis at the programmatic and sector level.

USAID will seek to assist host governments in creating the capacity to undertake high quality environmental impact assessments (EIA) of all development programs. USAID's country strategies will examine opportunities and where feasible support activities to strengthen local laws and regulations on EIA, train regulatory officials in EIA techniques, and strengthen public participation in the EIA and project design process. USAID will use its own environmental assessments (EAs) and environmental impact statements (EISs), where required, as models and training opportunities. USAID will also seek to assist other donors and lending institutions to strengthen their EIA procedures with a goal of helping them to match USAID's own standards. Weak environmental procedures within other donor agencies and lending institutions undercuts the efforts of USAID's and its partners. Absolute harmonization of EIA standards would be unworkable, and probably unwise. However, comparable standards are essential.

USAID will strengthen public participation in the EIA process, in keeping with the agency's strengthened commitment to participation and democracy. USAID will ensure that interested and affected peoples -- both women and men -- are consulted in the process of

¹ 22 CFR § 216 codifies USAID's procedures "to ensure that environmental factors and values are integrated into the A.I.D. decision making process." These regulations are consistent with Executive Order 12114 ("Environmental Effects Abroad of Major Federal Actions") and with the purposes of the National Environmental Policy Act (NEPA).

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Figure 1. Suggested format for assessing the severity of environmental problems.

| Hazard Level | Potential Consequences | | | Certainty/Frequency of Occurrence | | | |
|--------------|--|---|---------------|-----------------------------------|------------------------|----------------|---------------------|
| | Human Health | Ecosystem Damage | Monetary Loss | High Repeatable | Moderate Several Times | Low Occasional | Remote but Possible |
| Catastrophic | Hi mortality (5% total life-years lost), prolonged epidemic, widespread injury | Complete, irreversible loss of critical habitat or critical ecosystem function | >5% GDP | | | | |
| Critical | Moderate mortality (2-5% total life-years lost), hi illness or injury (5% total) | Widespread conversion of critical habitat, loss of keystone ⁱ species, substantially impaired ecosystem function | 2-5% GDP | | | | |
| Marginal | Low mortality (1-2% total life-years lost), moderate illness or injury (2-5% total) | Moderate but reversible degradation of critical habitat or ecosystem function | 1-2% GDP | | | | |
| Negligible | Negligible mortality (<1% total life-years lost), low illness or injury (2-5% total) | Alteration of noncritical habitat, slight or quickly reversible damage to few species or ecosystem function | <1% GDP | | | | |

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preparing EAs and EISs and that they have an opportunity to review and comment on the draft document prior to final approval by the Bureau Environmental Officer. USAID will also seek to consult with and provide draft environmental documentation to interested parties in the U.S.

President Clinton has asked the National Security Council in PRD-23 to chair an inter-agency review of the Administration's policy on the applicability of the National Environmental Policy Act (NEPA) to Federal actions abroad. NEPA provides the statutory framework for EIA by the Federal government. USAID's own environmental procedures resulted from the 1975 settlement of a lawsuit concerning the agency's compliance with NEPA. PPC is representing USAID in the inter-agency process under PRD 23 and will take the lead on any changes that may be needed in 22 CFR § 216 as a result of this review.

B. Institutional Responsibilities

Responsibility for USAID's environmental procedures will be shared among missions, regional bureaus, G, BHR, PPC, GC and other operational units that manage programs, projects, or activities:

- Missions and other operational units will continue to be responsible for compliance with the environmental procedures in the activities that they manage. After approval of environmental documentation, Missions will be responsible for implementation of any resulting decisions or mitigation measures. Missions will also assess compliance with the environmental procedures in all interim and final project evaluations.
- Each regional bureau, G, and BHR will appoint a Bureau Environmental Officer to oversee, and provide technical support for, compliance with the procedures, and to approve environmental documentation pursuant to the procedures.
- PPC will oversee implementation of the procedures across bureaus and resolve disputes or other issues concerning the procedures.
- GC will appoint an attorney to be the agency's principal legal advisor on 22 CFR § 216.22.

Annex E

State 032584: Guidance for Preparation of Background Assessments of Biological Diversity and Tropical Forests for Use in CDSSs or Other Country Plans

ORIGIN AID-00

ORIGIN OFFICE PDPR-01

INFO ARAF-03 AFEA-03 AFSA-03 AFFU-04 AFCV-03 AFDP-06 AMPO-05
 AALA-01 LACE-02 LASA-02 GC-01 GCAF-01 GCCN-02 STFM-02
 SAST-01 ES-01 ANGE-03 RELO-01 LACA-03 ANEA-02 ANEG-02
 AKSA-01 ANSA-03 /056 R2 1004

INFO LDC-00 EUR-00 AF-00 IO-10 NEA-04 ARA-00 EAP-00
 /#23 R

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AID/ST/FHR: MKUX (DRAFT) AID/AA/LAC: DIX (DRAFT)

AID/AFR/DP/PP: GCASHION (DRAFT) AID/AFR/GC: MWARD (DRAFT)

AID/ES: GJOE

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E.O. 12356: N/A

SUBJECT: GUIDANCE FOR PREPARATION OF BACKGROUND
 ASSESSMENTS ON BIOLOGICAL DIVERSITY AND TROPICAL FORESTS
 FOR USE IN CDSOS OR OTHER COUNTRY PLANS

REF: (U) STATE 118324

1. SUMMARY

1986 AMENDMENTS TO SECTIONS 118 (TROPICAL FORESTS) AND 119 (BIOLOGICAL DIVERSITY) OF THE FOREIGN ASSISTANCE ACT (FAA) REQUIRE THAT CDSOS OR OTHER COUNTRY PLANS INCLUDE AN ANALYSIS OF (A) THE ACTIONS NECESSARY IN THAT COUNTRY TO CONSERVE BIOLOGICAL DIVERSITY AND TROPICAL FORESTS AND (B) THE EXTENT TO WHICH CURRENT OR PROPOSED AID ACTIONS (IF ANY EXIST IN THAT COUNTRY) MEET THOSE NEEDS. IN COUNTRIES WHERE NECESSARY INFORMATION FOR PREPARATION OF THE CDSOS OR OTHER COUNTRY PLAN IS NOT AVAILABLE, MISSION MAY ELECT TO SUPPORT A BACKGROUND ASSESSMENT ON TROPICAL FORESTS AND BIOLOGICAL DIVERSITY. THIS CABLE PROVIDES GUIDANCE AND A POTENTIAL MODEL FOR CONDUCTING SUCH A BACKGROUND ASSESSMENT.

2. INTRODUCTION

PPC RECENTLY ISSUED GUIDANCE ON THE NEW STATUTORY REQUIREMENT FOR MISSIONS TO ADDRESS BIOLOGICAL DIVERSITY AND TROPICAL FOREST CONSERVATION IN THEIR CDSOS AND OTHER COUNTRY PLANS (REFERENCE A). IN RESPONSE, A NUMBER OF CDSOS AND OTHER COUNTRY PLAN TREATMENTS OF BIOLOGICAL DIVERSITY AND TROPICAL FORESTS HAVE BEEN RECEIVED BY AID/V IN A RANGE OF FORMATS AND LEVELS OF DETAIL.

IN MANY COUNTRIES, SUFFICIENT INFORMATION MAY NOT BE AVAILABLE TO COMPLETE THE CDSOS OR OTHER COUNTRY PLAN SECTION ON BIODIVERSITY AND TROPICAL FORESTRY. IF SUFFICIENT INFORMATION IS NOT AVAILABLE, THE AGENCY'S BIOLOGICAL DIVERSITY WORKING GROUP RECOMMENDS, WHERE APPROPRIATE, PREPARATION OF A COMBINED BIODIVERSITY/TROPICAL FORESTRY BACKGROUND ASSESSMENT. SUCH BACKGROUND ASSESSMENTS SHOULD PROVIDE THE BASIS FOR THE REQUIRED BIODIVERSITY/TROPICAL FORESTRY SECTION IN MISSION CDSOS AND OTHER COUNTRY PLANS. THE BACKGROUND

ASSESSMENT SHOULD ALSO IDENTIFY NEEDS AND PRIORITY ACTIONS IN ASSISTED COUNTRIES, AND BE USEFUL TO OTHER DONORS, THE HOST COUNTRY GOVERNMENT (MCG) AND NGOs IN ESTABLISHING PRIORITIES AND IDENTIFYING OPPORTUNITIES FOR SUPPORTING BIOLOGICAL DIVERSITY ACTIVITIES. THE CDSOS OR OTHER COUNTRY PLAN SECTION ON BIOLOGICAL DIVERSITY AND TROPICAL FORESTS SHOULD SUMMARIZE THE MAJOR ISSUES IDENTIFIED BY THE BACKGROUND ASSESSMENT OR ANALYSIS AND RECOMMEND REMEDIAL ACTIONS, AS APPROPRIATE, THAT MAY BE TAKEN. IN REVIEWING ACTIONS THAT MAY ADDRESS ISSUES IDENTIFIED IN THE BACKGROUND ASSESSMENT, MISSION SHOULD GIVE SPECIAL CONSIDERATION TO THOSE THAT CAN BE UNDERTAKEN BY THE PRIVATE SECTOR (INCLUDING PVOS AND NGOs), OR IN COLLABORATION WITH THE PEACE CORPS, AND THAT CAN BE FINANCED BY LOCAL CURRENCY.

IT MUST BE EMPHASIZED THAT THIS CABLE IS TO PROVIDE GUIDANCE AND A POTENTIAL MODEL TO MISSIONS IN COMPLETING OR IN CONTRACTING TO COMPLETE A BACKGROUND ASSESSMENT. THE ILLUSTRATIVE SCOPE OF WORK PROVIDED BELOW IS NOT, REPEAT, NOT INTENDED AS A MINIMUM REQUIREMENT FOR ALL MISSIONS, BUT IS ONLY SUGGESTIVE OF THE TYPE OF INFORMATION THAT WOULD BE COLLECTED IF POSSIBLE, AND ANALYZED IF AVAILABLE. THIS INFORMATION MAY FACILITATE PREPARATION OF THE REQUIRED CDSOS OR OTHER COUNTRY PLAN SECTIONS. MISSIONS ARE ASKED TO COMPILE ONLY AS MUCH OF THE INFORMATION AS FEASIBLE. TO PREVENT REPETITION OF

EFFORT, EXISTING INFORMATION SHOULD BE USED WHEREVER POSSIBLE.

THE LEVEL OF EFFORT FOR RECENT BACKGROUND ASSESSMENTS HAS BEEN ON THE ORDER OF 6 TO 12 PERSON-WEEKS AT A COST OF UP TO U.S. DOLLARS 30,000. FUNDING FOR THESE ASSESSMENTS SHOULD IN MOST CASES BE PROVIDED BY MISSIONS. HOWEVER, ASSISTANCE FROM AID/V CAN BE DISCUSSED ON A CASE BY CASE BASIS.

FINALLY, ALTHOUGH SECTIONS 118 AND 119 REQUIRE ONLY THAT THE CDSOS OR OTHER COUNTRY PLAN INCLUDE AN ANALYSIS OF (A) THE ACTIONS NECESSARY IN THAT COUNTRY TO CONSERVE BIOLOGICAL DIVERSITY AND TROPICAL FORESTS AND (B) THE EXTENT TO WHICH CURRENT OR PROPOSED AID ACTIONS MEET THOSE NEEDS, THE BIOLOGICAL DIVERSITY WORKING GROUP RECOMMENDS THAT THE CDSOS OR OTHER COUNTRY PLAN ANALYSIS ALSO SUMMARIZE THE MAJOR ISSUES IDENTIFIED IN THE BACKGROUND ASSESSMENT AND RECOMMEND ACTIONS THAT THE MISSIONS AND AID/V SHOULD CONSIDER. SPECIAL ATTENTION SHOULD BE GIVEN TO THE PRIVATE SECTOR INCLUDING NGOs, THE USE OF LOCAL CURRENCIES, AND COLLABORATION WITH THE PEACE CORPS. A SUMMARY OF THE BIOLOGICAL DIVERSITY/TROPICAL FORESTRY SECTIONS OF THE CDSOS OR OTHER COUNTRY PLAN WILL BE PROVIDED TO CONGRESS.

3. FUNDING FOR BIODIVERSITY PROJECTS

MISSIONS SHOULD BE AWARE THAT THE AGENCY IS COMMITTED TO OBLIGATING U.S. DOLLARS 4.5 MILLION FOR BIOLOGICAL DIVERSITY IN FY 88. ALTHOUGH A PORTION OF THIS IS PROGRAMMED THROUGH OTHER MECHANISMS, LAC AND ANE COULD HAVE APPROXIMATELY U.S. DOLLARS 500,000 AVAILABLE FOR BIODIVERSITY, ADDITIVE TO BUREAU OYES. AFR FUNDING IS STILL UNDER REVIEW. FUNDS WILL BE DISBURSED IN A MANNER SIMILAR TO FY 87. MISSIONS SHOULD COMMUNICATE WITH REGIONAL BUREAU ENVIRONMENTAL OFFICERS ABOUT PROJECTS WORTHY OF SUPPORT AS SOON AS POSSIBLE. AMONG OTHER RESTRICTIONS, THIS REGIONAL BUREAU MONEY MAY NOT BE USED TO FUND EXISTING PROJECTS AND SHOULD BE MATCHED WITH NONA.I.D. SOURCE FUNDS.

UNCLASSIFIED

4. THIS GUIDANCE AND POTENTIAL MODEL IS PROVIDED TO ALL MISSIONS FOR THEIR INFORMATION, BUT IS INTENDED MORE SPECIFICALLY FOR THOSE THAT WILL SUBMIT THEIR COSS OR OTHER COUNTRY PLAN IN FY88, OR THAT WILL PROVIDE ANNEXES TO DOCUMENTS SUBMITTED IN FY87, AND THEREBY MEET THE REQUIREMENTS OF FAA SECTIONS 112/119. IN AHE AND LAC,

MISSIONS THAT HAVE NOT YET COMPLETED THEIR COSS OR OTHER COUNTRY PLAN TREATMENT OF FAA SECTIONS 112/119 ARE:

ASIA BUREAU: BANGLADESH, BURMA, AND INDIA,

LAC BUREAU: BOLIVIA, COSTA RICA, DOMINICAN REPUBLIC, ECUADOR, EL SALVADOR (FORESTRY), GUATEMALA, HAITI, AND HONDURAS.

5. FYI, AID/W RECORDS SHOW THAT THE FOLLOWING MISSIONS HAVE COMPLETED, ARE CONDUCTING, OR HAVE SCHEDULED THE REQUIRED COSS OR OTHER COUNTRY PLAN ANALYSIS OF BIOLOGICAL DIVERSITY AND TROPICAL FORESTS:

AFR: MADAGASCAR, NIGER, RWANDA, AND SUDAN

AHE: EGYPT, INDONESIA, JORDAN, MOROCCO, NEPAL, OMAN, PAKISTAN, PHILIPPINES, SOUTH PACIFIC, SRI LANKA, THAILAND, TUNISIA, AND YEMEN.

LAC: BELIZE, EL SALVADOR (BIODIVERSITY), HONDURAS, JAMAICA, PANAMA, PERU, AND RDO/C.

SHOULD THE INFORMATION IN PARAS 3 AND 4 BE INCORRECT, PLEASE ADVISE ASAP.

6. AFRICA-SPECIFIC INFORMATION. THE AGENCY RECOGNIZES THAT THE AFRICA BUREAU'S PROGRAMMATIC CATEGORY 3 MISSIONS DO NOT SUBMIT EITHER A COSS OR AN ACTION PLAN. THIS DOES NOT DEVIATE THE NEED TO MEET THE REQUIREMENTS OF THE LEGISLATION. HOWEVER, THE GUIDANCE AND POTENTIAL MODEL PROVIDED HEREIN MAY NOT BE APPROPRIATE FOR THESE MISSIONS. NEVERTHELESS, PROGRAMMATIC CATEGORY 3 MISSIONS SHOULD SUBMIT AN ANNEX TO THEIR 10 PAGE COUNTRY PROGRAM STATEMENT. THIS STATEMENT SHOULD INDICATE, TO THE EXTENT POSSIBLE, AND FROM THE BEST INFORMATION AVAILABLE, THE ACTIONS NEEDED IN THAT COUNTRY TO CONSERVE BIOLOGICAL DIVERSITY AND TROPICAL FORESTS, AND INDICATE CURRENT OR PROPOSED ACTIVITIES THAT MEET THOSE NEEDS.

7. ASSISTANCE AVAILABLE FROM AID/W

A NUMBER OF COUNTRIES NOW HAVE LOCAL ORGANIZATIONS THAT CAN BE CONTRACTED TO UNDERTAKE THESE BACKGROUND ASSESSMENTS. ALSO, THERE ARE TWO ENVIRONMENTAL IQCS AND OTHER U.S. MECHANISMS FOR UNDERTAKING SUCH STUDIES.

SUPPLEMENTARY SHORT-TERM TECHNICAL ASSISTANCE TO MISSIONS FOR THESE ASSESSMENTS IS AVAILABLE FROM A

NUMBER OF SOURCES:

FIELD AND AID/W ENVIRONMENTAL AND NATURAL RESOURCES STAFF OF REGIONAL BUREAUS AND THEIR SUPPORT PROJECTS. BUREAU FOR SCIENCE AND TECHNOLOGY TECHNICAL SUPPORT PROJECTS WHICH INCLUDE:

ENVIRONMENTAL PLANNING AND MANAGEMENT PROJECT (#365517; ST/FENR WITH IIED)

FOREST RESOURCES MANAGEMENT PROGRAM (FORESTRY SUPPORT PROGRAM), (#36-5519; ST/FENR WITH USDA)

BIOLOGICAL DIVERSITY CONSERVATION PROJECT (#265534; ST/FENR WITH IIED)

DESFIL, FRAGILE LANDS PROJECT (IN LAC ONLY);

IN SOME COUNTRIES, FOR EXAMPLE IN MOROCCO AND TUNISIA, BACKGROUND ASSESSMENTS HAVE BEEN PREPARED IN COOPERATION WITH THE PEACE CORPS.

ASSISTANCE WOULD INCLUDE TOYS AND CONSULTANT SERVICES, AND HELP IN IDENTIFYING AND PROVIDING BACKGROUND INFORMATION, SUCH AS COUNTRY ENVIRONMENTAL PROFILES, NATIONAL CONSERVATION STRATEGIES, AND FORESTRY SECTOR REVIEWS. ASSISTANCE MAY ALSO BE PROVIDED IN CONDUCTING LITERATURE REVIEWS AS THE BASIS FOR FIELD WORK. FUNDING SOURCES FOR THIS ASSISTANCE (AID/W, PROJECT, OR MISSION) WILL BE DISCUSSED ON A CASE BY CASE BASIS.

8. ILLUSTRATIVE SCOPE OF WORK

THE FOLLOWING RECOMMENDED OUTLINE FOR THE BACKGROUND ASSESSMENT FOCUSES ON THE GATHERING OF EXISTING DATA AND INFORMATION TO REVIEW THE STATUS OF BIOLOGICAL DIVERSITY AND TROPICAL FOREST CONSERVATION IN MOST COUNTRIES. THE BACKGROUND ASSESSMENT SHOULD IDENTIFY NEEDS AND PRIORITIES FOR FUTURE BIOLOGICAL DIVERSITY AND TROPICAL FOREST CONSERVATION ACTIONS BY AID, OTHER DEVELOPMENT ASSISTANCE DONORS, THE HOST-COUNTRY GOVERNMENT, AND THE NONGOVERNMENTAL CONSERVATION COMMUNITY. THE IDENTIFICATION OF NEEDS AND PRIORITIES SHOULD BE AS COMPREHENSIVE AS POSSIBLE, KEEPING IN MIND THAT THE AGENCY IS NOT COMMITTED TO MEETING ALL OF THE NEEDS IDENTIFIED.

AGAIN, IT IS EMPHASIZED THAT THIS ILLUSTRATIVE SCOPE OF WORK IS INTENDED ONLY AS A SUGGESTIVE MODEL TO HELP THE MISSION IDENTIFY THE TYPE OF INFORMATION THAT SHOULD BE

GATHERED AND ANALYZED IF POSSIBLE.

A. INTRODUCTION

THE BIOLOGICAL DIVERSITY AND TROPICAL FOREST CONSERVATION ASSESSMENT SHOULD DESCRIBE THE HOSTCOUNTRY'S BIOLOGICAL RESOURCES, EVALUATE THEIR STATUS, IDENTIFY PRESSURES AFFECTING THOSE RESOURCES, AND PROPOSE COST-EFFECTIVE AND IMPLEMENTABLE ACTIONS WHICH CAN BE TAKEN TO ASSURE THE SUSTAINABLE USE OF THOSE RESOURCES. EXPERIENCE HAS SHOWN THAT AN EFFECTIVE WAY TO CONDUCT THE BIOLOGICAL DIVERSITY/TROPICAL FORESTRY ASSESSMENT IS, IN THE FIRST PHASE, TO COLLECT RELEVANT BACKGROUND INFORMATION AND REPORTS. THIS INFORMATION IS MOST USEFUL IF IT IS SUMMARIZED AND AVAILABLE BEFORE THE ARRIVAL OF THE ASSESSMENT TEAM. AID/W ASSISTANCE IDENTIFIED IN PARAGRAPH 7 CAN BE USED IN THIS PRELIMINARY PHASE. THE ASSESSMENT SHOULD INCLUDE PARENTHETICAL REFERENCES TO THE SOURCES OF ALL INFORMATION AND A BIBLIOGRAPHY.

B. OUTLINE

THE SCOPE OF WORK FOR THE BIOLOGICAL DIVERSITY AND TROPICAL FOREST ASSESSMENT FOR EACH COUNTRY SHOULD INCLUDE, BUT NOT BE LIMITED TO, ITEMS IDENTIFIED IN THE OUTLINE PROVIDED BELOW. WHILE ALL OF THE INFORMATION OUTLINED BELOW WOULD BE DESIRABLE, IT IS UNDERSTOOD THAT MISSIONS MAY NEED TO MODIFY THE OUTLINE IN RESPONSE TO ACTUAL INFORMATION AVAILABLE AND INSTITUTIONAL STRUCTURE IN MOST COUNTRIES, AND MAY WISH TO UPDATE IT IN THE FUTURE.

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9. DETAILS FOR SPECIFIC SECTIONS OF THE ABOVE OUTLINE

A. INTRODUCTION

THIS SECTION OF THE ASSESSMENT WILL PROVIDE AN OVERVIEW OF THE INFORMATION AVAILABLE AND USED IN THE ASSESSMENT. IT SHOULD IDENTIFY SIGNIFICANT GAPS IN INFORMATION ON THE STATUS AND MANAGEMENT OF BIOLOGICAL DIVERSITY AND TROPICAL FOREST RESOURCES IN THE HOST COUNTRY.

B. LEGISLATIVE AND INSTITUTIONAL STRUCTURE:

THE BACKGROUND ASSESSMENT SHOULD INCLUDE A REVIEW OF THE CURRENT LEGISLATIVE INSTITUTIONAL STRUCTURE FOR THE MANAGEMENT OF BIOLOGICAL DIVERSITY AND TROPICAL FORESTS. THIS REVIEW SHOULD INCLUDE A DESCRIPTION OF MAJOR ORGANIZATIONS, BOTH PUBLIC AND PRIVATE, WHICH HAVE A ROLE IN THIS PROCESS.

(1.) HOSTCOUNTRY GOVERNMENT

THE BACKGROUND ASSESSMENT SHOULD INCLUDE A REVIEW OF THE LEGISLATIVE BASIS, BOTH NATIONAL AND LOCAL, FOR THE PROTECTION AND MANAGEMENT OF BIOLOGICAL RESOURCES, INCLUDING TROPICAL FORESTS, IN THE HOSTCOUNTRY. THIS SHOULD INCLUDE A REVIEW OF INTERNATIONAL TREATIES AND AGREEMENTS WHICH HAVE BEEN RATIFIED BY HCG (CITES, RAMSAR, ETC.) AND THE EFFECTIVENESS OF NATIONAL IMPLEMENTATION. A DESCRIPTION SHOULD BE PROVIDED OF THE INSTITUTIONS RESPONSIBLE FOR BIOLOGICAL DIVERSITY AND

TROPICAL FOREST ISSUES, AND MANAGEMENT OF ALL NATURAL RESOURCES, WITHIN THE HCG. IT SHOULD ASSESS THE INTEREST AND COMMITMENT OF THE GOVERNMENT TO THE CONSERVATION OF BIOLOGICAL DIVERSITY AND TROPICAL FORESTS, AND SUMMARIZE HCG FUNDING DIRECTED TOWARD THESE ISSUES. NOTE WHETHER ENVIRONMENTAL PROFILES OR NATIONAL CONSERVATION STRATEGIES HAVE BEEN PRODUCED OR ARE CURRENTLY UNDERWAY.

(2.) NONGOVERNMENTAL ORGANIZATIONS

THIS SECTION SHOULD INCLUDE A DESCRIPTION OF MAJOR ORGANIZATIONS, BOTH PUBLIC AND PRIVATE, WHICH HAVE A ROLE IN CONSERVING BIOLOGICAL DIVERSITY AND TROPICAL FORESTS AND THE LEVELS OF FUNDING THEY CONTRIBUTE TOWARD THIS ISSUE.

(3.) AID, OTHER DONORS AND INTERNATIONAL ORGANIZATIONS

THIS SECTION SHOULD INCLUDE A DESCRIPTION OF OTHER DONORS AND MAJOR INTERNATIONAL ORGANIZATIONS, BOTH INDIGENOUS AND EXTERNAL, WHICH HAVE A ROLE IN CONSERVING BIOLOGICAL DIVERSITY (INCLUDING TROPICAL FORESTS) AND THE LEVELS OF FUNDING THEY RECEIVE OR CONTRIBUTE TOWARD THIS ISSUE. THEIR RELATIONSHIP WITH THE GOVERNMENT, MEMBERSHIP, AND PRINCIPAL PROGRAMS SHOULD BE IDENTIFIED.

C. STATUS AND MANAGEMENT OF PROTECTED AREAS

THIS SECTION SHOULD INCLUDE AN INVENTORY OF DECLARED AND PROPOSED NATIONAL PARKS, WILDLIFE REFUGES, FOREST RESERVES, SANCTUARIES, HUNTING PRESERVES AND OTHER PROTECTED AREAS. THE GOVERNMENT AGENCY OR NONGOVERNMENTAL ORGANIZATION CONTROLLING EACH OF THE TYPES OF PROTECTED AREA SHOULD BE IDENTIFIED. A COUNTRY MAP WITH THE LOCATION OF ALL EXISTING AND PROPOSED PROTECTED AREAS WOULD BE USEFUL. AN ASSESSMENT SHOULD BE MADE OF THE EFFECTIVENESS OF THESE AREAS IN

PROTECTING PLANT AND ANIMAL RESOURCES, AND OF THEIR IMPORTANCE TO HOSTCOUNTRY'S ECONOMY (E.G. FOR PROVIDING TOURIST OPPORTUNITIES OR FOR PROTECTING IMPORTANT WATERSHEDS). AN ANALYSIS OF THE MANAGEMENT EFFECTIVENESS IN THESE AREAS SHOULD BE INCLUDED.

D. STATUS AND PROTECTION OF ENDANGERED SPECIES

THIS SECTION SHOULD INCLUDE AN INVENTORY OF RARE AND ENDANGERED SPECIES FOUND IN HOST-COUNTRY AND ITS TERRITORIAL WATERS. IT SHOULD IDENTIFY THEIR CRITICAL HABITATS AND EVALUATE PRESSURES ON THESE HABITATS. IT SHOULD REVIEW EFFORTS WHICH HAVE BEEN ADOPTED FOR PROTECTION OF THESE SPECIES AND THEIR HABITATS AND ASSESS THEIR EFFECTIVENESS.

E. CONSERVATION OUTSIDE OF PROTECTED AREAS

THIS SECTION SHOULD INCLUDE A DESCRIPTION OF CONSERVATION ACTIVITIES IN HOST-COUNTRY WHICH ARE BEING UNDERTAKEN OUTSIDE DESIGNATED PROTECTED AREAS. THIS SHOULD INCLUDE, BUT NOT BE LIMITED TO REVIEW OF THE FOLLOWING ISSUES:

(1.) MANAGED NATURAL ECOSYSTEMS

THIS SECTION SHOULD INCLUDE A DESCRIPTION OF THE MAJOR ECOSYSTEMS OF HOSTCOUNTRY AND AN ANALYSIS OF THEIR PRESENT CONSERVATION STATUS. A COUNTRY MAP (TO THE SAME SCALE AS THE PROTECTED AREA MAP) OF THE NATURAL

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VEGETATION OR HABITAT TYPES WOULD BE USEFUL. THE TEXT SHOULD REVIEW THE STATUS OF MANAGED NATURAL ECOSYSTEMS INCLUDING BUT NOT LIMITED TO:

- FOREST RESOURCES
- RANGELAND RESOURCES
- COASTAL AND MARINE RESOURCES
- WETLANDS
- AGRICULTURAL SYSTEMS

THE TEXT SHOULD INCLUDE A DISCUSSION OF THE ECONOMIC, ECOLOGICAL AND SOCIAL IMPORTANCE OF THESE ECOSYSTEMS TO HOSTCOUNTRY, IT SHOULD ADDRESS THEIR ROLE IN THE REGULATION OF EROSION, MANAGEMENT OF WATER FLOW, AND THE MAINTENANCE OF PRODUCTIVE SOILS. THE ASSESSMENT SHOULD PLACE SPECIAL EMPHASIS ON THE REVIEW OF THE FOREST RESOURCES AND WETLANDS OF HOST-COUNTRY AND DESCRIBE THEIR STATUS AND CURRENT THREATS. THE RELATIONSHIP

BETWEEN LAND OWNERSHIP PATTERNS AND EFFECTIVE CONSERVATION SHOULD BE ADDRESSED.

(2.) IMPACTS OF DEVELOPMENT PROJECTS

THE TEXT SHOULD INCLUDE A REVIEW, BY MAJOR ECOSYSTEM, OF THE IMPACTS OF INTERNATIONALLY AND LOCALLY FUNDED MAJOR DEVELOPMENT PROJECTS ON BIOLOGICAL DIVERSITY AND TROPICAL FOREST RESOURCES. THE TEXT SHOULD REVIEW THE REGULATORY FRAMEWORK CONCERNING THE IMPLEMENTATION OF DEVELOPMENT PROJECTS AS THEY AFFECT BIOLOGICAL DIVERSITY, INCLUDING TROPICAL FORESTS. THE TEXT SHOULD SPECIFY THE ENVIRONMENTAL REVIEW AND PERMITTING REQUIREMENTS OF THE HOST-COUNTRY GOVERNMENT AS THEY CONCERN MAJOR PROJECTS.

(3.) EX-SITU CONSERVATION

THIS SUBSECTION SHOULD PROVIDE A DESCRIPTION OF EX-SITU SPECIES CONSERVATION EFFORTS BEING UNDERTAKEN AND/OR PLANNED IN HOSTCOUNTRY, IT SHOULD REVIEW THE PROGRAMS OF NATURAL HISTORY MUSEUMS, HERBARIUMS, BOTANICAL GARDENS, ZOOS, AND CAPTIVE BREEDING PROGRAMS AND INCLUDE A SUMMARY OF ANY EXISTING CONSERVATION DATA BASES.

F. CONSERVATION OF ECONOMICALLY IMPORTANT SPECIES AND GERMPLOAS

THIS SECTION SHOULD PROVIDE A DESCRIPTION OF THE ACTIVITIES BEING UNDERTAKEN IN HOSTCOUNTRY FOR THE CONSERVATION OF ECONOMICALLY IMPORTANT SPECIES AND GERMPLOAS. IT SHOULD REVIEW THE STATUS OF GENE BANKS FOR CROP AND LIVESTOCK SPECIES, NATIVE SEED COLLECTION, AND ACTIVITIES BEING UNDERTAKEN TO SUPPORT THE SUSTAINED PRODUCTION OF COMMERCIALY IMPORTANT WILD PLANT AND ANIMAL SPECIES (E.G. FOR FORESTRY PRODUCTION, HUNTING, FISHING OR COMMERCIAL TRADE), AND IN-SITU CONSERVATION OF LAND RACES AND WILD RELATIVES OF IMPORTANT CROPS.

G. MAJOR ISSUES IN BIOLOGICAL DIVERSITY AND TROPICAL FOREST CONSERVATION

THIS SECTION OF THE ASSESSMENT SHOULD PROVIDE A SUMMARY OF THE MAJOR ISSUES REQUIRING ATTENTION IN ORDER TO IMPROVE THE CONSERVATION OF BIOLOGICAL DIVERSITY AND FOREST RESOURCES. THE PRESENT AND FUTURE REQUIREMENTS FOR THE DEVELOPMENT OF LOCAL INSTITUTIONS AND TRAINING, BOTH GOVERNMENT AND NONGOVERNMENTAL, SHOULD BE

ADDRESSED. ISSUES CONCERNING THE MANAGEMENT OF PROTECTED AREAS SHOULD BE REVIEWED. SPECIAL ATTENTION

SHOULD BE GIVEN TO THE PROBLEMS OF ASSURING ADEQUATE PROTECTION OF WETLANDS, COASTAL, AND MARINE ENVIRONMENT (E.G. DO EXISTING PROTECTED AREAS ENCOMPASS MOST SIGNIFICANT BIOLOGICAL RESOURCES?). AN ATTEMPT SHOULD BE MADE TO PRIORITIZE ISSUES NEEDING MOST IMMEDIATE ATTENTION.

H. RECOMMENDATIONS FOR PROPOSED ACTIONS

THIS SECTION SHOULD INCLUDE A REVIEW OF PROPOSED ACTIONS TO ADDRESS ISSUES CONCERNING BIOLOGICAL DIVERSITY AND TROPICAL FORESTS WHICH MAY BE IMPLEMENTED, WITH SUPPORT FROM AID, THE MCG, INTERNATIONAL DEVELOPMENT ORGANIZATIONS, AND LOCAL AND INTERNATIONAL NON-GOVERNMENTAL ORGANIZATIONS. RECOMMENDATIONS SHOULD BE IDENTIFIED WITH REGARD TO THEIR RELATIVE PRIORITY AND LENGTH OF IMPLEMENTATION PERIOD. IF AVAILABLE, PROPOSED ACTIONS SHALL INCLUDE A BRIEF DESCRIPTION OF THEIR OBJECTIVE AND ANTICIPATED BENEFITS. THIS SHALL INCLUDE A CONCISE ANALYSIS OF COST (FOREIGN AND LOCAL CURRENCY), IDENTIFICATION OF THE APPROPRIATE INSTITUTION(S) FOR IMPLEMENTATION, ESTIMATED IMPLEMENTATION PERIOD, AND OUTLINE REQUIREMENTS FOR INSTITUTIONAL DEVELOPMENT AND TRAINING TO ASSURE THE SUSTAINABILITY OF THE PROPOSED PROGRAM.

THIS SECTION SHOULD ALSO INCLUDE THE IDENTIFICATION AND ASSESSMENT OF THE MCG AND NGO INSTITUTIONAL AND EDUCATION AND TRAINING PROGRAMS TO PRESERVE AND AUGMENT BIOLOGICAL DIVERSITY AND TROPICAL FORESTS, ESPECIALLY WHERE ENDANGERED SPECIES ARE APPARENT. THE ASSESSMENT WILL ADDRESS PROGRAM CONSTRAINTS, INCLUDING THE NEED TO CONSIDER CONDITIONING CERTAIN ASSISTANCE UPON MCG LEGISLATIVE OR ADMINISTRATIVE ACTION IN ORDER TO OFFICIALLY DESIGNATE AND STRENGTHEN MCG COMMITMENTS FOR PROTECTED AREAS, AND FOREST CONSERVATION.

I. APPENDICES

THE ASSESSMENT SHOULD INCLUDE, BUT NOT BE LIMITED TO THE FOLLOWING APPENDICES:

- (1.) BIBLIOGRAPHY AND A LIST OF RELEVANT GOVERNMENT AGENCIES AND NGOS
- (2.) BIODATA SKETCH OF TEAM MEMBERS
- (3.) LIST OF PERSONS AND INSTITUTIONS CONTACTED

OTHER APPENDICES MAY BE ADDED AS APPROPRIATE TO THE OBJECTIVE OF THE BIOLOGICAL DIVERSITY/TROPICAL FOREST ASSESSMENT. SHULTZ

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Guidelines for National Environmental Action Plans

MOVING TOWARDS A COMPREHENSIVE FRAMEWORK FOR ENVIRONMENTAL PLANNING AND MANAGEMENT: THE NATIONAL ENVIRONMENTAL ACTION PLAN PROCESS (NEAP)

1. This memo presents a general outline of what a NEAP should consist of. It is a general model, which can be modified depending upon the individual country, its specific environmental issues and the existing institutional structures. It is meant to provide guidance for the steps which must be taken once the NEAP--a country's framework for environmental planning and management--is approved, in order for it to be implemented. Keep in mind that there is no "model" NEAP and that what is presented here is indicative.
2. The preparation of the NEAP is the responsibility of the government, though for the process to be successful, there should be broad-based input from the private sector, the NGO, university and academic communities as well as input from those local-level communities whose activities frequently have a deleterious effect on the environment. Ideally, the NEAP should originate with and be prepared by appropriate agencies within the government since its implementation will be satisfactory only if these agencies support the process.

Definition and Objectives of the NEAP

3. A NEAP analyzes a country's environmental issues in a comprehensive, multi-sectoral framework and sets forth a long-term strategy for sustainable development that does not degrade the country's natural environment. In proposing practical remedial measures, the analysis considers cross-sectoral linkages that affect renewable and non-renewable resources. It also considers the effects on human activity as well as the effects of such activity. Although the term NEAP often refers to a specific document formally designated a such, many other approaches can achieve the same objective of preparing a comprehensive environmental analysis and setting forth a long-term national public policy and investment strategy.
4. The NEAP examines the quality of the environment and the use of natural resources. It also assesses the economic and institutional issues associated with the management of these resources to enable sustainable development and the maintenance of human health and well-being. Based on the results of this analysis, the NEAP should set forth priorities and related policy recommendations in the following areas: (a) government and public awareness of environmental issues; (b) a national strategy for environmental protection; (c) specific programs and investment projects to address priority problems; (d) an information system for monitoring the state of the environment; (e) the management of natural resources, particularly endangered species and habitats; (f) the reversal of environmental degradation; and (g) protection of the public from environmental pollution and hazards.

Scope of the NEAP

5. A comprehensive NEAP would cover the following:

(a) a summary of the country's overall environmental situation relative to its development strategy. It should identify the relevant policies and legislation that provide a framework

for addressing environmental issues.

(b) an analysis of major demographic, public health and safety, cultural heritage and other sociocultural and socioeconomic factors important to the environment and resource use. Basic information on these cross-sectoral items should be required as inputs for analyses of problems and solutions proposed.

(c) an analysis of the legal and institutional framework. Legal and institutional factors for dealing with the priority problems would address key strengths and weaknesses in such areas as the regulatory and administrative framework, training and experience of civil servants, enforcement capabilities, availability of technical specialists and of education and training opportunities within the country, commitment of government to the environment, activities of NGOs and environmental awareness of private business and the general public.

(d) analysis of major development activity and trends of economic growth, resource use, and conservation. This analysis should cover major sectors--agriculture, forestry, industry, transportation, energy, housing, infrastructure, education, health and social services, mining, parks and tourism--all with special reference to the environment. The analysis should also identify specific constraints on future economic growth, including restrictions on land and water, reductions in human capital, shortages of arable land and water, limitations of skilled personnel, depletion of forests, soils, energy and other natural resources and the effects of population growth.

(e) analysis of key environmental and natural resource issues that threaten public health, social welfare, biological diversity and sustainable development. For each issue an analysis should be made of such causal factors as population pressure, improper farming methods, forced and voluntary resettlement, improper management of forests, land and other resources, price distortions or other market failures, technical insufficiencies, inadequate education and training and failure to have or to enforce pollution control measures. The relative importance of each issue should be determined in terms of its impact on sustainable development, based on quantitative analysis wherever possible.

(f) need for natural resource information management. In addition to the basic information required for the analysis of cross-sectoral problems and solutions, a NEAP would require a systematic determination of the types of data to be gathered, maintained, updated, analyzed and disseminated. The data encompass a wide variety of information from many fields, e.g., legal and fiscal cadastral systems, environmental indicators, geographic data and health records. The data have an equally wide range of applications from food security and preparedness for responding to natural disasters to erosion control and the monitoring of endangered species. The data would be generated by a broad spectrum of techniques ranging from door-to-door surveys to satellite imagery. The availability of data, difficulty of access and compilation, frequency of updating, and the cost of compilation and maintenance are all important concerns for the NEAP.

(g) strategy and recommendations for specific actions (macro, sectoral, project investment) for dealing with each of the issues identified. Specific recommendations may be required for legislation and other regulatory measures on management of land and other natural resources; economic policies that affect incentives for the private sector;

pollution control policies and administration; population and migration policies; and sectoral investment priorities.

(h) recommendation of an overall development strategy. This statement should indicate how environmental policy and investment strategies will affect the priority issues defined in the rest of the NEAP. The recommendations for the development strategy should be closely integrated with the specific recommendations for environmental protection and improvement. The recommendations should also complement those for resource management that the government believes will put the country on a path of sustainable development. The NEAP should also identify a number of programs and projects for external donor financing which will support this development strategy.

(i) a work plan or matrix. This should indicate the specific steps or timetable for carrying out all recommended actions.

