FINAL REPORT

Inventory of USAID's Existing Environmental Portfolio in Southern Africa

Prepared by:

Laurel Abrams Neme
Emily Collings

on behalf of FRAME

August 1999

Executive Summary

This report provides information on USAID's current environment and natural resource activities in Southern Africa. While useful alone, it is meant to be a key input for strategic analysis of this portfolio to be undertaken by FRAME, a Framework for Regional Action and Monitoring on the Environment. FRAME's primary mandate is to provide a framework for understanding African environment and natural resource issues in a more comprehensive manner and within the broader development context. Its pilot effort, which focuses on Southern Africa, strives to address the following strategic questions: What is the existing environmental portfolio funded by USAID and how can we strengthen it? What are the regional trends that should influence the allocation of donor resources across sectors? How does USAID's existing E/NR program portfolio fit within this context? How does it fit with Agency priorities? Are there opportunities to optimize resources regionally?

This report provides background information necessary for answering these questions and is an integral part of FRAME's initial effort. It is intended to be used in conjunction with two other critical components: (1) a review of Southern African opinions on environmental trends and emerging issues; and (2) an exploration of strategic options for USAID's current environmental portfolio in southern Africa in light of regional and sub-regional concerns.

At present, USAID sponsors bilateral or regional programs in the environment and natural resources sector in 6 Southern African countries: Botswana, Malawi, Namibia, South Africa, Tanzania, Zambia and Zimbabwe. A further ENR program is proposed for FY 1999 in Mozambique. Additional programs with ENR components (but not stand-alone environmental strategic objectives) exist in Angola, Malawi, Mozambique and Zambia.

USAID's existing environmental portfolio in Southern Africa is predominantly rural and spatially-oriented. It also is heavily concentrated in two sectors -- agriculture and wildlife -- with other sectors given less emphasis. In addition, virtually all of these programs emphasize capacity building, although what capacity is built and the approach used may vary. In addition, USAID's current Southern African environmental portfolio broadly corresponds to Agency and Africa Bureau strategic priorities on environment. For instance, the Agency objective of encouraging development of institutional and policy capacity in recipient countries and involving communities in identifying problems and implementing solutions are significant strengths of USAID in Southern Africa. Similarly, much of the existing portfolio in Southern Africa focuses on the loss of biodiversity, one of the five broad environmental problem areas identified in the Africa Bureau's Plan for Supporting Natural Resource Management (PNRM).

In sum, this report provides basic information on USAID's existing environmental portfolio in Southern Africa. It does not assess or evaluate this portfolio but rather describes existing strategic objectives, programs and activities. It is intended to feed into future FRAME activities that will explore how USAID's program might evolve to better address current and emerging challenges facing the region.

Table of Contents

Executive Summary iii

1.0 Introduction 1

2.0 USAID's Environmental Activities in Southern Africa 2
- 2.1 Scope and Methodology 2
- 2.2 Overview of Existing Information System 2
- 2.3 Inventory of USAID's Environmental Portfolio in Southern Africa 3
- 2.4 Country Program Descriptions 8
  - 2.4.1 Botswana NRMP Activities 8
  - 2.4.2 USAID/Malawi Activities 11
  - 2.4.3 USAID/Mozambique Activities 13
  - 2.4.4 USAID/Namibia Activities 15
  - 2.4.5 USAID/South Africa Activities 17
  - 2.4.6 USAID/Tanzania Activities 19
  - 2.4.7 USAID/Zambia Activities 22
  - 2.4.8 USAID/Zimbabwe Activities 24
  - 2.4.9 USAID/RCSA Activities 26
  - 2.4.10 Africa Bureau's Office of Sustainable Development Activities 28
  - 2.4.11 Global Environment Center Activities 31

3.0 Summary of Program Evaluations and Assessments 32
- 3.1 Strategic Assessment of USAID/Malawi's Natural Resources Program 32
- 3.2 Assessment of Unmet Needs and Programs Options for Mozambique 34
- 3.3 Assessment of Community-Based Natural Resource Management (CBNRM) in Southern Africa 37

4.0 Assessment of USAID's Current Assistance Strategy with Agency and Africa Bureau Environmental Objectives 38
- 4.1 Overview of Agency Environmental Strategic Plan 38
- 4.2 Overview of Africa Bureau's Plan for Supporting Natural Resource Management (PNRM) 38
- 4.3 Synergy between USAID's Existing Environmental Portfolio and Agency and Bureau Strategies 40
  - 4.3.1 Synergy with Agency Strategy for Sustainable Development 40
  - 4.3.2 Synergy with Africa Bureau's PNRM 42

5.0 Summary and Conclusions 43

Appendix A
Documents Consulted 45

Appendix B
Persons Contacted 49

Appendix C
Country Matrices 51

INVENTORY OF
USAID'S EXISTING ENVIRONMENTAL PORTFOLIO
IN SOUTHERN AFRICA

1.0 Introduction

This inventory provides information on USAID's environment and natural resource management (ENR) activities in Southern Africa. While a variety of programs, such as population or economic growth, are clearly linked to sustainable ENR practices, for the purposes of this inventory, activities were included only if: (1) they explicitly had an environment strategic objective; or (2) they had significant environmental components (i.e., defined as projects which received environmental money as designated by the Agency budget).

The primary objective of this report is to describe USAID's ongoing and planned activities in southern Africa, including programs of the bilateral missions, the regional mission (RCSA) and Washington-based bureaus. By providing an overview of on-going and planned activities in the region, this inventory will enable the Africa Bureau, RCSA, and the missions to better coordinate and focus their activities, enhance lessons learned, and to plan future actions that supplement ongoing efforts. It also feeds into a broader strategic analysis, which will analyze the relative fit between USAID's environmental activities in southern Africa and strategic priorities from a regional perspective.