Institutional Support Structures for NEAP Preparation

6. Given the frequent distribution of responsibilities for environmental issues and natural resource management throughout different sectoral ministries and technical services, preparation of an NEAP should be coordinated by a special secretariat set up with this as major responsibility. Given the cross-sectoral nature of environment protection and natural resource management, it will be difficult to assign this task to any one sectoral ministry. The NEAP secretariat should have a neutral position and be attached administratively to a higher body, such as a prime minister's or president's office, or a ministry of plan responsible for coordination of development assistance and inter-sectoral coordination. The NEAP secretariat should have a full-time coordinator to organize the work programs as well as an administrative staff. The secretariat should remain small and tightly organized. Its work should focus on bringing together the sectoral ministries, other branches of government, the private sector, the NGO and academic communities and representatives of community organizations and other local grass-roots based groups to contribute to the NEAP process through the task forces. It should function as the secretariat for the inter-ministerial coordinating committee.

7. It is useful to have an inter-ministerial coordinating council or committee, which has the authority to implement the recommendations of the secretariat and can generate cooperation across government structures. The coordinating committee would: (a) provide policy direction; (b) exercise authority for coordination through the work of the secretariat; (c) assure full government participation and commitment to the NEAP effort; (d) ensure that Cabinet remains fully and regularly briefed on NEAP progress and (e) provide high-level backup for the executive secretariat, legitimizing its interim role. The functions of this body require that it be a separate, specially constituted group, rather than another duty delegated to an existing body. The membership of the Council should include the main sectoral ministries. This group should meet at least quarterly and, whenever necessary on an ad hoc basis. It should be chaired by a high-level government official, such as a prime minister, minister of plan or a president.

8. The major responsibility of the NEAP secretariat would be to guide the preparation of the NEAP through management of individual task forces. Each task force would study selected environmental issues. They would enlist national expertise in the identification and description of natural resource management and environment protection issues and problems. They would analyse their causes, prioritize them and propose recommendations for dealing with those issues. The work of the various task forces would form the body of the NEAP and their recommendations

would provide major input to the proposed investment program for NEAP implementation. In many countries which have or are going through the NEAP process, each task force focuses on a major environmental issue or group of issues. Non-governmental participation is essential on the task forces. Major participants should include the university and academic communities, local NGOs, the private sector, local government bodies, local consultants and the civil society (including local communities, village organizations, etc.). The task forces should have designated chairmen, who could be the Permanent Secretaries of the ministries relevant to the subject of the task force, other government officials or individuals from outside the government with special expertise in the subjects under study. The NEAP secretariat would be the overall coordinator for this work, would be responsible for preparing the terms of reference for the task forces, developed in conjunction with them and with other technicians. An assessment of the local NGO capacities should be one of the early tasks of NEAP preparation, to maximize input from outside of government agencies. The NEAP secretariat would also be responsible for the final summarization of all the task force findings into the eventual NEAP document.

9. It is essential that the secretariat and the task forces bring together all relevant studies, surveys and planning efforts which have been done in the past. This includes studies such as the Tropical Forestry Action Plan (TFAP) or National Conservation Strategies (NCS). These should be critically analyzed for their potential contribution to the NEAP process, their base documents and results studied in order to avoid useless duplication of effort, and their proposed investment programs or implementation strategies integrated into the overall NEAP implementation strategy. It is critical that all the analytical work done in the different sectors with relevance to the environment be brought together and utilized in the process.

10. The process is really the most important element in developing an NEAP. The document itself should not be considered static and finished once it is printed; it should be continually revised as the NEAP is implemented, as better ways of addressing the issues become evident. The process, however, is critical to the success of the NEAP, and any actions arising from it, whether they be policy and legislative changes or project activities. The process should serve to convince those not directly involved in environment and natural resource activities, particularly those with an important deciding role within government, of the importance of natural resource and environment issues to the national development process. If this does not occur, then the results anticipated will not be readily forthcoming.

The Next Step: Preparing an Investment Program for NEAP Implementation

11. Once the NEAP document has been prepared with the consensus of all parties and has been accepted by government as the foundation for the strategy for environmental planning and management, the critical work begins. How to implement the NEAP and design a series of actions which address the issues identified during the analysis phase of the work is really the most complex part. The investment program must follow logically from the analysis contained in the NEAP and the project actions identified should correspond to the types of actions broadly identified in the NEAP as those necessary to begin tackling the priority issues.

12. The NEAP design process usually generates many project ideas, not all of which follow the strategy lines laid down in the NEAP. Given the cross-sectoral nature of the work and the input from many public sector sources, this can be expected. The initial stages of preparing the investment program consists in prioritizing the activities which will be proposed to the donor community for

funding, and retaining those which really fit the strategy of the NEAP and address priority issues.

13. It is usually during this phase of the work that issues such as the review and reform of the legislative and regulatory framework for environmental management are addressed (frequently as part of the project activity within the investment program--this also includes the regulatory guidance for environmental impact assessments) and final decisions concerning the institutional framework for environmental management are taken. Work on the investment program provides the opportunity to take a realistic look at what can and cannot be achieved within a given time frame.

14. During the development of the investment program, there should be a focus on donor coordination and support of the priorities as identified by government. The NEAP as approved provides official guidance on those areas which the government feels are priorities for action on the environmental front. Donors wishing to work in the environmental area in a given country should work within the framework established by government as a partner supporting those activities, sectors or objectives which interest them and in which they can provide specific expertise. Once a country has an NEAP, it is difficult for a donor to develop and successfully implement environment-related programs which do not respond to the issues as identified in the NEAP. Given the NEAP framework, coordinated action by the donor community is made easier: guidance exists and the donors have a plan around which to design their own programs. This can facilitate pooling of intellectual and financial resources for greater effectiveness of action. It can also ensure that government will not have to contend with a multitude of different programs with different objectives proposed for the same sector and addressing the same issues.

15. A donor roundtable is a necessary step to begin formalizing the level of support that the NEAP will attract. The roundtable, at which the NEAP will be discussed and the proposed investment program reviewed initially, will usually result in indications of interest from different donors for different actions proposed in the initial investment proposal. Once it is fairly certain which donors will be supportive and what areas interest them, they develop projects or programs in coordination with the government and along the broad policy directions outlined in the NEAP. In this way, during the roundtable process and during the in-country negotiations which follow as projects are designed, a donor coalition is created to support the NEAP. This coalition should be supported by regular in-country meeting between donors and between donors and the government agencies involved in the actions under the mantle of the NEAP. Given that the NEAP is a continuing governmental process for planning and implementation of environmental management, there is a need for permanent dialogue on the success of the varying approaches taken to address the issues.

NEAPs in Africa

16. At this point, there are over twenty countries in Africa which have either prepared or are now preparing NEAPs. Only a few have been completed and accepted by government and are under implementation. Others are still in the design stage while others are just at the point of determining how to implement the NEAP. Senegal is, therefore, part of a wider movement across the continent.

17. There is a NEAP support network in Africa, recently created at the initiative of representatives of the twenty countries now engaged in the NEAP process. This network is called the Club of Dublin (so named because the first meeting of the African managers of NEAPs was held in Dublin, Ireland in December 1990). The Club has been conceived of as an open forum to provide support to the development of NEAPs and, more generally, to contribute to full incorporation of the environment into the development process in Africa. It involves African experts in environmental strategy and planning,

distinguished thinkers and decision-makers from African governments, universities, NGOs and others drawn from the donor community. The Club particularly contributes to: (a) the sharing of experiences and views among the national teams which have been involved in NEAP processes in Africa and elsewhere; (b) the dissemination of lessons to the new teams initiating NEAPs; (c) the enhancement of NEAP quality through monitoring and evaluation; and (d) above all, the development of human resources. The Club is the environmental arm of the Global Coalition for Africa (GCA) and is coordinated by a small secretariat based in Abidjan and hosted by the African Development Bank. Financing for the activities of this secretariat is provided by UNSO and the Royal Norwegian government, under World Bank coordination. The coordinator of the Club of Dublin is Professor Abdoulaye Sawadogo of Cote d'Ivoire.

18. The Multi-Donor Secretariat (MDS) works in close coordination with the Club of Dublin secretariat in Abidjan. The MDS was established to assist African countries in the preparation and implementation of their NEAPs with a special focus on donor coordination and helping countries prepare the investment programs for financing NEAP implementation. The MDS focuses on facilitation of communication both between donors and between donors and the national agencies responsible for NEAP preparation and implementation. The MDS provides special assistance to countries grappling with institutional issues for environmental management as well as the legislative questions, drawing upon lessons from other countries in Africa which have already pondered the same issues. The MDS provides information internationally on the NEAP process in various countries, helping to stimulate interest in individual NEAPs and help the countries identify appropriate sources for financial and technical assistance for NEAP implementation. The MDS is based in Washington DC at World Bank headquarters and is supported by a grant from the US Agency for International Development.

The coordinator of the MDS is Dr. Albert Greve.

Government Priorities and Future Directions

5. GOVERNMENT PRIORITIES AND FUTURE DIRECTIONS (32)

Prior to Independence (in 1990) environmental matters were treated with very little regard in Namibia. There was a very serious lack of planning in natural resource management and water, land and wildlife were not managed sustainably. There was no mechanism in place for ensuring that the private sector utilise Namibia's resources in an environmentally responsible way. There was a lack of information, awareness and training at all levels of society and decision-makers were often poorly informed. Conservation was seen as an issue of parks and wildlife and rural people were alienated from conservation matters.

Since the creation, at the time of Independence, of a ministry in control of environmental affairs (the Ministry of Wildlife, Conservation and Tourism, subsequently re-named the Ministry of Environment and Tourism) and the Directorate of Environmental Affairs within this ministry (in 1992) there has been a very distinct and impressive attempt to address environmental concerns in a logical and comprehensive fashion. Policies, programmes and legislation are being put into place which should ensure a well managed environment in future years. However problems of poverty, population pressure, unequal land distribution and a fragile environment which has already suffered fairly severe degradation and overexploitation in places should not be under emphasised.

The Directorate of Environmental Affairs put together a "12 Point Plan for Integrated and Sustainable Environmental Management" which sets out Namibia's Environmental Management Plan from the year of Independence (1990) until 1995. These 12 points are:-

1. Constitution. The environmental clauses in the Constitution (see 4.1) establish the framework for environmental protection in Namibia.
2. Environmental policies. The development of environmental policies has been targetted by the DEA as an essential step in sound environmental management. To date a large number of important policies have been drawn up, and this is an ongoing process.
3. Environmental legislation. Namibia's environmental legislation is to receive attention in a three year programme run jointly by the Directorate of Environmental Affairs and the Office of the Attorney-General. A full time environmental lawyer has been appointed as team leader.
4. Environmental Action Plan. This is a programme which has been developed to identify priority activities within different sectors in the country that need to be developed to achieve environmentally sustainable development. The first step in this process has been completed with the publication of Namibia's Green Plan. The Green Plan highlights a number of social, environmental and cross-cutting issues that require priority attention. It identifies the main environmental issues facing Namibia and the actions required, the most important of which are given as being:-
 - helping to ensure that Namibia has clean air, water and land
 - supporting the sustainable use of natural resource
 - protecting special spaces and species
 - preserving the integrity of the Namib desert

- highlighting the importance of protecting wetlands in arid regions
 - guarding against the threat of desertification
 - promoting global environmental security
 - encouraging environmentally responsible decision-making at all levels, through information and democratisation.
5. Biodiversity Information Systems. A Biodiversity task force has been established to co-ordinate biodiversity research, monitoring, publication and activities with neighbouring countries and the international community.
 6. Partnership Programmes. Partnerships between the Ministry of Environment and Tourism and other government ministries, non-government organisations and local communities are encouraged by the development of several cross-cutting programmes.
 7. Environmental Profiles. A series of regional profiles are to be developed to facilitate properly informed planning for (a) regional land use planning, (b) industrial and infrastructural development, and (c) further development of community based natural resource management programmes
 8. Protected Area Network. A task force is to be established to evaluate the protected area network and to assess what areas need better representation and how this could be achieved. In addition integrated Park Management Plans, which integrate short and long term goals for Namibia's parks, are being drawn up.
 9. Environmental Education and Training. The Ministry of Environment and Tourism together with the Ministry of Education and Culture and various non-governmental organisations are developing a co-ordinated environmental education network. Training programmes (and related bursaries) for different levels of environmental management will also receive attention.
 10. Environmental Protection. The Directorate of Environmental Affairs has initiated an "Industries Project", aimed at collecting data on toxic and hazardous waste production, and management procedures in different industries within the country. The Directorate of Environmental Affairs is also developing a national policy and strategy relating to pollution.

The Directorate of Environmental Affairs has drawn up a national Environmental Assessment Policy for use in development projects. An Environmental Commissioner, employed by the directorate, will work within the National Planning Commission, to review projects, policies and programmes and facilitate environmental assessments.

The Directorate of Environmental Affairs also has plans to establish a national environmental auditing procedure and natural resource accounting.

11. Special Issues Programme. Projects of special importance, such as resource programmes relating to wetlands or water, or large national issues such as desertification are addressed, e.g. Ministry of Environment and Tourism, together with the Desert Research Foundation of Namibia are convening a "Desertification" programme.
- Another important programme which is to be initiated is one on "State of the Environment Reporting".

12. International Programmes. Namibia is an active participant in a wide variety of regional and global conservation programmes.

Namibia is committed to the fundamental objectives of Agenda 21, resulting from the United Nations Conference on the Environment and Development (Rio, June 1992). All the activities listed in the "12-point plan" are in direct support of these processes.

**Background on the Establishment of a National Community-
Based Natural Resource Management Program**

Approaches to the Establishment of a Communal Areas Resource Support Body

During the assessment process MET and the WWF Program Team generated a concept paper suggesting the establishment of a national coordinative and implementational CBNRM body, notionally called the Communal Areas Resource Support Institute of Namibia, or "CARMS". While it could in time incorporate some activities currently conducted by the LIFE Steering Committee, it could be different in that it would be:

- National in scope
- Multi-donor supported
- Not limited to the LIFE Project time frame

The Internal and External Assessment Team arguments for this type of body included the following:

Expected Outcomes:

1. Greatly enhanced likelihood of institutional, financial, and political sustainability of LIFE outcomes within target areas.
2. Strengthening of national CBNRM Programme and movement.
3. Greater likelihood of non-target communities succeeding in conservancy efforts (via greater TA to communities pursuing conservancies).
4. Stronger political and public support for CBNRM through publicity/advocacy representation for CBNRM in Windhoek.
5. Greater likelihood of replication beyond target areas/communities.

This analysis of factors to be considered in the development of a "CARMS - type" organization considers the following issues:

- Functions
- Membership
- Phased development

Functions:

Arguments for the establishment of a national coordinative body for CBNRM can be advanced on the basis of need for the following:

1. Policy and programme coordination and development

2. Policy advocacy by CBNRM constituencies
3. Publicity and public relations
4. International representation
5. Fund raising (national and international)
6. Financial management, conduit for donor grants
7. Provision of services (logistics, information exchange, marketing, etc.)
8. Provision of extension and organizational capacity building
9. Provision of formal training
10. Provision of research

It should be noted however that, by their nature, only the first four on this list are functions that require a national body to carry them out. The rest are functions which could be carried out by two or more organizations and advocacy for their inclusion in the mandate of a national body must rest on such secondary considerations as organizational efficiency or economies of scale. These arguments must be carefully substantiated, in recognition that the more inclusive in function a national organization is the more diffuse will be its focus and the more bureaucratized will be its operations.

Approaches to National Coordination:

Three types of approach to national coordination in programs of this type can be possible:

1. Loose Coalition under government authority:

Various institutional actors operate semi-autonomously of each other performing disaggregated functions and coordinated primarily by the government agency concerned.

- Advantages:
- Each organization operates under a discrete form depending on its mandate.
 - Organizations able to innovate and respond rapidly to new problems or opportunities.

- Disadvantages:
- Coordination rests with government agency and is relatively loose.
 - Duplication and lack of complementarity.
 - Lack of synergy and communication between agencies.
 - Low profile for a national programme.

2. Tight Coalition Involving Government and other Centrally-Involved Organizations:

Disaggregated functions are carried out by different agencies, integrated by a coordinative body with specific directive mandates.

- Advantages:
- Discreet functional foci for each organization, but with greater complementarities and synergy than in No. 1 above.
 - Incorporates a wide spectrum of stakeholders in policy discourse and implementation.
 - Less integrative burden on government.

- Disadvantages:
- Possibly inadequate control of discrete activities.
 - Possible conflict in accountability lines of cooperative agencies.
 - Possible exclusion of important organizational actors.

3. Organizational Amalgamation:

All CBNRM organizational actors operate under the tight direction of one agency to which they are primarily accountable.

- Advantages:
- Tight integration and complementarities in programme.
 - High profile.
 - Possible donor preference.

- Disadvantages:
- Lack of flexibility, inhibits innovation by member organizations.
 - Organizations may have multiple accountabilities difficult to reconcile.
 - High transaction costs, bureaucratic hypertrophy.

The current situation with respect to national coordination is characterized by the "loose coalition" approach; while in the LIFE Project the "tight coalition" situation applies. Decisions will have to be made as to whether strategy will be to move national coordination to a "tight

coalition" position (taking over Steering Committee functions in the process) or to aim for the "organizational amalgamation" model. There appears to be support for both approaches.

In considering this strategic question Namibian CBNRM interests will have to consider whether the national coordinative body is to be an extension and development of the current Collaborative Group or a reincarnation, on a national scale, of the Steering Committee after LIFE. The first is a prototype of the "tight coalition" approach, which limits itself primarily to function 1, (policy, programme and coordination). The LIFE Steering Committee is the prototype for the "organizational amalgamation" model which is inclusive in functions. Permutations within this spectrum are also possible. Whichever model is chosen, it will be important that the new body is not conceptualized as an extension or expansion of LIFE and the Steering Committee. Nor should it give the appearance of being so, and should have its secretariat located outside LIFE offices.

Membership and Special Function:

Functions 1, 2 and 4, and to a large extent functions 3 and 5, are national responsibilities suggesting that they should be carried out by a body which is exclusively national in its membership. Function 2 requires an even narrower representational base. No one can represent communal natural resource managers with adequate political salience other than a body which is directly accountable to them. This therefore is a "stand alone" function to be carried out by an organization separate from, but linked to, a national coordinative body.

These considerations suggest that the national CBNRM coordinative body should consist of core representation from the following:

- Relevant Government ministries (MET, MAWRD, MLRR, LGH)
- The Conservancy Association
- The Environmental Investment Fund
- National participating NGOs and CBOs

This profile of representation provides the basis for a national coordinative body with a mandate to carry out directly functions 1,3,4 and 5, and to indirectly assist one of its members (The Conservancy Association) in its performance of function 2.

Such a body, with this kind of mandate, would provide the essential requirements for a national coordinating body in the "tight coalition" model. Functions 6-10 are not essential functions for a national coordinating body, although it should exercise a coordinating control over them. If it is deemed appropriate to include operational activities in these functions in the mandate of the coordinative body, then a "second tier" membership of organizations involved in these activities could be considered.

Phased Development:

The Assessment Team meeting 20 March 1995 on this topic recommended that the body proposed be developed in a phased build-up, a first stage being focused on functions 1, 3, 4 and 5, with some extension capacity as well, this step to be initiated as soon as the Collaborative Group endorses the initiative. Staffing levels required include one administrator, a professional in media publicity and information dissemination, a secretary and one extension officer. Other requirements are budgets for consultancies and publications, office and travel equipment. A second stage, adding other implementational functions, should be considered and if accepted should be planned for. Financing of the body should be considered from LIFE Project funds and consideration also given to the establishment of a long-term endowment to ensure sustainability.

LIFE Program Team cost projections are:

| Level of intensity | Through PACD | 15-Year Endowment |
|----------------------------|--------------|-------------------|
| Basic tech./policy support | USD \$412K | USD \$555K |
| Full Grants Management | USD \$825K | USD \$5m. |

LIFE Program Team Recommendations are:

- Existing\$\$
1. Fund CARMS start-up sub-grant via Steering Committee for USD \$425,000 through PACD for modest scale of operations and development using existing grant funds, or a portion of the remaining ZSSD Grant.
 2. Earmark grant funds of USD \$125,000 to support other niches that the CARMS decides to enter.
- New\$\$
- Seek to endow continuation of CARMS, with grant-making capacity to begin Jan 1998. If CARMS declines, provide additional grant funds through multi-donor support.

Other Considerations:

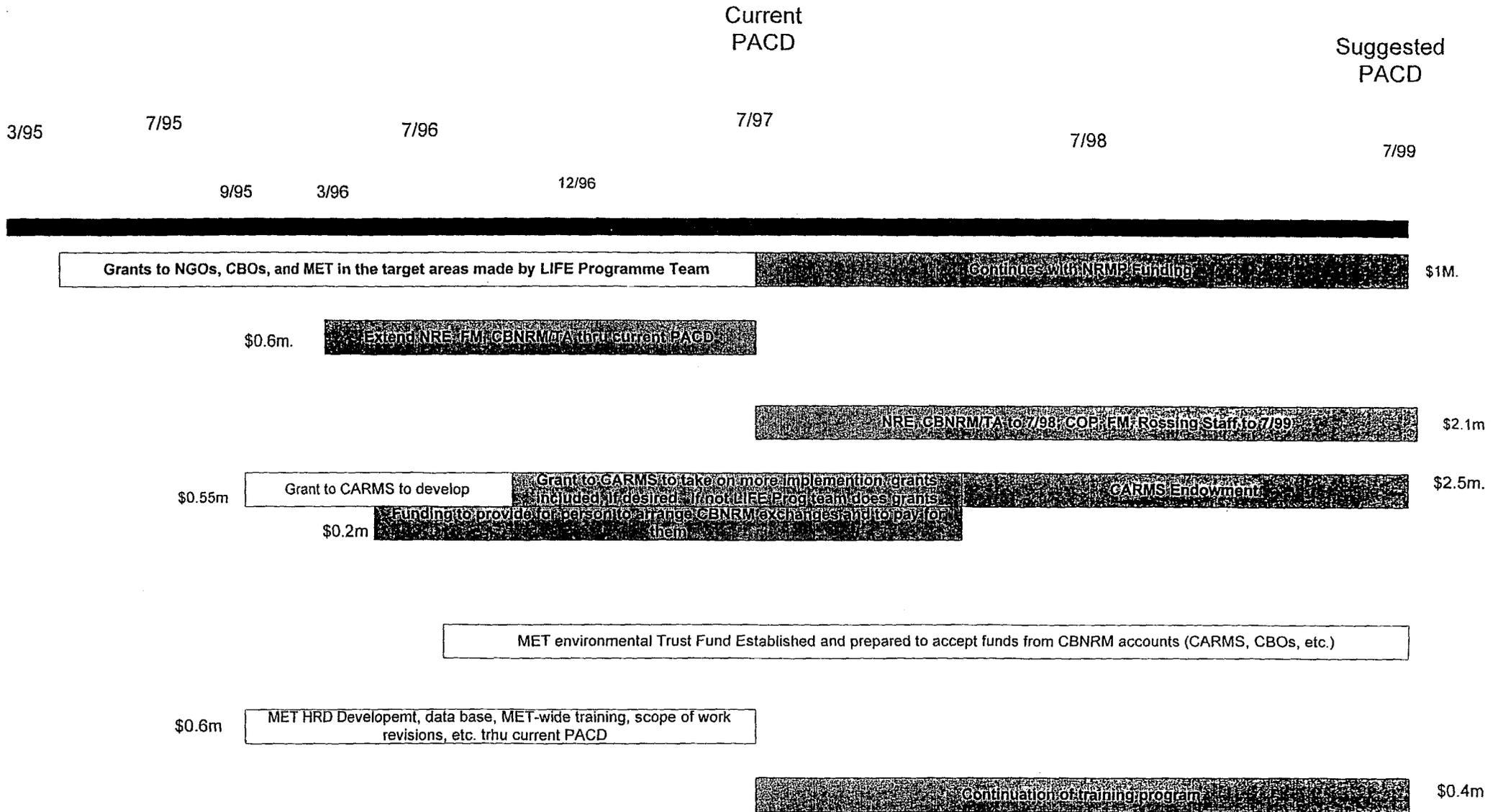
- Consider a possible change^t in name. an "institute" implies a focus on training and research in popular vocabulary. It also emphasizes service and implementational activities, while the central rationale for the body is coordination. "Agency" might be a better term.

- Decisions on the establishment and form of such a body lie with the Collaborative Group, not the Steering Committee. Before the Steering Committee and LIFE can make any firm decisions, prior determination must be made by the Collaborative Group.
- Being a proposal primarily aimed at national CBNRM, this development could be considered to fall largely outside the orbit of LIFE Program activities and an item which MET and Namibian NGOs should initiate through other channels, LIFE Program support being limited to initiatory institution building if requested. However, the possibility of LIFE grant support being provided to a national CBNRM entity in the future should be kept open.

Government Priorities and Future Directions

Background on Additional Resource Requirements

LIFE Programme Implementation Phasing



Not Funded:
Etosha Catchment
Conservancy Support Unit

Legend

executed with existing funds executed with new funds

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Activity: **Extension of PACD from 7/97 → 7/99**

Expected Outcomes:

1. Greatly enhanced likelihood of **ecological**, institutional, financial, and political sustainability of LIFE outcomes within target areas
2. Strengthening of national CBNRM Programme and movement
3. Greater likelihood of non-target communities succeeding in conservancy efforts (via greater TA to communities pursuing conservancies)
4. Stronger political and public support for CBNRM through Publicity/Advocacy representation for CBNRM in Windhoek
5. Greater likelihood of replication beyond target areas/communities
6. Enhanced likelihood of "life after LIFE" through further strengthening of CARMS

Consequences of non-funding:

- Sustainability of target areas efforts less certain
- Spread effect of policy/institutional/technical changes from target areas to wider population in Namibia less likely

Cost: Depends on features included in extension

Time Frame: Beginning 7/97 to 9/99

Issues:

- To institutionalize CBNRM and have national impact, some inputs will occur outside target areas

LIFE Programme Team Recommendations:

Seek NRMP \$\$\$ to:

Extend LIFE to 7/99; terminate IS/PME position as scheduled; extend NRE and CBNRM/TA through 7/78; and extend Rossing Staff, FM and COP to 7/99. Attempt to fold as many functions and staff into CARMS as is appropriate at PACD (7/99). All other expatriate staff to be eliminated by 7/97.

Activity: **Extension of Programme Team, Except MSI**

| Position | Advantages of Extension | Disadvantages of Extension | Recommendation |
|-----------------------|--|--|---|
| COP | <ul style="list-style-type: none"> Permits continuity in management Assures COP familiar with USAID Assures COP with CBNRM Crucial in prudent development of CARMS | <ul style="list-style-type: none"> Could delay hand-off to CARMS Cost | Keep position until extended PACD (1999) |
| FM | <ul style="list-style-type: none"> Assures high FM standard Enables training of counterpart Reduces implementing organizations' financial vulnerability | <ul style="list-style-type: none"> Could delay hand-off to counterpart Cost | Keep position until extended PACD (1999) |
| CBNR M/TA | <ul style="list-style-type: none"> Enables training of 2nd Namibian staff in CBNRM Allows critical training of community mgt. bodies | Cost | Extend position thru 7/98, with intensive training of 2nd Namibian CBNRM/TA |
| NRE | <ul style="list-style-type: none"> Enables MET to obtain more economic analysis Allows LIFE input into critical CBNRM/Tourism policy development | <ul style="list-style-type: none"> MET has not shown support for maintaining position by appointing counterpart Cost | Only extend if MET provides counterpart prior to 3/96 |
| Local CBNR M/TA | <ul style="list-style-type: none"> Permits more community-level inputs Increases Namibian CBNRM skills | Cost | Keep on until extended PACD, with training from CBNRM/TA expatriate |

Cost:

| Projection | Additional Level of Effort | Cost (USD) | PACD |
|------------|---|----------------------|------|
| A | Nothing, status Quo | none, likely savings | 1997 |
| B | Extension of following positions to current PACD: 1. TA/CBNRM (Barbara) 2. NRE (Jon) 3. FM (Estelle) 4. NEW Local Hire for CBNRM/TA 1995-1997 | \$600,000 more | 1997 |
| C | Same as B with grants extended till 1999; NRE and CBNRM/TA to 7/98; FM, COP, and Rossing Staff till 7/97 | 3.7m. more | 1999 |

Time Frame: Beginning immediately, through extended PACD (1999)

Issues:

- Reconciling need to transfer ownership and management of LIFE functions to Namibians with desire to assure maintenance of USAID/WWF standards
- How much can we transfer of LIFE management to CARMS?

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Proposed extension of WWF/WLI/Rossing Staff

Current
PACD

Suggested
PACD

3/95

7/95

7/96

7/97

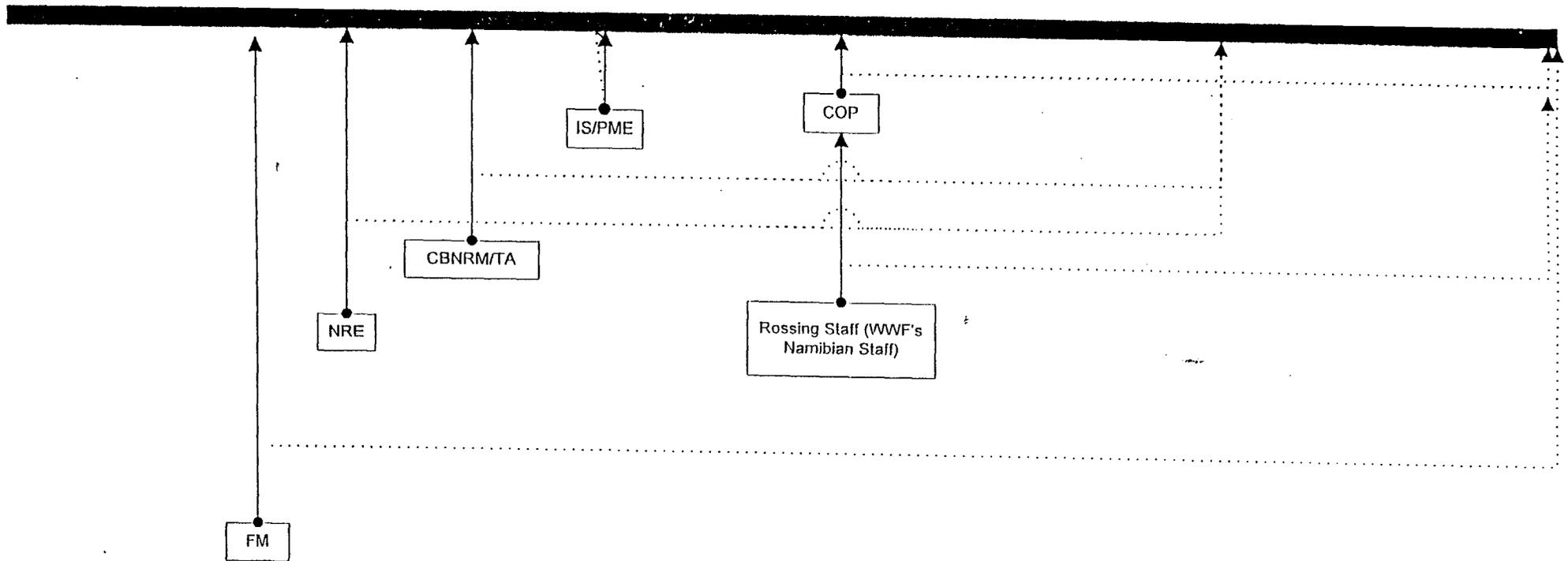
7/98

7/99

9/95

3/96

10/96



● —→ Current
termination

● ···→ Proposed
termination

10/97

Activity:

MET Training Programme

Expected Outcomes:

- Improved planning and implementation capacity of MET through better-trained and motivated staff
- MET will have HRM data base, training modules
- Training modules will be applied to target areas, increasing effectiveness of MET staff there
- Expediting of process of advancing of disadvantaged Namibians to middle management via affirmative action programs
- Model for rest of Namibia for competency-based and affirmative action human resource development
- Supports USAID/Namibia empowerment strategic objective

Consequences of non-funding:

- Missed opportunity for increasing LIFE project impact on addressing inequities remaining from apartheid era
- Reforms suggested in Training Needs assessment will need to be implemented with MET or other donor funds

Cost: USD 1 million

Time Frame: Beginning 9/95 to 7/98

Issues:

- Not directly related to purpose statement of LIFE Programme
- Further augments shift of resources to MET

LIFE Programme Team Recommendations:

Existing \$\$ Apply USD 600,000 of ZSSD grant to fund through 7/97 (if assured of additional funds to continue through 7/98)

New \$\$ Seek additional NRMP funding of USD400,000 to fund from 7/97-7/98.

**THE CONSOLIDATION OF DEMOCRACY IN NAMIBIA:
ASSESSMENT AND RECOMMENDATIONS**

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EXECUTIVE SUMMARY

This assessment of the prospects for the consolidation of democracy in Namibia was researched and written by Joel D. Barkan, professor of political science at the University of Iowa, Gretchen Bauer, assistant professor of political science at the University of Delaware and Carol L. Martin of the department of political science at Yale University. Research for the assessment commenced on July 1, 1994, with the final report completed on July 28, 1994. During the intervening period, the assessment team visited nine of Namibia's 13 administrative regions and interviewed more than 170 leaders of a wide array of Namibian institutions and organizations. A list of these individuals by region and affiliation appears in Annex A.

The purpose of this assessment is to provide the USAID mission to Namibia with a comprehensive analysis of the Namibian political system in order to enable the mission to arrive at a final design and project paper for a four year program to consolidate democracy in the country. As such, the assessment team commenced its work with no preconceptions of what specific initiatives it would ultimately recommend. The main criterion was that the recommendations should facilitate the long-term development of those institutions that we would identify as being most critical for the consolidation of Namibian democracy. We also determined that we should pay particular attention to the array of organizations and governmental structures that operate as intermediaries between the central government and local communities. Based on our past knowledge of Namibia, we were concerned that there exists a vast institutional gap between central government agencies and most Namibian citizens. We therefore decided that our inquiry should explore the dimensions of this gap to determine its extent, and quality, as well as the actions that should be taken to close the gap.

In the course of our investigations we confirmed that there is indeed a serious institutional gap between central political authorities and the population they purport to govern; so much so, that the state is virtually "suspended" over Namibian society. This problem is exacerbated by our second principal finding: that there is a widespread lack of advocacy capacity on the part Namibian citizens and local and regional leaders, as well as of leaders of major interest groups and NGOs, to articulate and lobby for their needs vis-a-vis the state. The Namibian political system is sufficiently open that most groups and associations have opportunities to assert their interests, but they are unable to take advantage of these opportunities. For example, Parliament debates issues of policy on a daily basis, but public galleries are empty; NGOs have the opportunity to make input into the work of the National Planning Commission, but cannot articulate such input in a manner that is digestible by the Commission; there is a system of district labor courts, but the trade unions have no legal expertise to defend their members who wish to seek remedies through these courts, etc.

The two problems of a lack of advocacy capacity and the lack of intermediary institutions between state and society are interrelated, and to some degree mutually reinforcing. The lack of advocacy capacity means that there is an absence of the kind of activities such as lobbying by interest groups that give rise to vibrant political parties and other institutions for holding the state accountable to the governed. Conversely, because there are few existing linkages, both the government and centrally based

NGOs face great obstacles in mobilizing citizens for a variety of forms of community and collective action.

In the assessment that follows we begin with an overview of the current state of the Namibian political system and economy. We then turn to a systematic review of all but one of the institutions and organizations, both public and private, whose activities directly affect the consolidation of democracy in Namibia. The one exception is the security forces which, for reasons stated in the narrative, were beyond the scope of our investigations. The review of both governmental institutions and civil society describes--organization by organization--why the absence of institutional linkages and an advocacy capacity are the two principal obstacles to the consolidation of democracy in the country.

After a discussion of the criteria USAID should employ when identifying specific areas for its programmatic initiatives in support of democracy, we turn to an extended discussion of our principal recommendations in section V. Here, we both describe what these initiatives should entail and discuss, to the extent that we are able, the methods by which the USAID mission to Namibia, together with the U.S. Embassy and USIS, might implement these recommendations.

Our recommendations cluster into five interrelated realms of activity which, if pursued, will result in an integrated program to support the consolidation of democracy in Namibia by addressing its principal constraints. The program areas are (1) building advocacy capacity; (2) facilitating decentralization; (3) enhancing the transparency and accountability of Parliament; (4) strengthening the rule of law and human rights; and (5) supporting the media.

To build advocacy capacity in Namibia, we recommend the establishment of an Advocacy Center in Windhoek which would provide an array of specialized and needed resources to the NGO community, the trade unions, and church based development organizations as well as to other actors in the Namibian political system. The center probably would be established under NANGOF, the Namibia Non-Governmental Organisation Forum. The center, which would serve as a base for specialists in public interest law, labor relations, community organizing, etc., would have a small library and an E-mail capacity to link member organizations and to provide information rapidly. Indeed, the establishment of E-mail in Namibia, while not a programmatic area itself, was mentioned again and again in the course of our investigations as a priority need by the key institutions that we recommend supporting in all five programs. The strengthening of advocacy capacity will also require the establishment of more modest, yet much needed, centers at the regional and constituency level across Namibia. In our discussion, we suggest how such centers might be established, by whom, etc.

The second major area of emphasis is decentralization. Stated simply, until meaningful decentralization takes place in Namibia--that is to say until there is a real devolution of power to the existing and elected local and regional councils--the institutional gap between the central government and individual Namibians will remain acute. In the course of our investigations we were constantly made aware of a rising level of frustration on the part of most locally elected leaders and their constituents--that they are unable to deal with the problems of their communities, because they are kept on a short leash by the central government, especially the Ministry of Local and

Regional Government and Housing, and because they have no independent sources of revenue. Both the constitution and the legislation which specifies the role and authority of local and regional government are vague, but the redrafting of both is obviously beyond the scope of what USAID might do to strengthen these institutions. We therefore recommend several programs which could be pursued under the auspices of the Ministry of Regional and Local Government and Housing to strengthen and increase the autonomy of these local bodies. Some involve training. Others involve the development procedures for regional planning, finance, and improved public management.

Our recommendations to enhance both the National Assembly and the National Council focus on the need to improve the capacity for policy research analysis so that the members of both houses will have a better understanding of pending legislation. We also suggest that support be provided to improve and extend media coverage of the legislature, and that some attention be paid to strengthening MP skills at constituency service. These recommendations build upon several successful, albeit short term programs which the United States has sponsored in this area since 1991.

The fourth area of emphasis is the rule of law, especially the strengthening of the lower courts. Two types of courts are responsible for the administration of basic justice in Namibia--community courts and magistrate courts. Unfortunately, the number of trained Namibian magistrates is too few, and the courts over which they preside lack basic reference materials such as handbooks, complete sets of statutes, etc. To overcome these deficiencies, the assessment team recommends support for the Justice Training Centre, a small institute established for the sole purpose of upgrading skills of those who staff the lower courts, as well as training of the police. We also suggest that support be provided to the Legal Assistance Centre, and possibly to the Human Rights and Documentation Centre at the Univeristy of Namibia.

Finally, we complete our discussion of recommended programs by suggesting what USAID can do to strengthen the broadcast and print media. The most fundamental problem is the dearth of trained journalists, especially journalists in specialized fields of reporting such as economic policy and finance. To this end we recommend a number of initiatives in support of the Media Institute of Southern Africa--Namibia. These include provision of a core grant to facilitate the establishment of the Namibia branch, support for a legal defense fund for the media, provision of an E-mail facility to MISA-Namibia as well as a subscription to the on-line news service Nexus. A primary task of MISA will also be to provide training opportunities to upgrade the skills of Namibian journalists, and the team recommends that technical assistance be provided to provide such training. The assessment also recommends support to the Namibia Broadcasting Corporation in a number of discrete areas. These includes the provision of cameras and other necessary equipment for a live broadcast television facility from the National Assembly and National Council, and to strengthen community based broadcasting.

Our assessment concludes with a short section on the implications our proposed program will have for USAID. We strongly recommend the appointment of a resident democracy and governance advisor to direct the program, and of a project manager who would be responsible for handling a substantial amount of paperwork. A

discussion of the type of person who should be recruited to serve as the DG advisor is outlined.

We believe that this paper will enable the mission to move quickly towards a final project paper in time to mount a country DG program by February or March of next year. To facilitate the development of the project paper, the assessment team has taken great pains to collect an array of documents and materials on local organizations and establish a file of these materials. These files should form the core of a mission library for democratization and governance issues in Namibia.

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Acronyms

| | |
|--------|---|
| AG | Attorney General |
| ACN | Action Christian National |
| CASS | Centre for Applied Social Sciences |
| CBO | Community Based Organization |
| CCN | Council of Churches of Namibia |
| DTA | Democratic Turnhalle Alliance |
| DWA | Department of Women's Affairs |
| ELCIN | Evangelical Lutheran Church in Namibia |
| FCN | Federal Convention of Namibia |
| FES | Friedrich Ebert Stiftung |
| GRN | Government of the Republic of Namibia |
| HRDC | Human Rights and Documentation Centre |
| ICFTU | International Confederation of Free Trade Unions |
| IMLT | Institute for Management and Leadership Training |
| JTC | Justice Training Centre |
| LAC | Legal Assistance Centre |
| LAUN | Local Authorities Union of Namibia |
| MANWU | Metal and Allied Namibian Workers Union |
| MISA | Media Institute of Southern Africa |
| MOJ | Ministry of Justice |
| MRLGH | Ministry of Regional and Local Government and Housing |
| MUN | Mineworkers Union of Namibia |
| NAFAU | Namibia Food and Allied Union |
| NAFWU | Namibia Farmworkers Union |
| NANAWO | National Namibian Women's Organisation |
| NANGOF | Namibia Non-Governmental Organisation Forum |
| NANGOS | Namibian Association of Non-Governmental Associations |
| NANSO | Namibia National Students Organisation |
| NANTU | Namibia National Teachers Union |
| NAPWU | Namibia Public Workers Union |
| NATAU | Namibia Transport and Allied Union |
| NAU | Namibia Agricultural Union |
| NBC | Namibia Broadcasting Corporation |
| NBWU | Namibia Building Workers Union |
| NCSL | National Council of State Legislatures |
| NDAWU | Namibia Domestic and Allied Workers Union |
| NDF | Namibia Defence Force |
| NDT | Namibia Development Trust |
| NEPRU | Namibian Economic Policy Research Unit |
| NEF | Namibia Employers Federation |
| NGO | Non-governmental Organization |
| NID | Namibia Institute for Democracy |
| NIED | National Institute for Educational Development |
| NISER | Namibian Institute for Social and Economic Research |
| NNCCI | Namibia National Chamber of Commerce and Industry |
| NNF | Namibia National Front |
| NNFU | Namibia National Farmers Union |

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| NNRCCI | Northern Namibia Regional Chamber of Commerce and Industry |
| NPC | National Planning Commission |
| NPF | National Patriotic Front |
| NPSM | Namibian People's Social Movement |
| NWRWU | Namibia Wholesale and Retail Workers Union |
| NUNW | National Union of Namibian Workers |
| PLAN | People's Liberation Army of Namibia |
| PSC | Public Service Commission or Public Service Contractor |
| PSF | Private Sector Foundation |
| PSUN | Public Service Union of Namibia |
| PVO | Private Voluntary Organization |
| RISE | Rural People's Institute for Social Empowerment in Namibia |
| SADC | Southern African Development Community |
| SIDA | Swedish International Development Agency |
| SWAMU | South West Africa Mineworkers Union |
| SWANU | South West Africa National Union |
| SWAPO | South West Africa People's Organisation |
| SWATF | South West African Territorial Force |
| UDF | United Democratic Front |
| UNAM | University of Namibia |
| UNIN | United Nations Institute for Namibia |

I. PURPOSE AND PERSPECTIVE OF THIS ASSESSMENT

The purpose of this assessment is to provide the USAID mission to Namibia (as well as the US Embassy and USIS) with a comprehensive analysis of the Namibian political system to enable the mission to arrive at a final design and project paper for an integrated program to support the consolidation of democracy in Namibia. As such, this assessment examines all areas of Namibian politics except civil-military relations. The assessment is thus purposely broad and open-ended. Although we conclude this assessment with a discussion of five programmatic areas that we believe should be the focus of USAID's support, it is important to emphasize at the outset that these areas and the specific activities within them are the result of our effort to consider the widest range of opportunities available to the mission. Not all of the programs we propose will be equally feasible for USAID to pursue in the short term. Some may need to be initiated on a pilot basis, and expanded over the course of the project. Still others may require coordination and/or co-financing with other donors. All, however, are "doable" over the expected duration of the mission's democracy and governance program. None should be excluded simply because they appear complicated and experimental compared to USAID's conventional portfolio.

This assessment seeks to answer three basic questions: (1) What is the current condition of Namibia's nascent democracy and the institutions and organizations which comprise the Namibian polity? (2) What needs to be done to consolidate the democratic process in Namibia? (3) What specific activities can USAID support to address the most pressing needs given the available personnel and delivery mechanisms available to the mission? To arrive at the answers to these questions we have interviewed more than 170 Namibians from a wide range of organizations, both public and private in nine of the country's 13 regions.¹ The consistency of their responses regarding the current situation in Namibia, and what needs to strengthen democracy in the country was itself one of the principal findings of this assessment. Time and time again, albeit in varying ways, we were told that there is a danger that the Government of Namibia (GRN) is losing touch with the governed, that the government is overcentralized, and that it is in many respects "suspended" over the society it purports to rule. While the era of good feeling derived from independence continues, the honeymoon is nearing its end as an increasing number of citizens at the grassroots of Namibian society, and especially their local leaders, believe that their voices are not heard or respected by the center. Any program mounted by USAID to consolidate Namibian democracy will need to address this basic problem head-on.

Three assumptions have guided us in this assessment. First, it is assumed that USAID Namibia will mount an integrated program to support the consolidation of Namibian democracy of four years duration with the possibility of renewed assistance if measurable results are achieved during the life of the project. Second, it is assumed that most of the activities initiated by the mission will be sustained over the life of the project in order to strengthen key democratic institutions, especially those which comprise civil society. The activities proposed in the five areas recommended for support have not been conceived as "single shot" efforts of short term duration, but rather as clusters and sequences of activities to nurture the evolution of selected

¹ A complete list of individuals interviewed by region and position is provided in Annex A.

democratic institutions of countervailing power. This is the essence of nurturing pluralism in Namibia. Our perspective is explicitly developmental and medium to long-term in perspective, because there are no short cuts to democracy.

Our perspective and recommendations reflect USAID's policy in this new and experimental area of development assistance. As set forth in the Agency's policy paper, *Strategies for Sustainable Development*, USAID's strategic objective of achieving the transition to and consolidation of democracy through the world will be realized "through the establishment of democratic institutions. . . the promotion of democracy is [therefore] a long-term process that will require sustained commitment and timely and politically adept interventions."² While our recommendations to USAID Namibia are framed in terms of what the mission can reasonably accomplish during the time-frame of its initial democracy and governance program, the proposed program should be regarded as first steps towards a sustained commitment to the consolidation of Namibian democracy that may last up to ten years.

Finally, we have assumed that the mission's program to consolidate Namibian democracy will be guided by the presence of a full-time resident democracy/governance (DG) advisor assisted by a part or full-time project manager who will move the relatively large amount of paper (mainly purchase orders for grants and technical assistance) that will be required to implement the envisioned program. Discussion of the background and skills of the type of person required to be the DG advisor is found in section VI of this assessment.

² *Strategies for Sustainable Development* (Washington: U.S. Agency for International Development, March, 1994), p. 18. See also the penultimate draft of USAID's "Democracy Implementation Guidelines," June 6, 1994.

II. THE POLITICAL AND ECONOMIC CONTEXT

1. HISTORICAL OVERVIEW OF NAMIBIAN POLITICS AND POLITICAL CULTURE

The Pre-Independence Period

The name, "Namibia," originates from the word "/Namib/", which means "protective shield" in one of the country's local languages. It is significant that the Namib Desert derives its name from this same expression: that is, "the shield that protected the territory and the inhabitants, the people on or in it from foreign encroachment and occupation for at least some time."³

Germany occupied the territory of Namibia in 1883, later establishing a colonial administration. German administration ended during W.W.I, when the territory was occupied by South African forces in 1915. On December 17, 1920, South Africa undertook the administration of South West Africa under the terms of the Covenant of the League of Nations. Although the United Nations revoked the League of Nations' mandate in 1966, South Africa continued to rule the Namibian territory, even following a 1971 advisory opinion in which the International Court of Justice determined that the South African presence in Namibia was illegal, and that South Africa should therefore immediately withdraw from the territory.

In 1977, Western members of the UN Security Council - Canada, France, Federal Republic of Germany, United Kingdom, and the United States -(known as the Western Contact Group) launched a joint diplomatic effort to bring a peaceful transition to independence for Namibia. Their efforts resulted in the an April 1978 proposal, approved as Security Council Resolution 435. Resolution 435 *inter alia* provided for Namibia's independence following free and fair elections to be supervised by the United Nations. South Africa, nevertheless, defied the UN, holding elections in December 1978 and continuing to administer Namibia.

The catalyst for the implementation of Resolution 435 was the quadripartite talks held in 1988 between Angola, Cuba, South Africa, and the United States. The resulting Brazzaville Accord signed by Angola, Cuba, and South Africa pledged that Cuban troops would be withdrawn from Angola in conjunction with the implementation of Resolution 435. On April 1, 1989, the United Nations Transitional Working Group (UNTAG) led by UN Special Representative for Namibia, Martti Ahtisaari, established its presence in Namibia to monitor the electoral process and the transition to Namibia's independence.

³See, Debates of the Constituent Assembly, "Motion on the Name, Namibia," November 29, 1989, pp. 41-43, p. 41. The name "South West Africa" or the name SWA/Namibia were rejected on the grounds that they are meaningless and colonially imposed, in addition to being merely geographical expressions.

The Constituent Assembly and Independence

The elections for a Constituent Assembly took place November 7-11, 1989, and were certified as free and fair by the UN Special Representative. The members of the Constituent Assembly drafted the Constitution of the Republic of Namibia, which it adopted on February 9, 1990, and elected Sam Nujoma as President. Namibia joined the international community of sovereign states on March 21, 1990. Namibia's three branches of government are subject to checks and balances and provision is made for judicial review. The judicial structure is based on Roman-Dutch law, which was declared the common law of the territory in 1919. The Constitution also states that Namibia shall have a mixed economy.

The government of independent Namibia, however, continued to be compelled to contest South Africa's territorial claim on the port enclave of Walvis Bay. Walvis Bay finally was integrated into Namibia on February 28, 1994. Voter registration continues to the present in preparation for municipal elections August 15-16, 1994. The newly elected municipal officers will be installed on August 17, 1994.

Independent Namibia would face a variety of difficult issues. The challenges are summarized in the *White Paper on National and Sectoral Policies*, the government's first major national policy statement:

"The first challenge relates to political issues embracing problems such as: dealing with the vestiges of apartheid and other existing aspects of colonialism; the need for land reform; the issue of Walvis Bay; and the challenge of molding one nation out of eleven splintered administrations ... The second challenge is that of...promoting peace and unity through reconciliation ... The third challenge is to promote and sustain economic and social development ... The fourth challenge is that of overcoming the impact of years of isolation ... The fifth challenge involves reforms in the organization and functioning of the machinery of government ... The sixth challenge relates to tackling crime by addressing the complex issues that have contributed to it ... the seventh challenge is to promote the internalization of the Constitution of the Republic of Namibia amongst our people."⁴

In the words of the Prime Minister, Hage Geingob, the *White Paper* was intended to be seen as a "plan of action;" it also aimed "to provide a framework for debate on the direction of government policies," thus inviting the participation of all Namibians, and subjecting the government to the demands of accountability.⁵

The choice of English as the official language as a means to facilitate access to the international community posed challenges for a country in which nearly all whites are literate (although very few whites speak English as a first language) while an estimated 60 percent of blacks are illiterate. Debate still continues concerning how to integrate English into the school curriculum so that all Namibians eventually will be fluent in their official language.

⁴Debates of the National Assembly, March 11, 1991, pp. 226-227.

⁵Statement by the Prime Minister, Debates of the National Assembly, March 20, 1991, p. 169.

The choice of English also created additional tensions: the majority of Namibians who were educated in exile received training in English, which gave them an advantage over those who studied within Namibia who could not attend alternative schools (such as the independent schools in the south). Moreover, those in exile were afforded the opportunity to acquire professional skills (becoming lawyers, doctors, engineers, etc.) and technical skills (acquiring skills in plumbing, motor mechanics, etc.). Nevertheless, even the skilled would feel that they were neglected by the government. In the spirit of national reconciliation, the new government pledged to retain civil servants employed during the colonial period. As a result, there were very few openings for the newly returned, especially given that the government simultaneously was embarking on the rationalization and restructuring of the different colonial administrations, and therefore was freezing posts.

National Reconciliation

The issue of national reconciliation continues to be a contentious one, especially in the context of the apartheid legacy of the wide disparity in income levels between white and black Namibians. Black Namibians suffer severe inequalities in access to services and productive resources in all sectors, including agricultural extension services and credit, educational resources, and housing and employment opportunities. In this context, and given the previous history of the different constituent political groups in Namibian society, the issue of national reconciliation is sure to arise periodically, if only as a check on the pulse of progress towards nation-building. In the words of Prime Minister Hage Geingob,

"Reconciliation is rooted in pragmatism and hard facts. The Government's reconciliation effort is based on bringing together estranged communities, whether political, military, or social, into one non-antagonistic whole - all working towards a common goal of making a better Namibia. Reconciliation for us is to heal the wounds of war and of many years of discrimination."⁶

The Minister of Mines and Energy describes the government's policy of national reconciliation as "the only viable option to nation-building."⁷ Still, as inequalities persist and black Namibians feel that their objective situation has improved little since independence, there is increasing feeling that national reconciliation is a one-way street - the government is reaching out to the white minority at the expense of the black majority.

Affirmative Action

Related to the policy of national reconciliation is the issue of affirmative action. In the words of an opposition MP,

"The founding fathers of our Constitution, spurred on by the troubles of our past, and espousing the most basic principles of democracy, unanimously agreed to

⁶Debates of the National Assembly, March 20, 1991, p. 176.

⁷Debates of the National Assembly, Vol. 2, June 1-July 11, 1990, p. 160.

build into the law of the land a mechanism by which those of our nation who have been deprived through the ages, could be brought in from the cold, to enjoy the fruits of life which have been given to them by the Creator. This mechanism became known as Affirmative Action, which is embodied in our Constitution."⁸

He adds, "Affirmative Action must take place but must be a gradual process - though not an eternal undertaking ... The principle of merit must be the accepted norm in all appointments and promotions in the Public Sector."⁹ As with the policy of national reconciliation, the meaning of affirmative action is open to interpretation and the issue of how to implement it is guaranteed to be a perennial challenge.

Human Rights Issues

In October 1990, Amnesty International recommended that the Namibian government conduct an inquiry into alleged violations of human rights by SWAPO during the struggle for independence. At least 350 people who had been imprisoned by SWAPO during the struggle were reported to be unaccounted for in late 1990. In November 1990, the National Assembly voted to request the International Committee of the Red Cross (ICRC) to ascertain the status of the missing detainees. In June, the ICRC issued its final report on its tracing efforts. The ICRC noted that SWAPO responded to only a small fraction of the ICRC's inquiries - the number of SWAPO detainees still unaccounted for ranges from 154-256 - and urged family members to approach SWAPO directly for additional information. The controversy that surrounds this issue is likely to continue until the government conducts and releases the results of a full investigation.

A related issue, and one that was particularly acute at independence, is whether persons deemed responsible for past human rights abuses should be held legally accountable, and whether government officials credibly linked to serious human rights abuses in the pre-independence period should be permitted to remain in office. Certain legal constraints apply, however. Prior to independence, certain indemnities and amnesties were granted which could have the effect of ruling out any possible prosecutions - although there may be a basis in law for contesting the validity of these amnesties granted by the South African government. Moreover, there is the possibility that prosecutions would be counterproductive in the context of a government policy of national reconciliation. Ultimately, however, national reconciliation may best be served by thorough investigations of past abuses, an exercise that can be achieved without involving and resulting in prosecutions. In this manner, the truth, once established and publicly proclaimed, can be a catalyst to the healing process that is important not only to the victims and their families, but also to Namibian society as a whole.

Notwithstanding the above, Namibians enjoy a wide range of political and civil liberties. During 1993, there were no reports of political or other extrajudicial killings; there were no reports of disappearances occurring during 1993; and there were no reports of Namibians being exiled for political reasons. There were, however, over 20

⁸Mr. Matjila, DTA, Debates of the National Assembly, Vol. 10, April 19, 1991, p. 143.

⁹Mr. Matjila, DTA, Debates of the National Assembly, Vol. 10, April 19, 1991, p. 149.

allegations of torture and other abusive treatment by police and security forces during 1993, incidents that were all highly publicized locally. Civil liberties, including the freedom of speech and press, freedom of assembly and association, and freedom of religion, were all respected in practice during 1993. The government's handling of citizenship and refugee issues, however, has come under repeated criticism by the local press, local NGOs, and opposition parties. Much of the criticism focused on the lack of a consistent refugee or asylum policy. As of March 1993, the Namibian government had neither acceded to the 1951 Convention relating to the status of refugees, nor adopted domestic legislation to regulate the situation.

Major Achievements of the Namibian Government

It is useful to remember that Namibia is a young nation, and one that faces particular challenges that originate from its colonial legacy. Since independence, Namibia has acquired the symbols of a nation, adopting a flag, a presidential seal and a coat of arms, and a national anthem resulting from an open competition to compose the lyrics and the music. In addition, many institutions have been inaugurated, including the establishment of the Supreme Court of Namibia, the Bank of Namibia, and the National Council.

Some of the government's major achievements include: promoting the policy of national reconciliation by inviting members of the opposition to become ministers and deputy ministers in the new government; integrating and unifying two previously antagonistic fighting forces, namely the People's Liberation Army of Namibia (PLAN) and the South West African Territorial Force (SWATF) into one force, the Namibia Defence Force; and ending international isolation, becoming the 160th member of the United Nations on April 3, 1990, the 50th member of the Commonwealth at Independence, and the 10th member of the Southern African Development Community (SADC), in addition to joining the Organization of African Unity, the African, Caribbean, and Pacific Group of Countries, the International Monetary Fund, and the World Bank. Namibia has also reached a favorable Lome agreement and the limits of the country's off-shore exclusive economic zone have been established.

In the policy arena, the government has addressed the major issue of redressing colonial inequalities by focusing on income generation through job creation; land tenure; and fair labor practices. Thus, the government has:

- Organized a successful Investors Conference in February 1991 and has since produced an Investment Code in keeping with the country's commitment to a mixed economy;
- Organized a National Conference on Land Reform and the Land Question in June-July 1991, to attempt to resolve the land issue within the framework of the policy of national reconciliation and the obligations enshrined in Article 16 and 23 of the Constitution pertaining to property rights, apartheid and affirmative action. Efforts currently are underway to table a Land Act in the National Assembly;
- Promulgated a Labor Act

Although all these initiatives require additional attention, and some are likely to remain contentious for a long time to come, they at least form the foundation for future implementation. It is in this context of the deepening and consolidation of institutions and conventions that programs for strengthening democracy and promoting effective governance in Namibia should take place.

The Challenges Ahead

A frequent observation offered at all levels of government as well as in the non-governmental sector, is that democracy is a new concept in Namibia. As such, Namibians require intensive and long-term civic education, not only to understand what rights they possess, but also the mechanisms by which to exercise those rights, and how to be an effective advocate if rights are compromised or denied. The extent to which democracy will flourish in Namibia, therefore, is to a great extent dependent upon the ability of the Namibian people to exercise their constitutional commitment to democratic principles, including civil, political, and economic liberties. At present, the Parliament is engaged in passing enabling legislation to further enhance the protection of those rights. Once passed, the legislation must be implemented, and enforced, and the implementation and enforcement mechanisms must be strengthened if the exercise of the laws are to become common practice and convention.

In addition, civic education in the context of voting, that is, the understanding of voting as being a cyclical activity to renew government representatives, is needed. The overwhelming majority of Namibians participated in the 1989 elections. In 1992, for the local and regional elections, although participation remained quite high, Namibians seemed uninformed about the meaning and the purpose of the elections, expressing surprise that they were voting, "again." Preparations for the 1994 National Assembly elections, scheduled for December, are only just getting underway, with many political parties yet to devise a manifesto and develop a campaign strategy. This being the case, Namibian voters may again be caught by surprise. The development of a voting culture takes time, and encompasses many issues: the intricacies of the registration process, the need for timely registration, the differences between the local, regional, and national levels of government, the electoral law, the rights of voters, how to vote, the conduct of political parties and candidates in an election campaign, and the meaning of free and fair elections. In sum, Namibians require greater understanding of the participatory role of the voter in a democracy.

The 1989 elections resulted in a National Assembly composed of seven political parties, in order of representation, SWAPO (41 of 72 seats), the DTA (21 seats), the UDF (4 seats), the ACN (3 seats), and the FCN, NNF, and NPF (1 seat apiece). The 1992 elections resulted in a National Assembly composed of just two parties, SWAPO, with 19 of 26 seats, with the remainder being occupied by the DTA. The 1992 results seem to indicate that SWAPO has emerged as a national political party with a national agenda. In the context of the forthcoming 1994 elections, however, fears have been expressed of the possibility of a de facto one-party state, especially since the opposition parties are considered to be weak. It is, however, dangerous to lose sight of the fact that the political outcome in 1992 was the result of free and fair elections. Pluralism, insofar as it occurs, is the result of real differences of philosophy and vision that distinguish constituencies from one another. Local demand and local ferment then

become transformed into the political agendas that typically orient the work of political parties. The absence of distinct political agendas cannot be compensated for by the mere existence of opposition political parties.

Many Namibians have suffered either in exile or within the country, while others have paid the ultimate price for the sake of freedom; they are likely to safeguard that freedom. In addition, the constitution, hailed as one of the most democratic in the world, provides the foundation for Namibians to transform its tenets into conventional practice. Moreover, Namibia is born of the UN, and is likely to continue to command special attention from the international community. To the extent that a culture of respect for democratic principles and human rights is cultivated, and a climate of pluralism and tolerance persist, Namibia is likely to remain a peer amongst democratic nations.

2. THE NAMIBIAN ECONOMY

The many limitations of the Namibian economy must be taken into account when formulating strategies for political and social development in this newly independent country. A 1991 World Bank report described the 'dual economy' inherited by the government at independence: the situation was marked by two societies and economies - one north of the 'red line' and the other south of the red line. One was "wealthy, educated, healthy and European - the other poor, illiterate, malnourished and African." Gross inequalities existed in incomes and access to services. Moreover, the same dualism characterized the productive sectors of the economy, for example, in the contrast between mining and commercial agriculture, on the one hand, and subsistence agriculture, on the other. The World Bank reported that the five percent of the Namibian population received 70 percent of gross domestic product (GDP) while the poorest 55 percent received only three percent. Early reports from the Central Statistic Office's recently completed Household and Income Survey suggest that this gap is persisting, if not widening. The World Bank further noted that 25 to 30 percent of the formal sector labor force was unemployed and two-thirds of those in subsistence agriculture were underemployed. The tax base for government was narrow and highly dependent on diamond and uranium revenues. The wage bill for general government was excessive and current expenditures were high while services for the majority were of low quality. In addition, independent Namibia inherited a budget deficit of R556 million for 1990/91 and a foreign debt amounting to R726.5 million.

Despite the dualism, according to a macroeconomic and sectoral overview of the Namibian economy by the United Nations Development Program, the outstanding characteristics of the economy were the overwhelming but declining importance of the primary sectors (mining, fishing and commercial agriculture), and the economy's export orientation (of minerals, fish and beef). During the 1980s mining and commercial agriculture were contributing less to GDP than in the past, due to depletion of resources and falling demand (diamonds and uranium, respectively), and to drought. Some of the fall in the primary sector had been made up for by growth in the secondary sector (where manufacturing, however, still accounted for only five percent of GDP), due to growth in the construction industry in the 1980s, and in the tertiary sector following the establishment of ethnically based 'second tier' administrations and increased military and police expenditures.

According to the World Bank report, the trade-off for the government as it sought to dismantle the inherited apartheid system, would be between immediate redistribution of assets and income, and long-term sustainable growth. The recommendation of the Bank for the medium and long term was for a focus on economic growth and the creation of greater employment opportunities and a more skilled and productive workforce. Reactivating the economy called for stimulating investment, increasing public investment and maintaining an enabling environment for private sector activity. In other words, specific tasks of the government would include: addressing the equity problem without jeopardizing growth; creating enough employment opportunities to absorb the currently unemployed and new entrants to the workforce; and changing the composition of expenditures, increasing their efficiency and containing their growth.

Still, in terms of domestic output the economy has grown since independence, according to the Ministry of Finance's 1994 *Economic Review*. The average annual increase in Namibia's real GDP between 1990 and 1993 amounted to 2.2 percent while the average growth in real gross national product (GNP) was 2.8 percent. These rates of economic growth are, however, exceeded by Namibia's population growth rate of about 3 percent per year. Thus, per capita income declined slightly during the first four years of independence. According to the *Economic Review*, however, the sluggish performance of the economy and its inability to sustain economic growth rates that exceed the population growth over the medium term should be viewed against the background of a harsh external environment, including a severe drought during 1991/92, a protracted recession in the world economy, and a long recessionary cycle in South Africa, Namibia's main trading partner.

Given the protracted weakness of the regional and international economies and the persistent tension in some commodity markets (diamonds, copper, uranium) on which Namibia relies heavily, the Namibian economy has not had the opportunity since independence to expand at rates which could be described as its full potential growth. Still, considerable progress has been made in reviving and developing the fishing sector and key industries in the manufacturing sector (construction and fish and meat processing). Steady growth in agricultural output and a post-independence expansion of government functions and services have also been experienced. As the *Economic Review* notes, the general atmosphere of peace and stability (and a favorable Investment Code enacted in 1990) have played a significant role in enhancing the general business environment. The net number of companies registered jumped from 378 in 1992 to 600 in 1993 (though these are not necessarily 'productive' undertakings).

No overall consumer price index (CPI) covering major areas of Namibia has yet been developed. Instead, the CPI for Windhoek, available since 1972, has been taken as a proxy for the CPI of the whole country. Inflation was exceptionally high in 1992 at an average annual rate of 17.9 percent as compared with 11.6 percent in 1991, with the 1992 rate representing a record high for Namibia. The main reasons for the sharp annual increase were a substantial decline in cereal crop production in Namibia and South Africa and a rise of about 12 percent in petrol prices. Inflation was also fueled by a 22 percent increase in the money supply. By 1993 the inflation rate had slowed to 8.5 percent, attributable mainly to lower production prices in South Africa, relatively strict anti-inflationary monetary policies followed in Namibia and South Africa, and the low level of economic activity in both countries in 1993.

With the moderate rise in economic activities, the unemployment situation appeared to improve in 1991 and 1992. By the end of 1992 and into 1993, however, retrenchments at the Consolidated Diamond Mines (the largest private employer in the country) and at the Rossing uranium mine, and the government decision to freeze all vacant posts in the public sector likely had an adverse effect. In addition, as a result of the drought and the perceived high cost of the new labor legislation, many subsistence farmers and farmworkers on commercial farms lost their only means of survival. Actual employment data is scarce in Namibia. A labor force sample survey conducted by the Ministry of Labour and Manpower Development in 1991 showed about 41 percent of the labor force to be employed, 41 percent to be underemployed and 18 percent to be unemployed. The unemployment rates were 35 percent in urban areas and 10 percent and 4 percent, respectively, in rural commercial and rural communal areas. Namibia's economically active population was estimated by the International Labour Organisation in 1990 to be about 550,000. Of these about 200,000 are in the formal sector labor force and the rest in subsistence agriculture and the informal sector. The single largest employer in Namibia is government, employing about 65,000-70,000 people. In the recent past about 35,000 people were employed on commercial farms though that number has most probably dropped by about half of late. Other large employers include the tourism, construction, transport and mining industries.

Namibia's economic prospects for the mid to late 1990s, according to the *Economic Review*, are favorable. This projection hinges mainly on the mild economic upswing expected in the world economy and the South African economy. Growth rates of more than 5 percent are predicted for 1994. A number of factors will determine the future outlook. First, climatic conditions have improved considerably already yielding good crops and better grazing in early 1994. Moreover meat prices remain attractive thus making for a slightly accelerated agricultural output growth rate. Second, Namibia's diamond output will remain low although an improved market is expected to provide a slight recovery to the industry during 1994. The continued success of offshore marine operations are expected to further enhance the prospects for this industry. Third, Namibia's uranium output stabilized already in 1993 and export prices improved. Slight production increases are planned for 1994. Fourth, the fishing industry is expected to continue its fast expansion. The output of the fishing industry is further enhanced by the expansion of the Namibian fishing fleet. The decrease in foreign participation in the fishing sector also has a corresponding beneficial impact on the balance of payments. Previous experience has shown that the rest of the Namibian economy will benefit considerably from the advances made in the primary sectors. The situation after 1994 becomes less predictable, according to the *Economic Review*, given Namibia's "rather irregular cyclic developments." Still, apart from the deterioration in other mining output (aside from diamonds and uranium) and the gradual slowdown in the output growth of fish and fish products, there is little evidence for a serious setback during 1995.

Namibia's *Transitional National Development Plan* and *White Paper on Sectoral and National Policies* indicate four development priorities of the Namibian government: reviving and sustaining economic growth, creating employment opportunities, alleviating poverty, and reducing income inequalities. Priority sectors for development have been identified as agriculture and rural development, education and training, health and social services, and housing. While growth rates in the early 1990s have been favorable, especially considering the world recession, they are not sufficient to go far towards reducing unemployment and

poverty. Investment trends have been disappointing, with not one Certificate of Status Investment, provided for in the Foreign Investment Act, issued since its promulgation. While the step drop in investment which occurred around independence appears to have been reversed, the continued depressed state of mining investment means that overall investment has stabilized at lower than previous pre-independence levels. The high investment required for high future growth is yet to materialize. As for employment prospects, diamond mining and general government continue to make the largest sectoral contributions to GDP. Diamond mining is a decreasingly labor intensive industry and general government can only grow as the larger economy grows.

An outstanding issue of some concern to the government of Namibia remains the land question. While the constitution of Namibia protects private property and precludes the possibility of expropriation of land without just compensation, popular pressure on the government for a redistribution of land or land reform has been increasing. While a National Conference on Land Reform and the Land Question was convened in June 1991 and attended by 500 delegates from communities throughout Namibia no concrete actions were taken as a result of the conference. A Technical Committee on Commercial Farmland was established thereafter by Cabinet and that report was submitted in late 1992. At present new land legislation is being prepared for submission to Parliament although the contents are not known. Popular pressure on the land question has been fueled by the recent formation of an NGO Committee on Land Reform which plans to hold its own conference on the land issue in September, commission its own research on land in Namibia and monitor carefully the progress of the expected land legislation. No concrete position on the land question has yet been publicly articulated by the NGO Committee, however.

For the ruling party and government the land question is a complex one. The greatest concentration of the Namibian population (60 percent) is confined to a relatively small area along Namibia's northern border. This land was never alienated and thus pressures for a return, for example, of 'ancestral lands' are not great from northern Namibia (also the ruling party's greatest constituency). In these areas the greater concern is for access to water and agricultural extension services and the legal implications of communal land tenure. Central and southern Namibia—where the land was taken from the Herero, Nama and Damara peoples living there—are dominated by about 4,500 large (8,000 plus hectares) commercial farms that raise commercial livestock and game and have survived for years only with government subsidies. These farms contribute the bulk of Namibia's agricultural output (9 percent of the 12 percent sectoral contribution to GDP) and it seems unlikely that the government would be willing to jeopardize this important contribution to the economy.

3. THE PROSPECTS FOR CONSOLIDATING DEMOCRACY

In many respects, the prospects for the consolidation of democracy in Namibia are good. Namibia's constitution is lauded as one of the most democratic in the world. Free and fair elections were held in 1989 and 1992, and Presidential and National Assembly elections will be held again later this year. Seven political parties are represented in the National Assembly, two in the National Council and three in local and regional councils across the country. A relatively independent press monitors the actions of government. At

the same time, especially over the past year, worrying trends have emerged that may threaten the consolidation of democracy in Namibia. For example, there is a marked tendency towards the centralization of decision making power in Windhoek and little apparent commitment to the devolution of power to regional and local government. There is growing evidence of the abuse of government office in the form of corruption and nepotism, and a growing feeling that proper procedures are frequently not adhered to in government. The ruling political party SWAPO has only grown stronger while the opposition political parties have weakened. Organizations of civil society are ill equipped to lay their claims upon the state and there appears to be an increasing intolerance of open political debate and even constructive criticism throughout the land. Thus, many challenges to the consolidation of democracy in Namibia lie ahead.

To a large extent, these challenges stem from the twin legacies of the pre-independence internal political dispensations and the externally based liberation struggle, neither of which was democratic. In general, we found that there is a profound lack of understanding among the populace of what democracy is and what it means to exercise one's democratic rights. Democracy is a new concept in Namibia and there has been little in the way of civic education to date, except for a number of campaigns under the rubric of "Know Your Constitution." In some cases democracy is viewed in narrow politicized terms— as the exclusive purview of a particular political tendency; in others democracy is viewed very broadly as meaning that one may do anything one likes or has the immediate right to a house and a job. Perhaps in part because of these misconceptions, there is a clear undercurrent of frustration throughout state and society with this nascent democracy and a concern about the growing signs of abuse.

Another challenge facing the consolidation of democracy in Namibia is the acute shortage of appropriately skilled personpower. At all levels of government and within the professional, NGO, church, trade union and political party communities there is a dire need for training. Regional governors, mayors, Members of Parliament, magistrates, journalists, paralegals, small entrepreneurs, party activists and trade unionists alike complain that they do not have the skills to perform their jobs. In part this is because so many of these institutions within which these people work are simply new, and in part because before independence many Namibians did not have access to these positions. The system of education in Namibia before independence prepared people poorly if, at all, for these vocations and the training that many people received in exile was not always appropriate to the situation in Namibia.

At the same time, there is a serious shortage of information, research and reference material in Namibia—or a lack of access to it. Again, this is because much necessary information was simply not gathered in useful form before independence or because new structures requiring new research and documentation are now being put in place. For example, trade unionists do not have the access to economic data that they need and magistrates do not have in their offices the law books and journals that they need. Existing libraries and resources centers in Namibia are far too few and usually poorly endowed, with much of the older material only available in Afrikaans or reflecting only the previous dispensations. While the telephone system is excellent in Namibia and most offices are fully equipped with computers there is virtually no use made of services such as Internet and E-mail.

Another challenge confronting the consolidation of democracy in Namibia is the insufficient linkage between the "center" and the "periphery." First and foremost, this refers to the lack of linkages between the people and their elected representatives and the lack of adequate means for facilitating those linkages. For example, while regional government was meant to "bring the government to the people," regional councilors are poorly equipped to do this given that they have no offices, money or transport. In addition, while a number of national NGOs have satellite offices in several of the regions there remain too few intermediary institutions to link the majority of Namibians to the center in Windhoek in general and to national government in particular. Similarly, there is an insufficient information and communication flow within government and within the NGO community and, certainly, between the two. Namibia's vast size and very small and dispersed population compound this fundamental problem, although telecommunications are excellent between regions and the center.

Together these challenges lead to a tremendous lack of advocacy capacity on the part of actors in civil society vis-a-vis government. Throughout Namibia NGOs—from community based organizations to those national groups based in Windhoek—and trade unions, political parties, and the churches all feel that they do not have the capacity to lobby government. They do not have the ability to participate in the policy making process. They are not able to evaluate proposals and documents given to them by government, nor are they able to articulate their own original policy positions. This is, again, because many organizations are new and are busy building their own organizations. In general they do not have the money, time or expertise to devote to the research necessary for inputs into policy and lobbying the government. At the same time, regional and local councils are similarly unable to assert themselves vis-a-vis the central government. This is for many of the same reasons—new structures and insufficient resources, time, and expertise. In the case of the regional councils there is also considerable ambiguity about just what their mandate is.

The lack of an advocacy capacity among so many of the actors in civil society in Namibia and the absence of linkage institutions between state and society in Namibia represent serious challenges to the consolidation of democracy. If Namibian citizens are not able to make their demands on government and have those demands effectively represented, and if the decision making processes of government are not transparent and accountable then Namibia's newly created democratic structures may easily be undermined. Rising frustrations on the part of those who have not benefited tangibly from the policy of national reconciliation, continued discrimination in the workplace, a failure to address the land question, a lack of effective power at the level of local and regional government, and so on, will lead to the declining legitimacy of the Namibian government and a serious questioning of the very value of democracy itself. As the "post-independence honeymoon" ends, as it inevitably will, Namibia will risk the same slide into authoritarian rule that has characterized so much of the rest of Africa.

While many people consider the specter of one-party rule to be the greatest threat to democracy in Namibia, a focus on strengthening opposition political parties will not be sufficient to prevent the move toward authoritarian or one-party rule in Namibia. Given the lack of capacity among political parties in Namibia (with the exception of SWAPO), it is felt that any activities undertaken to strengthen political parties would, in the end, strengthen the only party that can absorb such activities—SWAPO. [For a greater discussion of political parties in Namibia, see section III.2.a and the introduction to section V.] Indeed, the more significant countervailing forces in Namibian society are to be found among the NGOs, the

trade unions, the churches, and the women's and students organizations, and it is from these sectors that eventually new, more viable, constituency based political parties will emerge. In the interim, it is felt that the greatest opportunities for enhancing the prospects for the consolidation of democracy in Namibia must lie in the two broad areas of building advocacy capacity and fostering linkages between state and society. As such, enhancing the prospects for democracy is understood as facilitating pluralism at all levels in Namibian polity and society and as strengthening those forces that will counter the concentration of power at the center.

III. FINDINGS FROM THE ASSESSMENT

1. STATUS OF KEY STATE INSTITUTIONS

a. The Executive

The Office of the President

The President of the Republic of Namibia is elected by direct universal and equal suffrage and must receive more than 50 percent of the votes cast. The term of office is for five years, and the same individual may not hold office for more than two terms [Article 29, (3)]. President Sam Nujoma continues to enjoy enormous popularity from supporters and detractors alike who see him as a leader who is personally committed to democratic principles and who works hard in the interest of Namibia. President Nujoma is widely expected to win his 1994 bid for re-election handily.

The powers and the duties of the President are outlined in Chapter 5 of the Namibian Constitution. The executive power of the Republic of Namibia is vested in the President and the Cabinet. The President appoints the Prime Minister, the Ministers and Deputy Ministers, the Attorney General, and the Director General of Planning (National Planning Commission). The President also appoints the Chief Justice, the Judge-President of the High Court and the other Judges of the Supreme Court and High Courts, the Ombudsman, and the Prosecutor-General on the recommendation of the Judicial Service Commission. On the recommendation of the Public Service Commission, the President appoints the Auditor-General, the Governor, and the Deputy Governor of the Central Bank. In addition, on the recommendation of the Security Commission, the President appoints the Chief of the Defense Force, the Inspector General of Police, and the Commissioner of Prisons.

The Cabinet

The Cabinet is drawn from Members of Parliament (MPs). Members from the National Assembly may be appointed as ministers, while deputy ministers can be appointed from the National Council. Currently, 35 of the 78 National Assembly MPs serve as Ministers or Deputy Ministers, and virtually all of Cabinet is composed of members of the ruling party. Two National Council MPs, both members of the ruling party, serve as deputy ministers: the Deputy Minister of Trade and Industry, and the Deputy Minister of Youth and Sports. The concentration of ministers and deputy ministers in the Cabinet poses particular challenges for the workings of the National Assembly, since the effectiveness of the party whips is circumscribed, and the number of backbenchers is severely reduced.

The Office of the Prime Minister

The Office of the Prime Minister (OPM) plays a pivotal role in defining the direction of policy-making as well as defining the priorities for national development.

The OPM generally has been seen to be open to the process of inclusion; in the words of the Prime Minister, "This Government is committed to being an open government. All Namibians should have an opportunity to provide their input. To ensure this input, consultation is of paramount importance."¹⁰ Indeed, the elaboration of the *White Paper on National and Sectoral Policies*, the Government's first major policy statement and "plan of action," and the organization of the National Land Conference in 1991 was widely acclaimed for being based on numerous consultative meetings with representatives from the different interest groups that would be affected by the policies. More recently, however, there seems to be increased confusion amongst various interests groups concerning at what point they should be involved in policy- and decision-making exercises, as well as the extent to which the understandings that emanate from consultations should be translated into concrete government action.

The National Planning Commission

The task of the National Planning Commission (NPC) is to plan the priorities and direction of national development and economic planning. At the time of the Constituent Assembly, two main options were discussed: to incorporate the NPC as a separate ministry, or to follow the United Nations Institute for Namibia (UNIN) proposal to have it constituted within the Office of the President. The decision to place it within the Office of the President was intended to facilitate the government's ability to have access to the information needed to formulate policy for pressing national goals and to coordinate the sectoral development efforts of the various ministries.

One perennially frustrating legacy of the colonial administration and a challenging problem for the current government, however, is the lack of a national information base concerning the existing situation in Namibia. The absence of national and sectoral data is primarily due to Namibia's previous division into eleven different ethnic administrations with no provisions for standardized data collection. The consequences of the fragmentation is that no reliable national statistics can be gleaned, making it difficult for the government to proceed with development initiatives in the absence of baseline data in virtually all sectors. As a result, a great deal of effort is now being devoted to conferences, workshops, and other forums, in addition to research efforts in the form of surveys, studies, and reports to assess the current situation in Namibia in order to promote sound development planning.

The NPC has the mandate to be the locus for interaction, cooperation, and coordination not only among government ministries, but also between government and international and domestic donors and NGOs. The NPC's capabilities, however, are at times stretched given the pace at which the government is initiating various development projects and programs, many of which require simultaneous attempts to coordinate and channel the range of human, financial, and material resources that are being made available from a variety of external and internal sources. As a result, some donors opt to approach individual ministries directly with project proposals, while others continue to channel funds through NGOs. In addition, although a liaison officer has been identified to staff an NGO desk, the desk is not yet fully operative. For the sake of

¹⁰ Debates of the National Assembly, March 11, 1991, p. 224.

the long-term development and planning capacity of the NPC, however, as well as its ability to carry out its institutional mandate, it may well be, as one analyst put it, "the duty of the government as well as aid donor nations to support the NPC and to ensure that it functions properly."¹¹

b. The Legislature

Namibia's constitution provides for a bicameral legislature consisting of a National Assembly and a National Council. The function of the National Assembly is to enact, amend, or repeal legislation in the national interest, while the National Council reviews bills passed by the National Assembly and recommends legislation on matters of regional concern.

Namibia's first National Assembly has its origins in the 72 individuals who were elected to the Constituent Assembly on 7-11 November 1989. These individuals, who were elected from a national party list on the basis of proportional representation, became Members of Parliament (MPs) at Namibia's Independence on March 21, 1990. In addition, the Constitution provides for the President to nominate a maximum of six additional, non-voting Members to the National Assembly for reasons of exceptional leadership qualities or particular expertise. The 72 Members from the Constituent Assembly were joined by six Members nominated by the President, bringing the chamber's total membership to 78. MPs are elected for a five-year term.