The report contains 5 sections and 3 appendices. Section 2 surveys USAID environmental activities in southern Africa. It explores common threads between many of USAID's environmental activities and provides a basic analysis and characterization of activities. In addition, it provides detailed information on these programs on a mission-by-mission basis. Section 3 summarizes program assessments for Malawi, Mozambique and CBNRM activities. By reviewing these assessments, potential options for future directions can be explored. Section 4 assesses the compatibility of USAID's existing portfolio with Agency and Africa Bureau objectives in the sector. Section 5 provides a brief summary and conclusions.

In addition, this report contains 3 appendices. Appendix A indicates the documents consulted for this report and can serve as a valuable source of reference. Appendix B lists persons consulted. Perhaps of most interest, Appendix C contains country matrices summarizing USAID's current environmental portfolio in southern Africa. These matrices, which serve as a companion to Section 2, identify strategic objectives (SOs) and intermediate results (IRs) for each activity, along with the expected outcomes, specific activities and approaches for each.

2.0 USAID's Environmental Activities in Southern Africa

2.1 *Scope and Methodology*

The following inventory of USAID environmental activities in southern Africa reviews existing and planned activities in Angola, Botswana, Malawi, Mozambique, Namibia, South Africa, Tanzania, Zambia and Zimbabwe. It includes activities undertaken by: the Regional Center for Southern Africa (RCSA); USAID's bilateral missions in the relevant countries, the Africa Bureau's Office of Sustainable Development (AFR/SD); and the Environment Center located in the Bureau for Global Programs, Field Support and Research.

This inventory was compiled primarily by reviewing Results Review and Resource Request (R4's) and Country Strategic Plans (CSPs) for each office. Other documents such as project papers, evaluations, and work plans were also reviewed where available. In addition, discussions with Agency staff in Washington and interviews with Mission staff in South Africa, Zimbabwe and at RCSA in Botswana contributed to this report. Further adding to the depth of information was EPIQ's extensive work with USAID's programs in Malawi, Namibia and Tanzania.

This inventory should be considered a work in progress. It will be sent out for review by each mission/office to ensure accuracy of information and add more detailed information on approaches and innovations that were not captured from other sources.

2.2 *Overview of Existing Information System*

USAID's existing information system can best be characterized as *ad hoc*. At present, no common repository of current documents written by and for USAID exists. The Development Experience Clearinghouse (DEC) does have an online database and project descriptions (see their website at www.info.usaid.gov/pubs/dexs.html). However, the process of sending documents to DEC appears to be rather arbitrary and this database has become outdated in recent years.

Certain standardized documents, such as R4s and Country Strategic Plans, are available on USAID's internal website, although it is unclear if the website consistently maintains updated versions of these documents. In contrast, other important program information, such as results frameworks and packages, program evaluations and the like, are not located together in any one, commonly accessible place. Nor is a complete listing of existing documentation on individual program activities readily available. In general, the primary means for obtaining these basic documents is to contact individual USAID desk officers for the information. This tends to be an inconvenience both for the person seeking information and for the desk officers, who are constantly encumbered with these types of requests.

USAID's existing information system varies widely across activities and bilateral programs, with some programs better documented than others. Further, document accessibility

is inconsistent. The knowledge about whether a report exists or was recently released often depends on the individual and their own, personal information network. Similarly, information sharing within USAID/Washington and Missions, as well as between USAID, contractors and cooperating agencies, is also erratic. This less-than-optimal situation reduces the many benefits associated with sharing of lessons learned. In addition, it implies that tracking programs after bilateral closeouts or project completion is more difficult, which in turn makes monitoring of impacts and sustainability over time more burdensome.

Finally, more detailed and qualitative information tends to come primarily through personal contacts or direct involvement with the program. While R4s and CSPs provide a standard baseline for country information, they are not comprehensive or descriptive enough to provide this level of detail. FRAME has tried to acquire this type of in depth information through interviews with individuals working directly on the program both at USAID/Washington, USAID Missions and International Resources Group (IRG) (which has been directly involved in project management or evaluation).

2.3 *Inventory of USAID's Environmental Portfolio in Southern Africa*

At present, USAID sponsors bilateral or regional programs in the environment and natural resources (ENR) sector in 6 Southern African countries: Botswana, Malawi, Namibia, South Africa, Tanzania, Zambia and Zimbabwe. A further ENR program is proposed for FY 1999 in Mozambique. Additional programs with ENR components (but not stand-alone environmental strategic objectives) exist in Angola, Malawi, Mozambique and Zambia. Most of these programs will be ending within the next 2 years.

Table 2.3.1 summarizes USAID's existing and planned environmental portfolio. It provides basic information on the strategic objective, program size, duration, primary partners, and main locational focus. In addition, it characterizes the activities, and summarizes the enabling conditions and sectors in which the program operates.

As this table indicates, USAID's ENR activities in Southern Africa are predominantly rural in nature, although the types of rural areas vary from country to country. For instance, programs in Zambia and Zimbabwe emphasize areas surrounding national parks, while in Tanzania, activities are concentrated in game reserves (Ugalla), national parks (Tarangire) and coastal areas (Tanga, Kunduchi, Mafia, and Mtwara/Lindi). USAID’s program in South Africa is unique among those in the region in its urban environmental focus. It focuses on those areas in or around towns with high concentrations of low-income settlements.

USAID's existing ENR programs also vary with respect to the scope of their locations. The vast majority of the existing environmental portfolio tends to be spatially-oriented -- that is, operating on a geographic, site-specific basis -- rather than nationally-oriented. For example, in Namibia, the target areas center around eastern Otjozondjupa, western Omusati and East and West Caprivi. In Zambia, the emphasis is on game management areas surrounding national parks

while in Zimbabwe, the focus is on communal areas, which are marginal agricultural areas, that border national parks. Tanzania has activities in Tarangire National Park and Ugalla Game Reserve, as well as the coastal areas of Tanga, Kunduchi, Mafia, and Mtwara/Lindi. In South Africa, activities center around urban locations with high densities of low-income settlements. Current locations include the Eastern Cape, KwaZulu-Natal and Mpumalanga, as well as Kimberley and Gugulethu (for community-based energy-efficiency housing programs). Similarly, in Malawi, its EIS program has a geographic focus, concentrating on the Middle Shire Valley. In Angola, activities are centered in the Planalto region, where most resettlement is to take place. In Mozambique, SO1 is working to increase rural incomes in the focus areas of Nampula and Zambezia Provinces, northern Sofala and Manica, and one district in Tete. [1]

In contrast, some other activities, such as policy programs, inherently are positioned at the national level. For instance, one of USAID's major environmental efforts in Southern Africa is Malawi's SO2 program, which concentrates on policy reform at the national level.

USAID's existing environmental portfolio in the region is heavily concentrated in two sectors: agriculture and wildlife. For instance, programs in Angola, Malawi, Mozambique, Zambia and RCSA have focused on agricultural production and productivity. In Namibia, Tanzania, Zambia, Zimbabwe and RCSA, much of the focus has been on the wildlife sector. Other sectors, such as energy, water, or forestry, tend to receive less emphasis.

A common thread across virtually all of USAID's environmental programs in Southern Africa is the emphasis on capacity building at all levels. Many diverse activities contribute to capacity building. For instance, Malawi is working to strengthen the capacity of national NRM institutions, and strengthening environmental research and training. The focus of capacity efforts in Malawi is on building the national capacity for providing environmental information, primarily through developing a prototype EIS and GIS capacity. Mozambique is proposing to strengthen local capacity for environmental analysis (land use planning, EIA) and public advocacy. Similarly, Tanzania is working to build institutional and technical capacity for analysis. Tanzania has also worked to strengthen the country's wildlife institutions, and is working with three local NGOs to develop policy research, performance monitoring, and outreach capacity. The activities of these NGO's will focus on wildlife management outside of protected areas and on establishing an enabling environment for an active and effective environmental NGO community.

In Namibia, capacity building occurs at several levels: improving the capacity of Namibian organizations to establish a legal regulatory and policy framework supportive of CBNRM; improving community skills in participatory and technical NRM and enterprise management; and improving the capacity of Namibian organizations to sustainably support communities in CBNRM. The focus in South Africa is improving the capacity of communities to

---

[1] This area is over one third of Mozambique's territory and encompasses about 52% of its population, and has great agricultural potential.

apply sustainable and participatory environmental management principles to local-level urban development. South Africa is building this capacity in the water management sector, where it is working with a water board to train community members in how to make decisions regarding water allocation and pricing. In Zimbabwe, USAID has been effective in delivering much needed capacity-building and technical backstopping services for participating communities. Many CAMPFIRE communities have received skills training in a variety of NRM technologies, such as land use planning, solar game fencing, wildlife censusing and quota setting, under this component. Technical assistance and training have also been provided to assist environmental awareness-building and education; community institutional, organizational and leadership development; project analysis, design and management; goods and services contracting; and basic accounting, financial and commodity management.

In addition to strengthening local capacity for agricultural and NRM decision making, RCSA focuses on sharing lessons learned and best practices from CBNRM. RCSA's SPOA will emphasize building regional institutions' capacity to manage transboundary resources, such as water and/or wildlife and national parks. In fact, the RCSA has already made progress in the water sector, as the SADC protocol on Shared Watercourse Systems has been signed by all in the region except Angola. AFR/SD concentrates its capacity building activities on improving the region's capacity to conduct environmental assessments.

INVENTORY OF USAID'S ENVIRONMENTAL PORTFOLIO SUMMARY TABLE

					Focus		Characterization of Activities						Enabling Conditions							
	Strategic Objective	Program Size ($ millions)	Initial Obligation and estimated completion dates	Primary Partners	Rural or Urban	National, Spatial, or Transboundary	EIS	Capacity Building	Extension work	Policy reform	Conditionalities	Microenterprise promoted	Policy reform	Access to credit and markets	Infrastructure development	Decentralization and devolution of government authority	Public sector roles redefined	Capacity Built at all levels	Strengthening and mobilizing resource users	Governance (includes representative participation in decision-making)
Angola																				
SO1	Increased resettlement, rehabilitation and food-crop self-reliance of war-torn Angolan communities	FY1999: $6.0 DA (of which $0.5 are environment funds), $2.0 CSD, $1.0 ESF; FY1998: $10.8 DFA, $6.0 ESF, $22.6 PL480 Title II.	Start: FY1996; End: FY1999	NGO, National agencies	R	S									X			XX	X	
Malawi																				
SO1	Increased agricultural incomes on a per capita basis	FY1999: $10.0 DA; FY1998: $10.0 DFA	Start: FY1991; End: FY2000	private	R	S			X			XX		XXX						
SO2	Increased sustainable use, conservation and management of natural resources	FY1999: $8.9 DA; FY1998: $8.4 DFA	Start: FY1995; End: FY2000	National agencies, NGOs	R	N, S	XX	X		XXX	XXX		XXX			XX		X	X	
Mozambique																				
SO1	Increased rural household income in focus areas	FY1999: $19.3 DA (of which $4.3 are environment funds), $16.0 PL480 Title II, $6.0 PL480 Title III; FY1998: $20.8 DFA (of which $6.1 are environment funds), $14.5 PL480 Title II, $5.0 PL480 Title III.	Start: FY1996; End: FY2001	private	R	S			XX			XXX		XXX						
SO4 (Proposed)	Increased capacity for sustainable natural resource management	FY1999: $3.0 DA	Start: FY1999; End: FY2001	NGOs	R	S		XXX				X						XXX	XX	XX
Namibia																				
SO3	Increased benefits to historically disadvantaged Namibians from sustainable local management of natural resources	FY1999: $2.0 DA, FY1998: $0	Start: FY1995; End: FY1999	NGOs	R	S		XXX		X		XX	XX			XXX	XXX	XX	XXX	XX
South Africa																				
SO6	Increased access to environmentally-sustainable shelter and urban services for the historically disadvantaged population	FY1999: $9.5 DA (of which $9.0 are environment funds); FY1998: $4.8 DFA (of which $3.5 are environment funds)	Start: FY1996; End: FY2001	national agencies, private	U	S		X		X				XXX	XXX			X	X	
Tanzania																				
SO2	Foundation established for adoption of environmentally sustainable NRM practices			national agencies, NGOs	R	N, S		XXX	X	X		XX	X			X		XX	XXX	X
Zambia																				
SO1	Increased rural incomes for selected groups	FY1999: $6.9 DA	Start: FY1995; End: FY2003	national agencies, NGOs	R	S	X		XX			XXX	X	XXX		XXX		XX	XX	XX
Zimbabwe																				
SO1	NRM strengthened for sustainable development of CAMPFIRE communities	FY1999: $0; FY1998: 3.0 DFA	Start: FY1989; End: FY2000	NGOs	R	S		XXX				XX	X			XXX		XX	XX	XX
RCSA																				
SO3	Accelerated regional adoption of sustainable agriculture and NRM approaches			NGOs, national agencies	R	S, T		XXX	X				X			XX		XXX	XX	XX
SPOA	Increased regional capacity to manage transboundary natural resources			national agencies, NGOs	R	T		X		X			XX					XX		
Global				Missions	R/U	N, S		XXX				XX	XX	X		X		XXX		
AFR/SD																				
SO3	Improved agricultural policies, programs and strategies			Missions	R	N		XXX					XX	XXX				XX		
SO5	Progress accelerated in the spread of strategically viable and environmentally sound environmental management systems			Missions	R/U	N, T		XXX										XXX		
SSO	Adoption of effective tools, methods and approaches for improving application of environmental procedures and strategies in Mission's and African's programs			Missions	NA	N		XXX										XXX		