The National Council is comprised of 26 MPs, with two MPs being elected from amongst the members of each of Namibia's 13 Regional Councils. The MPs who comprise Namibia's first National Council were elected on 11 February 1993 by their colleagues in the Regional Council, who were themselves elected during 30 November through 4 December 1992. Members of the National Council are elected for a six-year term.

Parliament is convened in Namibia's capital city, Windhoek. Although the two chambers currently sit in different locations, plans are under way to construct a building for the National Council near the premises of the National Assembly. The sessions of the National Assembly generally are held during the months of February-March; May-July/August, and October/November-December. The chamber sits Tuesday through Thursday from 14h30-17h45, and on Fridays from 9h00-12h30, public holidays excepted. The sessions of the National Council generally coincide with those of the National Assembly. The National Council generally sits Monday through Thursday from 9h30-13h00, public holidays excepted.

Ideally, the Parliament should provide a forum for national dialogue on the issues of the day--affirmative action; economic, labor, and land policies; national reconciliation--and thus contribute to the Constitution's stated aim of promoting national "unity, liberty, and justice." The reality, however, is that the Parliament's activities seem to occur well beyond the purview of Namibia's citizenry. Although the Constitution

¹¹ See Sven D.O.Janson, *Environmental Profile of Namibia*. Report prepared for the Swedish International Development Authority (SIDA), Windhoek, Namibia, March 1991, p. 26.

specifically provides for public access to the meetings of the National Assembly the general public rarely attends its sessions. On a typical day, even when the National Assembly and the National Council are in session, its halls and corridors are woefully empty. Moreover, the activities of the National Council continue to be largely excluded, even from the NBC's nightly "Parliamentary Summary," which concentrates primarily on the deliberations of the National Assembly. In addition, there continues to exist a great deal of confusion in Namibia regarding the nature of the two chambers. In all sectors in society, including the governmental, non-governmental, and the press, observers repeatedly refer to "Parliament" when they actually mean the "National Assembly." The tendency to call the National Assembly the "Parliament" arises because the legislative branch functioned without its second chamber for three years. This having been the case, there is continued confusion as to where the National Council fits into the scheme of government institutions.

Contributing to the lack of clarity are the MPs themselves, who have become fixated on the correct terminology to apply when referring to one or the other chamber. Since the National Assembly chronologically came into existence first, its MPs refer to themselves as belonging to the "first chamber" or, the "upper house," which they liken to the US Senate since the National Assembly is comprised of legislators with considerable political experience. Yet, given that the National Council's MPs are elected from regionally-based constituencies, the National Council actually is more analogous to the US Senate. The distinction between the two chambers also contains a functional element: the power to initiate legislation resides with the National Assembly, which is analogous to the British House of Commons, or, the "lower chamber."

The confusion stems in part from the order in which the National Assembly and the National Council were elected, an order that in essence determined the composition of each. In other countries with bicameral legislatures, politicians typically begin their career in the chamber that initiates legislation, thus gaining experience in representing a particular constituency and acquiring specialized knowledge on salient and perennial issues. Following the accumulation of such experience and wisdom, politicians then aspire to the chamber of review, analogous to the US Senate or the British House of Lords. In Namibia, the majority of the most experienced politicians were elected to the Constituent Assembly, and thus to the National Assembly. As a result, the National Council largely is elected from individuals who generally have less legislative experience and less exposure as politicians. Consequently, some in the National Assembly see the National Council as being composed of relative newcomers to government, while some in the National Council may view colleagues in the National Assembly as being far more experienced, and therefore defer judgment to them. These differences in composition, however, are likely to become less distinct over time.

To further complicate matters, there is a perceived inequality of the two chambers, an inequality that stems from the origin of the National Council, which was born of compromises made during the Constituent Assembly. The opposition accepted the SWAPO constitution draft as a working document (each of the parties involved prepared drafts for a constitution). The differences between the SWAPO and the opposition proposals were confined to three major areas: (1) SWAPO insisted on an executive president with all the accompanying powers whereas the opposition was more in favor of a figurehead president; (2) SWAPO proposed a House of Chiefs whereas the opposition was disposed to a second chamber; (3) The use of national

party lists or proportional representation as the basis for elections was contested, but it was essentially a non-issue since the modality for electoral rule was stipulated in Resolution 435. Issues (1) and (2) were resolved via a compromise: the opposition accepted SWAPO's proposal for a presidential regime in return for SWAPO's agreement to implement a second chamber, the National Council, as opposed to a House of Chiefs. The National Council would be elected from regional constituencies proposed by a delimitation commission. The approval of the constituencies would be subject to vote by the National Assembly. After the constituencies were approved, regional and local elections would be held, elections that the opposition felt it stood a strong chance to win, especially given what it presumed to be superior support at the local levels in key economically developed regions. Although the opposition did not sweep the local and regional elections, and although SWAPO in fact won 19 of the 26 seats in the National Council, there seems to be a lingering perception on the part of the ruling party that the National Council is an unnecessary and illegitimate body.

Indeed, provisions for the National Council differ markedly from those made for the National Assembly. For example, the National Council suffers from budgetary constraints that inhibit its ability to function as an autonomous unit. A prime example is that National Council MPs have no offices. In addition, the National Council has had to conduct its business by using the staff of the National Assembly, creating a situation in which already severely stretched staff could not properly respond to the urgent demands of a institution eager to get underway.

Moreover, constitutional prescriptions for the relations between the National Council and the National Assembly (and for the relations between the National Council and the regional councils) are ambiguous. For example, there exist no clear provisions for joint sessions of the National Assembly and the National Council, or for joint committee meetings once the committees are operational. The lack of clear guidelines concerning the institutional relationships between key organs of the legislative process coupled with the lack of institutionalized procedures and mechanisms for enacting laws poses an obstacle to proficient legislating.

Finally, the effectiveness of the legislative structures has been hampered by the lack of adequate parliamentary staff. The issue of the staffing of Parliament has been contentious, and has been subject to discussion and compromise between the two chambers for months. The controversy has centered upon the structure of the staff, and the various ranks of its constituent members, which has major repercussions in terms of appropriate access to other government institutions and protocol issues. For example, if the Parliament is to be afforded proper status as the legislative branch of the government, the rank of the Secretary of each chamber should be at par with that of the permanent secretaries in the ministries. At issue, also, was the extent to which the staff would be shared by the National Assembly and the National Council, a consideration that hinged not least on budgetary concerns.

The structure of the first tier of staff for Parliament has only recently been approved. Each chamber will be provided with an accounts officer and a legal advisor, while the Parliament as a whole will be administered by a secretary at the rank of the ministerial permanent secretaries. There is also one staff position for a Parliamentary library, a facility that will be shared by both chambers. Yet, the issue of understaffing still may be far from resolved since these positions must first be publicly advertised,

and potential candidates must be approved by the Public Service Commission (PSC). In situations in which appointments are not yet confirmed by the Public Service Commission, qualified personnel may seek employment elsewhere. The Parliamentary Library, for example, has been plagued by a situation in which research assistants, impatient to be confirmed, leave for better jobs, sometimes just weeks after they have been hired. Moreover, while these staff positions have been agreed to through extensive negotiations between the two chambers, and between them and the cabinet, funding for the two staff members of the National Council has been to be assured.

The National Council possesses a broad mandate that offers it wide latitude for its activities. Its functions are to review the bills passed by the National Assembly, to investigate and report to the National Assembly on any subordinate legislation, reports, and documents tabled in the National Assembly and referred to the National Council for advice, and to recommend legislation of matters of regional concern for submission to and consideration by the National Assembly. If in its review the National Council disapproves of the "principle" of a bill, the National Assembly is required to reconsider and reaffirm the principle by a two-thirds majority, or else the bill lapses. How the National Council ultimately chooses to interpret its mandate will emerge from the precedents that are now being established, precedents that will provide the basis for conventions, if not for legislation, that defines its role more precisely.

As the National Council and the National Assembly succeed in defining their respective roles, as well as their roles vis-a-vis one another, Namibian citizens will be the beneficiary of better and more effective legislating, a situation that will do much to address the imbalances that persist as legacies from the country's apartheid heritage. In addition, Namibians will have access to legislators who are more cognizant not only of their mandate to represent their constituents, but who will be better equipped to do so. As Namibians begin to see the legislature as being responsive to their needs, and competent in representing them, the prestige of the legislature will be immeasurably enhanced. As a result, the Parliament will perform its democratic function as the voice of the people, and be a full partner with the executive and the judiciary in the governmental system of checks and balances.

c. Regional and Local Government

The existence of elected local and regional councils in Namibia holds out the promise for the eventual establishment of meaningful decentralized institutions of government. There are 13 regional councils and 71 local authorities in Namibia. However, these councils operate within the constitutional framework of a unitary state and are accountable to the Minister of Regional and Local Government and Housing (MRLGH). Their powers are limited and consist of those administrative and decision-making functions which the central government via the Ministry devolves to these lower tiers of government. Their present legal status, authority and role is also highly ambiguous, a situation which requires clarification either through the amendment of the Namibian constitution and/or the amendment of the Local Authorities Act and of the Regional Councils Act of 1992.

The ambiguity of functions and powers is especially true for the regional councils whose real powers are, for all practical purposes, nil. On the one hand, they are charged with taking care of the needs and development of all areas outside existing municipalities, towns, and villages *on behalf of the central government*. On the other, they have no independent source of revenue although they may (subject to the approval of the MRLGH) raise revenue and share in the revenues raised by the central government in the regions. Regional councils are also entitled to receive five percent of the property taxes obtained by local authorities within their regions, but few do. Nor do the councils have any specific duties other than to advise the central government of the needs of their regions, make annual budgetary requests to the Ministry of Finance, and consult with the National Planning Commission during the planning process for their regions.

The local authorities fare somewhat better, but suffer from similar limitations. Of the 71 local authorities in Namibia, 43 are village councils, 12 are town councils and 16 municipal councils. Prior to independence, most of these bodies did not exist as elected councils were provided for only a handful of urban areas such as Windhoek, Luderitz, Keetmanshoop, Grootfontein, Tsumeb, and Swakopmund that catered to and were reserved for whites. No officially recognized forms of local government existed north of the "red line," the most populous regions of the country. As a result, the new councils have been elected to govern new towns which must first be formally *proclaimed* before the elected councils which are charged with running them can fully exercise their authority. In contrast with the regional councils which have no clear mandate, the local authorities are responsible for specific municipal services including the provision of water, electricity, sewage and refuse removal, and the paving and maintaining of streets. Local authorities also have, or eventually will have, their own sources of revenue. Most important of these are the fees obtained from the provision of water and electricity, and the taxes from rateable property. However, until an area is officially recognized as a local authority by being proclaimed as such, local councils must turn over all revenue to the Ministry of Regional and Local Government and Housing. This situation in turn means that most local authorities do not forward the required five percent of their property taxes to the regional councils thereby exacerbating the budgetary constraints on those bodies.

Both the local councils and the regional councils also suffer from a serious lack of experience in governing as well as a lack of knowledge about how regional and local government, and government in general works. Part of this problem arises from the simple fact that these are new bodies whose members were elected for the first time less than two years ago. Not only are they inexperienced, there is no "institutional memory" to accelerate their learning on the job. Nor has the Ministry of Regional and Local Government and Housing been in a position to provide adequate and sustained training and handbooks of operations for councilors—a problem which is candidly acknowledged by the MRLGH. An exception to this situation are those few towns and municipalities which operated prior to independence and where holdover staff, most of which is white, backstops the new councilors. However, the degree of cooperation in such towns has been mixed as the incoming councilors, who are overwhelmingly black, have been eager to quickly rectify the injustices of the past, while the holdover staff has been placed in the awkward position of slowing the process down to be consistent with

what these authorities can afford. Not surprisingly, charges of footdragging abound--some of which are probably valid.

The result is a high level of frustration at two levels of elected government that are critical to the future of Namibian democracy, and between the elected personnel at these levels and the ministry which oversees their operation. Apart from the local courts (see section III.2.d below), it is at the local and regional levels that most Namibians come in contact with government and will develop their attitudes about what democracy is and whether "democracy works." If meaningful elected government is not established at the local and regional level in the short to medium term over the next five to ten years, it is certain that many citizens will become dissatisfied with the SWAPO government and perhaps "democracy." Put bluntly, if the problems of local and regional government are not ultimately solved, the likelihood of a crisis of legitimacy of the Namibian state will greatly increase. The reason for this is not merely because the local and regional councils are the closest governmental authorities to the people, but also because of the method of election to each of these bodies in contrast to the method of election to the National Assembly.

As discussed in the section on Parliament, the National Assembly is elected on the basis of proportional representation while the National Council is indirectly elected by the regional councils. Members of the dominant legislative chamber do not have a geographic constituency to which they can be held accountable; rather they are accountable to senior party officials who determine where they rank on the party's list at the time of each parliamentary election. Put differently, members of the National Assembly must "look up" rather than "down." Most are rarely or only periodically seen in their home areas; and when they do turn up, they are not specifically charged with tending to matters of constituency service. Although SWAPO has tried to institute an informal system of constituency responsibility by assigning its members of the National Assembly to canvass public opinion in a series of geographic areas around the country, the MPs cannot be sanctioned by the public if they do not perform this task. Members of the National Council, on the other hand, do represent specific geographic areas, but many regions are very large and members of the National Council are invariably most concerned with their own specific constituency rather than with their region as a whole, because it is the people in the former who will determine whether they will be reelected first to the regional councils. The relative powers of the two houses also downgrades the extent to which Parliament remains in touch with the grassroots.

By contrast, members of the regional councils are elected via a system of single member constituencies for which they alone are responsible and of which there are 95. Under the provisions of the Regional Councils Act, each region must be divided into no fewer than six and no more than 12 constituencies. The current maximum number of constituencies--in Ohangwena and Oshikoto regions--is ten.¹² The result is that it is the regional councilors, not the Members of Parliament, who are in greatest contact with Namibian citizens in the rural areas, and who are the prime targets of constituent demands, but who at the same time constitute the category of elected officials which is

¹² For a summary profile of each region, including lists and maps of all constituencies, see Gerhard Totemeyer, Victor Tonchi and Andre du Pisani, *Namibia Regional Resources Manual* (Windhoek: Friedrich Ebert Stiftung, 1994)

least able "to deliver the goods." This is probably the greatest structural anomaly in the Namibian system. Time and time again the members of every regional council we visited stated that they were "unable to deliver the goods;" the phrase became a mantra. In this regard it was particularly interesting to note that regional councilors do not shrink from the expectations thrust upon them. Most are eager to do more, but complain that the Ministry of Regional and Local Government and Housing does not provide them with sufficient authority, training or financial resources to get on with the job. They further submit that members of the National Assembly should be elected by single member constituencies so as to be more sensitive to the people and to the pressures on the regional councilors. Many say that they will press actively for such a change for the 1999 parliamentary elections, and that many incumbent members will be thrown out in the process. Judging from the experience in those African countries (e.g. Kenya and Tanzania) where incumbent MPs stood for reelection in single member constituencies after independence, the prediction of the regional councilors is valid.

While the method of election to the local authorities is also by party list, the problem of "staying in touch" with one's constituents is not as great given the relatively limited geographic areas of most towns. It was nonetheless interesting to hear many local councilors tell us that they preferred a single member system of representation which would enable them to be responsible for a more limited and manageable portion of the population and with whom they could then develop a strong working relationship. Some also expressed frustration at being held accountable by people who came from parts of town where they were not known. In short, the negative effects of the party list system in towns and municipalities is different than in respect to MPs. Councilors can be held accountable by the citizenry, but feel that they are unable to develop strong ties to a manageable constituency. Many stated frankly that they expected to be defeated at the next election if their towns were not officially proclaimed so that they could get on with the business they were elected to perform. Others fear that turnout in the next round of local and regional elections would fall. Like the regional councilors, local councilors complained that the MRLGH kept them on a short leash and provided them with no revenue even though they were collecting significant revenue within their boundaries.

In most towns visited by the assessment team, the councils were falling behind in collecting the service fees due for electricity and water, a fact for which they have received considerable criticism and exhortations from the MRLGH. Their reply is that it is increasingly difficult to collect these fees and that the arrears are mounting because people refuse to pay. Some refuse because they can no longer afford the services, but many refuse because they see no point in parting with cash if it is to be turned over to a central government body with no guarantee of being used to improve services in *their* community. The story is an old one: "No taxation without representation." Conversely, citizens—even poor ones—will part with their resources if they get something in return.

The Ministry of Regional and Local Government and Housing acknowledges most albeit not all of the frustrations articulated by the local and regional councilors, but defines the problem from the perspective of the center. From its vantage point, the fundamental problem is not the absence of delegated authority, but rather the fact that the councilors are inexperienced and undertrained. Once these shortcomings are overcome or measurable progress is achieved at resolving them, the MRLGH states

that it is prepared to devolve some measure of authority. Until then, such moves would be premature. Ministry officials also complain that councilors are merely preoccupied with obtaining greater perks, and are not mobilizing their communities to provide for their own needs. Were local officials to spend more time thinking creatively, collecting the revenues available to them, and nurturing programs of self-help, their problems would begin to be solved. Nevertheless, one senses from discussions with senior officials in the Ministry that the pressure building for a measure of devolution is appreciated—at least at a rhetorical level. The long term proof, however, will be in the proverbial pudding: what the MRLGH actually does to overcome the problems in training and what it does in terms of delegating more authority to the periphery. Discussions with SWAPO regional leaders further suggest that the political pressure for change is mounting within the party as a younger generation of leaders based in the regions are echoing the complaints of the councilors via party fora, including the central committee.

A final set of relationships which will determine the success or failure of local and regional government in Namibia, are the relationships between the local and regional councils on the one hand, and the local and regional offices of "line" ministries as well as the National Planning Commission on the other. These relationships are currently minimal, but could be greatly strengthened—a step which might alleviate some of the frustrations on the part of the councilors. Line ministries currently carry out their work under direction from Windhoek. Although "interministerial committees" have been instituted at the regional level and although the regional governors and regional officers (the civil servant attached to each regional council) participate in these committees, the degree of coordination, and especially the degree of input from the elected councils, is still very limited. The establishment of these committees, however, holds out the prospect of providing the regional councils with an important vehicle for holding line ministries more accountable at the regional and local level. The same is true for the process of regional planning which the NPC has more or less delegated to the MRLGH, but for which the Ministry has yet to establish detailed procedures in the field.

In sum, the opportunities for consolidating Namibian democracy at the regional and local level are great, but so are the challenges. Much can be achieved in this area if local and regional councilors are provided with adequate training, handbooks and resource materials for guidance, and the strengthening of the process of regional planning and interministerial coordination at the regional level. Local and regional councils must also be given greater control over the revenues they raise. Finally, it must also be recognized that the legislation governing local and regional authorities must eventually be rewritten to provide for greater authority and autonomy on the part of these bodies. In short, the challenges in realizing the potential of decentralized government in Namibia is part technical and part political. The United States should be prepared to lend its support to meeting each.¹³

¹³ The assessment team is not alone in its diagnosis. A recent assessment of local and regional government conducted for the MRLGH by Coopers and Lybrands and funded by the British High Commission reached similar conclusions. The report, which was written in April, 1994 and submitted to the Ministry in June has yet to be released.

d. The Judiciary and the Rule of Law

The Namibian judiciary consists of a Supreme Court, a High Court, approximately 40 magistrate courts, and a system of community or traditional courts. The Supreme Court functions as a court of constitutional review and as a court of appeal while the function of the High Court is to review cases and decisions which are referred to it from the magistrate courts. The community courts are primarily concerned with civil matters and are staffed by traditional leaders who apply the customary law of their areas to the cases which come before them.

As with other governmental structures in Namibia, this four-tiered system is a holdover from the colonial period during which the three highest tiers were staffed entirely by South Africans or white Namibians. The same is true of the Ministry of Justice which remains responsible for the administration of the judicial system. Although the laws of South West Africa evolved independently from those in South Africa after 1980, Namibia's judicial system was an extension of the South African system until independence in March, 1990. As such, Namibia must deal with three legacies of the past to establish an independent judiciary. The first, is the shortage of trained and experienced black Namibian attorneys to staff the judicial system. The second is the carryover of the procedures of Roman-Dutch law as practiced in South Africa in contrast to judicial procedures in other Anglophone countries. The third, is the perspective of the average Namibian of the judicial system and the access she or he enjoys to the courts.

Prior to independence, opportunities for black Namibians to obtain advanced legal training was limited to a handful of individuals who received such training in South Africa or in Europe or the United States. While a number of initiatives have been since undertaken to expand the number of black Namibian attorneys, the process will take several years before the number of attorneys is significantly increased. The training of attorneys--a combination of university degree work followed by an extended in-service apprenticeship or "articles"--takes seven years. Moreover, many of those who have been recently trained, find they can earn significantly higher salaries by entering private practice or joining an established law firm. The result is that the recruitment of black Namibians onto the High Court and Supreme Court has barely commenced, while the process for the magistrate courts--while well underway--has been tortuous.

Most citizens who come into contact with the judicial system do so at the level of the magistrate or community courts. During the colonial period, the magistrate courts were staffed entirely by whites and justice was rendered in a manner consistent with apartheid laws. Not surprisingly, many citizens had a very negative view of the judicial system as well as the state since the courts were the principal point of contact between Namibians and the government. To overcome this situation, approximately 40 individuals received two years of legal training at the UN Institute for Namibia in Lusaka, Zambia prior to independence with the view towards posting them to the magistrate courts immediately after independence. Most of these individuals had not previously completed secondary school. None received a full legal education. None were trained in the procedures of Roman Dutch law. None received any in-service training subsequent to the diplomas they were awarded in Lusaka before taking up their posts. The results were predictable: Most of these individuals who were

ultimately posted to the magistrate courts failed to perform at an acceptable level. Decisions reached by the new magistrates were often reversed by the High Court, and a backlog of cases piled up at the courts staffed by the new recruits. These problems were compounded by a lack of trained prosecutors as well as a shortage of trained police responsible for obtaining evidence and witnesses for the courts in a timely manner.¹⁴ Compounding this situation of near breakdown even further is the fact that the district magistrate courts are required to sit periodically as labor courts under the provisions of the Labour Act of 1992. The bottom line is that South West Africa's system of apartheid justice has been replaced by a system of poorly administered justice which greatly frustrates both litigants and magistrates.

To overcome these problems the Ministry of Justice determined in 1991 that it should establish a Justice Training Centre (JTC) to provide compensatory instruction to those who had received their initial training in Lusaka as well as to those returning with law degrees from abroad to take up positions on the magistrate courts. The need for supplementary training is particularly great as roughly half of those who trained in Lusaka have since left government service while the number of magistrate courts has expanded to 31 and will top out at 32. Approximately 80 trained magistrates will ultimately be required to staff this system. Today there are 26 resident magistrates, or chiefs of the magistrate courts, and another 51 magistrates. The Justice Training Centre is also responsible for providing short courses for public prosecutors, police investigators, and clerks and other court personnel.

Unfortunately, the Justice Training Centre presently lacks the personnel or financial resources to carry out its charge, though this situation could change. Although the need for the Centre originated in the Ministry of Justice because it is the agency responsible for staffing the magistrate courts, the Ministry determined that the best home for the Centre would be the Faculty of Law at the University of Namibia (UNAM)--or so it was thought. Under a Memorandum of Understanding signed between the Ministry and UNAM the latter was supposed to provide core staff and office facilities for the new center while the Ministry assumed responsibility for obtaining funding from interested donors. At the time of this assessment three donors--the Ford Foundation, SIDA, and GTZ--had made grants totaling approximately \$450,000 which will fund the Centre through 1995 after which the Centre will be on its own. The basic need will be for salaries or partial salaries for its core staff. The University has recently assumed responsibility for roughly half of what is required to sustain the JTC (roughly \$39,000) but whether it will be in a position to provide the remainder is unknown. The current director of the JTC is a South African civil servant who retires on March 31, 1995 and whose salary or that of his successor must be assumed by the Centre at that time. Discussion of this and other needs of the JTC to maintain its operation is presented in section V below, including tentative plans by other donors to provide support. The need for the Centre to expand its array of short-term courses to backstop the operations of the magistrate courts and ultimately the community courts is likely to continue through the end of the 1990s and into the next decade. It is also highly

¹⁴ For example, in Oshakati the local magistrates reported that they were approximately three months behind in their work, a backlog of several hundred cases. In Rundu, the backlog of cases recently exceeded 200.

desirable that the JTC mount a program of in-service training, an exercise it cannot take on given its current capacity.

In addition to suffering greatly from a dearth of adequately trained personnel, the system of magistrate courts suffers from a shortage of appropriate reference materials which the magistrates require to carry out their work. These include handbooks for magistrates, a complete and annotated set of the Laws of South Africa (1915 to 1980), Southwest Africa (1980 to 1990), and the Laws of Namibia, and a complete set of Law Reports. Some magistrate courts have complete sets of these materials; most do not, and some have none. In summary, a combination of training and materials is required to enable this crucial component of the Namibian judicial system to function properly.

The lowest tier of Namibia's justice system are the community or traditional courts. The specific jurisdiction of the community courts, and their relationship to the magistrate courts as well as the division of labor between them is highly ambiguous. While the community courts are primarily concerned with civil disputes, judicial proceedings in respect to civil matters may also be initiated via the magistrate courts. Community courts do not presently have the means (i.e. access to the police) to enforce their decisions with the result that individuals receiving favorable decisions from the community courts must often initiate proceedings in the magistrate courts to obtain enforcement of the earlier decisions. The community courts are also viewed as "small claims" courts that should be easily accessible to the rural poor. Litigants before the community courts usually represent themselves without legal counsel, but such practice is at variance with the Namibian constitution which requires that litigants be represented by counsel. Because customary law varies from one group to another, the consistency of judicial standards between regions and with the laws of Namibia are also sometimes in doubt. Resolution of these issues is in the process of being defined by the Ministry of Justice which is drafting new legislation to define the purpose and statutory authority of the community courts. An act of Parliament was supposed to be passed in early 1994, but was yet to be fully drafted at the time of this assessment. It is anticipated that the act will be drafted and passed by the end of the year though the issue of consistency between customary practice and the laws of Namibia may take longer to resolve--if indeed it is ever possible to fully solve this problem. Once the act is passed, there will be a need to train local community/traditional leaders in the basic procedures of judicial practice.

Two other important dimensions of the legal process need mention. The first is the Law Reform and Development Commission attached to the Ministry of Justice. Article 66 (1) of the Constitution states that "Both the customary law and the common law of Namibia in force on the date of Independence shall remain valid to the extent to which such customary or common law does not conflict with this Constitution or any other statutory law." In practice, the acts and ordinances originating from customary law and from statutory law enacted under the South African government will remain in force until such time as they are specifically repealed by the present government, a situation that is a problematic obstacle to change. Moreover, government objectives, such as its commitment to affirmative action and to gender equality, are at times undermined by the existence of laws that run contrary to the intent of constitutional provisions. Although some areas of law have been attended to, others remain to be

addressed. For example, juvenile law and laws pertaining to women concerning marriage and inheritance.

The second dimension is the composition and professional norms of the legal profession and the training of black Namibians for the bar. The Law Reform and Development Commission has been in existence for over a year to systematically revise statutes enacted prior to independence to be consistent with Namibia's constitution. In addition, the Law Reform Commission will determine what new legislation is required to fully realize provisions of the constitution (e.g. equality of gender). The work of the Law Reform Commission is proceeding slowly but surely, and appears to be adequately financed through a combination of GRN and donor funds.

The training and incorporation of black Namibians into the Namibian bar will be a lengthy process lasting well into the next decade. Namibia presently has roughly 100 fully trained attorneys in private practice of which roughly only a half-dozen are black. There are only two black law firms in Windhoek. Compounding this situation is the near total absence of a tradition of public interest litigation in Namibia save the programs of the Legal Assistance Centre. Put simply, virtually all law firms are white and serve white and corporate clients--the upper-middle class of Namibian society. The training of black Namibians in the law will eventually mitigate this situation, but is no guarantee unless law clinics are established which will employ the new trainees. The training of black Namibians to become attorneys is also an expensive and lengthy process. However, without the provision of such training, there will be no significant change in the composition or orientation of the Namibian bar. The issue of advanced legal training also raises questions as to where and how such training should be obtained. The University of Namibia has established a Faculty of Law, but most outside observers agree that it would be more cost effective to send would be attorneys to South Africa for their legal studies. Should USAID consider the provision of assistance in this area, it will need to make a determination on this issue.

In summary, the weakest links in the Namibian legal process are at the level of the magistrate courts and in the overall composition of the legal community. Overcoming the problems of the legal process is essential for a functioning democracy. An overview of the various forms of assistance that USAID might provide to strengthen the legal process is discussed in section V.

e. The Auditor General and the Ombudsman

The Office of the Auditor General and the Office of the Ombudsman are two independent state agencies that have made significant progress toward establishing themselves as autonomous institutions. Namibia's first and only Auditor General to date is Fanuel Tjingaete, an ex-boxer and ex-professor with a Ph.D. in macro-economics who clearly relishes his role as the independent conscience on how government manages its finances. Though provided for in Namibia's constitution, the post of Auditor General was not filled until mid-1993 with the result that government accounts to date have only been audited for 1991 and 1992. These reports have been quite critical resulting in harsh replies by sensitive ministers whose ministries were singled out for incompetence as well as by the secretary-general of SWAPO. It is too early to determine whether the Office of the Auditor-General in Namibia will be

successful in curbing the degree of financial irregularities and outright corruption that have plagued other African countries. However, it is clear that the combination of an independent and bright incumbent of the office coupled with an aggressive and independent press can put the spotlight on malfeasance or simple incompetence.

The Office of the Auditor-General is responsible for auditing the finances of all government ministries and agencies including parastatals and local authorities. The office has an authorized establishment of 80 and an annual budget of \$N 3.8 million. Due to the limited availability of suitably trained personnel, the actual number of staff is 45 which has forced the Office to contract out roughly 25 percent of its workload to private firms. Notwithstanding the current shortage of trained personnel and the fact that the A-G's office suffers from high turnover because many staff use it a stepping stone to higher salaries in the private sector, Dr. Tjingaete estimates that the office will have a full complement of staff within two to three years. The A-G's Office is currently supported in its work by two Swedish and one British advisor which has enabled the office to begin to introduce procedures of performance auditing in addition to the more conventional auditing of financial accounts.

Critical to the long-term prospects for the institutionalization of the office is the security of tenure of the present incumbent and his successors. The A-G is nominated by the Public Service Commission and then approved by the National Assembly for a term of five years, and can only be removed by a vote of two thirds of the lower house. The current incumbent believes his position is secure, but one wonders what might occur should SWAPO achieve a two-thirds majority in the forthcoming elections for the National Assembly or whether he or a similarly independent personality will be named to the post when his current term ends in 1998. In this regard, it is significant to note that the ambassadors from the Nordic countries felt it necessary to make a demarche to the GRN following the attacks on Dr. Tjingaete following the submission of his Office's audit for 1991. Given the relatively smooth functioning of the Office, future support required from the United States will most likely be political rather than financial or technical.

More tenuous yet nonetheless encouraging is the Office of the Ombudsman. It is staffed by the Ombudsman and Deputy Ombudsman supported by several secretaries. The Ombudsman and his deputy are nominated by the Judicial Services Commission and appointed by the President. The former was not appointed until May, 1992 while the latter was named in January, 1993. The Ombudsman, Fanuel Kozonguizi was on sick leave from September, 1993 until May, 1994 with the result that the office is only now operating at capacity. A previous inquiry into the operations of the Ombudsman by a member of the assessment team in June, 1992 suggested that the incumbent was somewhat timid and unsure about how to pursue complaints brought to him for action. Current queries by the same member of the assessment team suggest that the Office is now up and running and does not shy away from sensitive cases. For example, the Ombudsman pursued the case of alleged corruption by a government minister in the drilling of state financed boreholes on his property to the point that the Prime Minister established a commission of inquiry to resolve the matter. More recently, the Ombudsman has been named as the chair of the Commission of Inquiry into the operations of the University of Namibia. It would thus appear that the Office of the Ombudsman has made progress in establishing its role and gained stature in the process. Unfortunately, the work of the office is severely

limited by a lack of *any* trained investigators. Both the Ombudsman and Deputy Ombudsman would like to establish an office in each of Namibia's 13 regions, but this would require at least one investigator per region. Until such time as the Office of the Ombudsman can expand its establishment, its activities will be limited to the efforts of the incumbent and his deputy.

f. The Role of the Security Forces

The role of the security forces and the dynamics of civil-military relations were not examined for this assessment due to limited time, and because USAID is prohibited from providing assistance to the military or police by the Foreign Assistance Act. Civil-military relations in Namibia also appear to be on a sound footing insofar as the security forces are responsible to an elected civilian government, and instances of human rights abuses are few. However, many members of the security forces, especially the police, are hold-overs from the period of South African rule when the police operated under few restraints and were largely feared and/or despised by the majority of the population. Relations between the police and ordinary citizens at the level of the local community could probably be improved to foster a greater degree of mutual trust, and a sense of ownership on the part of the citizenry that the police were there to serve and protect their persons. Should the Foreign Assistance Act be amended or superseded by new legislation as the Administrator has proposed to permit USAID to implement programs to improve civil-military relations, the mission in consultation with the military attaché at the US Embassy, should conduct a "mini-assessment" of this area to determine whether or not future programming is warranted. It should also be noted that while the assessment team was in Namibia to write this report, a regional conference of SADC members was held in Windhoek on the subject of civil-military relations and democracy in Southern Africa. All states represented at the conference, including the GRN, pledged themselves to work towards the demilitarization of the region and improve civil-military relations as they are a critical component to the consolidation of democracy. Improvement of civil-military relations is thus part of the official agenda of the GRN, a fact which USAID should consider when the time allows

2. CIVIL SOCIETY

a. Political Parties

More than 40 political parties and coalitions participated in the 1989 Constituent Assembly elections. Of the various parties and coalitions, the following managed to elect members to the Constituent Assembly, which subsequently became the National Assembly: Action Christian National (ACN); the Democratic Turnhalle Alliance (DTA); Federal Convention of Namibia (FCN); Namibia National Front (NNF); National Patriotic Front (NPF); South West Africa People's Organization (SWAPO); and the United Democratic Front (UDF). A brief discussion of the parties follows:

Action Christian National (ACN)

The ACN, composed of two member parties, the National Party of South West Africa and the German Action Committee, was founded in early 1989 with the backing of the National Party. The ACN's program advocates a system of independent local authorities with maximum autonomy, especially in the area of education, and a free market economy.

Democratic Turnhalle Alliance (DTA)

The DTA was founded in November 1977 by participants in the Turnhalle Constitutional Conference. Since its inception, the DTA campaigned for the recognition of Namibia's "internal parties" as equal negotiating partners with SWAPO and South Africa, rejecting the UN's recognition of SWAPO as the "sole and authentic representative of the Namibian people."

The DTA was composed of nominated representatives from each of Namibia's ethnic groups, with the largest and the smallest having approximately equal representation. The South African expectation was that the DTA would prepare a constitution based on the principle of ethnic equality, in disregard for actual population numbers, an equation that would give whites a more substantial position in Namibia than their numbers otherwise would indicate.

The DTA program during the 1989 elections was based on the principles of democracy, the rule of law, fundamental freedom and responsibilities, and a mixed economy.

In late July 1991, the South African government admitted that it had provided some R100 million in funding for the DTA and several other political parties which were opposed to SWAPO prior to the election of 1989. DTA-gate, as it was called, served to discredit the party and reopened latent suspicions about the extent to which the elections actually could be considered to have been free and fair.

At the end of November 1991, the DTA voted to reorganize itself from a coalition of parties into a single party, known as the DTA of Namibia. According to its Mission Statement, "The DTA of Namibia is a political party which arises from and is rooted in the cultural multiplicity of the people of Namibia, with the fundamental aim to advance and maintain peace and prosperity and to achieve national unity based on a multiparty democracy.

Federal Convention of Namibia (FCN)

The FCN was founded in late 1988 in Rehoboth. The coalition has a strongly Christian-based platform that advocates a federal system of government and a mixed economy.

Namibia National Front (NNF)

The NNF, organized on the slogan "Give the land back to the people," was formally established in February 1989. The coalition's intent was to expand its base by entering into alliances with other progressive parties in Namibia. Its policies are based on the fundamental principles of democracy, with the active participation of the state in the major aspects of the economy to safeguard and extend the interests of all citizens.

National Patriotic Front (NPF)

The slogan of the NPF coalition is "reconciliation, democracy, development." It was founded in March 1989. Its fundamental mission is to create a new country and a new society based on equal rights and opportunities, and favors a mixed economy.

South West Africa People's Organization (SWAPO)

SWAPO has its origins in the Ovamboland People's Congress (OPC) and the Ovamboland People's Organisation (OPO) founded in 1958 and 1959 in Cape Town. The OPO was founded from among contract laborers in Cape Town by Andimba Toivo ya Toivo, Andreas Shipanga and others. The OPO's immediate aims were to fight the contract labor system and to represent the politically voiceless workers. Soon after the founding of OPO, a decision to attempt to unite all non-whites into a single party resulted in the founding of the South West Africa People's Organisation (SWAPO) in 1960. Sam Nujoma was elected President of SWAPO at its founding.

Already in the early 1960s SWAPO established a base in exile (in Tanzania) and began to send cadres for military training. The armed struggle against the South African forces of occupation in Namibia began with the first incursions of SWAPO combatants into Namibia in 1965 and 1966. Eventually SWAPO moved its exile base to Zambia and, after 1974, to Angola where several thousand Namibians spent more than 15 years in camps in exile. While SWAPO was never formally banned inside Namibia its activities were, for all practical purposes, suppressed by the colonial authorities.

In 1976 the United Nations declared SWAPO "the sole and authentic representative of the Namibian people." From 1978 SWAPO participated in the negotiations of the Western Contact Group of the United Nations to achieve independence for Namibia via Security Council Resolution 435. During the years of exile many SWAPO cadres were trained at the United Nations Institute for Namibia in Lusaka, established in 1974, and others were sent abroad for training and further studies. SWAPO exiles returned to Namibia in 1989 under a United Nations sponsored repatriation effort. SWAPO transformed itself from a liberation movement into a political party at its first congress in an independent Namibia in December 1991. SWAPO's post-independence program is based on redressing the past grievances of the majority of the Namibian population. The SWAPO program is guided by the policy of national reconciliation and endorses a mixed economy for Namibia.

United Democratic Front (UDF)

The UDF was founded in February 1989 as a centrist movement between SWAPO and the DTA. The coalition of parties was joined by the Workers Revolutionary Party in August 1989. Its program is based on the principles of democracy and it favors a mixed economy.

In 1989, SWAPO won 57 percent of the vote, which translated into 41 of the 72 seats of the Constituent Assembly. The main opposition party, the DTA, won 29 percent of the vote, or 21 seats. The UDF earned 4 seats, the ACN 3, and the FCN, NNF, and NPF earned one seat apiece.

SWAPO consolidated its strength as a party during the 1992 regional and local elections, which determined the composition of the municipalities, towns, and villages, and the composition of the Regional and National Councils. At the regional level, although the elections were contested by seven political parties (the DTA, NPF, SWANU, SWAPO, UDF, and the Worker's Revolutionary Party), SWAPO garnered 19 of the 26 seats in the National Council. The DTA is the only other party that is represented in the National Council, occupying the remaining 7 seats. At the constituency level, SWAPO won 71 of the 95 constituencies; the DTA 21; and the UDF, 3. SWAPO won outright victories in 10 regions, the DTA in 3.

Following these developments, and in the context of the presidential and National Assembly elections scheduled for December 1994, there is widespread concern that this time around SWAPO will win more than a two-thirds majority. If this should happen, SWAPO would be in a position to rewrite portions of Namibia's highly acclaimed Constitution. In fact, some feel that SWAPO would be compelled to do so in order to address the widespread problems of persistent inequalities in such important areas as land, housing, education, and employment. There are also rumors that the Constitution would be rewritten to allow President Nujoma to continue for more than the currently stipulated two terms.

Although a coalition of parties recently has formed, its status remains unclear. Beyond agreeing that the coalition will be nonethnic and nonracial (which is a provision of the 1992 Electoral Act), and that the coalition's approach to the land issue would be "within the framework of the Namibian Constitution," the UDF, NPF, SWANU, ACN and FCN have not yet managed to progress further towards consolidating themselves as a political force - despite elections being only a matter of months away.¹⁵ Indeed, the UDF decided not to join the coalition because it would first like to define itself as a party, as opposed to part of a larger group. At present, only three parties are continuing discussion about the coalition, the ACN, the NPF, and SWANU. These parties are organizing a congress that apparently is scheduled to take place sometime in the near future. Although the DTA leadership was not interested in a pre-election coalition, it may be willing to consider cooperation after the elections. It therefore

¹⁵ See "Revised Third Report by the Steering Committee for Unification/Coalition (SCU/C) to the Executive Bodies of the Negotiating Parties (UDF, NPF, SWANU, ACN & FCN),"

9 May 1994, Windhoek.

remains to be seen what the status of the coalition will be in the near future, before the elections, and once the elections have taken place.

In this context, emphasis on fostering multipartyism - the mere existence of "opposition" political parties - for opposition's sake, is not, in the long term, the most appropriate or necessarily the most effective means of addressing what is in essence a problem of the perceived illegitimacy of the political parties as they currently exist. The principal opposition actors continue to be discredited by their participation in the interim governments prior to the 1989 Constituent Assembly elections, and by the revelations of DTA-gate in 1991.

In addition, it is important to note that none of the coalitions and parties differ substantially in ideology from the orientation of the ruling party, SWAPO. Given that there seems to be consensus concerning the basic tenets of Namibian society, one might expect the opposition vigorously to advance alternative proposals about how better to address Namibia's material needs, especially in the areas of land tenure, jobs creation, and improved facilities in education, housing, and health, as well as how best to accomplish the goals of national unity and affirmative action. In the more than four years since independence, however, none of the parties has really consolidated its position. Even the "loyal opposition" tends to be virtually moribund until an election approaches, when it scrambles to mount a campaign. Most importantly, Namibia's parties are seemingly singularly unable to articulate a program, and thus attract members and supporters.