	Sectors											
	Agriculture production and inputs	Soil and water conservation	Other common property resources (wildlife)	Parks and protected areas	Forestry	Coastal	Inland Water	Energy	Urban Services	Industrial and Urban Pollution	Climate Change	Enterprise Development
Angola												
SO1	XXX											
Malawi												
SO1	XXX											XX
SO2	XX	XXX										
Mozambique												
SO1	XXX	XX										XX
SO4 (Proposed)					X							
Namibia												
SO3			XXX	XX								XX
South Africa												
SO6								X	XXX		X	
Tanzania												
SO2			XXX	XX		XX						XX
Zambia												
SO1	XX	XX	XXX	XX								XX
Zimbabwe												
SO1			XXX	XX								XX
RCSA												
SO3	XXX		XXX	XX								
SPOA							X					
Global		X	X	X	X	X	X	X	X	X	X	
AFR/SD												
SO3	X											X
SO5	X	X	X	X	X			X	X	X		
SSO												

2.4 *Country Program Descriptions*

This section contains brief descriptions of USAID's existing environmental programs for the following countries, Missions and offices: Botswana; Malawi; Mozambique; Namibia; South Africa; Tanzania; Zambia; Zimbabwe; RCSA; Africa Bureau's Office of Sustainable Development and Global Bureau's Environment Center. (Note: A summary of USAID's Lesotho program will be included in a later draft.)

Country matrices on each of these programs can be found in Appendix C. These matrices summarize the strategic objectives, intermediate results, activities and approaches.

2.4.1 Botswana NRMP Activities [2]

USAID has funded the Botswana Natural Resources Management Project (NRMP) since 1990. After the closing of the Botswana bilateral office in September 1995, RCSA began managing this component within its own NRMP. The Botswana NRMP component aims to make rural households more prosperous by encouraging local communities to have more direct involvement in managing wildlife and products produced from the country's dry woodland savannah ("veld"). This project promotes sustainable, conservation-based development of marginal lands that previously were used only for crop production and domestic livestock.

The project works with Botswana's Department of Wildlife and National Parks (DWNP) and directly with communities through an institutional contract with Chemonics International and its subcontractors - Conservation International and Domestic Technologies International. These project implementers are helping communities in rural areas form small enterprises to take advantage of regional markets for tourism and indigenous products. Institutional Reinforcement and Community Empowerment (IRCE) is strengthening local NGOs through a series of collaborative support mechanisms managed by PACT, another international NGO.

The Botswana NRMP has five main components: demonstration projects; planning and applied research; personnel planning and training; environmental and conservation education; and policy development. Through its demonstration projects in community based resource use, the project provides technical and policy assistance to DWNP for establishing joint venture guidelines defining the management roles and responsibilities for community management of wildlife and tourism concessions. A new national policy officially recognizes these guidelines and formalizes the co-management roles and relationships between newly-created community trusts and the DWNP. These guidelines are being expanded to allow communities to begin protecting and managing non-wildlife resources, such as veld and forest products, and are the

---

[2] Key Botswana sources are: BNRMP, *Veld Products, Wildlife, and Communities in Botswana*. Project Update No. 1; and BNRMP, *Briefing Notes*.

basis for the rapidly growing number of community-based trusts which are forming throughout Botswana. These trusts subscribe to the joint-venture guidelines and then receive wildlife quotas.

The Botswana NRMP also provides training and technical support to the community based trusts to: increase community participation; create transparent and accountable leadership; distribute benefits that lead to improved economic status and quality of life; manage finances and determine investment and "dividend" distribution options once concessions begin to generate income and jobs; and identify veld products and marketing to diversify and expand the range of and market for Botswana products. In addition, the Botswana NRMP also supports the strengthening of NGOs to provide services to local community-based organizations (CBOs) through things such: as training and technical assistance for organization and leadership; subgrants to support income generating demonstration projects; exchange visits exposing local leaders and entrepreneurs to peer learning; and creating links with community-based and external organizations.

There are currently a variety of ongoing wildlife-based projects: the Chobe Enclave (five village trust) manages annually issued wildlife hunting quotas; Sankuyo (near the Okavango) has photographic tourism and hunting operations; Beetsa/Seronga (north of the Okavango); Khwai village in the Okavango; and XaiXai in the far west of Ngamiland. The projects in Chobe, Sankuyo and Beetsha/Seronga have generated significant income, while the other projects have obtained their quotas but are still determining how best to benefit from their newly acquired management rights. All ongoing community-based wildlife projects, except for Khwai, currently earn part of their income from photographic tourism. Although photographic tourism is likely to generate more revenue than hunting eventually, its high startup costs mean that it represents only a small portion of the income derived from mixed hunting and photographic safaris. The present structure of the community program favors operations with low startup costs.

In addition to hunting and ecotourism, many traditional veld products have marketing potential. The Botswana NRMP is helping local harvesters to exploit the marula fruit's many uses by finding new ways to process and market new products, such as fruit drinks or beer. The project is also helping to market other veld products including herbal remedies such as the grapple plant, cochineal, a red food and fiber dye, bottled spring water, natural gums and morama nuts. Veld products projects are currently located in the Ghanzi District, Tswapong Hills, and the Gweta area.

In the area of planning and applied research, the Botswana NRMP is working with DWNP to establish a socioeconomic monitoring and evaluation system that can help DWNP implement policies, programs, and projects consistent with CBNRM. The system monitors changes in access and patterns of resource use in terms of gender, ethnicity, and social class. Monitoring allows community management of natural resources to be assessed and compared in diverse socioeconomic and biophysical settings. The project has also completed management plans for the four northern national parks (Chobe, Moremi, Makgadikgadi, and Nxai Pans) and for five wildlife management areas.

In addition, the project has given support to the Botswana Wildlife Training Institute (BWTI) to maintain its long term viability. BWTI has been refurbished, new offices and houses have been built, and teaching facilities and equipment have been upgraded. In 1998, a new modular curriculum for a certificate in wildlife management began, covering key subjects such as public relations, natural resource policy and community extension methods. Other personnel planning and training activities have included human resources development for DWNP, which has involved short courses and international and regional academic training for wildlife officers, students, staff and community members.

The Botswana NRMP environmental and conservation efforts include curriculum development, teacher training, and non-formal and conservation-based education. The project has produced an array of videos and radio programs and has supported seminars, workshops and training sessions in virtually every district. NRMP's education efforts have worked closely with the Ministry of Education as well as with the DWNP's Conservation Education Division.

Policy development is the most recent component of the project. While it was recommended by the mid-term evaluation, demand for policy support did not surface until 1996. This component involves working with the NGO Task Force for Conservation in Botswana to bring together recommendations for reversing declines in wildlife populations. It will also help Botswana underwrite the progress it has made in decentralizing natural resources management into the formal mechanisms of government.

The government of Botswana was unwilling to formally commit to the Botswana NRMP until it was confident about the project's success. More recently, the government is making this commitment, and the transition from a donor-driven project to a host-country driven process is underway. For instance, under the new 1997 National Development Plan it became a government-funded activity. The primary objective of the project's transition to sustainability will be to support and enhance the effectiveness of the government to increasing the number of officers dedicated to locally managing natural resources.

2.4.2 USAID/Malawi Activities [3]

USAID/Malawi's SO2 focuses on increased sustainable use, conservation, and management of natural resources. The primary funding vehicle for this SO is the Natural Resource Management and Environmental Support Program (NATURE), which began in 1995. NATURE is divided into two components, non-project assistance (NPA) of $30.5 million and project assistance (PA) of $9.5 million. NPA is geared toward the development and implementation of a policy and legislative reform agenda; strengthened capacity of institutions through improved coordination; implementation of a results driven natural resource management program, including the establishment of a performance based budgeting system for priority natural resource management activities; sustainable financing through the creation of an endowment fund; and general budgetary support. PA focuses on agroforestry, an environmental monitoring and community-based natural resources management (CBNRM).

Under tranche two, SO2 emphasizes development of a comprehensive policy and legislative framework that encourages community management of natural resources. Policy reform has been achieved primarily through the use of NPA and policy advisory assistance. Under a cooperative agreement with the University of Arizona, NATURE provides a policy advisor to the Environmental Affairs Department. This advisor works with the various ministries and departments involved in NATURE to assist them with policy, legislative and institutional reforms. Since NATURE's inception, many new policies and legislation have been adopted, including the National Environmental Policy (NEP), the Environmental Management Act (EMA), the National Forestry Policy, the Forestry Act, and that Fisheries Conservation and Management Act. In addition, new policies in fisheries and wildlife are in an advanced state of development. Sectoral policies in other areas, however, such as land use and management, water resources and energy, still need to be reviewed and appropriate legislation revised or developed, as may be appropriate.

Helping to inform policy changes is a public land utilization study (PLUS) that was completed in April 1998 under the cooperative agreement with the University of Arizona. Population pressure, combined with Malawi's new democratic structures, are focusing intense attention on sensitive land tenure issues. PLUS provides a characterization of environmental status and optional use scenarios for publicly-held lands in Malawi by examining all public lands extensively and five specific protected areas intensively. As a result of PLUS, policy makers are better informed about the likely consequences of changes in tenure or use status of public lands.

---

[3] Key sources for Malawi include: EPIQ, *Adjusting Priorities: A Strategic Assessment of USAID/Malawi's Natural Resources Program.* June 5, 1998; Seymour, Tony. *Malawi: Policies for Natural Resource Management* . March 1998; USAID/Malawi. *Public Lands Utilization Study.* Final Report, March 1998; USAID. *Congressional Presentation: Malawi. FY 1999* ; UNEP, UNDP, Government of Malawi. *Environment and Law: Proposals for Sectoral Review and Reform.* June 1997.