Given the above, the opposition parties as a whole are perceived to offer no viable alternative to SWAPO and its government policies. Indeed, representatives from the DTA frequently lamented that SWAPO has incorporated all of its major policy tenets, leaving it little room for policy-making maneuver. Indeed, all the political parties interviewed pronounced themselves satisfied with the opportunities that exist for constructive dialogue with the government, and that the climate for political action generally is open and tolerant (there are important exceptions to this latter sentiment in specific areas, most notably in various constituencies in the northern part of the country).

On a final note, it should be recalled that Namibia's past is one of highly partisan politics. In post-independence Namibia, there are many people who would like to move beyond these past party political differences. For example, the women's movement, the trade union movement, even the NGO community to a certain extent, continue to be divided along party political lines. There is a pronounced feeling that these divisions along party lines are hampering development efforts while reducing the strength and the bargaining power of these different movements and organizations. Most importantly, unlike other organizations in Namibia, most political parties appear to lack an active and easily identifiable constituency. Thus, activities aimed at strengthening the capacity of the various groups in Namibian society, including the political parties, to more effectively interact with the government and to advance their interests, will contribute to consolidating democracy and more effective governance.

b. The Media

The Media Institute of Southern Africa (MISA)--Namibia

The Media Institute of Southern Africa, MISA, is a regional secretariat intended to promote free, independent, and pluralistic media in southern Africa. It is the only organization of its kind in the region. MISA arises from a consensus concerning the desirability of promoting the free flow of information and cooperation between journalists as a principal means of nurturing democracy and respect for human rights in Africa. MISA results from a series of meetings that began in 1989; most of the meetings were financed by the Swedish International Development Authority (SIDA). MISA was established in March 1991 and adopted the Declaration of Windhoek on Promoting an Independent and Pluralistic African Press in May 1991. A meeting financed by SIDA and UNESCO in Windhoek in August 1992, capitalized on the SADCC summit, which enabled more than 50 journalists from the region to participate in roundtable discussions concerning how to operationalize MISA and its objectives.

The MISA Secretariat is located in Windhoek. In addition, each member country is expected to constitute its own country chapter. These local chapters would identify priorities and projects in their respective countries. MISA-Namibia is just getting underway and is slated to be formally constituted in the near future. It shares the offices of the MISA Secretariat, and has a core staff. Gwen Lister, Editor of *The Namibian*, is the Chairperson of MISA-Namibia. Membership in MISA is to be on an institutional and individual basis. The only requirement for members, who will be drawn from the constellation of media workers - editors, journalists, reporters, typesetters, media academics, etc. - is that they subscribe to MISA-Namibia's aims and objectives.

Although the importance of an independent press in support of democracy is generally acknowledged by government as well as in the nongovernmental sector, the press in Namibia is vulnerable. *The Namibian* is the only independent paper; the rest are government or party-owned. In addition, in the absence of vigorous activity from political parties, the media is in the awkward position of being perceived to be the real opposition in Namibia. This perception complicates the media's relationship with government.

Moreover, a troublesome trend in both the broadcast and the print media is that reporters feel increasingly subject to self-censorship. This self-censorship arises in part as a result of the not so subtle situations in which Ministers openly complain that "our reporters are not professional" in response to a particular article or broadcast, in many cases implying that the information somehow was distorted or untrue. In addition, reporters feel compelled to cover events simply because they are attended by political figures, irrespective of the newsworthiness of the activity. If they do not, they feel that that are being seen to be "disloyal" to the government. The Media Council, which could to some extent mediate between government and the press, is seen to be virtually inactive. Moreover, it is perceived to be plagued by conflicting interests that present obstacles to its smooth functioning.

Reporters would like to augment their coverage of local and regional government activities, in addition to more penetrating coverage of national government

activities, but, apart from equipment and staffing impediments, feel that they require training in methods of investigative journalism, as well as an increased understanding of economic and political affairs. Such training would also be valuable to individual reporters who are experiencing difficulty in making the transition from being party activists to objective reporters in the national interest. Such training would address the issue of self-censorship, since more professionalized reporters and media workers would develop an identification foremost as a media, rather than as individuals with partisan interests. In addition, in order to enhance the ability of the broadcast and print media to be more self-sufficient, and self-sustaining, training is required in the areas of management, advertising, and distribution.

The Namibian Broadcasting Corporation (NBC)

The Namibian Broadcasting Corporation (NBC) is Namibia's only national public radio and television service. The NBC is an autonomous broadcasting service run by an independent board. The Board formulates NBC's policies, which are then executed by the management committee, which is composed of the Director General and seven Controllers: Programs, Human Resources, News, Public Affairs, Administration, Finance, and Technical. The Director General also serves on the Board. Although one of the NBC's goals is to become more self-sufficient, the bulk of its funding at present continues to be derived from government subsidy.

The NBC has its origins in the South African Broadcasting Corporation (SABC) which was transformed into the NBC immediately following independence. The transformation has been accompanied by several changes in the philosophy and approach to public broadcasting in Namibia. Most notably, though with much institutional trauma, the NBC has committed to affirmative action employment policies and to becoming an instrument for democracy, national reconciliation, and nation-building.

NBC Radio consists of nine different language services. The National Service broadcasts in English and is the only service heard in the early morning and later evening hours. The other language services can be heard during the daytime hours. In addition to 18 daily news bulletins, the radio programs include phone-in and discussion programs that deal with a diversity of opinions on controversial and topical issues. The radio service also functions as a notice board, communicating messages between people in remote areas, especially at times of emergency. A network of FM 35 transmitters make the radio accessible to about 90 percent of the population. A recent development in Namibia is Radio 99, the first private commercial radio station. For some time, efforts have been underway to organize a community based radio service in Katutura though this has not yet materialized.

The NBC's single television channel is transmitted to 35 percent of the population for 6 hours daily between Monday and Saturday, and 10 hours on Sunday. A daily news bulletin is broadcast each evening. Beginning August 1, 1994 CNN news will be carried every morning from 6:30 to 7:00 and every midday from 1:00-2:00. At present, most programs, except for the news, are not locally produced. One of NBC's aims is to increase its capacity for local program production.

NBC's activities are conducted in cooperation with two language services based in Oshakati and Rundu and three contribution centers in Otjiwarongo and two other towns. Although the centers function as "contribution" units which prepare programming that is then forwarded to Windhoek for final editing and broadcast, the general feeling is that the Windhoek office respects the autonomy of the centers in selecting newsworthy events. Still, given limited broadcast time, the feeling is that urban areas and particular regions tend to receive more exposure than others.

The NBC contribution center differ in their access to materials and the extent to which they can effectively cover news events in their assigned areas. For example, a common difficulty experienced by NBC reporters is their inability to cover events that occur outside the urban areas, especially in the far corners of their wide-reaching districts. Since access must be by road, coverage can be limited if vehicles are not available. Moreover, news coverage is constrained by the limited equipment in the contribution centers; for example, the Otjiwarongo office was without a camera because the one it possesses was in Windhoek for repairs. Some of the contribution centers feel understaffed, a situation with implications for both the quantity and the quality of coverage. For example, in some of the more remote areas, coverage is time-consuming, since the reporters in some cases must arrive at least a day in advance of a scheduled event. In addition, communications difficulties in the rural areas also mean that sometimes events occur without the NBC's receiving advance notice.

c. Trade Unions and Interest Groups

The trade union movement in Namibia is relatively young and inexperienced; most of the currently existing trade unions emerged only in the mid 1980s or after independence. As in other sectors, trade unions remained divided by political orientation. At present nearly 20 trade unions (in a formal sector labor force of about 200,000) are organized into two trade union federations, with a few unions remaining unaffiliated to either federation.

The National Union of Namibian Workers (NUNW), the larger of the two federations, includes the Namibia Public Workers Union (NAPWU), the Namibia Transport and Allied Workers Union (NATAU), the Mineworkers Union of Namibia (MUN), the Namibia Domestic and Allied Workers Union (NDAWU), the Metal and Allied Workers Union (MANWU), the Namibia National Teachers Union (NANTU), the Namibia Food and Allied Workers Union (NAFAU), and the Namibia Farmworkers Union (NAFWU). The NUNW and federated unions claim a membership of about 65,000. The NUNW is formally affiliated to the ruling political party SWAPO. Several NUNW officeholders are members of the SWAPO Politburo or Central Committee.

The second trade union federation, the Namibia People's Social Movement (NPSM), includes the Public Service Union of Namibia (PSUN), the Namibia Building Workers Union (NBWU), the Local Authorities Union of Namibia (LAUN), the Namibia Wholesalers and Retail Workers Union (NWRWU), the South West Africa Mineworkers Union (SWAMU), and the Bank Workers Union of Namibia (BWON). Some of these unions have their origins in white staff associations formed some time before independence. The NPSM claims a total membership of about 30,000. As the name implies the NPSM would eventually like to constitute a broad social movement, rather than simply a trade union federation; it is are

currently seeking funding for a newspaper and youth program. The NPSM claims no political orientation or affiliation. Unaffiliated unions include the Namibian Pelagic Motorman Union and the Namibian Telecommunications Union.

The unions of the NUNW were very much born out of the liberation struggle in Namibia and since independence have sought to make the transition to a new role. Progressive, new labor legislation was implemented in November 1992 (Labour Act No. 6 of 1992) and yet because of a lack of capacity the unions are not able to take full advantage of the new law. The Act firmly entrenches the International Labour Organisation notion of 'tripartism' in labor relations in Namibia, and provides for the establishment of a number of tripartite structures such as the Labour Advisory Council in which unions are expected to participate. At the same time the unions are hampered by a lack of adequate finances, insufficient and untrained staffs, weak structures, no research or planning capacity, little access to vital economic data, no full-time legal counsel or labor economist of their own and so on, which precludes their effective participation in the new tripartite labor relations. The NUNW has a well equipped national center in Katutura and regional offices in Tsumeb, Swakopmund and Keetmanshoop, each of which is staffed by a regional coordinator. Member unions share office facilities at those four centers. The NUNW runs a number of programs in conjunction with the International Confederation of Free Trade Unions (ICFTU), with Southern African, pan-African and international trade union bodies and with their respective International Trade Secretariats.

A number of issues concern trade unionists in Namibia today. There are complaints about national reconciliation and the fact that it appears to be reinforcing the status quo. Little has changed for ordinary workers at the workplace as whites continue to occupy the professional and managerial posts and black Namibians continue to be relegated largely to unskilled and semi-skilled positions. In the view of many, an important economic element of democracy is being ignored as the pre-independence wealth and income disparities continue. Trade unionists see themselves as representing an important taxpaying base in the country and as playing a role in Namibia's democratization as 'part and parcel of civil society.' Some complain about the lack of an open debate within the country and charge that there is much labeling of those who openly criticize or disagree with the ruling party.

There is much ferment within the NUNW about the federation's affiliation to SWAPO. There have been numerous attempts, at recent congresses, to disaffiliate from SWAPO, but never successful. Many within the unions feel that SWAPO, as a nationalist movement, cannot privilege worker interests and that the party takes the workers' support for granted. There has been talk of the unions fielding their own candidates in the upcoming elections (which has elicited harsh rebukes from SWAPO) or even, eventually, of some trade unionists leading a break away faction within SWAPO. At present, the issue of political affiliation is the single greatest obstacle to unity between the two trade union federations.

Other important interest groups in Namibia include the Namibia National Farmers' Union (NNFU) and the Namibian National Students Organisation (NANSO). The NNFU was formed in June 1992 as an organization to promote the interests of communal farmers in Namibia; as such it has a potentially vast rural membership and represents an important constituency. There had been sporadic efforts to organize communal farmers before independence, mostly under the auspices of the commercial farmers' union, the Namibia Agricultural Union (NAU). At independence, communal farmers requested the NAU to

change its constitution and restructure itself to accommodate the aspirations of communal farmer. When this did not happen quickly enough communal farmers approached the Namibian Development Trust for assistance and eventually the NNFU was launched. At present the NNFU claims to have 40,000 dues paying members. Members are organized first into associations or clubs which then form regional or district unions which then affiliate to the NNFU. Currently, there are regional unions in Caprivi, Omaheke, Hardap and Karas together, Okavango, Kunene and Erongo regions. Much work is still needed in the four regions of former Ovamboland where a first regional union has just been formed, and in Khomas and Otjozondjupa regions. There are also regional offices of the NNFU, for example, in Rundu. The NNFU derives financial and project support from a number of international NGOs and works in collaboration with many Namibian NGOs.

The NNFU sees its priorities as strengthening the organization's institutional capacity, making the organization economically viable, obtaining a researcher for issues such as marketing and the land question, training small and subsistence farmers, and democratizing member associations which tend still to be autocratic. The Ford Foundation has just made a grant to the NNFU so that they may hire an economist to strengthen their analytic capacity on land and agricultural policy issues. The NNFU is very inclined to become involved with government on a number of relevant policy issues and seems well positioned to do so. At present they feel they have good access to government, mostly through Permanent Secretaries at the national level. In regional offices such as the one in Rundu there have been considerably more problems in eliciting prompt responses from government officials. The NNFU has been the instigator of the NGO Committee on Land Reform, comprised of more than 12 Namibian NGOs and formed to increase pressure on the government vis-a-vis the land issue in Namibia. The NGO Committee on Land intends to hold a conference on the land question in September and follow closely the development of the new legislation on land. Politically, the NNFU is a very diverse organization, reflecting the widely varied regional memberships and, as such, likes to stress 'agropolitics' over party politics.

NANSO is an independent national secondary school and university student organization formed in 1984. Before independence NANSO branches were active in secondary schools throughout Namibia and at South African universities with significant Namibian populations such as the University of the Western Cape. NANSO was important in leading school boycotts and at least one national strike in the final years of the liberation struggle in Namibia. In 1989 NANSO decided to affiliate formally to SWAPO and one year later, in 1990, NANSO decided to disaffiliate from SWAPO. This disaffiliation has had deleterious consequences for the organization. While NANSO had about 61,000 members in 1990/91 NANSO officeholders estimate that they now have about half that number of members. In addition, a second student organization, mostly representing secondary students in northern Namibia, has now been formed and is affiliated to SWAPO. But this second student organization has yet to write its own constitution or to take a different name other than NANSO-affiliated. NANSO has said it would like to have a working relationship with SWAPO while still maintaining its independent position. SWAPO has sent NANSO mixed signals about its position toward NANSO, and many NANSO leaders have been labeled and badmouthed because of the disaffiliation. NANSO operates on very little money at the moment. They are conducting two media training programs with IBIS (formerly WUS-Denmark) and one AIDS education campaign with Oxfam Canada. NANSO conducts workshops for members in leadership training, gender sensitivity and has undertaken a campaign to have Student Representative Councils elected in all secondary

schools in Namibia so that pupil interests are well represented on school management committees. NANSO has branches at many schools around Namibia. They feel that civic education is vital, but this must be education that teaches about democracy and different systems of government and not simply the colors and symbols of different political parties. NANSO's most recent effort is to design a student empowerment program which will work through debates and other instruments to teach students how to defend their own interests. They would like to encourage regional and international student exchange programs and have been involved in the recent launching of the Southern African Students Union.

d. Business Organizations

The business community in Namibia remains largely in the hands of Afrikaans and German speaking white Namibians and some South African and transnational corporations. Some sectors, such as mining and commercial agriculture, have been organized for decades into their respective professional associations - for example, the Chamber of Mines which represents about 35 mining companies and the Namibian Agricultural Union (NAU) which represents 3,900 out of 4,500 commercial farmers in Namibia. Before independence there was no national chamber of commerce or national employers' federation in Namibia, although efforts to establish an employers' federation began already in the early 1980s. Instead, a number of regional chambers of commerce existed which were affiliated to the Association of Chambers of Commerce and Industry in South Africa. The largest and most powerful of these was the Windhoek Chamber of Commerce and Industry. Since independence there has been pressure on the business community from government to form one employers' association and one chamber of commerce. In 1993 a Namibia Employers' Federation (NEF) was finally established, although according to some in the business community the trade associations such as mining, agriculture and tourism associations remain the far more important organizational fora.

The Namibia National Chamber of Commerce and Industry (NNCCI) was established in 1990 as an umbrella organization to which all existing and newly created business organizations could affiliate. This was seen as an important step towards uniting Namibia's fragmented private sector - the established Windhoek based companies on the one hand and the emergent small business sector outside Windhoek on the other - and creating a strong and unified voice for business after independence. While initially seen as a chamber for 'black business' only, the NNCCI is increasingly seen to represent a 'nice mix.' Given the lack of a 'chamber culture' in Namibia, the NNCCI has only nine affiliated regional chambers, one affiliated sectoral chamber (Namibia Chamber of Crafts) and nearly 20 corporate members. The NNCCI encourages local chambers such as those in Grootfontein, Otjiwarongo, Mariental and Luderitz to join the national body and so help to unite the Namibian business community. The functions of the NNCCI include providing a forum for the discussion of matters of concern to businesspeople, representing the views of commerce, industry and crafts, and providing a range of benefits and services to members. Services include small business assistance, interaction with government, training in small business development and chamber management development, advocacy on economic issues, trade and marketing information, and promotion of Namibian businesses. The Chamber sees itself as playing an important role in the new tripartite labor relations dispensation.

Regional chambers, such as the Northern Namibia Regional Chamber of Commerce and Industry (NNRCCI) in Ongwediva conduct their own programs in collaboration with the NNCCI. In northern Namibia significant efforts are underway to develop and diversify people's entrepreneurial and management skills. Through the Small Business Development Program management training courses and a credit scheme are offered. The program relies upon existing financial institutions rather than direct lending in order to build credit ratings for recipients. The NNRCCI has developed its own relevant training material that is action oriented and demand driven. Other activities of the NNRCCI include conducting business English classes and organizing a regional trade fair. The NNRCCI is concerned to enhance the crafts industry in the northern Namibia and to monitor carefully government action on the land question; this is of particular importance of potential entrepreneurs anxious to secure land for a business.

Relations between government and the private sector seem to vary considerably. The larger, more important sectors such as mining, fishing and commercial agriculture seem to have quite amicable relations with government. Through their trade associations they participate in various ministerial advisory boards and other government structures such as the Labour Advisory Council. They appear to have immediate access to the highest echelons of government. They are fully aware of their contribution to the gross national product and derive their leverage and bargaining power from this. They will give government credit 'for a job well done' but are not afraid to criticize on other occasions. They feel government must create the 'enabling environment' for the private sector to thrive and thereby strengthen the economy. Until now, only the larger mining companies in Namibia, such as the Consolidated Diamond Mines and Rossing Uranium Limited, have demonstrated significant social responsibility toward the communities in which they operate although with the increasing importance of the fishing industry and the incorporation of Walvis Bay into Namibia, more fishing companies are beginning to move in this direction.

For the smaller, though still 'established' businesses in Namibia - for example, retail trade and commerce - the situation is somewhat different. For the first time, these medium-sized, largely white-owned businesses are being exposed to increased competition and they are being forced to innovate much more than in the past. They realize their skills deficits and feel much in need of low interest loans and advanced training in a number of fields. This sector tends to be more hostile to government for party political reasons. There is considerable frustration with the Labour Act which is deemed too expensive for an economy such as Namibia's but again, through their trade associations, these businesses are negotiating with government. Relations between government and the newly emerging 'black' businesses are just evolving.

e. National Service-Oriented NGOs

About 120 non-governmental organizations (NGOs) are currently active in Namibia. Among these are a number of larger national service oriented NGOs. These include the Namibia Development Trust (NDT), the Rossing Foundation, the Private Sector Foundation (PSF), the Institute for Management and Leadership Training (IMLT), the Rural People's Institute for Social Empowerment in Namibia (RISE) and the recently formed Urban Trust.

NGOs and CBOs in Namibia are organized into one umbrella organization, the Namibia Non-Governmental Forum (NANGOF).

The Namibian Development Trust is a national service organization that, before independence, helped to facilitate donor-NGO contacts and undertook its own community development programs. NDT now has three regional offices - in the North, in the South and in Windhoek (from where programs in the West and East are operated). Their rural development program is geared toward increasing rural household income and food security, and to that end they provide assistance in the form of technical advice and training for small entrepreneurs and start up loans of up to \$N5,000.

The Rossing Foundation was established in 1979 in Namibia with money from Rossing Uranium Limited (RUL). In recent years, however, RUL has had to withdraw most of its support for the Foundation. Rossing Foundation projects have either become self-financing or have been eliminated, and the Foundation has been forced to seek some foreign donor assistance. The primary mission of the Foundation is to train Namibians in a variety of skills; the Foundation has now established 13 centers throughout Namibia with programs as diverse as small business development, food production, adult literacy and maritime training. The Rossing Foundation has a longstanding Youth Award Program which would like to incorporate a democracy component. Rossing's centers are available for developmental activities by other organizations.

The Private Sector Foundation, modeled on the Urban Foundation in South Africa, was established in 1981 in Namibia. Initially the PSF worked in five program areas: labor relations, low cost housing, education and training, community development, and small business development. Funding for the Private Sector Foundation has come from member businesses and through programs such as the READ program at USAID, UNIFEM, and the Canada Fund. In recent years funding for the PSF has dwindled "to a trickle," causing it, among other things, to close its office in Ongwediva in 1992. The PSF provides training in business management, secretarial practice, English literacy, and technical skills to private individuals, government ministries and local and foreign NGOs. The PSF also provides advisory services to these same clients. In the past the PSF has worked widely in funding small business and microenterprises for women, although it is no longer able to because of funding constraints. The PSF continues to search for funds to finance its micro credit and loan schemes and has applied to a number of foreign donor agencies.

The Institute for Management and Leadership Training, established in 1983, aims to provide practical training and/or consultancy services to individuals and organizations in key sectors of the economy, both public and private. The IMLT has five departments which represent their primary areas of activity: small enterprise development, business development, computer training, business survey services, and consultation. The small enterprise development program works together with the Ministry of Trade and Industry to provide loan capital (N\$5,000-10,000) from the Ministry's Revolving Credit Fund. The IMLT has regional offices in Oshakati and Rundu. Women are the majority of the participants in IMLT programs. The IMLT works in conjunction with the NNCCI in the provision of training and credit. The IMLT has been supported since its founding by the Hans Seidel Foundation although now Hans Seidel is withdrawing some of its funding and the IMLT is attempting to become self-financing.

The Rural People's Institute for Social Empowerment in Namibia has been active to date mainly in southern Namibia, although it is now expanding to become a national organization. RISE functions principally as a service organization, assisting farmer associations to establish savings and loan schemes, and organizing marketing and other services. The Ford Foundation has given a grant to RISE to support rural community economic development programs in eastern Namibia and would like to help to establish a rural policy unit in RISE in 1995.

The Urban Trust has recently been formed as a technical service organization with special emphasis on urban poverty research and advocacy. The Urban Trust has received a two year start-up grant from the Ford Foundation. The primary goal of the Urban Trust is to promote policies, strategies and projects that support comprehensive, integrated, financially sustainable and participatory approaches to urban management and urban poverty alleviation. Specific objectives include, among others, promoting policies for balanced urban and economic growth, promoting the informal, small and medium enterprise sector throughout the policymaking process, encouraging policies that foster self-reliance, a sense of community, citizenship and nation-building.

The Namibian Non-Governmental Organisation Forum was formed as an umbrella organization and a lobby organization for NGOs in Namibia in April 1991. NANGOF has yet to establish a secretariat in the form of a staffed office in greater Windhoek although it plans to do so soon. NANGOF has more than 50 member organizations ranging from individual community based organizations to regional and national level organizations. To date, NANGOF has sponsored a number of workshops on issues such as NGO-government relations, housing, gender sensitivity, and cooperatives. NANGOF is not an implementing body and so assigns different tasks to its member organizations. For example, NDT is responsible for training programs while the small community development organization Bricks is responsible for communication through its newspaper.

NANGOF sees its primary function as lobbying government on behalf of the NGO community. NANGOF has a loose, verbal agreement (eventually to be formalized) with the NUNW and the Council of Churches of Namibia (CCN) - that the three will act together in making their demands to government. For example, the NUNW and NANGOF together walked out of a meeting with the National Planning Commission about the national development plan, when they felt they had not been adequately consulted. Ultimately, members of NANGOF were also instrumental in the establishment of an NGO Government Task Force. This task force was established in an effort to facilitate relations between government and NGOs and to identify a contact point for the two. The contact point will be an NGO liaison office within the National Planning Commission, given that the national development plans are drawn up at the NPC.

Before independence, the NGO community in Namibia was strongly divided along party political lines; these divisions corresponded largely to the NGOs' stance toward the interim governments (whether to participate in them or not) and were reflected in their funding sources and the political orientations and affiliations of those sources. Immediately after independence such tensions surfaced again during the attempt to form an umbrella organization for NGOs. Nine organizations including the NDT, Bricks, the CCN, the Namibia Credit Union League (NACUL), the LAC, the National Job Creation Service (NJCS), the Namibia Returnees Self-Help Project (NRSHP), the NUNW and NANSO joined forces to form a steering committee for formation of NANGOF. Some Namibian NGOs

claimed that they were not invited to join NANGOF and rejected the perceived association of NANGOF with SWAPO. Thus, a second NGO umbrella body, the Namibian Association of Non-Governmental Organisations (NANGOS) was formed. The existence of NANGOS was shortlived, however, and today most Namibian NGOs are united within NANGOF.

Indeed, most people in the NGO community seem anxious to move beyond these past political differences and to focus more intensively on their constituents' development needs. Moreover, the NGOs as a group find themselves in an increasingly adversarial relationship with government - for which they must be united. While in the early days of independence many leaders in government praised the NGO community and welcomed their participation in the management of development efforts and in development planning, some in government today view the NGO community as "stonethrowers," according to one NGO leader. To a large extent, NGOs are poorly equipped to play this new role in the policy making process and so are further discrediting themselves in the eyes of many in government. Most NGOs are overwhelmed by the simple task of building their own organizations and managing their own programs. They are not able to devote the time, resources or expertise to participating in the policy making process, despite the fact that they all recognize the necessity and importance of doing so.

f. National NGOs with a Democracy and Governance Agenda

Outside of the University of Namibia, only the Legal Assistance Centre (LAC) and the Namibia Institute for Democracy (NID) have an explicit human rights or democracy and governance agenda in Namibia. The Legal Assistance Centre was established in 1988, with the first office—the Human Rights Centre at Ongwediva—situated in the heart of the then war zone. Before independence 75 percent of the LAC's cases involved human rights abuses by the South African and "South West African" security forces, but with independence and a new constitution the program of the LAC and affiliated offices has changed markedly. In addition to the Human Rights Centre at Ongwediva and the head office in Windhoek, the LAC network includes the Rundu Advice Office, the Walvis Bay Legal Advice Office and the Keetmanshoop Advice Office. Since independence the LAC and its affiliated centers have embarked on a number of programs. The Legal Education Project, launched in 1991, is aimed at schools, churches, trade unions, and community and women's organizations. Through a program of civic education people are helped to understand documents like the Constitution, the Labour Act and international conventions on human rights. From the beginning the LAC has worked closely with Namibian trade unions. More recently, the LAC has become involved in legal reform and land reform in Namibia and has initiated a Gender Research Project, a pilot labor research project, and a juvenile justice project to support the work of the Law Reform and Development Commission of the Ministry of Justice. The LAC also sponsors a bursary program to train black Namibian lawyers.

In the regional offices of the LAC most cases brought to the centers concern labor disputes, maintenance problems, and land issues (especially in the communal areas). Staff at the regional offices conduct numerous workshops on a range of topics throughout their vast regions. All of the offices are staffed only by paralegal coordinators and so that work requiring a lawyer must be sent to Windhoek. All of the offices could use assistance in their outreach work in the form of materials and equipment and more personnel.

The Namibia Institute for Democracy (NID) was established in late 1991 by the Konrad Adenauer Foundation in Windhoek. The NID's primary vocation is to conduct training and civic education programs aimed at educating Namibians about the contents of the Namibian constitution and the principles of multiparty democracy. Six part-time teachers conduct the training and civic education programs in satellite offices in Rundu, Oshakati, Swakopmund and Katima Mulilo and from the Windhoek office. The NID also sponsors occasional conferences on topics such as "Ethnicity, Nation Building and Democracy in Namibia" and publishes the proceedings. NID works through the schools, which teach civic education in grade seven, by sponsoring competitions and going directly to classrooms. They also work through churches and NGOs and other community organizations. They make regular use of the radio, with their own program called 'Know Your Constitution' funded by an NED grant. In Oshakati the regional coordinator is very active in encouraging communities to organize themselves for advocacy purposes.

g. Church and Religious Organizations

A very high proportion of Namibia's population is Christian. About 50 percent of the population belong to the Lutheran Church while the rest belong to the Anglican, Roman Catholic, Dutch Reformed and other churches. The Christian presence in Namibia is longstanding with the first missionaries arriving in 1802 from the London Mission Society; German and Finnish Lutherans began to set up missions in Namibia in the 1840s. A progressive role on the part of some Namibian churches is considered to date from the 1971 Bishops' Letter to the South African Prime Minister from leaders of Namibia's two major Lutheran churches, the (then) Evangelical Lutheran Ovambo-Kavango Church and the Evangelical Lutheran Church of South West Africa. The Letter complained of violations of human rights and called for an end to the contract labor system, a peaceful solution to Namibia's problems and independence for the territory. The Council of Churches of Namibia (CCN) was formed in 1978, uniting many Namibian churches and providing a forum and resources for community development (and relief). The CCN also served as a conduit for external funding for those church and development efforts inside Namibia linked to the liberation struggle.

Before independence the CCN had an active legal assistance department to assist those whose human rights were violated by the apartheid system, for example, by providing legal advice and helping with court fees. After independence this legal desk became a human rights desk; among other things the human rights desk program, using Legal Assistance Centre materials, encouraged education about the constitution, especially at the level of the congregation. The human rights desk is currently unoccupied, however, and so no program exists. The CCN operates on the basis of a number of clusters: social services, development, training and upgrading (English instruction and scholarships), and faith and justice and society. There are regional offices in the South (part of the women's desk) and in the North, and there are regional ecumenical communities that keep the CCN informed of what issues need to be addressed. The CCN was actively involved in voter education during the 1989 election, but had no program for the 1992 elections and has no plans for the upcoming election.

In many respects, the position of the CCN has changed since independence. The CCN has lost much of its donor support since independence, as donors are now able to channel their funds directly to other recipients, with the result that many CCN programs have been cut. In addition, many of CCN's most capable people have gone to government, the private sector or the NGO community. The CCN has failed to identify new goals now that the liberation struggle is over; the member churches lack a common vision as in the past and have been struggling to identify issues on which to work. Many churches are turning inward to get 'their own houses in order' and have less time for the Council of Churches than in the past. Many people have complained of the CCN's silence on a number of important issues since independence, such as national reconciliation and the land issue, but according to the CCN General Secretary this silence simply reflects the trust the churches have placed in the government. At the same time, the General Secretary worries that this trust might be too much and by the time they realize this it could be too late.

Many of the member churches of the CCN, such as the Evangelical Lutheran Church in Namibia (ELCIN), have experienced the same loss of funding and personnel and lack of a clear programmatic vision for the future since independence. Many churches have handed over to the government their schools and clinics in the rural areas although in some case they are still administering them and in others people are calling for the churches to take them back. Churches such as ELCIN see themselves as continuing to play an active role in training and in policy debates, for example, the whole question of national reconciliation.

h. The University of Namibia

A university component has existed within "the Academy" in Namibia since 1985. After independence, however, a new University of Namibia (UNAM) was founded. It is experiencing many of the same difficulties of other organizations in Namibia that are attempting to restructure the old institutions and form new ones. UNAM includes a number of components of relevance to democracy and governance initiatives in Namibia. These include the Faculty of Law, the Justice Training Centre (JTC), the Human Rights and Documentation Centre (HRDC), the Centre for the Training of Public Servants and the Multidisciplinary Research Centre.

A Faculty of Law has recently been up at the University of Namibia. The Faculty of Law will offer Bachelor of Law (LLB) degrees, Diplomas in Law (Ordinary and Post-Graduate), Diplomas in Human Rights, and Certificates of Attendance from the Justice Training Centre and the Human Rights and Documentation Centre. The Justice Training Centre (JTC) at UNAM is meant to provide, in conjunction with the Ministry of Justice, supplementary and in-service training for Namibian magistrates, public prosecutors, police investigators, clerks and other court personnel. For a more extensive discussion of the purpose of the JTC, see section III.1.d above.

The Human Rights and Documentation Centre (HRDC) at UNAM is Namibia's contribution to a consortium of Southern African universities including the University of the Western Cape, the University of Zimbabwe and the Eduardo Mondlane University in Mozambique. UNAM's contribution to the consortium, through the HRDC, is to cover the areas of human rights, democracy and the law. Given that there is no National Commission

on Human Rights in Namibia, the HRDC sees itself as taking on that role. The HRDC is concerned not only with human rights violations in Namibia but with monitoring the development of human rights in Namibia. As such, its staff are actively involved in the drafting of new legislation such as the Children's Act, and in designing curricula and textbooks for human rights and civic education in Namibian schools. Together with the Law Faculty the HRDC is embarking upon a program to develop a two-year course to train paralegals. Eventually the HRDC would also like to be involved in training lawyers, especially those who would be involved at the community level in applying theory to practice. Many of these initiatives appear to overlap the activities of the Legal Assistance Center, but the assessment team was unable to determine the degree of cooperation or competition between the two entities.¹⁶ Staff of the HRDC have also been providing lectures in human rights to other faculties at UNAM. Ultimately, the HRDC will house a documentation center although this has not yet happened.

Like the Justice Training Centre, the HRDC is in need of funding for staff and curriculum development. They would like to facilitate exchanges with lawyers who have worked on poverty and justice issues in other countries, and they need material for their documentation center, especially basic human rights journals and access to other material through, for example, Internet and electronic mail. The HRDC is also like the JTC in that it operates within the Faculty of Law but is not regarded as a priority of this division of UNAM whose main purpose is to train attorneys, and which is itself also short of resources. The HRDC and the JTC play complementary roles, and enable UNAM to make a direct contribution to the application of justice in Namibia. Their presence within the Faculty of Law will also enrich that division of the university, but whether UNAM can afford either or both of these centers remains unclear.

The Centre for the Training of Public Servants is another quasi-independent, understaffed, and under funded entity at UNAM. It is directed by Andre du Pisani, who is also the Head of the Department of Political and Administrative Studies. The purpose of this center is to provide short-term training to Namibian civil servants to upgrade their skills in a variety of public management and finance areas. As of this writing, the Centre exists largely in name as the director's first responsibility is running his department, and the staffing of the Centre remains unclear. Professor du Pisani has also become the chair of the Strategic Planning Committee established recently at UNAM, a task which he regards as his most important responsibility in the short term.

A Multidisciplinary Research Centre (MRC) has also been established at the UNAM. The MRC has three divisions - the Science and Technology Division, the Life Sciences Division, and the Social Sciences Division (the former Namibian Institute for Social and Economic Research or NISER). The Social Sciences Division (SSD) has carried out a wide range of socioeconomic research since it was founded (as NISER) in 1989. The SSD has undertaken a number of baseline surveys throughout Namibia, often in conjunction with United Nations agencies. The SSD has also undertaken a number of studies at the request of international donor agencies. Researchers at the SSD also do research, at a reduced rate, for community based organizations and Namibian NGOs when they have the time. Research topics have included a vast range of issues such as the situation of repatriated

¹⁶ The director of the Legal Assistance Center, Andrew Corbert was seriously ill during our visit and thus unable to discuss this issue.

Namibians, the land question in Namibia, the legal standing of women in Namibia, urban upgrading schemes in northern Namibia, labor intensive road building projects, community development in southern Namibia, anticipated effects of retrenchments on mining communities in Namibia and more.

Given the tremendous challenges posed by restructuring an old institution and creating new programs and centers, UNAM has encountered a number of problems and received much criticism for its handling of some of these tasks. The basic criticism is that the university administration is trying to do too many things given the limited resources available and what a small developing country like Namibia can afford to spend on higher education. A more fundamental criticism is that neither the university administration nor its faculty have reached a consensus as to what the mission of UNAM should be, and hence have been so far unable to determine which of its programs are most essential to its operations and which are not. In response to student and other pressure, the GRN established a commission of inquiry chaired by the Ombudsman in early 1994 to investigate possible administrative irregularities at UNAM. The commission is due to make its report public in August 1994. In the meantime a Strategic Planning Committee has been established by the university itself to enable it to sort out its priorities. Given the current lack of priorities, most donors who were previously predisposed towards assisting the development of higher education in Namibia are taking a "wait and see" attitude before making substantial commitments. The Ford Foundation is one such donor, but has moved to assist UNAM in establishing its priorities by providing a consultant in university planning to facilitate this process. The consultant will be attached to the Strategic Planning Committee.

Notwithstanding this situation, the Vice-Chancellor, Peter Katjivivi, has suggested a number of other ways in which the University can make a contribution to the democratization process in Namibia. For example, there could be greater cooperation between libraries of the UNAM and the Parliamentary Library, and Members of the National Assembly and National Council could make greater use of the University in meeting their own research needs. In addition, an internship program involving students from the University could place students in the National Assembly and National Council in a research or committee capacity until those positions are able to be fully staffed by the Parliamentary bodies themselves. While some public lecture fora do exist at present at the University these could be expanded to provide the community with greater access to visiting scholars, activists and dignitaries, especially those from elsewhere in Africa. Most of these ideas are both worthy and relatively inexpensive to implement. The idea of parliamentary interns is particularly timely and is discussed further in section V.3 below.

i. Women's Organizations

While the Namibian constitution is celebrated for its sensitivity to gender issues and women hold a number of significant posts in government (two women ministers, one deputy minister, two permanent secretaries, one deputy permanent secretary, more than two dozen directors and deputy directors, two members of the Public Service Commission), the vast majority of women in Namibia continue to be excluded from effective participation in national affairs and in critical areas that affect their daily lives. Most women in Namibia have had little opportunity for formal training and those that have been mostly channeled into the teaching and nursing professions. While the 1991 Land Conference issued a number of

resolutions concerning women—that they should have the right to own the land they cultivate and to inherit land and property, that programs of affirmative action should be introduced to assist women through training and low interest loans to compete on equal terms with men, that women should be fairly represented on all future district councils, land boards or other bodies that deal with the allocation or use of land in the communal areas - much of the discriminatory customary and statutory law continues to exist. Indeed a Women and Law Committee of the Law Reform and Development Commission has been formed and is working very actively to address specifically the needs of women in law reform in Namibia.

The women's movement in Namibia has historically been split by the same kinds of party political tensions that have divided other movements. As with other movements in Namibia, there have also been tensions within the women's movement within the broader liberation movement. For example in the mid 1980s, SWAPO women and community activists inside Namibia were suspended by SWAPO in exile for organizing Namibian Women's Voice - a women's group outside of SWAPO structures. Namibian Women's Voice was ultimately disbanded in 1989 to avoid further conflict. To a certain extent this situation has only been exacerbated since independence, in particular with the establishment of a Department of Women's Affairs (DWA) in the Office of the President. The DWA was established within the Office of the President (as opposed to being a separate ministry) in order to ensure that substantive aspects of gender issues be the responsibility of all in government.

In the view of many within the women's movement, however, the DWA is little more than an extension of the SWAPO Women's Council. This perception was reinforced when various women's organizations including the Sister Collective, Women's Solidarity, the CCN women's desk, the SWAPO Women's Council and others came together to form a national women's organization. The groups spent two years discussing whether to form a federation or an organization and on what basis organizations or individuals would be represented. A consensus was never reached and eventually the Namibia National Women's Organisation (NANAWO) was formed by the SWAPO and SWANU women's bodies with no participation from other women's groups. At the same time, NANAWO is presented to donors as the national women's organization representing all Namibian women. It is claimed that officeholders in both the DWA and NANAWO are political appointees and not particularly qualified for their positions. Similar tensions have emerged now as NANAWO has been given the task of selecting Namibian women to attend the Fourth World Women's Conference in Beijing in 1995 and it appears that only women in government and in SWAPO are being selected.

There are also divisions within the women's movement between rural and urban women and uneducated and educated women, with the more educated, urban women tending to speak on behalf of all women in Namibia. In addition to addressing the inequities in the law, women's groups in Namibia see their main tasks as educating women, providing them with access to income-generating opportunities, training them in small enterprise development and the informal sector, providing women with counseling and alternative accommodation in the case of domestic violence, raising awareness around maintenance (child support) issues, and so on. The Sister Collective in Windhoek sponsors an occasional Women's Forum in Windhoek for the open discussion of issues of concern to

women. In addition the collective publishes the magazine *Sister*. Women's Solidarity provides counseling services for rape victims and other victims of abuse.

j. Emergent CBO Activity

Emergent CBO activity in Namibia is very difficult to document and quantify. Community based organizations only really emerged in Namibia in the early to mid 1980s and first in the Katutura and Khomasdal townships. Community based organizing was discouraged both by the colonial regime - which interpreted such activity as political and potentially destabilizing—and by the externally based liberation movement which sought to preclude the expenditure of time and resources on any efforts, even development efforts, other than the one goal of national independence. By the mid 1980s, however, community activist Andre Strauss identified nearly 30 major community organizations in Namibia working in literacy, legal advice, housing, education, agriculture, sports, community drama, labor, and with women.

Given the failure by government to mobilize a "self-help culture" in Namibia until recently, there is a surprising amount of community based self-help activity at present, especially in the rural areas. For many people there is a clear recognition that through organization they can improve their situation. For others self-help is simply a last resort in the face of widespread unemployment and neglect by the state. Finally, it seems that this community based organizing is encouraged and perhaps even facilitated to a large extent by regional and town councilors. Most regional and town councils have set up advisory boards from among their constituents in order to facilitate dialogue and to help meet their constituents' needs. In addition, in some regions Community Development Officers from the Directorate of Community Development in the MRLGH have assisted these new organizations.

Thus, in a community such as the Orvetoweni township of Otjiwarongo one can find a squatters' committee, a brick making cooperative, two sewing projects, a garden project and, as in many townships, the Build Together (housing) project. In Kalkfeld, the poorest village in the Otjozondjupa region, we found a brick making project, a sewing project and a garden project. In Rundu two relatively successful cooperatives are the Mbangura Woodcarving Cooperative and the Kauvi Sewing Cooperative. And yet there are still enormous obstacles; people lack the start-up capital and the equipment—concrete mixers, sewing machines, etc.—they need to begin such projects. People tend to replicate the same projects over and over again, because that is all that they know. There is a need for training in technical skills—sewing, brick making—and in management, accounting, marketing techniques and so on. Though rudimentary, these examples suggest that community based self-help initiatives could eventually be harnessed for grassroots development in Namibia.

3. The Role of the Donor Community in Support of Democratization in Namibia

a. Donor Activities Prior to and Just After Independence

Donor assistance in support of democratization in Namibia began via assistance to Namibian church organizations. By the 1970s, the church leadership predominantly was comprised of Namibians who were actively involved in the struggle for national liberation.¹⁷ In the early 1970s, the various Namibian church denominations entered into a loose association, the Christian Center. The role of the Center was two-fold: "to speak as a united voice against injustice on behalf of the voiceless and to initiate relief projects for the poor."¹⁸ In 1978, the initiative of the Christian Center was broadened, encompassing not just relief projects but also self-help programs for the poor, a development that resulted in the formation of the non-partisan Council of Churches in Namibia (CCN). Increasingly, the international donor community--primarily Norwegian, Danish, and Swedish solidarity groups and the British Council--channeled funds for human rights and anti-apartheid activities in Namibia through the CCN.

Just after Independence, support to consolidate democracy came largely from two countries: Germany and Sweden. The Freidrich Ebert Stiftung (FES) in consultation with the Office of the Prime Minister, sent permanent secretary-designates to neighboring countries to familiarize themselves with ministerial structures and to acquaint themselves with their future colleagues in the area. In May-June 1990, the FES facilitated an international symposium on local government to consider how to set up local government structures in Namibia. The Foundation also provided consultancy services to the Delimitation Commission that devised the constituent boundaries for the local and regional elections; the latter provided the representatives who formed the National Council. Recently, the FES offered training courses for local and regional government officials.

Sweden (via SIDA) has provided considerable assistance designed to strengthen government's capacity for more effective planning, creating a personnel consultancy fund to secure expert consultants in various fields critical to development concerns, including: providing a deputy governor for the Bank of Namibia; technical assistance to the Ministry of Education and Culture; provision for a National Planning Commission Central Statistics Office; and support for a National Census that took place in 1991. Sweden's assistance in education broadly supports reforms and the development of basic education for children and adults, "so contributing to a system based on democratic principles which would enhance an equitable distribution of opportunities."¹⁹ SIDA also supports Namibian NGOs involved in integrating gender issues into mainstream programs. A SIDA-financed democracy and human rights program that featured seminars on Journalistic Ethics and Standards of Journalism in Namibia (Windhoek, March 7-10, 1991) and Media Cooperation in Southern Africa

¹⁷ See Vezera Kandetu, "The Role of the Church in Namibia," in Peter Katjavivi, Per Frostin and Kaire Mbuende, eds., *Church and Liberation in Namibia*. London: Pluto Press, 1989, pp. 207-214.

¹⁸ Ibid, p. 208.

¹⁹ Ibid, p. 9.

(SADCC) resulted in the decision to establish a Media Institute for Southern Africa (MISA) to be based in Windhoek.

b. U.S. Government Programs to Support Democracy and Governance

Despite not having a formal democracy and governance program in Namibia, the US government has provided support for a wide range of human rights and democratization activities in Namibia from 1991 to 1994. Many of these activities have been funded with grants from the Human Rights Development Fund of the Department of State under section 116e of the Foreign Assistance Act. Such activities have included provision of legal reference materials for the offices of the Attorney General, the Chief Justice of the Supreme Court, and the Legal Assistance Centre and a grant to the LAC for production of a film for human rights civic education. Upcoming 116e grants include one administered by the LAC to assist in rewriting the Namibian Police Act, another through the Human Rights and Documentation Centre to assist in amending the Children's Act of 1960, and another through the Namibia Institute for Democracy to assist in civic education.

A number of 116e grants have been made to the National Democratic Institute for International Affairs (NDI) for work in Namibia. Through this mechanism, NDI sponsored a symposium on "The Parliament and Democracy" for members of the National Assembly in March 1991 and a symposium on "Parliamentary Organization and Systems" to provide legislation and constituency insights to Members of the National Assembly and National Council. NDI also organized Parliamentary staff training to provide administrative and managerial insights to support Parliamentary support staff and Whips and workshops and seminars on Regional Governance for members of the National Council. NDI also conducted a media voter education project for the 1992 regional and local elections and a workshop in May 1994 for Namibian political parties. The NDI programs also resulted in the publication of the Standing Rules and Orders of the National Assembly and the Standing Rules and Orders of the National Council. Other funding for NDI programs has been provided by the National Endowment for Democracy (NED) and by the African Regional Election Assistance Fund (AREAF). A Parliamentary directory and a handbook on legislative procedure were slated to be published as part of NDI's program of assistance. The preparation of these two publications, however, proved not to be possible during the period of the grant. Although the directory has largely been compiled, and a working outline exists concerning how legislation is enacted, additional funding would be required in order to publish them. Working together with NBC, NDI will conduct another voter education project in advance of the upcoming Presidential and National Assembly elections.

The United States Information Service (USIS) office in Namibia has been very active in democracy and governance initiatives. In late 1991 USIS sent nine members of the National Assembly to the US to observe US legislative practices and in 1994 10 members of the National Council visited legislatures in the US. USIS has organized a number of regional media workshops on Democracy in Africa, civic education seminars for Namibian educators, and a training program for Namibian legislative staffers conducted by the US based National Conference of State Legislatures. Through USIS a Fulbright scholar from the US has been brought in to work with the University of Namibia's Law Faculty and a Namibian has been awarded a Fulbright scholarship to study law at the graduate level in the US. USIA Voluntary and International Visitor programs have sent 23 senior Namibian officials, including the Speaker of the National Assembly, the Minister of Justice and five

members of his staff, the Attorney General, the Minister of Regional and Local Government and housing and more than a dozen Parliamentarians to the US for programs focusing on the US political process, administration of justice and the role of a free press. In future, USIS intends to organize an internship program for up to 10 Namibian professionals for training in legislative staff affairs and the administration of executive offices.

With Department of Defense and International Military Education and Training (IMET) funding the US mission in Namibia has undertaken a number of other democracy and governance related initiatives. These include two weeks of training for 27 Namibian military and civilian personnel on the better utilization and stewardship of governmental resources by the Defense Resource Management Institute, two week-long seminars on "The Role of the Military in a Democracy" conducted in April 1994 by the US Army Reserve's 353rd Civic Affairs Command, and the training in the United States of 15 Namibian students in subjects that will better prepare them for roles as professional military officers. Also under the IMET initiative, five military or civilian employess of the Namibian government are selected annually for training in the US on subjects dealing with respect for human rights, better resource management and the role of the military in a democratic society, including civilian control of the military. As noted in section III.1.f of the Assessment, the team has not examined civil-military relations as an area of future possible democracy and governance programming because USAID is prohibited from providing assistance to the military or police by the Foreign Assistance Act.

c. DG programs of Other Key Bilateral Donors and Foundations

Notwithstanding the various programs and materials funded by the United States under 116e, and the independent efforts of NDI, the U.S. is perceived in many quarters as only an "occasional player" or a "late player" in comparison to the DG programs of other donors in Namibia. While the United States may have been among the "first" as a result of its involvement in the 1989 elections, other donors, particularly the Scandinavians, had formed earlier links with Namibians via SWAPO in exile and/or the churches. Several donors have also assumed a higher profile in this field of foreign assistance since independence by the mere fact that they have mounted modest yet more visible programs than the United States by making a relatively large number of small grants on a continuous basis and by designating a member of their staff to devote one quarter to one half or more of their time to administering these programs. The Germans via the Konrad Adenauer Foundation, the Friedrich Ebert Stiftung and GTZ, the Swedes via SIDA, the Norwegians and the Dutch, and to a much lesser extent the United Kingdom, are all examples of this approach. A listing of the programs of these donors, to the extent that the assessment team was able to obtain such, is provided in Annex E. Most of the grants made by these donors are relatively small--in the range of \$25,000 to \$50,000 per year and rarely more than \$100,000--and are thus similar in size than the grants made by the United States via 116e. The difference is that each of these donors maintains a rolling and continuous portfolio of such grants that totals to between \$300,000 and \$1,000,000 per year.²⁰ These donors also often support a particular program or recipient for several years. When coupled with the ongoing presence of designated personnel, these donors are perceived as

²⁰ The annual budget of the Friedrich Ebert Foundation is presently \$675,000.

making a greater impact than the United States, and indeed this is probably true. They do not operate under the constraints and proposal cycles of the 116e program, and are able to establish a relationship with a recipient institution that is sustained over several years. Most important, these donors have developed "user friendly mechanisms for moving large numbers of relatively small amounts of money. It is an example USAID must follow if it is to become a major player in the DG field.

The one exception to these generalizations about American support for democratization and human rights in Namibia is the Ford Foundation. With an annual program budget of \$1,000,000, the Windhoek office of the foundation maintains a current portfolio of 13 two-year grants that range from \$15,000 to \$150,000 per annum. Most will be renewed or are themselves renewals of previous assistance as the Foundation takes the view that the process of institutional development may require four to eight years of assistance. Like the aforementioned bilateral donors and the German party foundations, the Ford Foundation has tended to concentrate its support on Namibian service NGOs such as the Legal Assistance Centre and the Rural Peoples' Institute for Social Empowerment. The Foundation has also supported the National Planning Commission and the Justice Training Centre as well as the Namibia Media Trust (i.e. The Namibian).

Given the anticipated magnitude of USAID's program to support the consolidation of democracy in Namibia, as well as the wealth of technical assistance which the mission can access from Washington, there is no reason why the mission cannot match and eventually exceed the programs of other donors in this field. Although the aforementioned donors are adept at moving large numbers of small grants, they are usually (though not always) less sophisticated than the United States when it comes to identifying and providing appropriate forms of technical assistance that meet the specific needs of recipient organizations.

Because USAID will be a "late player" when it comes to mounting a broad based portfolio of assistance in the DG field, the mission will need to coordinate its efforts closely with other donors. This does not mean that the mission should "back off" when it encounters another donor providing support to the same recipient. Rather, it means that the U.S. will need to design its support to complement the efforts of other donors--at least in the short run. Conversely, once USAID's DG program is up and running, the mission will be in a position to advance its agenda through coordination by using its support to stimulate co-financing for priority programs from other donors. Mention is made here of donor coordination, because the level of coordination in Namibia is low in respect to DG assistance compared to what is occurring in other African countries where the donor community provides substantial support for democratization (e.g. in Kenya, Ethiopia, Uganda, and Zambia). The only donor coordination that appears to exist in Namibia beyond an ongoing series of one-on-one discussions is in the area of women in development (WID). An ad hoc donors group that supports WID programs is presently led by the International Labour Organisation (ILO) and involves SIDA and the Ford Foundation, among others. Ford also coordinates its assistance to indigenous NGOs with other donors. Donor coordination would both eliminate duplicate funding and overfunding to recipient organizations and facilitate adequate amounts of funding to meet the needs of recipients in need of substantial support (e.g. the Justice Training Centre and the Ministry of Justice for programs to support the development of the lower courts, the Legal Assistance Centre). Increased coordination would also save

Namibian organizations considerable time, because they could submit a single comprehensive plan and budget for their operations to joint forums. This would in turn enable individual donors to more quickly determine whether and what support they can provide, because each will know what its counterparts are prepared to do. Sweden and Norway, among others, would welcome increased coordination. Once USAID has appointed a full-time DG advisor to guide its program, and perhaps even before, the Embassy and the USAID mission should promote the advantages of increased coordination. It would not be advisable, however, for the US to assume the leadership of any coordination group but rather to persuade a player of longer duration to chair any group of like-minded donors.

IV. CRITERIA FOR DETERMINING USAID'S DEMOCRACY/GOVERNANCE PROGRAM IN NAMIBIA

Having reviewed the status of the principal institutions and organizations which comprise the Namibian political system, we turn to a discussion of five areas of programmatic activity which we believe offer the greatest promise for consolidating democracy in the country. Before commencing this discussion, it is important to state the criteria we employed for identifying the five areas and especially the specific activities which can be pursued in each.

Two sets of criteria have guided our conclusions. The first set is what we believe are the most basic needs for consolidating democracy in Namibia. The second is three additional criteria which should guide mission choices when determining its portfolio of activities that address the basic needs. Put differently, it is a necessary but insufficient requirement that all DG programs initiated by USAID to support the consolidation of democracy in Namibia by addressing either or both of the basic needs to advance that process; the proposed activities must also be viable in terms of three other criteria which address the feasibility of these initiatives.

As stated in the Executive Summary of this assessment, and in our overview of the challenges and opportunities to the consolidation of democracy in Namibia (section II.3), there are two basic needs which must be addressed. The first need is to build and strengthen the capacity of intermediary institutions, both public and private, to effectively link individual Namibian citizens to their government. The second need is to assist citizens and organizations to effectively identify, articulate and assert their demands on the Namibian state to hold the state accountable to their interests. Over the long run, the second of these needs cannot be fully met without progress towards meeting the first. During the short to medium term (two to five years), progress towards establishing intermediary institutions will in part depend on more sophisticated and forceful demands emanating from Namibian society. The envisaged DG program addresses both of these needs.

In addition to the question of whether the proposed activity addresses one or both of the basic needs, three additional questions must be asked to determine the feasibility of the activity. (1) Are there willing Namibian partners with whom USAID can work to pursue the proposed activity? (2) Is the activity or program feasible from standpoint of USAID's capacity to implement the activity? (3) Is the activity one in which USAID has a comparative advantage over other donors, or can make an important contribution that complements and/or enhances programs supported by other donors?

Activities that do not meet all of the aforementioned criteria should not be pursued by the mission no matter how attractive they might appear before being evaluated against these measures. Conversely, not all activities that "pass" these criteria should be pursued by the mission in its initial round of DG support.

V. RECOMMENDED AREAS OF INSTITUTIONAL DEVELOPMENT AND CAPACITY BUILDING

Based on the aforementioned criteria, the assessment team recommends that the USAID mission to Namibia pursue an integrated program of institutional development and capacity building in five interrelated areas. These are as follows: (1) building advocacy capacity; (2) facilitating decentralization; (3) enhancing the transparency and accountability of Parliament; (4) strengthening the rule of law and human rights, especially at the lowest levels of the Namibian judicial system; and (5) supporting the media. In our discussion of the specific initiatives to be undertaken in each of these areas, we recommend a package of assistance that is feasible via the standard USAID methods of disbursing funds and providing technical assistance (e.g. via PSCs, cooperative agreements, contracts with U.S. based PVOs, and via centrally funded mechanisms of buy-ins). Nothing that we propose is unfeasible though some are certainly more complex and, in some cases, more delicate politically.

In identifying these five main areas of activity three additional considerations should be kept in mind. First, the five areas are inter-related. Some component initiatives in each area could be shifted to others (e.g. the establishment of the constituency resource centers discussed in the section on building advocacy capacity could have been included in the section on facilitating decentralization). In other words, some initiatives have been recommended because they address two or more related needs. Indeed, we hope that these initiatives will yield a measure of synergy across thematic areas during the life of the project. For this reason, we are reluctant to prioritize any of the five areas of activity over the others. All five are priorities, and the best place to begin is to select those individual programs or activities that lend themselves to the types of support that USAID can render quickly, and then proceed to those which are more complex. We would therefore suggest that during FY95 the mission begin with a portfolio of grants to those Namibian institutions which can implement programs on their own once provided with the cash.

At the same time, the mission should begin negotiations for those initiatives that will require technical assistance provided by U.S. based PVOs, programs that will require cooperation or co-financing with other donors, etc. While we suggest that the mission begin with a portfolio of grants, we frankly worry that this will become the mode of operation for the entire project. In this regard the mission must resist the temptation to shy away from initiatives that are more complex and risky. Put simply, "grants alone do not a democracy make," and the Namibian DG project must be more than a continuation of 116e. In suggesting that the mission begin with a grants program, we envision that the mission will provide sustained funding of two to four years duration to those Namibian institutions that can get on with their agendas on their own if provided sufficient resources.²¹ As stated at the outset of this assessment, the perspective must be medium to long-term and developmental in approach.

²¹ A good way to provide such funding while reducing USAID's exposure is to provide the funding in tranches or phases of no more than two years each, but plan for at least one renewal. The Ford Foundation--which has considerable experience in making such grants, is a model of this procedure.

A second consideration--one that may cause some unease--is that DG projects, by their very nature, require "a rolling design." This is because of the often fluid and unpredictable nature of the development of political institutions. These projects normally consist of a sequence (or sequences) of non-repetitive activities, each building upon the one before. As such, DG projects are personnel intensive. They are also often characterized by what one might term "stop-go." Progress in any one area will not always be smooth. Sometimes a contemplated initiative will be stalled for several months. It is for this reason as well that we recommend activities in five different areas and are reluctant to fix rigid priorities. To do so may be to forgo some opportunities while becoming locked in to others that for one reason or another become problematic. Prioritization, in short, should be a function of what is most feasible according to the three supplementary criteria discussed in section IV.

Third, the identification of these five areas of programmatic activity by the assessment team is itself a prioritization insofar as it has explicitly excluded other initiatives which might appear appropriate. With respect to political parties, we share the mission's concern about current trend toward a one-party or one-party dominant state in Namibia. At the same time, as we have noted elsewhere in this assessment, we do not feel that the best way to facilitate multipartyism and pluralism in Namibia is by mounting programs to strengthen the existing political parties. The existing "opposition" political parties are largely discredited by the majority of the population because of their participation in pre-independence governments and their lack of any articulate, coherent political program or vision that differs substantially from that of SWAPO. Moreover, they lack the institutional capacity to absorb party building activities. At the same time we were informed over and over again of a growing ferment *within* SWAPO and among non-governmental and community based organizations generally in Namibia. As a result, it is felt very strongly around the country that the only viable opposition in Namibia will come from within SWAPO itself. This is not unexpected given the nature of broad nationalist movements such as SWAPO which attempt to incorporate all of society's varied interests into one body. After the unifying goal-- national independence--has been achieved, however, the coalition begins to weaken and break down.²² Thus it is likely to be the pluralism within SWAPO, reinforced by a growing ferment within other constituency based organizations, that will contribute to a broader pluralism in Namibia. We feel that all of the recommendations that we are making in this assessment will facilitate, even hasten, that process of building pluralism and strengthening countervailing forces in Namibia. In view of our findings, the team recommends that the issue of political parties be reinvestigated after the forthcoming national elections. It will only be at that point that it can be determined whether SWAPO will seek to amend the constitution to create a one-party state, and what the post-election dynamics within the party are likely to be.

In sum, the assessment team makes the following recommendations because we believe that they address the basic challenges facing the consolidation of democracy in Namibia, and because the opportunities for implementation are good. These recommendations are also consistent with USAID's overall strategy to support transitions to democracy world wide.

²² Historically, this has been the tendency of nationalist movements around the world: The Indian National Congress, Solidarity in Poland, and most recently the ANC are all examples of this process. One should not be surprised that SWAPO is not an exception to this phenomenon.

1. BUILDING ADVOCACY CAPACITY

As noted in section III.3. of this assessment, there is a tremendous lack of advocacy capacity among organizations of Namibian civil society—political parties, trade unions, NGOs, business associations, churches and women's groups, and community based organizations. Members of all of these groups complain of a lack of qualified staff such as economists, public interest lawyers, labor relations and land reform experts as well as other specialized personnel. In addition, these groups lack access to the particular information and resource materials they need in order to be able to participate in the policy making process. Unless advocacy skills are developed and people are empowered at the local and regional levels, pluralism will not flourish in Namibia and policy makers will continue to make policy largely without effective input from the public. The assessment team feels that a greater advocacy capacity among organizations of civil society in Namibia can be supported in at least three ways: (1) through the establishment of an Advocacy Center in Windhoek to enhance public input into the policy making process; (2) through the establishment of regional and constituency based resource centers to facilitate individual and group empowerment at the local and regional levels; and (3) by strengthening civic education at all levels of Namibian society.

a. Establishing an Advocacy Centre

The assessment team recommends the establishment of an Advocacy Center in Windhoek for use by Namibian NGOs, trade unions, churches, women's and student organizations, political parties and community based organizations. The team further recommends that the Advocacy Center be established in collaboration with NANGOF, the NGO lobby organization that represents more than 50 NGOs in Namibia and works in tandem with the National Union of Namibian Workers (NUNW) and the Council of Churches of Namibia (CCN) in a number of policy arenas. NANGOF fully supports the establishment of an Advocacy Center through its organization. A governing structure for the Advocacy Center would be devised by NANGOF together with other key umbrella organizations such as the National Union of Namibian Workers and the Council of Churches of Namibia. The Advocacy Center would help the NGO community to meet their information retrieval needs, to disseminate information among themselves and with their own and other regional and local offices, and to increased their policy analysis capacity.

One important component of the Advocacy Center would be a small resource and documentation center. It would be equipped with a modest library of books on Namibia, government publications, locally produced research (for example, from NISER, NEPRU, CASS, LAC) and so on. The library would also contain relevant regional material from similar more experienced institutions in Southern Africa, for example, the Labour Research Service in Cape Town, the Centre for Rural Legal Studies in Stellenbosch, or the Legal Resources Centres in Durban and Johannesburg. In addition, the library could serve as a gathering point for studies on Namibia and other publications by international organizations such as the Economic Commission for Africa, International Labour Organisation, other United Nations Agencies, the Organisation for Economic Cooperation and Development. In addition, the resource center and the larger Advocacy Center would provide client organizations with an E-mail link. This would provide instant, cost effective access to

specialized agencies and other organizations around the world with information and experience that could be of use to NGOs, trade unions and other groups in Namibia. The E-mail link would also facilitate the development of an E-mail network among NGOs in Namibia similar to SANGONET in South Africa. Such a link would also enhance communications between the Advocacy Center and national service-oriented NGOs in Windhoek with their satellite offices at the regional level.

A second and critical component of the Advocacy Centre would be the research and policy analysis it provides to client NGOs. There is a limited research capacity in Namibia generally, although the Namibian Economic Policy Research Unit (NEPRU) provides research to government agencies, the Social Sciences Division of the Multidisciplinary Research Centre provides research to paying clients such as donor and other international agencies, and the Legal Assistance Centre conducts much important research through its Gender Research and Labor Research Projects. All three of these institutions are frequently called upon to assist the NGO and trade union communities but do not have the staff to conduct the additional research and policy analysis. This component would require the funding of two to three staff researchers with specialized expertise in areas such as land reform, labor relations, gender and affirmative action, the environment, and the economy. Such researchers would conduct research as required for client organizations of the Center so that they are better equipped to make inputs into government policy making. In addition, these staff will play an important training role, first, in teaching member organizations how to evaluate policy documents from government and, second, in training future researchers from the NGOs, trade unions, churches and women's organizations. Provision of this type of expertise would probably be best implemented via a U.S. based PVO such as the Community Housing Foundation, PACT or World Education, etc.²³ Special care must be taken to insure that resident U.S. staff be kept to a minimum and do not overwhelm local staff thereby defeating the purpose of Center. In addition, implementation of the Advocacy Center might draw on the expertise of the Advocacy Institute in Washington, or involve the provision of internships for appropriate Namibians if such could be arranged.²⁴

A third task of the Advocacy Center would be dissemination of the information obtained and developed through its research. This would require a modest desk-top publishing capability which could be secured with a standard 468 desk-top computer and a good HP laser 600 d.p.i. printer, as well as a budget for printing materials produced. The Advocacy Center would also organize seminars and workshops for client NGOs to facilitate the discussion and internalization of such information. Dissemination of research to field offices would also be facilitated by E-mail.

Finally, the Advocacy Center would assist NGOs in learning how to use the information generated from its policy-analysis and information retrieval capacity. Mere dissemination of information is not enough, the Center must demonstrate how appropriate

²³ These organizations are cited only for example as the assessment team has no detailed knowledge of their capacity to mount the recommended program. The mission should consult thoroughly with USAID Washington to determine the universe of US PVO that are capable of assisting projects like the Advocacy Center.

²⁴ Drawing on technical assistance from the Advocacy Institute or arranging for internships at the Institute might be a useful follow-up to a study tour to the Institute now being arranged by the Ford Foundation.

knowledge can be translated into more effective lobbying efforts on behalf of the client organizations.

b. Establishing Regional Resource Centers

Building advocacy capacity in Namibia also requires empowering people in those areas outside Windhoek where the bulk of the Namibian population lives. As such, the assessment team recommends the establishment of regional and constituency based resource centers (corresponding to Namibia's 13 regions and 95 constituencies). The long-term goal would be to establish small resource centers in each of Namibia's 95 constituencies. Over the life of the DG project, however, the plan would be to initially establish one resource center in each of the 13 regional capitals and up to a dozen additional constituency-based resource centers in selected regions. Such resource centers could be housed within the regional or satellite offices of organizations such as the Legal Assistance Centre, the National Union of Namibian Workers, the Namibia National Farmers Union, the Rossing Foundation or any other appropriate non-governmental organization. Alternatively, small centers consisting of two offices to three offices and a meeting room could be built on a semi self-help basis by interested communities utilizing locally produced materials such as bricks from brick making projects. Each center would be equipped, again, with a small library of books and documents of use to organizations in that region or constituency, or provide access to such material through the regional centers access to the Advocacy Center in Windhoek. Indeed, an important component of the regional resource centers would be the link and the access they would provide to the Advocacy Center and its work in Windhoek. As noted previously, an important means by which to facilitate that link would be via the provision of E-mail capabilities.

The importance of establishing these field-based resource centers cannot be overemphasized as we believe that they are key to empowering and mobilizing citizens at the grassroots of Namibian society. Not only will such centers facilitate the spread of NGO activity in the areas beyond Windhoek, they will also facilitate contact between local elected leaders, especially regional councilors, and their constituents. Indeed, this should be a major objective of the centers.

The establishment of such centers will be painstaking work, and will require the provision of one or two individuals experienced in the organization of local communities. As with the Advocacy Centre, such personnel should probably be recruited and provided by an appropriate U.S. based PVO in consultation with leaders in the local NGO community. The establishment of resource centers at the regional capitals should proceed slowly through the initial opening of two to four offices during the first year in which staff of the U.S. PVO are resident in Namibia (which may not be until FY96 or the second year of the DG project). The establishment of centers in a selected number of constituencies should also proceed slowly and utilize local field personnel wherever possible. Finally, the establishment of such centers, both at the regional capitals and in the constituencies, should be coordinated with other donors that support community development via Namibian NGOs including the Ford Foundation, Norway, SIDA as well as donor supported northern PVOs that are already active in this realm (i.e. CONAMCO, IBIS, etc.). Not all of these donors have an explicit DG agenda, but their interest in strengthening activities of collective action at the grassroots— even if purely "developmental" is part and parcel of the empowerment process. Put differently, a successful USAID program of the type suggested will require some brokering

and possibly even co-financing with other donors. The DG advisor should be involved in the formulation of such arrangements.

c. Strengthening Civic Education in Namibia

A final component of the effort to build advocacy capacity in Namibia would be strengthening civic education in Namibia. Civic education in the form of ongoing course could be conducted by community development officers in the regional and constituency resource centers. Civic education campaigns, in the form of voter education efforts such as those conducted by the National Democratic Institute for the 1992 elections and planned again for the upcoming elections, could be undertaken together with local media, in particular the Namibian Broadcasting Corporation.

USAID should also consider support for curriculum development and the publication of textbooks to enhance civic education at the primary and secondary school levels in Namibia. In this regard, the assessment team recommends that the mission contact Ms. Helgard Patemann, an advisor to the National Institute for Educational Development (NIED) on social studies curriculum, and Director of the Center for Applied Social Sciences (CASS), a German funded NGO. CASS and NIED are currently in the process of writing a series of textbooks for the social studies curriculum for grades 4 through 7 and 11 and 12. Examples of the initial materials produced through this effort are to be found in the file marked "Civic Education" in the DG resource files assembled by the assessment team for the mission. The textbook for grades 11 and 12 has already been published by Longman (Namibia), and is of high quality. The only reservation team members expressed of these materials is that a greater proportion of space could have been devoted to the discussion of political participation and democracy. Such added emphasis might still be possible in the remaining volumes which are still under development. The overall orientation of the textbooks is consistent with USAID's objectives of enhancing community participation and empowerment. Unfortunately, the Ministry of Education does not have funds to purchase sufficient numbers of these textbooks to insure that all schools which have adopted the new social studies curriculum will be able to provide books to their students. For example, in 1995 36,000 textbooks will be needed to implement the new curriculum at grade 4 at a cost of N\$ 20 to \$26 per book or N\$720,000 for all schools. A similar figure will be required in 1996, 1997 and 1998 to phase in the entire curriculum.²⁵ The assessment team therefore recommends that the mission consider partial funding for the purchase of the books to implement this curriculum as it would complement other USAID efforts to strengthen primary education in Namibia.

2. FACILITATING DECENTRALIZATION

As discussed throughout this assessment there is an urgent need for decentralization and the strengthening of local institutions in Namibia--and on many fronts: the system of local and regional government, the system of lower courts, regional NGOs and CBOs, the media. Without the development of decentralized

²⁵ All of these estimated costs were supplied by Helgard Patemann of the National Institute for Educational Development.

institutions neither pluralism nor a central government that is accountable to its citizens is likely to evolve. The state will become increasingly out of touch and "suspended" above the population it purports to rule, and ultimately suffer from a similar loss of legitimacy and authority that has beset most other states in Africa. Put differently, in a largely rural and agrarian society such as Namibia, and especially in one so vast in size with a dispersed population residing hundreds of miles from central governmental institutions, *decentralization is essential*.

How can USAID, and indeed the United States nurture the process of decentralization in Namibia? First and foremost by simply talking about its necessity with a somewhat louder and more frequent voice. This is, of course, a topic of some controversy and political sensitivity—but so, for that matter, is the USG's entire strategic objective of democracy and the steps USAID is charged with taking to nurture democracy worldwide. The US mission as a whole—the Embassy and USIS as well as USAID—must raise its voice in support of decentralized institutions. It is essential to suggest to the leaders of the GRN that it is in *their own* political interests to devolve a measure of power to regional and local authorities, and that the US and other donors stand ready to assist this process. When raising our voice, the Embassy and USAID should consult with other members of the donor community, particularly the Scandinavians, the Germans and the British—all of whom support democratic initiatives in Namibia and worldwide, and all of whom are becoming increasingly concerned about the rising demand on the part of local and regional officials to assume greater control over their affairs. In short, USAID's ability to nurture decentralization and hence democratization in Namibia will require sustained diplomatic support.

Apart from strengthening the lower courts, the greatest need for decentralization is in the realm of local and regional government. The basic problems with the current system have been discussed at length in section III.1.c and need not be repeated here, but the bottom line comes down to whether or not the Ministry of Regional and Local Government and Housing (and indeed the GRN as a whole) has the political will to shift a significant measure of authority to the councils that are currently accountable to the Ministry. As previously noted, the MRLGH is reluctant to devolve authority until it is confident that the councils have the capacity to shoulder any additional responsibilities. The councils, however, must be provided the means to take on these responsibilities. To facilitate more rapid decentralization and encourage the MRLGH to move more assiduously towards this goal, the following forms of assistance might be offered to the Ministry.

- Medium to long-term training for local and regional councilors, in an array of specialized skills required to strengthen local and regional government, especially in the areas of public finance and management. The MRLGH has already identified specialized training as a basic need. Training is also required at a more introductory and general level on what it means to be a councilor, how to interact with the MRLGH, how to deal with constituents, etc. The Friedrich Ebert Stiftung (FES) has already sponsored one round of introductory short-term workshops on these topics, and is likely to organize a follow-up exercise. USAID should be careful to complement what it provides in terms of training by concentrating on specialized needs identified by the MRLGH, and by providing training that is of longer and more sustained duration than that provided by the FES. Such training

may be accessible through the Harvard Institute for International Development (HIID) as members of its staff have designed decentralized systems of governance in Kenya and other countries, and trained personnel for these institutions. A variety of consultant firms are also in a position to provide such training.

- Provide appropriate technical assistance to strengthen, indeed initiate, the process of regional development planning, that is presently stalled within the MRLGH and to assist the Ministry to integrate regional planning with the overall planning process of the National Planning Commission. From discussions with relevant personnel at the NPC the assessment team learned that it is the Ministry, not the NPC which is responsible for organizing the planning process at the local and regional level, because government authorities at this level are its responsibility. By strengthening the process of planning at the local level, including the intensification of discussion within the newly created "interministerial committees," USAID could perhaps "open some political space" within which local and regional councils could begin to implement their concerns.

Sooner or later, meaningful decentralization--that is to say the *devolution* of authority requires the establishment of independent or semi-independent sources of revenues for the governmental units concerned. In this regard, USAID should consider three options, one relatively simple and short term, the other two more complex, but potentially feasible over the life of the DG project.

- Provide surveyors and other relevant forms of technical assistance to the MRLGH and to local authorities to expedite the process via which towns are officially proclaimed. As noted above, delays in the process of proclamation are one of the main sources of frustration to local councilors for until such time as their communities are proclaimed they must turn over all revenue they collect to the MRLGH. In respect to surveyors, it is our understanding that the U.S. Department of Defense can provide surveyors for up to several weeks each.
- Provide appropriate technical assistance to establish a meaningful annual budgetary process for the regional councils so that they develop the capacity to manage any funds that might come under their control. One cannot train members of the regional councils to manage their fiscal affairs until these councils establish a set of procedures for this exercise. The process of budgeting should also be integrated with the process of regional planning. In this regard, the mission should note that USAID, via the Harvard Institute for International Development, established such a system of decentralized planning and budgeting in Kenya during the 1980s that continues to function despite other administrative breakdowns in that country.
- Work with the MRLGH to establish some form of "block grants" to the regional councils. A variety of formulas could be established for such grants including unrestricted grants, fixed amounts for regions based on population and other considerations, a system of matching grants which would provide an incentive to regional councils to generate their own revenue, grants that are tied to particular policy areas such as the building of primary schools or health clinics, etc. It is important to stress that such grants are hardly new to the developing world. In

Nigeria, 10 percent of the federal government's budget is automatically passed on to the countries 200 plus local authorities. In Kenya, there is the district development fund. In India, especially in the state of Karnataka, a system of tied grants coupled with district regional planning has done much to improve the effectiveness of local government, and with it a sense of ownership on the part of the local population. USAID, together with other donors, should explore the possibility of partially funding such grants via the establishment of a regional development fund. This should only be attempted if done on a matching basis. An opportunity for such matching assistance may already exist in the form of the Regional capital fund at the MRLGH.²⁶ In short, the Ministry already has a set aside funds for capital improvements in each of the regions; the only problem is that the fund is controlled entirely from Windhoek with no significant input from the regional councils. The challenge is to persuade it to loosen its purse-strings by shifting control or partial control over these moneys to the regions.

Decentralization will also be facilitated by increasing the demands for such from below. The establishment of regional and constituency resource centers discussed above and the strengthening of an advocacy capacity at the local and regional levels on the part of Namibian NGOs will increase the pressures for a devolution of authority within the government. The establishment of an information retrieval capacity at the proposed regional resource centers will also enable local elected officials to become increasingly informed about how to mobilize their constituencies on the one hand, and how to insert themselves into the governmental process more effectively.

3. ENHANCING THE TRANSPARENCY AND ACCOUNTABILITY OF PARLIAMENT

Four years after independence, the task of strengthening the institutional capacity of the Namibian Parliament remains critical to sustaining democratic governance. At the same time, transparency and accountability is constrained. The reputation and the survival of democracy in Namibia in part hinges upon the perception that the legislature properly carries out its mandates and functions.

a. Facilitating Policy Analysis and Research

During the short period between March 21, 1990 and December 1991, the National Assembly passed approximately 68 laws and debated close to 70 government and opposition initiated motions. Although the quantity of bills and motions attended to is impressive, rapid legislating--despite real and urgent needs--should not proceed at the expense of quality. Moreover, given that in many respects the autonomy of the National Assembly continues to be circumscribed, the lack of experience in legislative processes restricts its ability to carry out its oversight functions and to effectively evaluate government policies and initiatives.

²⁶ For a summary of the amounts allocated to each region see *Estimate of Expenditure on Development Projects for the Financial Year Ending 31 March 1995*, (Windhoek: National Planning Commission, n.d.), pp. 159-161.

In addition, it is becoming a trend that contentious and/or specialized bills such as the Annual Budget or the Police Act of 1992 require amendment to correct the unintended results of having passed laws without proper preparation and scrutiny. In order to competently exercise its constitutional authority, the National Assembly and the National Council must increase their capacity to function in an informed manner that is responsive to the needs and demands of Namibian society. To do so requires enhanced institutional capability to facilitate appropriate debate and to engage in transparent legislative oversight and public policy initiatives.

A functional system of legislative committees would both enhance members scrutiny of legislation and provide important points of access for public involvement in the legislative process. In Namibia, however, the viability of such committees remains restricted because the committee system itself remains at a nascent stage. Although MPs have selected assignments for specific committees, the committees are not fully operational, partly because of the lack of sufficient staff. Since the staffing issue is soon to be resolved, the opportunity now exists for the MPs of the National Assembly and the National Council to finalize the terms of reference for the various separate and joint committees that have been identified, and to concentrate on making them work. In order to increase the viability of the committees and to make them truly accessible to the general public, MPs will require technical training in a variety of areas, including how to schedule meetings, assign tasks, conduct public hearings, and how to evaluate the information gleaned from hearings. These skills will enable MPs to make informed and independent policy assessments and thus contribute to public debate on issues of national importance.

Another constraint on the ability of members of both houses to understand and more carefully analyze proposed legislation is the lack of important reference materials, automated services and technology, and the absence of research personnel who typically perform invaluable support services in modern legislatures. For example, Namibian MPs have limited access to the information required for effective functioning: Government Gazettes are not published and distributed in a timely manner; the *Debates of the National Assembly* and the *Debates of the National Council* are not published and distributed in a timely manner; and there are no available, consistent, or reliable summaries of pending legislation (impact, intent, provisions, etc.). The above situation could be alleviated by attention to several areas, including:

- The development of linkages to information from the various Ministries and reference resources in Namibia as well as to international resources through an E-mail capability.
- The development of an internship program for university students in public policy, public administration and law to train and recruit future parliamentary staff in how to conduct research, assess policy issues, and write legislative briefs. Such a program could be organized through the Parliamentary Library in cooperation with the University of Namibia (UNAM). The Vice-Chancellor of UNAM, the Speaker of the National Assembly, and the Chairperson of the National Council are all keenly interested in the possibility of establishing such a program, and consider it to be a high priority. USAID should be too, as such a program would be relatively inexpensive to support. Moreover, such a program would increase the likelihood

that Parliament would eventually authorize an appropriate staff establishment to provide for research staff. If the experience of the British House of Commons and American state legislatures is any guide, trained student interns will not only provide useful services, but also generate a demand on the part of MPs for full-time professional staff. Such internships will also be a valuable form of civic education for those interns who do not eventually join the legislature after the completion of their studies.

- The recent authorization and recruitment of an accounts officer and a legal advisor for each house of the legislature partially resolves a long out-standing issue of who will staff Parliament. Now that this issue has begun to be resolved, USAID can consider the provision of staff training. This may not, however, be an area in which the U.S. has a comparative advantage, at least not at the outset. The Namibian Parliament follows procedures of operation that are essentially those within the Commonwealth parliamentary tradition. Training of clerks, for example, is best left to the Commonwealth Parliamentary Association or individual Commonwealth countries such as the U.K. which have already offered to provide assistance in this area. The same may be true for the two initial members of staff appointed for each house. USAID, however, should seriously consider training for whomever is appointed to be the new parliamentary librarian once she or he is appointed. Consistent with our conversation with the Speaker, we would suggest that the librarian be sent to the U.S. for an internship at the library of an American state legislature for a period of one to three months. Such in-service training and exposure at a legislature of modest size (definitely *not* Congress) could be arranged by the National Conference of State Legislatures (NCSL),²⁷ the Congressional Research Service, the State University of New York at Albany, and possibly NDI. As the complement of Parliamentary staff expands through the life of the DG project, the mission's DG advisor should periodically monitor the training needs of those who assume new positions to determine whether the U.S. can provide appropriate assistance.
- USIS can continue involvement in supporting appropriate Namibians on limited occasions to travel to the United States and elsewhere to observe and learn from the operational practices and procedures in other legislatures. It is important, however, that study tours be organized with great care and not simply be generalized exercises which familiarize MPs or parliamentary staff with the American political system. Tours which expose legislators and staff to the workings of American state legislatures as opposed to Congress are particularly useful given that Namibia is in no position to imitate the operations of the latter. Continued assistance in the design of such tours should be sought from the National Conference of State Legislatures. In the unlikely event that the number of staff requiring training should rapidly increase, consideration should be given to

²⁷ A two person team from the Washington office of the NCSL headed by Klare Rosenfeld visited Windhoek in November, 1993 to assess the facilities and staff of the National Assembly and National Council. Their assessment, funded by USIS, should be retrieved as the present assessment team was unable to locate the document. The NCSL is in a position to arrange internships at American state legislatures. NDI may also be able to arrange internships though this is not their primary area of expertise.

mounting an extended (1 to 2 month) in-service training program in Namibia for such staff. Again, the NCSL or NDI might be called upon to run such a course.