SO2 also emphasizes introducing management systems that improve community-level performance. The main mechanism for achieving this result is the Malawi Agroforestry Extension Project (MAFE), operated by Washington State University (WSU) under a cooperative agreement with USAID. MAFE's objective is to increase farmer adoption of proven agroforestry and soil conservation practices. This is accomplished primarily through farmer-level agroforestry research. It also involves the establishment of partnerships with government, NGOs, community groups and the private sector. These partnerships are geared, as appropriate, toward improved research and extension services, increased quantity and quality of agroforestry germplasm and planting materials, and strengthened "partnership networks" which embrace activities such as information sharing, coordination, training, technical services and monitoring and evaluation. A key MAFE partnership is with the European Union's program, PROSCARP, which targets improved soil management. MAFE provides technical expertise and backstop while PROSCARP finances broad-scale field implementation, training, and community-based activities. Both partners work synergistically, with PROSCARP providing information from implementation so that MAFE can further develop and refine the efficacy of its technical prescriptions to better meet the anticipated needs of smallholders. Both programs monitor progress and share results to facilitate progress.

SO2 also strengthens capacity in public and private institutions responsible for managing natural resources and the environment. A major mechanism for achieving this result is through its cooperative agreement with the University of Arizona. One part of this agreement, the Malawi Environmental Monitoring Program (MEMP), is designed to build a national capacity for providing environmental information. In conjunction with Clark University, the University of Arizona (UOA) is responsible for building technical and scientific capacity, developing a prototype environmental information system (EIS) and a prototype data base which will link to a future national EIS. MEMP's focus has shifted since its inception. Initially designed to assess the environmental impact of policy reform related to smallholder burley tobacco production, more recently its has focused its efforts on the Middle Shire Valley, one of the country's most critical watersheds. MEMP, which was scheduled to be completed in September 1998, is now operating under a no-cost extension up to April 30, 1999.

Due to delays in getting CBNRM-COMPASS started, SO2, through a "buy in" to USAID/Malawi's ongoing Services in Health, Agriculture and Rural Development (SHARED) activity, which is managed under SO5 (Democracy and Governance), transferred $200,000 to SHARED to assist local NGOs to implement CBNRM activities. In the longer term, SO2 will more directly support CBNRM through COMPASS, which will strengthen the institutional framework in which CBNRM programs are designed, implemented, monitored and evaluated. COMPASS has not yet been awarded but the Management Unit is expected to be operational in the first quarter of 1999. Its proposed duration will be 5 years.

Finally, SO2 seeks to and ensure sustainability of financing for private initiatives through the establishment of a performance based budgeting system for priority natural resource management activities and the creation of an endowment fund.

2.4.3 USAID/Mozambique Activities [4]

USAID's environmentally-oriented activities in Mozambique occur under two strategic objectives. The first, SO1, concentrates on increasing rural household income in targeted areas by increasing access to markets, expanding rural enterprises and increasing sustainable agricultural output. In general, activities under SO1 have focused on increasing the capacity of rural households to increase incomes and enhance their food security, particularly after 16 years of civil war. USAID resources promote improvements in the policy framework, labor-intensive rehabilitation of farm-to-market roads, the adoption of sustainable farming practices, and the creation and growth of rural enterprises. This approach is producing significant increases in rural household incomes and output.

To increase sustainable agricultural output and expand rural enterprises, USAID finances collaborative efforts between government and private sector extension agents to introduce improved farming techniques, and help farmer-led associations process and market agricultural production and acquire entrepreneurial skills. Other income-generating activities that result in the preservation and enhancement of the agricultural resource base are being adopted. The rehabilitation of smallholder cashew orchards, largely abandoned during the war years, is a priority because of its importance to sustainable agriculture and increased household incomes. Private voluntary organizations working with USAID are able to use local currency generated from P.L. 480 Title II sales to expand programs.

The P.L. 480 Title III program is supporting the adoption and implementation of policies to replace government-mandated prices for agricultural commodities with broadly diffused market information and to reduce the role of the cereals marketing parastatal. Additional food aid policies seek to privatize all major ports and rail services; establish a private system for road maintenance; simplify business licensing, registration, and operations; and offer greater security and transferability of title to land. In addition, USAID is pursuing establishment of a legal framework for rural financial institutions and the liberalization of agricultural input markets throughout several programs.

The Mission has just signed a pioneering Strategic Objective Agreement with the GRM, bringing the activities of the Mission's Objective Tree for SO1 under a new umbrella program. In addition to road rehabilitation, market development, rural group formation, rural financial services, and support for environmentally sustainable agricultural production, the agreement supports the agricultural sector expenditure program of the government and Ministry of Agriculture and Fisheries (MAF), called "PROAGRI", with non-project assistance. MAF has

---

[4] Key sources for Mozambique include: *Country Strategic Plan: FY1996-FY2001* and FY1999 and FY1998 *Congressional Presentations* .

responsibility for sustainable agriculture and natural resource management in forestry and wildlife programs.

In the past two years, the country has increased coarse grain production from 72% to nearly 100% of requirements. The production of other important food crops such as cassava, beans, and peanuts has increased for a third year in a row. USAID's programs have significantly increased economic activities. Production of cashews, the principal small-holder cash crop, increased from 22,000 tons in 1995 to 40,000 tons in 1996, already exceeding USAID targets. USAID assistance in developing farmer associations has led to an increased ability to operate profitably. Informal and formal traders of food crops have effectively supplied urban centers with basic commodities at reasonable prices, while at the same time offering remunerative prices to producers.

USAID, under SO1, is also rehabilitating several key roads to connect agricultural production zones with urban markets and opening up new marketing opportunities for farming households. In conjunction with local communities, PVOs promote manual labor-based road rehabilitation to extend the network of farm-to-market roads. Over 1,000 kilometers of feeder roads will be improved and opened over the coming three years. USAID also supports the Mozambican government in ensuring road maintenance by providing technical assistance to a new road authority which administers maintenance funds, through training local private contractors in rehabilitation and maintenance, and through involving local communities who benefit directly from the roads. In conjunction with the Mission's road rehabilitation project, mitigation activities will be initiated to protect biodiversity.