The resources outlined above should be made available to the members and staff of each party caucus.

b. Strengthening Constituency Relations

Given that the National Assembly MPs were selected on the basis of proportional representation for the whole country, they have no individual constituency that they represent. Rather, they are individually and collectively accountable to and responsible for the entire country. The case for the National Council MPs is different since they are directly accountable to the particular regionally-based constituency that elected them.

Despite the difference in the nature of constituency base, however, the MPs from the two chambers have repeatedly articulated the necessity for improved and more effective access to one another. For example, while National Council MPs lamented their inability to provide a facility in which to hold regular meetings in their constituencies, National Assembly MPs requested assistance in learning how to define and identify a constituency. In addition, MPs require technical assistance to develop mechanisms for systematic communication with their constituents, including scheduling meetings, attending constituency-based functions, etc.

Enhanced access by MPs to their constituents and constituent access to MPs could be accomplished through a variety of means, including:

- Improved media coverage of the deliberations of both chambers; such coverage would communicate to constituents that their representatives are actively engaged in addressing their concerns. It is particularly important that Parliament be given greater coverage by the broadcast media, including continuous or semi-continuous TV coverage of Parliamentary debates. Increased coverage by the broadcast media would not only contribute to the civic education of Namibians, it could also serve as a device to improve MP participation in and preparation for Parliamentary debates. By putting MPs under greater public scrutiny, accountability will be increased. Such coverage is desired by both the Speaker of the National Assembly and by the Chairperson of the National Council, and eagerly sought by the Director-General of NBC. Discussion of how USAID can facilitate such coverage is discussed below in section V.5.
- Organized group visits to the Parliament coordinated through the Parliamentary Librarian. Visits by groups of school children and secondary school students to introduce them to their legislators should be particularly encouraged as political socialization is generally most effective during one's youth.
- The production and dissemination of a Parliamentary Directory and appropriate pamphlets that explain the workings of Parliament.

- Training for MPs on how to maintain field offices and keep in touch with their constituents.

Various resources exist to help to conceptualize in more detail the activities proposed above, and various organizations exist to provide technical support, including SADC, the Commonwealth Parliamentary Association, the Congressional Research Service, and the National Conference of State Legislators, NDI and the State University of New York at Albany.

4. STRENGTHENING THE RULE OF LAW AND HUMAN RIGHTS

a. Strengthening the Lower Courts

The lower courts are in great need of strengthening for which two types of support are required: (1) Support for the Justice Training Centre to fully establish and mount its program of supplementary and in-service training for magistrates, prosecutors, clerks, police and staff of the community courts. (2) The production and provision of operations manuals and reference materials so that all local magistrates and ultimately staff of the community courts will have access to complete sets of basic reference materials in their courts. This should be a high priority for USAID for at least three reasons. (1) The need for strengthening the lower courts--especially the magistrate courts--is critical for the consolidation of Namibian democracy. (2) The cost of proposed programs will fall well within the expected USAID/DG budget, and other donors are likely to co-finance. (3) The support will be relatively easy to provide as it will consist mainly of grants to Namibian institutions. In other words, the major task for USAID will be to write the relevant purchase orders, and then to monitor and evaluate the impact of U.S. support. It will also be necessary, via the mission's DG advisor, to coordinate support in this area with other donors.

As discussed above, the greatest need for the Justice Training Centre in the short term is the provision of salaries for key personnel. There are presently three staff members at the JTC with the anticipation of a fourth: These are (1) the director of the center, (2) the assistant director, (3) a secretary, and (4) an additional instructor who will be responsible for upgrading the skills of Namibians who obtained their legal training in Cuba and Eastern Europe. The Centre also hopes to add (5) an administrative assistant to handle accounts in 1995. The salaries of the first three individuals are presently covered through a combination of a grant from the Ford Foundation and the secondment of a retired judge by the Republic of South Africa who presently serves as the Center's director. The salary of the director will cease to be covered by South Africa on March 31, 1995. and the grant from the Ford Foundation which is a one-time package will cease at the end of 1995. The Ministry of Justice is committed to providing the salary of the additional instructor, the former Chief Justice of Zambia, but has asked that the donor community provide a top-up to this individual's salary. The projected combined salaries of the director, assistant director, secretary, and administrative assistant will be approximately \$92,000. in 1996. The amount required to "top up" the salary of the former Chief Justice of Zambia is unknown.

Notwithstanding the issue of sustainability, USAID should seriously consider providing a portion of the required salaries beginning in late 1995, that is to say, at the start of FY96. It is suggested that USAID provide salary support subject to three conditions. (1) That the "home" of the JTC is finalized subject to pending negotiations between UNAM and the Ministry of Justice, and that suitable physical facilities are provided by either of these agencies. (2) That a Memorandum of Understanding is signed between USAID and the official home of the JTC whereby the home institution approves a formal line item for the center's staff with a budgeted salary for each position. This will enable USAID to provide salary support on a declining matching-grant basis. One possible formula would be to provide 75 percent of the required salaries in FY96, 50 percent in FY97 and 25 percent in FY98, the last year of the planned DG project. Put simply, USAID should be prepared to provide salary support if this support can be used to lever the home institution into assuming responsibility for salaries over the long term. (3) That the program of training mounted by the JTC during the balance of 1994 and early 1995 is deemed valuable by the mission's DG advisor. There is some disagreement among staff at the MOJ concerned with the lower courts of the impact of the training to date. Some observers including some holdover magistrates within the Ministry of Justice believe that the JTC should emphasize in-service training over the current program of short courses. The program of short courses, however, has only just gotten underway and it is premature at this point in time to assess their impact. Such an assessment, however, should be one of the first tasks of the DG advisor following her/his appointment and arrival at post. The DG advisor should also further explore the potential and likely cost of in-service training. Technical advice on this matter might also be obtained via the existing USAID/Africa Bureau cooperative agreement with Checci Associates and Howard University.

An assessment of the effectiveness of the current director and his successor, if one is selected, will also be required. It is the impression of the assessment team that while the current director is a knowledgeable and pleasant individual who may have been a good judge, a fireball administrator he is not. He has managed to get the JTC up and running under very difficult circumstances, but is also eight months away from retirement. The current director is prepared to stay on after his retirement from the South African civil service as he plans to take on Namibian citizenship. On the other hand, he is also prepared to retire to Swakopmund. This will be a hard call. The situation will be further complicated by the anticipated arrival of the former Chief Justice of Zambia. Whether he has come merely to augment the instructional staff or whether he is the director in waiting could not be determined by the assessment team.

Support for the Justice Training Centre will also require funding for the courses run by the center. Each course presently lasts from one to two weeks duration, and is attended by approximately 15 trainees each. The trainees are mainly, though not exclusively, current employees of the magistrate courts or the police and as such they must be brought in from the towns to which they are posted. Funding is thus required for transportation, food and lodging. The present director estimates that it costs approximately \$8,000. to support a group of fifteen students at the center per month, and that when the center is fully up and running it will offer courses for up to ten months per year. In other words, each stream of courses will cost \$80,000. per year while a second stream, and the addition of an in-service program will cost more. It is very difficult for the current director to project the costs of the JTC, because it only

commenced operation in March and because there has not been time to evaluate and adjust its program of instruction.

Lastly, there are the cost and reproduction of teaching materials. Here again the JTC has no budget of its own, although in respect to these items it has been able to draw on the facilities of the Faculty of Law and of the Human Rights and Documentation Centre at UNAM. To be fully operational, the JTC probably requires a modest desk-top publishing capability, in other words a standard 468 desk-top machine with a good HP laser 600 d.p.i. printer.

It is the opinion of the assessment team that the JTC will require an annual budget of somewhere between \$225,000 and \$250,000. How much should USAID provide? Given the anticipated budget of the mission's DG program, it will be possible for USAID to provide the entire amount. Whether it should do so, however, is another question. As suggested above, funding should be subject to the fulfillment of certain conditions to assure sustainability over the long term. If the JTC is a priority for Namibia, then it is not too much to ask that either UNAM or the Ministry of Justice picks up an appropriate portion of the costs, especially core salaries by the end of the DG project. Second, there is the issue of the quality of the programs. There is absolutely no doubt in the minds of the assessment team that the wide range of training the JTC is supposed to provide is very much needed. But as stated above, no one knows whether the current curriculum is working or will work because it is too early to tell. This is a classic example of the experimental and inherently risky nature of DG programs. Finally, although the Ford Foundation support will cease at the end of 1995, it is likely that Sweden, the European Community and Germany (via GTZ) might all be prepared to provide modest amounts of support, though less than what USAID is in a position to consider. In light of these considerations, it is suggested that USAID consider providing support for the JTC at a level of between \$100,000 and \$150,000 per year for FY96 through FY97, and an initial grant of \$75,000. in FY95. No moneys should be granted until the aforementioned conditions are met or assessed. Funding should be in conjunction with funding by other donors. In this regard, it is likely that the U.S. can be the lead donor and use its funds to lever support from other donors.

In addition to training, the lower courts urgently require the supply of adequate reference materials to assist magistrates in their work. As discussed in III.1.d, few of the 31 magistrate courts have complete collections of the Laws of South Africa and Namibia, and the Law Reports of Namibia. Some of this material has already been published by JUTA, the South African firm which specializes in legal publishing. Other material such as the annotated law reports for Namibia for 1991 through 1995 are currently being edited by the Legal Assistance Centre and will be updated annually after next year. However, these materials will still require publication and dissemination, and the estimated cost varies from \$100,000. to \$500,000. depending on the method used. At the request of the assessment team, the Chief of Lower Courts of the Ministry of Justice is preparing an estimate of the cost of the materials required by the magistrate courts including handbooks for the magistrates. This estimate is attached as Annex E to this assessment. Because this attachment was prepared at short notice it may be supplemented or replaced through a subsequent communication by the Chief of the Lower Courts to the Director of USAID, Windhoek. It is hoped that all necessary submissions by the MOJ will be delivered to the mission

by the time the mission writes the PP for this project and must arrive at more precise budget estimates for FY95.

Finally, magistrates around the country would also benefit from an E-mail link to the JTC and to the Chief of the Lower Courts in the Ministry of Justice. The importance of E-mail has been already noted in respect to the establishment of the Advocacy Center, and the linkage of the AC to the constituency based resource centers which are also proposed in section V.2.

The reader will note that we have not said much about potential assistance to the community courts. This is true for three reasons. (1) Until such time as Parliament passes an act defining the jurisdiction and office holders in this system, little can be done to strengthen the community courts. (2) One of the most useful ways to strengthen the community courts will be to empower the magistrate courts with the automatic authority to enforce decisions of the community courts. This, of course, will require a change in the legislation, but it further suggests that at least in the short run, the best way to strengthen the community courts will be to strengthen the magistrate courts. (3) Provision for training personnel of the community courts is part of the mandate of the JTC. By supporting the Centre, USAID may ultimately be able to strengthen this lowest tier of the judicial system.

b. The Human Rights Documentation Centre

The Human Rights and Documentation Centre, as Namibia's contribution on human rights, democracy and the law to a Southern African consortium of universities, and as a proxy National Commission on Human Rights in Namibia, is in need of concrete support in four distinct areas: first, funding for staff and curriculum development for the training of paralegals in conjunction with the Law Faculty at UNAM. This two-year training program is intended for secondary school students who have completed matriculation and would help to bring legal assistance in the form of trained paralegals to smaller communities throughout Namibia. Second, the HRDC is in need of long and short-term legal expertise on a range of issues. In the view of HRDC staff, although since independence there have only been two major constitutional cases, it is likely that in the future decisions in the courts in Namibia will be key in determining how "human rights" are defined in the country. To this end, exchange programs through the Fulbright Scholars program, the international visitors program of the United States Information Service, or legal services organizations in the US could be arranged. At present one Fulbright scholar and poverty lawyer from California is working with the HRDC. Such individuals, with experience in poverty and justice issues in underprivileged communities outside of Namibia, could make an important contribution in the training of paralegals and curriculum development at the HRDC and in the broader activities of the Centre such as helping to draft new legislation or acting on behalf of threatened indigenous communities. Third, the HRDC's documentation center, seen as a clearinghouse and repository in Namibia for law and human rights related documentation, is in need of donations on a long term basis of a few human rights journals such as *Human Rights Reporter* and *Human Rights Quarterly*. Finally, together with the Justice Training Centre, the Human Rights and Documentation Centre would benefit greatly from a modest desk-top publishing capability in order to be able to produce its own teaching materials.

Access to Internet and E-mail would also greatly enhance the HRDC's ability to make use of international organizations and materials not widely available in Namibia.

c. The Attorney-General's Office

Discussions with the Attorney-General and his Chief Legal Officer resulted in two modest yet important requests which USAID in conjunction with USIS could easily provide. The first is an E-mail capability with access to Lexus, the on-line legal retrieval system on U.S. law available to subscribers via Internet. The second is access to short-term yet highly specialized legal expertise in such areas as the law of the sea. Support to meet both of these requests would be mutually reinforcing. Support for E-mail and Lexus would also be valued by the Legal Assistance Centre and could be provided to that organization at no extra cost.

The A-G's need for short-term expertise could be met via two and possibly three programs available to the mission. The first is the pro-bono program run by the American Bar Association (ABA) in consultation with the Human Rights and Democracy Bureau of the Department of State. Advice on how to access this service can quickly be obtained from the former Deputy Assistant Secretary of State in the Bureau, James Bishop, who is currently serving as a consultant to USAID on the Southern Africa initiative. Bishop is thoroughly familiar with the ABA program. A second method is the USIS academic specialist program via which leading legal authorities from American law schools could be brought out to Namibia for the period required. Should USIS face a budgetary constraint in accessing such personnel, USAID should be able to access such personnel directly via a consultant's purchase order. Yet another method, provided its contract is renewed, is to buy in to the cooperative agreement between Checci Associates and the Africa Bureau. If the agreement is not renewed, it will be replaced by a similar agreement to provide technical assistance to support the rule of law that will undoubtedly be established by the new Center for Democracy in the Global Bureau.

The need to establish the use of E-mail in Namibia has already been noted in earlier sections of this report, and the procedures for facilitating this are presented in Annex C. Via E-mail, relevant Namibian organizations and government agencies that are critical to the consolidation of democracy in the country can be linked to an almost infinite array of technical assistance and on-line information services around the world via Internet. One example of such on-line information service is Lexus. Lexus is available to registered subscribers at a cost that is a function of the amount of time the system is used. Details of the cost per minute as well as the amount of any basic monthly or annual fee are not known to the members of the assessment team, nor is the possibility of discounts to periodic users located in developing countries. Such information, however, can be quickly obtained via any law library at one of the top twenty law schools in the U.S., all of which support Lexus.

The value of providing an E-mail facility to the Attorney-General's office goes beyond mere access to services like Lexus. Through E-mail the AG and his Chief Legal Advisor can quickly correspond with legal experts around the world, and maintain contact with such individuals as might periodically visit the AG's office to provide short-

term expertise. This would do much to cement relationships facilitated by USIS and other specialist programs such as those of the ABA.

d. The Office of the Ombudsman

As discussed in section III.1.e above, the most pressing need of the Office of the Ombudsman is the addition of trained staff, especially investigators. To determine whether this problem can be mitigated, the mission should discuss whether the establishment of the Office of the Ombudsman can be increased, and if so whether donor funding would be required to phase in additional personnel. Only if the question of expanding the establishment is clarified should the mission take up the possibility of training appropriate staff. It is premature to determine where such staff could be trained, but several options present themselves, provided the institutions in question can take on the added task. These are (1) the Justice Training Centre whose current limitations have already been noted, (2) the Legal Assistance Centre, and (3) the Faculty of Law at the University of Namibia. Here again, these discussions are best initiated after the appointment of the resident DG advisor.

g. Legal Assistance Centre

The Legal Assistance Centre has long been at the forefront of defending human rights in Namibia. The principal task of the LAC is to provide legal assistance which it is doing via a series of regional field offices around Namibia. In addition to this core task, the Centre also supports the work of the Law Reform Commission, is editing the Laws of Namibia for the Ministry of Justice, training paralegals, and administering a bursary program for 10 Namibians now training at faculties of law in South Africa. In addition, the LAC has also entered the area of policy analysis, particularly in respect to juvenile law, gender issues, the environment and labor relations.

Several donors including Norway, SIDA and the Ford Foundation support the LAC, and the Center is reluctant to take on new programs. The question then remains as to whether USAID might facilitate the Centre's current portfolio of programs and if so how. The assessment team was unable to answer this question because the Director of the LAC, Andrew Corbett was seriously ill during the team's visit. Although we did meet with one of his assistants, she was not able to provide details as to which programs require additional support. The only program for which the team learned that supplementary funding is quickly needed is the bursary program. The Ford Foundation initiated the bursary program in 1991, but due to rising costs and other factors the program will experience a shortfall during the forthcoming year. It was also suggested that as no new students have been provided with bursaries since 1991 that it might be desirable to fund one or two additional bursaries. However, now that the Faculty of Law at UNAM is up and running, the assessment team suggests that some caution be taken in respect to any funding beyond what is needed to bring the program initiated by Ford to completion. Needless to say, the Ford Foundation should also be contacted as to whether it intends to provide such supplementary support. Additional material on the LAC may be found in the file on Namibian NGOs, but the mission is urged to meet with Andrew Corbett as soon as he is well--sometime in late August. Ironically, as the assessment team was writing this section, Mr. Corbett called from his home and reviewed some LAC's current activities and needs over the phone. He noted that the

LAC is prepared to work with NANGOF to establish the Advocacy Center. He also noted that the LAC is contemplating research support to the National Assembly. Given these and other evolving programs at the LAC, we agreed that he and his staff would prepare a submission to USAID which should be the basis for future discussion (which, we assume, would occur before the preparation of the project paper). This submission should be inserted into Annex D to complement the submission from the Ministry of Justice.

5. SUPPORTING THE MEDIA

a. Media Institute of Southern Africa (MISA)--Namibia

MISA-Namibia, though still a nascent entity, has strong potential to contribute to fostering a democratic climate tolerant of critical analysis and constructive criticism. An independent, self-sustaining, and professional media is thus an important arena for strengthening and consolidating Namibia's democracy.

- USAID should consider the provision of a core grant to facilitate the establishment of MISA-Namibia. Given the promise of this organization, it is likely that other donors would co-finance.
- MISA-Namibia is also interested in setting up a legal defense fund for the media. The fund would defend journalists as well as test cases of constitutional principle in addition to testing existing laws.²⁸
- The provision of an E-mail facility to MISA-Namibia, as well as support for a subscription to Nexus (an on-line news service), would also be a valuable way to assist the organization. Access to E-Mail would enable MISA-Namibia to send news to their counterparts in the region via the Internet as well as to report more accurately events elsewhere in the region that may have repercussions for Namibia. For example, MISA-Namibia already has links with the *Jornal de Angola* in Angola and the *Weekly Mail and Guardian* in South Africa. In addition, MISA-Namibia would like to have a Gopher capacity and access to economic reporting. The existing links and the required computers are currently being supported by SIDA, which has made a commitment for one year. However, access to Nexus will incur charges based on the amount of time the service is used. Some of these costs can be recovered by subscriber fees from other local users. For more detail about the possibilities for E-Mail in Namibia, see Annex C.
- Namibian journalists, via MISA-Namibia and perhaps, the Advocacy Center described in section V.1 above, would benefit immensely from a resource and documentation facility. Journalists presently have limited facilities for securing background information for their stories, especially in technical areas. An enhanced research capability along with training in critical analysis would contribute

²⁸ USAID-Nairobi has recently begun to establish such a fund in Kenya together with DANIDA with the same objectives in mind.

to objective reporting that is of higher quality, and that can offer constructive modifications or alternatives to, for example, government policy proposals. In addition, MISA-Namibia can assist in teaching NGOs how to design an in-house newsletter; MISA-Namibia has already been involved in giving assistance to NANGOF for a market study.

- The provision of technical assistance to train Namibian reporters in areas of investigative journalism, parliamentary coverage, economic reporting, regional and local public affairs, and community news is critically needed to improve the quality of Namibian media. Insofar as possible, such training should take place locally in the different regions; given the limited staff, courses located only in Windhoek would in effect mean that an office would operate at half capacity or even be forced to close down for the period of the training. Local training also gives the additional advantage of in-service exercises that speak directly to the issues at hand, and more people can be involved in the training. Moreover, since broadcast and print media tend to be largely concentrated in the urban areas, regional and local based training will enhance the provision of community-based newsgathering, and can facilitate the identification of links through which national papers, for example, can be distributed more widely.

Access to appropriate specialists to provide such training can be obtained by the mission via one of two methods: (1) via USIS which arranges training workshops for journalists, and (2) via the Center for Foreign Journalists in Reston, VA which has on occasion conducted training exercises for USAID. In this regard, the mission should seek the advice of the REDSO/ESA DG advisor who maintains a file of appropriate sources of technical assistance in this area.

Finally, the privatization of radio and the outreach of TV is progressing, albeit not at a rapid pace. For example, there is talk of the revival of an FM radio station in Katutura with assistance from UNESCO, and the Danes have been involved in training in community broadcasting. Once these efforts take off, NBC would be able shift its focus more to development-oriented and educational programming. Moreover, it appears that NBC TV plans to increase its broadcasting reach from 35 percent to 75 percent in two years, and then to 95 percent in five years via satellite transmission. The aim of NBC's efforts is not to get a TV in each Namibian household, but to place a TV in every school, hospital, and clinic for educational programming. Once established, these emergent entities can avail themselves of the research and training possibilities offered by the resource information center, in whatever form that actually takes, with MISA-Namibia perhaps providing an additional supporting role.

b. The Namibia Broadcasting Corporation

USAID should consider the provision of broadcast quality cameras and other relevant equipment to enhance the coverage of both houses of Parliament. This proposal to strengthen the NBC relates directly to the need for enhanced coverage of the National Assembly and the National Council in order to facilitate increased public exposure to the activities of the legislative branch. NBC's current "Parliamentary Report" is limited given its emphasis primarily on the National Assembly. To promote

public understanding of the National Assembly and the National Council in their role as, in President Nujoma's words, "the two eyes" of the Namibian legislature, it is especially important that the National Council receive coverage on par with that of the National Assembly. Indeed, the Director-General of NBC told the assessment team that at times NBC is not even aware of what the National Council is doing.

The Director-General has proposed live broadcast of Parliamentary debates. The broadcast of the debates could then be reinforced in radio programming: people could see the activity in Parliament, and then discuss aspects of what was being debated on the radio forum, Open Line or the National Chat Show. This interactive aspect would also illustrate to MPs and other government officials the importance of communicating with their constituents through radio. Currently, there is a tendency, especially for Ministers, to insist on television coverage, even if their activity is actually more oral-oriented, e.g. reading a prepared speech.

The Director-General of NBC as well as the Speaker of the National Assembly and the Chairperson of the National Council are in agreement that improved Parliamentary coverage is a priority. The capacity for live broadcast already exists to some extent, with cables and stands installed at the National Assembly. The National Council would require cables and stands, in addition to the cameras that are needed by each chamber.

Enhanced coverage of the local and regional councils will focus public attention on how government functions at the grassroots, and at the same time promote a sense of national unity as rural residents begin to see their own images highlighted as a part of Namibia's realities. In order to strengthen community-based broadcasting, additional cameras and related equipment will be required by NBC so that each regional office can cover events within its area. In this respect, the NBC Director General indicated that there exist proposals to regionalize radio coverage and production and to restructure and lengthen the hours of the language service broadcasts.

The Ministry of Education should also be consulted in connection with regional and local programming. It seems that the Ministry possesses mobile production and broadcasting vans that might be useful for communicating information about regional and local events.

VI. IMPLICATIONS FOR USAID AND US EMBASSY WINDHOEK

An integrated program in support of consolidating democracy in Namibia will require a sustained effort *on a country team basis*. By its very nature, a DG project of the type proposed straddles the realms of conventional development assistance on the one hand, and diplomacy on the other. The most effective DG programs recognize this fact and approach their implementation accordingly. In this regard, it is essential that USAID Windhoek appoint a qualified social scientist to become its resident DG advisor as soon as possible so that the project gets off to a fast start. The presence of a full-time resident DG advisor is absolutely essential if most of the initiatives recommended in the previous section are to be implemented. Most of these initiatives are either small, or require extensive negotiation and monitoring to implement. This cannot be done by part-time consultants flying in from the U.S.

The mission must take great care in selecting the DG advisor. Ideally, the advisor should: (1) Be a social scientist who is a specialist in comparative politics and knowledgeable about issues of public policy, development, and political and economic reform in developing countries, particularly Africa. While a Ph.D. should not be an absolute requirement for recruitment, advanced training in the aforementioned areas should be. (2) Be mature, and have good interpersonal skills and be able to represent the United States, albeit in an advisory role. (3) Be knowledgeable about Namibia. (4) Be knowledgeable of USAID procedures and of USAID's efforts to date in support of democracy and governance. While all four skills are desirable, particular emphasis should be placed on the first two. The tasks of the DG advisor are basically four: (1) To keep constantly abreast of DG programs and initiatives in country; (2) to identify and assist Namibian institutions in the design of new DG initiatives; (3) to serve as an information broker between Namibian institutions involved in DG work; (4) to serve as an information broker between the USAID and the DG program officers of other donors. In addition, the DG advisor must be able to serve as a link between the USAID mission and the Embassy.

To recruit an appropriate individual to serve as its DG advisor, the mission will most likely need to employ a personal services contractor (PSC). The number and availability of appropriate individuals within USAID is limited, and those who do exist are currently assigned to other jobs. This means that the mission will have to recruit someone from outside the Agency. To do this, it has three options: (1) Recruit a PSC. This is the preferred method, but the current ceiling on PSC recruitment may necessitate that the mission obtain special permission from Washington to enter into such a contract. (2) Obtain a DG advisor via the mechanism of an "institutional contractor." This method should be avoided if at all possible for at least two reasons: (a) It is cumbersome and time consuming. Up to a year will pass, perhaps more, to recruit a DG advisor in this way. (b) The mission and the embassy will lose control over who is selected if this option is followed. (3) Finesse the PSC limit imposed by Washington, by recruiting a DG advisor via an interagency personnel assignment (IPA) with an appropriate college or university. Indeed, the Democracy Center in the Global Bureau is currently resorting to this method to bring in appropriate personnel from outside USAID.

The mission will also need to employ a project manager to move the amount of paperwork that is typically associated with DG projects. To reduce costs, this position could be filled by either a local US hire or by a Foreign Service national (FSN). Both mechanisms have been used successfully in the region.

Finally, we return to a theme articulated at the beginning of this assessment in section I and throughout this assessment, and that is that by its very nature, the implementation of the recommended project will be more risky and have more than the usual number of "ups and downs" than a conventional USAID project. This project will also require periodic diplomatic support from the Embassy. These considerations are simply the inherent nature of these exercises.

ANNEX A: LIST OF INTERVIEWS CONDUCTED BY THE ASSESSMENT TEAM

Erongo Region

Regional and Local Government

Regional Council

Asser Kapere, Regional Governor

Swakopmund Town Council

Daniel Hangula Kamho, Mayor

Villa Peterson, Public Relations Officer

Walvis Bay Town Council

Colin van Niekerk, Vice Chairperson, Management Committee

P.J. van Niekerk, Deputy Director, Community Services

Fanie du Preez, Town Clerk

Nico Retief, Chairperson, Management Committee

Salie Vermark, Director, Community Services

Political Parties

DTA

Jan Botha, Vice-Chairperson, Swakopmund Constituency

SWAPO

John Nangolo, Regional Mobilizer, Walvis Bay Office

Manuel De Castro, Member (Tunacor)

Denise Van Bergen, Member (Silence Holdings)

National NGOs

Walvis Bay Legal Advice Office (Legal Assistance Center)

Mr. L. Johannes, Paralegal

Swakopmund Chamber of Commerce and Industry

Mike McDonald, Chairperson (Owner, Kwik Kopy)

Riana Hamilton, Member (Owner, Projects Promotions)

National Union of Namibian Workers (NUNW) Western Office

Hafeni Ndeumula, Regional Coordinator

Hardap Region

Regional and Local Government

Rehoboth Town Council
N.J.Celemto, Deputy Mayor
E. Gowases, Town Councillor
W.C. de Klerk, Mayor
Neville Smith, Town Clerk

Magistrate's Court, Rehoboth
G.C. Scheepres, Acting Magistrate

Political Parties

SWAPO
Willem Baikes, Member, Executive Committee
Alfred S. Dax, District Head
Kenhas Huiseb, Regional Coordinator

National NGOs

Namibia National Chamber of Commerce and Industry
Dimitrio Metzler, Secretary

Kavango Region

Regional and Local Government

Regional Council
A.H. Haingura, Regional Governor
Reinhold E. Muremi, Regional Councillor/MP, National Council
Gabriel Kangau, Regional Councillor
John Hambjuka, Regional Councillor
Paulus Sikongo, Regional Councillor
Augustus Antindi, Regional Officer

Rundu Town Council
Rafael Dinyando, Mayor

Political Parties

DTA

Norbis Shidjukwe, Regional Coordinator

SWAPO

Gosbert Sikerete, Regional Mobilizer

Herbert Shikongo Shixwameni, Regional Representative

Broadcast and Print Media

Namibian Broadcasting Corporation (NBC)

Josef Mukoya, Regional Manager

Kosmos Muyenga, Senior Producer

National NGOs

Lisikamena Credit Fund

Sikongo Haihambo, Fund Manager

Mbangura Woodcarving Cooperative

Johannes Lumbala, Chairperson

Amalius Santos, Marketing Manager

Anna Kandumo, Bookkeeper

Namibia National Farmers Union (NNFU)

Pinehas Kandire, Coordinator

Pelagius Hamusira, Development Promoter

Rundu Advice Office (Legal Assistance Centre)

A.T. Makongwa, Paralegal Coordinator

Magdalena Wakudumo, Secretary

International NGOs

Canadian/Namibian Cooperation (Canamco)

Jeremy Muller, Director

Khomas Region

National Government

National Assembly

Mose Tjitendero, Speaker

Vero Mbahuurua, Legal Counsel

National Council

Kandy Nehova, Chairperson
Lazarus Uuandja, Assistant to the Chairperson

Office of the Attorney General

Hartmut Ruppel, Attorney General
Vicki Erenstein Ya Toivo, Chief Legal Counsel

Office of the Auditor General

Fanuel Tjingaete, Auditor General

Office of the Ombudsman

Mr. Kasuto, Deputy Ombudsman

National Planning Commission (NPC)

Jacob Basson, NGO Liaison
Brahm Harris, Regional Planner

Ministry of Education

Helgard Patemann, Advisor

Ministry of Justice

F.H. Truter, Chief of Lower Courts

Ministry of Regional and Local Government and Housing

Libertine Amathila, Minister

Directorate of Elections

Gerhard Toetemeyer, Director

Regional and Local Government

Regional Council

John Pandeni, Regional Governor
Gabriel Ithete, Regional Councillor

Political Parties

DTA

Alois Gende, MP, National Assembly
Rudolf Kamburona, Secretary General; MP, National Assembly
Nico Smit, Administrative Secretary

SWAPO

Moses Garoeb, Secretary-General and Chief Whip, National Assembly

Broadcast and Print Media

Media Institute of Southern Africa (MISA-Namibia)
Methaetsile Leepile, Chief Executive Officer, MISA
Gwen Lister, Editor, The Namibian, MISA-Namibia
David Lush, Administrative Officer, MISA-Namibia

NBC
Nahum Gorelick, Director General

National NGOs

Anglican Diocese
Bishop James Kauluma

Association of Local Authorities in Namibia
Immanuel Ngatjizeko, President

Centre for Applied Social Sciences
Helgard Patemann, Director

Council of Churches of Namibia (CCN)
Rev. Ngeno Nakahmela, Secretary General

Legal Assistance Center (LAC)
Gail Super, Staff Researcher

Namibia Agricultural Union (NAU)
Arnold Klein, Administrative Manager

Namibia Development Trust (NDT)
Lindy Kazombaue, Director

Namibia Institute for Democracy (NID)
Theunis Keulder, Director

Namibia National Chamber of Commerce and Industry (NNCCI)
Christie Benade, President
John Dammert, Secretary General
Joan Guriras, Second Vice President
Cyrill Jacobs, Head, Vocational Education and Entrepreneurial Development
Navin Morar, Past President
Hafeni Nghinamwaami, Head, Trade and Marketing Department

Namibia National Farmers Union (NNFU)
Alex Merero, Coordinating Director

Namibia National Students' Organization (NANSO)
Gella Makushe, Acting General-Secretary
Vikurupa Kavendji, Vice-President

Namibian Economic Policy Research Unit (NEPRU)
Henning Melber, Director

Namibian Non-Governmental Organization Forum (NANGOF)
Lindy Kazombaue, Treasurer (NDT)
Naftali Uirab, Chairperson (Bricks)

National Union of Namibian Workers (NUNW)
Bernard Esau, NUNW General Secretary
Peter Naholo, General Secretary, MUN
Katu Ipinge, General Secretary, NAFU
Cuana Angula, Legal Officer, NAFU
Silvester Gawaseb, NAFWU
Elina Akwenya, NUNW, Women's Affairs
Abraham Onesmus, NATAU

Private Sector Foundation
Miriam Truebody, Director

Rural Peoples Institute for Social Empowerment (RISE)
Paul Vleermuis, Director

Roman Catholic Church
Fr. Bernhard Nordkamp, Vicar General

Rossing Foundation
Pieter Mostert, National Coordinator, Namibia Youth Award

Sister Collective
Rosa Namises, Member
Nepeti Nicanor, Member

University of Namibia (UNAM)

Rehabeam Auala, Dean, Faculty of Education
Andre du Pisani, Professor and Director, Centre for the Training of Public Servants
Othy Kaakunga, staff, Human Rights and Documentation Centre (HRDC)
Peter Katjavivi, Vice-Chancellor
Lucy Quacinella, Fulbright scholar, Human Rights
and Documentation Centre (HRDC)
J. Verwey, Director, Justice Training Centre (JTC)

Urban Trust
Rosy Namoya, Director

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International Donors and Foundations

British High Commission
Edward Taylor, Second Secretary

Ford Foundation
Steve Lawry, Assistant Representative, Namibia
John Gerhart, Representative, South Africa

Friedrich Ebert Foundation
Arnold Wehmhoerner, Resident Representative

National Democratic Institute (NDI)
Patricia Keefer, Senior Associate, Southern Africa Programs

Swedish Embassy
Hella Jansen, Gender Officer
Anna Holmen, First Secretary

Otjikoto Region

Regional and Local Government

Regional Council
Rev Hosea Nampala, Regional Governor
Nico Kaiyamo, Regional Councilor/MP, National Council
Sofia Angula Mupopina, Regional Officer

Tsumeb Town Council
S. Aggenbagh, Town Secretary

National NGOs

National Union of Namibian Workers (NUNW) Northern Office
Alfred Angula, Regional Coordinator
Gotty Ndjendjela, NATAU Regional Organizer

Otjozondjupa Region

Regional and Local Government

Delegation at Regional Council Office
Otniel Kazombiase, Regional Officer, Regional Council
Edna Kurz, Kalkfeld Village Council Chairperson
Calicious Nawa, New Era, Ministry of Information
Romanus Mavenjoni, New Era, Ministry of Information

Ismael Ochurub, Village Secretary, Kalkfeld
Tiranus Tsishome, Chief Control Officer, Regional Council
Mbeuta Uandjarakana, Regional Governor
Richard Ujaha, Labour Inspector, MRLGH
Manfred Uxamb, Mayor, Otjiwarongo

Grootfontein Town Council

Frances Van Wyck, Mayor
J. Oxyrub, Deputy Mayor
Alfred Stroh, Town Engineer

Kalkfeld Village Council

Edna Kurz, Chairperson

Otjiwarongo Town Council Meeting

Manfred Uxamb, Mayor
Mosioline Kasiringua, Community Development Officer
Mr. Louw, Administrative Officer/Control Officer
D.J. Van Niekerk, Health Inspector
Orvetoweni Community - 50 plus members
Bernadette Shetunyenga, Brick Making Cooperative
Sofia Shipanga, Ekondjo Sewing Project
Sara Petrus, Omkaisere Sewing Project
Hilia Sheveza, Helao Nefidi Garden Project
Johannes Joseph, Build Together Project
Squatters' Committee Members

Political Parties

SWANU

Rudolph Uapeua Tjaverua, Chairperson, Regional Office

SWAPO

Ferdinand F. Kavetuna, Branch Coordinator (Deputy Mayor)

UDF

Naftali Soroseb, Organizer

Broadcast and Print Media

Otjiwarongo Contribution Centre, NBC

Josef Garab, Senior Announcer, Damara>Nama Service
Diina Haipumbu, Administrative Officer
Ismael Howoseb, Senior Reporter
Israel Kandee, Operation Assistant
Walter Tjituka, Senior Announcer, Otjiherero Service

Omusati, Oshana, and Ohangwena Regions

Regional and Local Government

Regional Council, Oshana

Matheas Amadhila, Regional Councillor
Paulus Ilonga Kapia, Regional Councillor
Clemens Kashiupulwa, Regional Councillor
Boos Munalye, Regional Officer
Sylvanus Vatuva, Regional Governor

Magistrate's Court, Oshakati

Ms. N.N. Hamunyela, Magistrate
Mr. M. Namweya, Magistrate

Political Parties

DTA

Phillemon Moongo, Chief Coordinator
Immanuel Engombe, Secretary General for the Four Northern Regions

Broadcast and Print Media

Namibian Broadcasting Corporation (NBC)

Nestor Iyambo, Regional Manager, Oshivambo Service

National NGOs

Evangelical Lutheran Church in Namibia (ELCIN)

Bishop Kleopas Dumeni

Human Rights Centre, Ongwediva (Legal Assistance Centre)

Gabes Nepaya, Paralegal Coordinator

Institute for Management and Leadership Training (IMLT)

John Nekwaya, Small Business Trainer/Consultant, Northern Regional Office

Namibia Institute for Democracy (NID)

Kalifeni Shatona, Northern Region Coordinator

Northern Namibia Regional Chamber of Commerce and Industry

Michael Nesongano, Director, Small Business Development in Northern Namibia

International NGOs

Development Aid From People to People (DAPP)
Agneta Dahne, Director

OHSIP (IBIS, formerly WUS-Denmark)
Erich Madsen

French Cooperation Agriculture Extension Service
Mr. Didiel

ANNEX B: LIST OF THIRTEEN REGIONS, CONSTITUENCIES AND THEIR REPRESENTATIVES IN THE NATIONAL COUNCIL

| <u>Region</u> | <u>Constituencies</u> | <u>Party</u> |
|---------------|-----------------------|--------------|
| CAPRIVI (6) | Mukwe | SWAPO |
| | Kongola | DTA |
| | Linyandi | DTA |
| | Sibinda | DTA |
| | *Katima Mulilo | DTA |
| | Kabe | SWAPO |
| ERONGO (6) | Omaruru | SWAPO |
| | Karibib | SWAPO |
| | Brandberg | UDF |
| | Arandis | SWAPO |
| | *Swakopmund | DTA |
| | Walvis Bay | SWAPO |
| HARDAP (6) | Rehoboth W. Urban | DTA |
| | Rehoboth E. Urban | DTA |
| | Rehoboth Rural | DTA |
| | Mariental Rural | DTA |
| | *Mariental Urban | SWAPO |
| | Gibeon | SWAPO |
| KARAS (6) | Oranjemund | SWAPO |
| | *Keetmanshoop Urban | SWAPO |
| | Berseba | SWAPO |
| | Luderitz | SWAPO |
| | Karasburg | SWAPO |
| | Keetmanshoop Rural | DTA |

*Indicates the regional center. Note that although Tsumeb is not an independent constituency, it nevertheless is the regional center.

| Region | Constituencies | Party |
|----------------|------------------|-------|
| KHOMAS (9) | Wanaheda | SWAPO |
| | Hakanana | SWAPO |
| | Katutura East | SWAPO |
| | Katutura Central | SWAPO |
| | Soweto | SWAPO |
| | Khomasdal North | SWAPO |
| | *Windhoek West | DTA |
| | Windhoek East | DTA |
| | Windhoek Rural | DTA |
| KUNENE (6) | Ruacana | SWAPO |
| | *Opuwo | DTA |
| | Sesfontein | UDF |
| | Khorixas | UDF |
| | Kamanjab | SWAPO |
| | Outjo | SWAPO |
| OHANGWENA (10) | Endola | SWAPO |
| | Epembe | SWAPO |
| | Omundaungilo | SWAPO |
| | Ongenga | SWAPO |
| | Engela | SWAPO |
| | Oshikango | SWAPO |
| | Ondobe | SWAPO |
| | *Eenhana | SWAPO |
| | Okongo | SWAPO |
| Ohangwena | SWAPO | |
| OKAVANGO (6) | Mpungu | SWAPO |
| | Kahenge | SWAPO |
| | Kapako | SWAPO |
| | *Rundu | SWAPO |
| | Mashari | SWAPO |
| | Ndiyona | SWAPO |
| OMAHEKE (6) | Otjinene | DTA |
| | Otjozondjou | DTA |
| | Steinhausen | DTA |
| | *Gobabis | SWAPO |
| | Buitepos | DTA |
| | Aminius | DTA |

| Region | Constituencies | Party |
|------------------|-------------------|-------|
| OMUSATI (9) | Onesi | SWAPO |
| | Okalongo | SWAPO |
| | Haikella | SWAPO |
| | Okahau | SWAPO |
| | Tsandi | SWAPO |
| | *Uutapi | SWAPO |
| | Anamulenge | SWAPO |
| | Ogongo | SWAPO |
| | Oshikuku | SWAPO |
| | Elim | SWAPO |
| OSHANA (9) | Uuvudhiya | SWAPO |
| | *Oshakati | SWAPO |
| | Ongwediva | SWAPO |
| | Okaku | SWAPO |
| | Okatana | SWAPO |
| | Ondangwa | SWAPO |
| | Ompundja | SWAPO |
| | Uukwiyu | SWAPO |
| | Okatjali | SWAPO |
| OSHIKOTO (10) | Onayena | SWAPO |
| | Omuntele | SWAPO |
| | Okankolo | SWAPO |
| | Engodi | SWAPO |
| | Guinas | SWAPO |
| | Oniipa | SWAPO |
| | Okatope | SWAPO |
| | Omuthiyagwiipundi | SWAPO |
| | Oshikoto | SWAPO |
| | Olukonda | SWAPO |
| (*Tsumeb) | | |
| OTJOZONDJUPA (6) | Grootfontein | SWAPO |
| | Otavi | SWAPO |
| | Okakarara | DTA |
| | *Otjiwarongo | SWAPO |
| | Oahandja | SWAPO |
| | Omatoko | DTA |

ANNEX C: E-MAIL CAPABILITIES IN NAMIBIA

The assessment team strongly recommends that the mission support the establishment of E-mail in Namibia, particularly access to the Internet, and that it also consider support, where appropriate, to subscriber data and information services such as LEXUS and NEXUS. E-mail by itself does not, of course, constitute a separate thematic area for the consolidation of democracy in Namibia, but as noted throughout our recommendations, the establishment of this technology would enhance many of the programmatic initiatives we propose.