In FY 1999, USAID proposes to initiate a new strategic objective, SO4, to support increased use of sustainable natural resource management practices. USAID/Mozambique and its partners are in the process of developing the framework for this SO and much work needs to be done to verify what other donors are doing and identify those gaps that need to be addressed.

Current agricultural-related environmental activities are implemented primarily through U.S. private voluntary organizations (PVOs) including Food for the Hungry, World Vision, CARE, Adventists Relief and Development Agency, and Save the Children US. USAID anticipates that local organizations would play a significant role in managing activities under the new SO4. In addition, building environmental assessment capacity would focus on private sector organizations, limiting direct assistance to government's role in environmental regulation.

2.4.4 USAID/Namibia Activities [5]

USAID/Namibia's SO3 has emphasized increased benefits to historically disadvantaged Namibians (HDNs) from sustainable local management of natural resources. The LIFE Program, which was initiated in 1993 as part of the USAID regional Natural Resource Management Project under what is now the Regional Center for Southern Africa (RCSA), is the main funding vehicle under SO3. LIFE is a joint initiative between the US and Namibian governments, the World Wildlife Fund (WWF) and its management partners, and Namibian non-governmental organizations (NGOs). It is managed through a cooperative agreement with WWF, which holds sub-agreements with Rossing Foundation (a Namibian NGO), World Learning (WL), and Management Systems International (MSI).

LIFE works in three target communal areas in northeastern and north central Namibia as well as provides support to a number of national level institutions. The LIFE Program also provides training, technical assistance, and grants to Namibian organizations. To date, the focus of the program has been on community-based management of wildlife (game) and tourism. It helped amend the Nature Conservation Act of 1975, so that by 1996 communities had the right to organize themselves into legal bodies, called conservancies, with rights over the consumptive and non-consumptive use of wildlife. As of March 1998, 18 conservancies, nearly all in targeted, wildlife rich areas of the communal areas, were in various stages of development, with four legally gazetted.

While regulations are now in place allowing communities to establish conservancies, thereby benefiting from their wildlife and tourism resources, communities do not have rights or control over many other natural resources, land tenure, or local level planning processes. With one partial exception (Nyae Nyae Conservancy), Namibians in communal areas do not have the rights to control, manage or benefit from the land and natural resources other than wildlife in the areas in which they live. Future policy reform efforts will encourage greater diversification for conservancy management.

In 1999, Phase 2 of the LIFE Program will begin. Under Phase 2, the program's emphasis will be on: improving the policy and legislative environment for integrated resource management; establishing Namibian capacity to support an integrated national CBNRM program; establishing conservancies which are self-financing and adaptively managed; and sustaining ecosystems through improved NRM.

---

[5] Key sources on Namibia include: Roy Hagen, Brian T.B. Jones, Barbara Wyckoff-Baird with Dorothy Oyler and Jon Barnes, *CBNRM Sector Assessment for Namibia*; Roy Hagen, Barbara Wyckoff-Baird with Steve Johnson, SADC/NRMP, Tim Resch, USAID/Washington, and Dorothy Oyler, *LIFE Evaluation*, March 1998; *USAID/Namibia SO 3: Community-based Natural Resources Management (CBNRM) Strategic Objective and Strategic Plan*.

The majority of USAID's effort will be on strengthening the national framework for CBNRM and implementing conservancies, which covers the majority of Phase 2 activities. It will build the capacity of key governmental and non-governmental institutions to carry the national program forward as USAID support declines and comes to a close in 2005. It will also focus on the development of conservancies in communal areas, with USAID funds targeting a limited number of conservancies in order to assure their sustainability at the end of five years. In addition, an effort will be made to broaden the base of implementing NGOs, with significant funding made available to new NGO partners.

SO3 will also help ensure that successful natural resource management practices are analyzed and transferred to the LIFE program. This result reflects the need to implement improved natural resource management and monitoring systems in emerging conservancies. It requires an improved understanding of ecosystem dynamics, assessment of the effectiveness of new management practices, and extrapolation of the findings to better understand implications for broader watersheds and ecosystems that transcend the geographic area of a given conservancy. It is of relevance to USAID, its partners and in some cases, stakeholders from neighbouring countries who share transboundary resources and issues. The main activity will involve an analysis of both ecological and socio-economic data and then extrapolate successful management practices to emerging conservancies. Most of these activities will be implemented through efforts supported by other donors, the Government of Namibia, and NGOs. USAID support will be through an extension of WWF's Cooperative Agreement (CA) and from regional USAID offices (e.g., REDSO, RCSA and AFR/SD).

It has always been, and it remains, the objective of the national program to extend CBNRM to all renewable natural resource sectors and to all the geographic areas of the communal areas of Namibia. Although the policy environment in Namibia is increasingly supportive of CBNRM, to date, only the wildlife sector has a firm legal base. Most of the other sectors have policies and legislation in draft, but interministerial coordination is weak.

While Namibia has established a firm legislative and policy base for community-based wildlife management, the base for other natural resource sectors has not been codified. Reform in other policy areas, such as renewable natural resources, decentralization and local government, and land tenure, is essential for the future development of the CBNRM program, especially for eventual program expansion into communal areas not rich in wildlife. Broadening of the policy and regulatory environment is a critical element of the next phase of the program. The Government has taken the lead in this area over the last five years. During the next phase, Namibian government and NGO partners, assisted by USAID and other donors, will advance a broadened policy agenda essential for SO3 success. USAID's involvement, however, will be limited and intermittent in nature. Its primary role will be monitoring progress and providing support when necessary to move the policy process forward.

2.4.5 USAID/South Africa Activities [6]

USAID/South Africa's SO6 supports improving access to environmentally sustainable shelter and urban services for historically disadvantaged populations. While SO6 is involved in a variety of areas of the urban sector, a common theme to their activities is involving local authorities in urban environmental management. USAID/South Africa proposes to increase access to shelter, as opposed to providing shelter, for its target group. In FY 1997, South Africa made significant progress towards opening up opportunities for historically disadvantaged households to obtain adequate shelter. SO6 made the greatest progress in the least visible area: policy formulation and institutional reform. Conversely, the least observable gains were made in the most visible area: completed housing units. Funding for USAID's urban sector programs has been provided through two types of funds: Housing Guaranty Loans with private sector financial institutions (currently totaling $173.9 million) and grants to South African entities (eventually totaling $72 million).