The core coordinating group for the development of E-mail and other communications capabilities in Namibia are Dr. Eberhard Lisse, the Internet Administrator, Dr. Ben Fuller, Social Science Division, UNAM, and Tim Priebe, Systems Analyst, Computer Science Department, UNAM.

Since January 1994, Namibia has had access to E-mail via a dial-out night system in which compression software and high speed modems have been employed to dial out to South Africa on an hourly basis at night, when the rates are cheaper. The dial-up link is through the Council of Social and Industrial Research (CSIR) in Pretoria, which then provides the link to Rhodes University in Grahamstown (which is linked to Oregon in the USA). The Universities of Botswana, Mozambique, Zambia, and Zimbabwe are also linked to Rhodes University. UNAM is currently paying N\$600/month for the use of the E-mail facility; the telephone cost alone for the first three months was N\$150.

The current system is self-funded and self-sustaining. UNAM currently has basic hardware and the necessary software to access the service. Users pay between N\$10-50/month. The constituency of users includes: The Office of the Prime Minister, the Ministry of Education, both campuses of UNAM, MISA-Namibia, and the Geological Survey.

There is increasing interest in Namibia for expanded E-mail and Internet capabilities. A February 1994 meeting attended by various Ministries, major banks, and telecommunications users resulted in the consensus that UNAM is the logical place to house the capacity (indeed, universities around the world are typical locus points). Although Dr. Lisse agrees that UNAM is the most logical place to house the hardware, especially since it possesses back-up systems and the computer can be used to train students, he is concerned that UNAM may find itself in financial difficulties and thus be unable to sustain the effort. In addition, the initiative should be totally independent and autonomous in order to implement policies, apply sanctions as necessary, and to prevent any possibility of censorship. Thus, the hardware should be owned by an independent board established as a non-profit entity, with its operating expenses subject to audit (which could be done by UNICEF).

Since the February meeting, Lisse, Fuller, and Priebe have been trying to build a larger network of users in order to justify the cost of getting a dedicated line to South Africa, which would cost roughly N\$5,000 to N\$8,000 per month. Dr. Lisse has had conversations with GTZ and the British High Commission, who may be interested in contributing should USAID take the lead. The costs involved are as follows: Hardware in the form of a 486 machine with 16-32M memory and a 200MB hard drive, a back-up tape drive, additional

computers with modems to be installed in the rural areas, and phased financial support beginning with N\$10,000/month for at least two years (N\$7,000 in the third year, etc.). The link-up would also require the services of a full-time staff person.

After receiving initial assistance to lease the line, and phased-out support over two to three years, the network should become self-sufficient. The Directorate of Water Affairs and the Ministry of Education and Culture could pay subscriber fees of N\$500 per month; the Ministry of Fisheries and NBC have also indicated a willingness to contribute once the service is established. Dr. Lisse is keen to have commercial subscribers, who eventually could bear the brunt of the expense. (In the US, the National Science Foundation does not allow commercial use.) Rossing and the Consolidated Diamond Mines are interested.

In addition, Dr. Lisse has been in contact with other donors concerning the prospect of upgrading the system to allow for national usage that would be interactive and that would support access to the rural areas of Namibia. Telecom Namibia is currently installing fiber optic cable, which would mean that Namibia would have the capability to link to the major regional centers throughout the country. These centers thus would all have the ability to access the Internet, Gopher, WAIS (Wide Area Information Search), etc. UNDP will be providing additional hard drives and modems. UNESCO and UNICEF are contributing a N\$15,000 router to allow for faster access through the UN Commission for Africa in Addis Ababa. Mrs. Hamutenya, Director, Data Systems and Services in the Office of the Prime Minister, is enthusiastic about his efforts.

Efforts to date largely have concentrated on the possibility of a dedicated line to South Africa because it is the cheapest option. Telecom has an X25 link, but the rates are too high. In order for Namibia to possess independent capabilities, it would be necessary to find out if Telecom has linked into an Intelsat. If it has, a lease line (transponder) could be bought on Telecom's dish, or Telecom might even be persuaded to donate it. Or, UNAM could be supplied with its own dish with a satellite link to the US or Europe, in essence building an independent station. The costs of this and the Telecom alternative would have to be determined. Dr. Lisse, however, feels that rather than invest in the latest technology, efforts should be directed to ensuring that as much of Namibia be linked into a system that has already proven to be viable.

Dr. Lisse is a computer expert who is conversant with the latest communications technology. Dr. Lisse has been invited to a number of conferences to share his expertise in setting up a system for a country with limited resources. The expertise thus exists locally to maintain the service, which might be known as "NAMNET," and to troubleshoot as the network expands. In his absence, there are a number of others in Namibia who could maintain the service, and, this pool will increase as more students are trained at UNAM. It therefore is unlikely that the services of outside contractors, such as Baobab Consultants, are necessary. Indeed, the UN brought in a computer consultant who apparently concluded that his services were not necessary in this area since the capability exists locally.

Dr. Lisse can be contacted for costing information, a list of current subscribers, and information about the status of the Internet Committee. Tel: 22 4014. He may also be reached via his E-Mail address, el@lisse.a, or his beeper, 203-2106.

ANNEX D: SUBMISSIONS FROM THE MINISTRY OF JUSTICE (Chief of Lower Courts) AND FROM THE LEGAL ASSISTANCE CENTRE

The submission from the Ministry of Justice is attached behind this cover page, and was prepared by F.H. Truter, the Chief of the Lower Courts.

A submission from the Legal Assistance Centre will be prepared by its director Andrew Corbett who is currently ill. He expects to submit a series of proposals which address several of the recommendations in this assessment sometime in August, 1994, at which point it should be inserted into this annex of the assessment..



REPUBLIC OF NAMIBIA

MINISTRY OF JUSTICE

Tel. (061) 239280

Fax (061) 221233

Telex 635

Enquiries: Mr F H Truter

Private Bag 13302

WINDHOEK

9000

Our Ref.

Your Ref.

INFORMAL MEMO

TO : DR. JOEL D BARKAN
FROM : CHIEF : LOWER COURTS, NAMIBIA
DATE : 25 JULY 1994

DEMOCRACY / GOVERNANCE ASSISTANCE PROGRAMME : AID TO THE MINISTRY OF JUSTICE

1. In terms of Activity Agreement No. DHR-93-673-02 of 30 July 1993 between the Government of the United States of America and the Government of Namibia, an amount of US\$80 000 was allocated to Namibia for the training of Community Court Justices. This grant could not be utilized for the original purpose, as the conditions of the agreement could not be met. The conditions may be amended to use the grant for other purposes.
2. When considering assistance to the Government of Namibia for 1995, the training of Community Court Justices must again be kept in mind as the Ministry of Justice is still working on the legislation needed for the creating of Community Courts. An amount of N\$230 000 will be needed for this purpose.

3. Another need which deserves urgent attention is the reproduction of Namibian laws and more specific the South African Laws and South West Africa Laws still to be applied in terms of the constitution. To have these laws reprinted will cost about N\$2 000 000. It will however be possible to reproduce the legislation at a cost of approximately N\$100 000 if a Risograph Digital Copy Printer (or similar equipment) with the necessary accessories and material can be supplied to the Ministry of Justice. Binding will be done locally by private firms.
4. Namibian Law Reports are now being prepared with the assistance of the Legal Assistance Centre. It would seem that the reports for the six years from 1990 to 1995 will only be available by the middle of 1996. The Ministry will be able to buy the current law reports from own funds but the backlog which will have to be met in 1996 may amount to about N\$100 000. For this purpose the Ministry of Justice will not have the funds.
5. Donor assistance to the Justice Training Centre has been given by the German firm known as Gesellschaft für Technische Zusammenarbeit (GTZ) and the Ford Foundation. This assistance will however, in terms of the present agreements, not cover the total costs for 1996 and no assistance will be given for 1997. There will therefore be a need for additional assistance for 1996 and it may be necessary to provide for donor money to supplement state funds in 1997. An amount of approximately N\$260 000 may be needed for 1996 and N\$300 000 for 1997.
6. **SUMMARY**

Needs for 1995 :

| | |
|--------------------------|-------------------|
| Community Court Justices | N\$230 000 |
| Reprint of Namibian Laws | <u>N\$100 000</u> |
| | <u>N\$330 000</u> |

Needs for 1996 :

| | |
|--|-------------------|
| Namibian Law Reports | N\$100 000 |
| Training of Magistrates (at JTC) | N\$260 000 |
| (to Supplement grant by Ford Foundation for accommodation and travelling expenses of trainees) | |
| | <u>N\$360 000</u> |

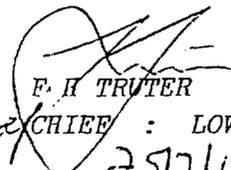
Needs for 1997

Training of Magistrates(JTC)

N\$300 000

A more detailed report and budget will be prepared by this Ministry and handed to Mr Ed Spriggs towards the end of this year.

Yours sincerely,


F. H. TRUTER
CHIEF : LOWER COURTS
25/7/1994

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MEMORANDUM

TO : PROF. M. HINZ
DATE : 14 JUNE 1994
SUBJECT : 5 YEAR DEVELOPMENT PLAN

1. The Courts in Namibia play a vital role in the administration of Justice. These courts are the following:
 - (i) The Supreme Court,
 - (ii) The High Court;
 - (iii) The Labour Court;
 - (IV) The Magistrate's Court
 - (v) The District Labour Court.

2. It is also anticipated that Community Courts are to be established in the near future.

3. The Justice Training Centre has a role to play as far as these courts are concerned and that is to see that the personnel ie. the Magistrates, Prosecutors and Justices of the Community Courts have the necessary skills, training and expertise to perform their tasks satisfactory, efficiently and fairly.

4. The programmes of the Justice Training Centre consist of the following:
 - (i) Pre-service and in-service training for law administration personnel which would include the following: Magistrates, prosecutors, community court justices, court clerks and court interpreters. This would also include practical training for law degree holders before admission to practice and also refresher courses.

 - (ii) In-service training of law enforcement personnel under the administration of any Ministry which would not result in a law degree.

5. The current programme for 1994 is the following:

- (a) In July 1994 there will be courses for Court Interpreters. These will last one week and will be spread over the whole month. The interpreters will be introduced to Court Procedure, elementary criminal law and law of evidence, interpretation, language skills and elocution.
- (b) During August 1994 there will be courses for magistrates. These will last one week but spread over the whole month. Practical problems will be identified before commencement of the course and these will then be addressed. In addition certain capita selectae on criminal law and Procedure will be dealt with.
- (c) During September 1994 courses for Prison officials will be held. The details are still to be worked out, but instruction will be given to officers who are involved in trials; they will be lectured on procedure.
- (d) In October it is anticipated that a workshop will be held on the application of Drug Laws and Police officials as well as experts in this field will participate.
- (e) In November 1994 a similar course as the one mentioned in (c) above for Police officials will be conducted.
6. The proposed working plan for the next few years will be as follows:

1995: February/March - Training of Prosecutors
 May/June - Training course for Magistrates
 August/September - Training course for Interpreters
 and Court Clerks
 October/November - Refresher course for Justices

It is envisaged that short legal seminars/workshops will also be conducted.

The programme for 1996 and 1997 would be more or less the same as for 1995.

7. No additional staff should be required in the near future unless an additional burden is placed upon the J.T.C. of which nobody is aware at this stage.

8. Funding:

GTZ Grant - Period 9 September 1993 to 31 December 1994. (Application for extension to 31 December 1995 has been made). 300 000 DM has been made available. N\$ 100 000 have been released.

Ford Foundation Grant: This extends over a period of 3 years commencing on 1 September 1993 to 31 August 1996. The yearly grant is US\$ 100 000. — total \$300,000

Swedish Grant: N\$ 100 000: Full particulars of the allocations and release of funds are pending.

EEC Grant: N\$ 100 000: We are still waiting for the approval of our suggested allocations and the release of funds.

9. The only course which was conducted so far in 1994 was a Prosecutors' course during January/February 1994. Eight graduates attended: 3 males and 5 females.

The Director also conducted workshops on the Labour Act at Windhoek, Swakopmund, Keetmanshoop, Rundu, Oshakati and Otjiwarongo.

10. It is impossible to predict how many persons will attend any particular course or workshop.

1998

11(a) The core staff for the Department for the next three years and their salary structures will be as follows:

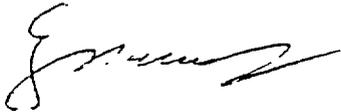
1995: 1. Director - N\$ 130 000
 2. Assistant Director - N\$ 105 000
 3. Secretary - N\$ 34 000

1996: 1. Director - N\$ 143 000
 2. Assistant Director - N\$ 116 000
 3. Secretary - N\$ 38 000
 4. Administrative officer - N\$ 35 000

1997: Same as for 1996

- (b) After 1996 this burden will be the sole responsibility of UNAM unless further donors can be secured.
- (c) The Salary of the Director is presently being paid by the Republic of South Africa but as from 1 April 1995 this burden will have to be addressed either by donor-funds or UNAM. There is a possibility that Ford Foundation may be willing to assist in this regard.
- (d) The salary of the Assistant Director, who will be appointed in all probability as from 1 August 1994 will be funded by Ford Foundation. It would also seem as if Ford Foundation will be of assistance in this regard in 1995/6.
- (e) The salary of the secretary who commenced duty on 13 April 1994 has also been secured through Ford Foundation.
- (f) The donors mentioned in paragraph 8 are not funding staff salaries.

12. (a) The demand for trained legal staff whether in the Ministry of Justice or in the other Ministries is the order of the day.
- (b) For this reason it is anticipated that the J.T.C. will gradually gain momentum.
- (c) It is also anticipated that within 18 months or 2 years certain components of the Technikon will be absorbed by the Justice Training Centre. This should however, not place an immediate financial burden on J.T.C. because the present permanent staff of those sections would then in all probability be absorbed by J.T.C. If necessary there will be donor money to meet any urgent contingency.



J.F.F. VERWEY
DIRECTOR

UNIVERSITY OF NAMIBIA

LAW FACULTY JUSTICE TRAINING CENTRE

27 September 1993

The Permanent Secretary
Ministry of Justice
WINDHOEK

Dear Sir

NATIONAL DEVELOPMENT PLAN 1

1. Annexure A is a budget for the next 4 years. Having regard to the fact that the JTC has only been in operation for about one (1) month it is impossible to speculate beyond 1997 because we have absolutely no idea as to the trainees etc., who will be attending courses during the next year.
2. I must also point out that it is impossible for me, man alone, to handle the day to day activities of the JTC.
3. I wish to point out that the Memorandum of Understanding between MOJ and UNAM provides for the following staff:
 - 1 x Director
 - 1 x Assistant Director (full-time lecturer)
Part-time lecturers to be identified by the Director in consultation with the Ministry
 - 1 x Assistant full-time Librarian
 - 1 x Administrative Officer
 - 2 x Secretaries.
4. It is imperative that the Assistant Director and at least 1 secretary (who, could also act as part-time admin officer) be appointed immediately.
5. I would suggest that instead of making an entirely new appointment to the post of Assistant Director, a staff member from MOJ who is suitably qualified, be seconded to the JTC. This person's vacancy could then be filled by a graduate who leaves a university at the end of the year.

ALL OFFICIAL CORRESPONDENCE SHOULD BE ADDRESSED TO THE VICE CHANCELLOR

13 STORCH STREET, PRIVATE BAG 13301, WINDHOEK, NAMIBIA. TEL: (061) 307-9111. FAX: (061) 307-2444

BEST AVAILABLE COPY

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6. Naturally, if salaries for the Director and his assistant are to be paid by the State then the following additional amounts will be added to the budget:

| | | |
|------|---|------------|
| 1994 | - | NS 200 000 |
| 1995 | - | NS 220 000 |

7. A secretary could be remunerated from donor money under the heading "Auxiliary Personnel".

8. It will be noticed that under the heading "Accommodation Trainees etc." for 1995 no amount has been allocated. The reason being that according to the GTZ grant no money will be distributed after 31 December 1994.

9. I have in mind however, to approach GTZ in order to distribute the amount over two (2) years and as follows:

| | | |
|------|---|------------|
| 1994 | - | NS 300 000 |
| 1995 | - | NS 116 000 |

This could benefit us and only leave a shortage of NS 184 000 for 1995 which amount plus 10% would have to come from Government or other sources.

10. You will notice that the GTZ grant was initiated during September 1991 and January 1992. The intention then was that JTC would operate from early 1993 and the funds would then have been spread over the entire year of 1993 and 1995. However, due to the late start we have lost considerable ground, timewise. For this reason I am of the opinion that GTZ would probably agree to extending the final date to 31 December 1995.

11. The final budget as regards the involvement of the State funds will therefore look as follows:

| | | | |
|------|---|------------|-------------|
| 1995 | - | NS 205 400 | see para 9. |
| 1996 | - | NS 656 000 | |
| 1997 | - | NS 824 000 | |

12. Your letter was only received by me on 24 September 1993.

Yours sincerely


J F F Verwey
DIRECTOR: JTC

SUMMARY OF DONATIONS

| YEAR 1 | F F | G T Z |
|-----------------------------------|-------|--------|
| | N\$ | N\$ |
| Furniture lecture rooms | 19500 | |
| Office furniture | 45500 | |
| Computers, photocopiers | | |
| Fax machine etc. | 81200 | |
| Auxiliary personnel | 55200 | |
| Office equipment | 32500 | |
| Operating and admin costs | 26000 | |
| Individual textbooks for trainees | 64900 | |
| Acommodation & Grants | | 416000 |
| External teaching staff | | 78000 |
| Teaching materials | | 26000 |

→ F F -Ford Foundation 1st year grant covers period 1/9/1993 to 31/8/1994
 GTZ from 9/9/1993 to 31/12/1994 - Application has been made to have the period extended to 31/12/1995

| YEAR 2 | F F |
|---|-------|
| | N\$ |
| Salaries external teaching staff | 81500 |
| Visitations to legal clinics & gathering teaching materials | 48700 |
| Furniture lecture rooms | 19500 |
| Computers etc | 35700 |
| Auxiliary personnel | 58500 |
| Office equipment | 16200 |
| Operating admin costs | 29200 |
| Individual textbooks | 29200 |

| YEAR 3 | F F |
|----------------------------------|--------|
| | N\$ |
| Accommodation trainees | 107200 |
| Salaries external teaching staff | 55200 |
| SWEDISH GRANT | 100000 |

| E E C GRANT | |
|------------------------|-------|
| Accommodation trainees | 70000 |
| Salary secretary | 24000 |
| Teaching literature | 6000 |

| | 1994. N\$ 416000-GTZ. | 1995 N\$ see para.9 | 1996 N\$ 107200 FF. 260000 SF. | 1997. N\$ 410000 SF. |
|---|-----------------------------|---------------------------|---|----------------------------|
| Accommodation trainees and travelling expenses. | | | | |
| Salaries external lecturing staff. | 78000 GTZ. | 81500 FF. | 55200 FF. | 60000 SF. |
| Visitations legal clinics gathering teaching material | 26000 GTZ | 48700 FF. | nil | nil. |
| Furniture; lecture rooms | 19500 FF. | 19500 FF. | 5000 SF. | 6000 SF. |
| Office furniture 5 offices. | 45500 FF. | 3000 SF. | 4000 SF. | 6000 SF. |
| Computers, Photocopiers, Fax machine etc. | 81200 FF. | 35700 FF. | 2000 SF. | 3000 SF. |
| Auxiliary staff | 55200 FF. | 58500 FF. | 260000 SF. | 300000 SF. |
| Office equipment. | 32500 FF. | 16200 FF. | 1000 SF. | 1500 SF |
| Operating and Admin. costs. | 26000 FF. | 29200 FF. | 30000 SF. | 35000 SF. |
| Individual textbooks for trainees. | 64900 FF. | 29200 FF. | 3000 SF. | 3500 SF |

GTZ.-----German Grant.

FF.-----Ford Foundation Grant.

SF-----State Funds.

ANNEXURE "A"

BUDGET

Annexure 'A'

COSTS IN 00's US \$ * (IN '000 Rand)

| ITEM | YEAR 1 | YEAR 2 | YEAR 3 |
|--|------------------------------|------------------------------|-----------------------------|
| Accommodation of Trainees | * 1 | * 1 | 33 (107.2) |
| Salaries external Lecturing Staff | * 1 | 25 (81.5) | 17 {* 2} (55.2) |
| Visitations to Legal Clinics and gathering of teaching materials | * 1 | 15 (48.7) | |
| Furniture: Lecture rooms | 6 (19.5) | 6 (19.5) | |
| Office Furniture 5 Offices | 14 (45.5) | | |
| Computer, Photocopier, Fax machine, etc | 25 (81.2) | 11 (35.7) | |
| Auxiliary Personnel | 17 (55.2) | 18 (58.5) | * 3 |
| Office Equipment | 10 (32.5) | 5 (16.2) | * 3 |
| Operating and Administrative Costs | 8 (26) | 9 (29.2) | * 3 |
| Individual Textbooks for Trainees | 20 (64.9) | 9 (29.2) | * 3 |
| TOTAL | 100 (325,3) | 100 (325,3) | 50 (162,4) |

Based on rate of exchange of Rand 1 = US \$ 3,249 as per June 1993.

*1 Obtained from other financial resources.

*2 Balance to be financed by Recipient.

*3 To be financed by Recipient.

GTZ fund funds to set JTC off gr
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ANNEX E: DESCRIPTION OF DONOR DG PROGRAMS IN NAMIBIA

The principal donors in support of democracy and governance in Namibia apart from the United States are the Netherlands, Norway, SIDA, GTZ, the Ford Foundation, the Friedrich Ebert Stiftung, and the Konrad Adenauer Stiftung. All of these agencies has a part or full-time resident program officer assigned to manage their DG portfolios. Some have more. In addition, the United Kingdom, and the ILO provide periodic support in this area.

The assessment team was able to obtain detailed lists of the current portfolios of the United States, SIDA and the Ford Foundation which are attached as part of this annex. The program officers responsible for DG for the Netherlands and Norway were out of the country, and therefore unavailable for discussion. The main DG activity of the Konrad Adenauer Stiftung is the Namibian Institute of Democracy for which it provides roughly 90 percent of the funding. The Friedrich Ebert Stiftung has focused its support in five areas: (1) strengthening the local and regional councils via the holding of workshops and the production of resource materials; (2) voter education and civic education via the Directorate of Elections, (3) support for labor inspectors at the Ministry of Labour, (4) support for the rule of law via the Justice Training Centre and the Faculty of Law, and (5) support for NGOs, principally the NNCCI and the Centre for Applied Social Sciences.

The United Kingdom does not have a program officer designated specifically for DG support, and does not therefore mount a sustained program in this area. The UK, however, has provided technical assistance to the National Planning Commission, the Auditor General's Office, and recently funded a detailed study by Coopers and Lybrand of local and regional government for the Ministry of Local and Regional Government and Housing.

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DEMOCRATIZATION AND HUMAN RIGHTS ASSISTANCE
BY THE U.S. TO NAMIBIA - 1991 TO 1994

Completed Activities

- o 116(e) grants (5 during FY-91/92) to provide U.S. legal reference materials for the offices of the Attorney General, Chief Justice of the Supreme Court, and Legal Assistance Centre (LAC) - (1991-1992) - (\$16,000)
- o Three week U.S. visit by nine members of the National Assembly to observe U.S. legislative practices at the State and Federal levels, coordinated by the State University of New York (SUNY) (FY-91 USIA central funding)
- o NDI-sponsored regional conference on "Advancing and Strengthening Democratic Elections in Southern Africa" at Mt. Etjo Lodge - January 1992 - (NED funding)
- o National Academy of Sciences regional conference on "Democracy in Africa" - April 1992 - (USAID central funding)
- o USIS regional media workshop on "Democracy in Africa: Covering the Political Process" - May 1992 - (USIA central funding)
- o AREAF "Media Voter Education Project for Local/Regional Elections" conducted by NDI - November 1992 - (\$145,000)
- o AAI Regional Conference in Bujumbura on "The Role of the Military in a Democracy" (5 Namibian military and civilian participants) - February 1993 - (AID/USIS/DOD funded)
- o "Celebration of Democracy in Namibia", a nationwide secondary school competition on knowledge of Namibia's Constitution, conducted by FASE. Initially proposed as a 116(e) project, but funded by NED (February to June 1993) - (\$24,000)
- o Civics education seminar for some 40 Namibian educators and local NGO representatives conducted by "Heartland International" - (FY-93 USIA central funding)
- o 116(e) grant (FY-92) to NDI for "Parliamentary Organization and Systems" to provide legislative and constituency insights to Members of National Assembly and National Council - (September 1992 to December 1993 - (\$100,000)
- o 116(e) grant (FY-92) to NDI for "Parliamentary Staff Training" to provide administrative and managerial insights to support Parliamentary support staff and Whips (September 1992 to December 1993 - (\$100,000)
- o 116(e) grant (FY-93) to the Legal Assistance Centre (LAC) for production of a film on "Human Rights and the LAC in Namibia" for human rights/civic education - (\$22,000)

- o Under the expanded IMET, 27 Namibian military and civilian officials were provided two weeks of training on the better utilization and stewardship of governmental resources by the Defense Resource Management Institute (DRMI) (FY-94 IMET)
- o Two week-long seminars on "The Role of the Military in a Democracy" conducted in April 1994 by the U.S. Army Reserve's 353rd Civic Affairs Command (FY-94 DOD funding)
- o 116(e) grant (FY-93) to NDI for workshops and seminars on "Regional Governance" (emphasis on constituent services and national-regional-local interfaces) for members of the National Council - (\$100,000)
- o Workshops/seminars to help Namibia's political parties achieve their goals of informed debate and effective outreach in the lead-up to the early 1995 general elections, conducted by NDI in May 1994 (FY-94 NED funding)
- o Three week U.S. visit by ten members of the National Council to observe U.S. legislative practices at the State and Federal levels, conducted by the Institute for Representative Government (IRG) in June/July 1994 (FY-94 USIA funding)

Ongoing Activities

- o 116(e) grant (FY-93) to help the Ministry of Justice conduct training programs for community court officials in the new Justice Training Centre - (\$80,000)
- o 116(e) grant (FY-93) for legal reference materials for the Ministry of Justice Library - (\$8,000)
- o 116(e) grant (FY-93) for legal reference materials and shipping charges for Attorney General's library - (\$23,000)
- o Two-part training program for Namibian legislative staffers on "The Role of the Legislative Staff and Information Resources in the Legislative Process" conducted by the National Conference of State Legislatures (NCSL) (FY-94 USIA funding)
- o "Celebration of Democracy in Namibia", second phase of a nationwide school competition on knowledge of Namibia's Constitution. Conducted by FEDU in mid-1994. (FY-94 NED funding - \$35,000)
- o Fulbright Scholarship for a Namibian to study law at the Graduate level and a U.S. Fulbright professor to work with the University of Namibia's new Law Faculty to develop its training and research capabilities (USIA central funding)

-- USIA VOLUNTARY AND INTERNATIONAL VISITORS' PROGRAMS TO SEND SENIOR NAMIBIAN OFFICIALS, INCLUDING THE SPEAKER OF THE NATIONAL ASSEMBLY, THE JUSTICE MINISTER AND MEMBERS OF HIS STAFF, THE ATTORNEY GENERAL, THE MINISTER OF LOCAL GOVERNMENT, THE MINISTER AND DEPUTY MINISTER OF DEFENSE, AND OVER A DOZEN PARLIAMENTARIANS TO THE U.S. FOR PROGRAMS FOCUSING ON THE U.S. POLITICAL PROCESS, THE ADMINISTRATION OF JUSTICE, AND THE ROLE OF THE PRESS IN A FREE SOCIETY

ELECTORAL EDUCATION

-- A MEDIA VOTER EDUCATION PROJECT FOR LOCAL AND REGIONAL ELECTIONS, WHICH PROVIDED VOTER EDUCATION AND INFORMATION FOR THE LATE 1992 LOCAL AND REGIONAL ELECTIONS THROUGH THE NAMIBIAN BROADCASTING CORPORATION (NBC) RADIO SERVICE IN SEVERAL LOCAL LANGUAGES, BY NDI

ASSISTANCE TO NAMIBIA'S POLITICAL PARTIES

-- WORKSHOPS/SEMINARS TO HELP NAMIBIA'S POLITICAL PARTIES ACHIEVE THEIR GOALS OF INFORMED DEBATE AND EFFECTIVE OUTREACH IN THE LEAD-UP TO THE LATE 1994/EARLY 1995 GENERAL ELECTIONS

PROMOTING HUMAN RIGHTS AND CIVIC EDUCATION

-- A CIVICS EDUCATION SEMINAR IN WINDHOEK FOR NAMIBIAN EDUCATORS AND LOCAL NGO'S, BY "HEARTLAND INTERNATIONAL"

-- A NATIONWIDE SECONDARY SCHOOL COMPETITION ON KNOWLEDGE OF NAMIBIA'S CONSTITUTION, BY THE NAMIBIA INSTITUTE FOR DEMOCRACY (NID) AND THE NATIONAL ENDOWMENT FOR DEMOCRACY (NED)

-- FINANCIAL ASSISTANCE FOR A FILM TITLED "HUMAN RIGHTS AND THE LEGAL ASSISTANCE CENTRE IN NAMIBIA" FOR HUMAN RIGHTS/CIVIC EDUCATION, BY THE LEGAL ASSISTANCE CENTRE (LAC) -- A LOCAL NGO, HIGHLY REGARDED FOR ITS ADVOCACY OF HUMAN RIGHTS ISSUES

-- A PROJECT TO ASSIST IN REWRITING THE NAMIBIAN POLICE ACT AND SUPPLEMENTAL LEGISLATION TO STRENGTHEN THE OBSERVANCE OF HUMAN RIGHTS BY POLICE AUTHORITIES, BY THE LAC

-- A CIVIC EDUCATION PROJECT TO INSTRUCT LOCAL PRIMARY AND SECONDARY SCHOOL TEACHERS ON THE NAMIBIAN CONSTITUTION AND CIVIC PRIVILEGES AND DUTIES, BY NID

-- USIS IS ACTIVELY PROMOTING THE ABOVE-LISTED THEMES AS WELL AS AMERICAN DEMOCRACY AND HUMAN RIGHTS ISSUES RELEVANT TO NAMIBIANS, INCLUDING THE CIVIL RIGHTS STRUGGLE AND THE U.S. PRIMARIES AND GENERAL ELECTIONS.

-- THE ONGOING PEACE CORPS PROGRAM IN NAMIBIA (ENGLISH, MATH, AND SCIENCE TEACHERS, PLUS TEACHER TRAINERS AND YOUTH DEVELOPMENT OFFICERS) AND USAID'S MAJOR PROGRAMS ("BASIC EDUCATION SUPPORT" AND "REACHING OUT WITH EDUCATION TO ADULTS FOR DEVELOPMENT") SEEK TO EMPOWER PEOPLE AND CREATE AN EDUCATED, INFORMED ELECTORATE, NECESSARY PRECONDITIONS FOR MAINTAINING AND PRACTICING DEMOCRACY AT THE GRASSROOTS LEVEL.

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TRAINING JUDICIAL AND COURT OFFICIALS

-- FINANCIAL ASSISTANCE FOR TRAINING PROGRAMS TO BE CONDUCTED FOR COMMUNITY COURT OFFICIALS BY THE MINISTRY OF JUSTICE

-- A FULBRIGHT SCHOLARSHIP FOR GRADUATE LAW STUDY, AND A U.S. FULBRIGHT PROFESSOR TO WORK WITH THE UNIVERSITY OF NAMIBIA'S LAW FACULTY TO ENHANCE ITS TRAINING AND RESEARCH CAPABILITIES

PROVIDING LEGAL REFERENCE MATERIALS

-- U.S. LEGAL REFERENCES FOR NAMIBIA'S ATTORNEY GENERAL, SUPREME COURT CHIEF JUSTICE, MINISTER OF JUSTICE, AND THE LAC

DEVELOPING PROFESSIONAL MILITARY AND POLICE

-- THE U.S. DEPARTMENT OF DEFENSE'S INTERNATIONAL MILITARY EDUCATION AND TRAINING (IMET) PROGRAM HAS GIVEN U.S. TRAINING TO NAMIBIAN MILITARY STUDENTS IN SUBJECTS THAT WILL BETTER PREPARE THEM FOR ROLES AS PROFESSIONAL MILITARY OFFICERS. AS A RESULT OF THEIR EXPERIENCE, NAMIBIAN OFFICERS HAVE DEVELOPED A CLEAR VIEW OF HOW AMERICAN MILITARY AND CIVILIAN PERSONNEL INTERACT IN OUR CIVIL SOCIETY.

-- UNDER AN EXPANDED IMET INITIATIVE, MILITARY AND CIVILIAN EMPLOYEES OF THE NAMIBIAN GOVERNMENT ARE SELECTED FOR TRAINING IN SUBJECTS DEALING WITH RESPECT FOR HUMAN RIGHTS, BETTER RESOURCE MANAGEMENT, AND THE ROLE OF THE MILITARY IN A DEMOCRATIC SOCIETY, INCLUDING CIVILIAN CONTROL OF THE MILITARY.

-- NAMIBIAN MILITARY AND CIVILIAN OFFICIALS ALSO PARTICIPATED IN A TWO WEEK SEMINAR IN EARLY 1994 WITH THE DEFENSE RESOURCE MANAGEMENT INSTITUTE (DRMI) ON THE BETTER UTILIZATION AND STEWARDSHIP OF GOVERNMENT RESOURCES.

-- THE AFRICAN AMERICAN INSTITUTE (AAI) CONDUCTED A REGIONAL CONFERENCE IN BURUNDI ON THE ROLE OF THE MILITARY IN A DEMOCRACY WITH FIVE NAMIBIAN MILITARY AND CIVILIAN PARTICIPANTS

-- TWO WEEK-LONG SEMINARS ON THE ROLE OF THE MILITARY IN A DEMOCRACY WERE CONDUCTED IN APRIL 1994 BY THE U.S. ARMY RESERVE'S 353RD CIVIC AFFAIRS COMMAND.

NAMIBIA AS AN EXAMPLE AND VENUE

-- A 1992 REGIONAL CONFERENCE IN NAMIBIA ON ADVANCING AND STRENGTHENING DEMOCRATIC ELECTIONS IN SOUTHERN AFRICA, BY NDI

-- THE NATIONAL ACADEMY OF SCIENCES CONDUCTED A 1992 REGIONAL CONFERENCE IN NAMIBIA ON DEMOCRACY IN AFRICA

-- USIS CONDUCTED A REGIONAL MEDIA WORKSHOP IN NAMIBIA TITLED "DEMOCRACY IN AFRICA: COVERING THE POLITICAL PROCESS"

#

#kdemgore

05-07-94

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THE FORD FOUNDATION
OFFICE FOR NAMIBIA

GRANTEE LIST - JULY 1994

LEGAL ASSISTANCE TRUST

SUPPORT FOR A PUBLIC INTEREST LAW CENTER.

NAMIBIAN ECONOMIC POLICY RESEARCH UNIT

SUPPORT FOR RESEARCH ON POVERTY IN NAMIBIA.

LEGAL ASSISTANCE TRUST

SUPPORT FOR A COMPETITIVE LAW SCHOOL SCHOLARSHIP PROGRAM.

UNIVERSITY OF NAMIBIA - SOCIAL SCIENCES DIVISION

SUPPORT FOR RESEARCH AND TRAINING ON RURAL DEVELOPMENT.

NATIONAL PLANNING COMMISSION

SUPPORT FOR TRAINING OF ECONOMISTS AND STRENGTHENING ECONOMIC PLANNING AND RESEARCH CAPACITY IN THE PUBLIC SECTOR.

UNIVERSITY OF NAMIBIA - JUSTICE TRAINING CENTER

SUPPORT FOR A TRAINING PROGRAM FOR PUBLIC SERVANTS IN JUDICIAL ADMINISTRATION.

RURAL PEOPLES' INSTITUTE FOR SOCIAL EMPOWERMENT IN NAMIBIA

SUPPORT FOR RURAL COMMUNITY ECONOMIC DEVELOPMENT PROGRAMS IN EASTERN NAMIBIA.

THE URBAN TRUST

SUPPORT FOR A NEW URBAN POVERTY RESEARCH AND ADVOCACY ORGANIZATION.

NAMIBIA MEDIA TRUST

SUPPORT FOR A TRAINING PROGRAM FOR BLACK NAMIBIAN JOURNALISTS AND NEWSPAPER PROFESSIONALS.

AGENCY FOR COOPERATION IN RESEARCH AND DEVELOPMENT (ACCORD)

SUPPORT FOR TRAINING OF STAFF OF RURAL NAMIBIAN NGOS IN PLANNING, PARTICIPATORY RURAL APPRAISAL TECHNIQUES AND GENDER ANALYSIS.

NAMIBIA NATIONAL CHAMBER OF COMMERCE AND INDUSTRY

SUPPORT FOR A PROGRAM ON RACE AND GENDER RELATIONS AND AFFIRMATIVE ACTION IN THE PRIVATE SECTOR.

NYAE NYAE FARMERS' COOPERATIVE

SUPPORT FOR ORGANIZATIONAL AND STAFF DEVELOPMENT ACTIVITIES IN A COOPERATIVE REPRESENTING INDIGENOUS COMMUNITIES IN N. E. NAMIBIA.

UNIVERSITY OF NAMIBIA

SUPPORT FOR A STRATEGIC AND FINANCIAL PLANNING STUDY AT THE UNIVERSITY OF NAMIBIA.

1993-06-07

EMBASSY OF SWEDEN

Swedish Support to Democracy and Human Rights in
Namibia 1991-93

The following indicative list is not exclusive but contains most SIDA decisions specifically taken to promote democracy and human rights in Namibia:

- Human rights workshop in Windhoek and Swakopmund organised by the Raoul Wallenberg Institute of Human Rights and Humanitarian Law; February 1991
- Seminar on the establishment of a code of conduct and ethical standards in journalism; March 1991
- Video documentation for the first national Land Reform Conference; June 1991
- Support to Legal Assistance Centre for training of para-legals; March 1991
- Support to the Nyae Nyae Development Foundation and for arranging the first Regional Conference on Development Programmes for Africa's San Populations; November 1991 and June 1992
- Support to the Faculty of Economics and Management Science (Prof Töttemeyer) to develop an African textbook on democracy and public administration; March 1992
- Seminar for judicial law enforcement officers, arranged in Windhoek by the Ministry of Justice; April 1992

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- Strengthening of the Attorney-General's Office; May 1992
- Support to Namibia Peace Plan for seminar on violence against women; May 1992
- Support to the All-Herero & Mbanderu Traditional Leadership Conference; June 1992
- Legal education project carried out by Legal Assistance Centre to involve women in legal education; September 1992
- Support to Evangelical Lutheran Church for program on women against violence against women; November 1992
- Video documentation re !Au/Geikas Land Dispute; December 1992
- Namibian participation in Conference on Development Cooperation for Human Rights and Democracy in Stockholm; February 1993
- Study by Nyae Nyae Development Foundation on bushman participation in the first regional and local elections; February 1993
- Support for the establishment of the Media Institute for Southern Africa (MISA); March 1993
- Research on gender-related law reforms conducted by Legal Assistance Centre in cooperation with the Women and Law Committee; March 1993
- Support to Namibian Foundation for publication of special issue of Namibia Brief on democracy and human rights in Namibia since independence; April 1993
- Support to the Office of the Ombudsman and Centre for Applied Social Sciences (CASS) to organise a meeting with traditional leaders in Owambo on the role of traditional law; May 1993
- National reconciliation conference in Caprivi through the Ministry of Regional, Local Government and Housing; May 1993
- Support to The University of Namibia and CASS for organising the first Children's Rights Workshop; May 1993

-- Seminar on refugee law and refugee policies organised in Gross Barmen by the Raoul Wallenberg Institute of Human Rights and Humanitarian Law; June 1993

At the present time preparatory work is going on to define the scope for Swedish support for (i) training and material needs regarding the judiciary, particularly Magistrate Courts, in cooperation with the Ministry of Justice and (ii) the establishment of the Human Rights and Documentation Centre within the framework of the new Law Faculty of the University of Namibia.