USAID/South Africa provides technical assistance to help develop and implement policies that facilitate the provision of housing and urban services. This technical assistance supports a major part of SO6, promoting the emergence of a positive policy environment. In addition to targeted technical assistance, SO6 also supports private sector and NGO programs that contribute to policy implementation. In 1997 almost all of the entities created by the Department of Housing (in most cases with SO6 technical assistance) to facilitate shelter delivery began to operate at full capacity.

Because access to shelter credit remains the key constraint to improving the quality of housing and urban services for the poor, USAID provides grants, technical assistance and training, particularly to non-traditional lending institutions which are willing and able to service the lowest income households. In FY 1998, SO6 will also continue to work with NGOs that promote community-based, alternative-lending, housing delivery models geared to meet the special needs of women-headed households in the lowest income brackets.

Community-based, non-credit forms of assistance remain an essential part of SO6's strategy for increasing access to shelter for the historically disadvantaged population. Critical inputs for ensuring the ultimate success of SO6 are non-credit mechanisms linked to the provision of shelter for the lowest income households. SO6 supports selected NGOs that demonstrate the capacity to deliver to their customers. Short-term training and capacity building

---

[6] Key sources on South Africa include: BNC Sustainable Energy Committee. *Integrated Household Energy Delivery Pilot Project Description*, July 22, 1998; USAID/South Africa, *R4: FY 2000*; USAID, *Congressional Presentation*, FY 1999; USAID and RSA, *SO Agreement for the South Africa Global Climate Change Support Program*; WESSA, *Report for USAID*, March 1997 and April 1998.

(e.g., exchange programs and in-country management institute programs), an important form of non-credit assistance, was provided by SO6 grantees to over 3,000 participants during FY 1997.

SO6 launched two of its most ambitious shelter finance initiatives in FY 1997: a Housing Guaranty (HG) with the Infrastructure Finance Corporation (INCA); and the Municipal Infrastructure Investment Unit (MIIU), in recognition of the fact that a major impediment to sustainable housing delivery and urban development is the acute shortage and slow pace of delivery of urban environmental infrastructure and services (water, sanitation, electricity, etc.). The HG through INCA is a newly created, private sector entity that provides debt financing to municipalities for the construction of infrastructure (including waste water, solid waste and electricity). The MIIU will help to implement the government's Framework by providing municipalities with technical assistance in preparing and packaging infrastructure provision projects for private funding, including public-private partnership options. The MIIU should be functional by mid-FY 1998.

USAID provides support to utilize sustainable, participatory, environmental management principles in local-level urban development. For example, USAID is assisting municipal associations in the training of city managers in a host of technical areas, including environmental management. In FY 1997, the Department of Constitutional Development and the Department of Environmental Affairs (DEAT) signed a Memorandum of Understanding (MOU), a milestone in inter-governmental collaboration. The University of Cape Town's Urban Environmental Unit has been designated the entity responsible for providing municipalities with technical support in urban environmental management (UEM) and for the Agenda 21 Awareness Campaign.

SO6 has two ongoing urban environmental management programs. The first, the Three City Agenda 21 Network, continued to hold tri-annual workshops in FY 1997. It also developed Resource Cities Exchange Programs with U.S. cities focused on community involvement in solid waste management programs. The second, the Wildlife and Environment Society of South Africa (WESSA), is also promoting Local Agenda 21 education for local officials, including publishing an accompanying resource guide. It is also creating environmental support groups, student clubs and centers in the townships.

In conjunction with the Department of Water Affairs and Tourism, SO6 is funding a water and sanitation project in Mpumalanga province. This project created a local community based water management board and is providing training to local authorities making decisions about distribution and fees. In Kimberley and Gugulethu, SO6 is completing two community-based energy efficient housing activities. These activities built over 1,000 houses with thermally efficient insulation, thereby reducing the money spent on food and heating, and also improving indoor air quality. The anticipated outcome of this project includes greater exposure and use of convenient and affordable energy technologies to electrify, heat and cool housing for all citizens of Southern Africa.

South Africa is the largest source of greenhouse gas emissions in Africa, and the 18th largest source in the world. In FY 1999, USAID will initiate activities in South Africa under the Global Climate Change (GCC) program. This program will focus on urban and industrial emissions reductions. GCC activities will include: technical assistance to support the design, implementation and evaluation of GCC-linked program activities; training for decision makers and stakeholders; NGO support for capacity building, information dissemination, and training for local officials; as well as support for pilot activities addressing specific GCC-linked problems.

2.4.6 USAID/Tanzania Activities [7]

USAID/Tanzania's SO2 emphasizes establishment of a foundation for adoption of environmentally sustainable NRM practices. It focuses on institutional strengthening, policy dialogue, legislative reform, and village-level activities designed to support community-based natural resources management around protected areas with rich biological diversity. This SO is unique across southern Africa in that it uses many Global Center for Environment funding mechanisms in its NRM portfolio. It also is unique in its approach to pilot areas, conducting activities in a variety of area types (i.e., coastal area, game reserve and national park) as compared to only one type. (In most other countries, several pilot activities are undertaken in one type of area, such as communal lands.)

Although the SO2 partners have not yet defined and agreed upon a development hypothesis and revised **SO2 Results Framework** (RF) for the program, the focus of the program's strategic objective is shifting to "wildlife and coastal resources more effectively managed". The interventions strategies for the program were summarized in June, 1998 during a SO2 partners retreat held at Mafia Island. The partners intend to accomplish the SO through the establishment of models for the sustainable management of natural resources in four management regimes: national parks, game reserves, coastal zones and via community-based conservation (CBC) areas. The specific sites for the CBC management regime do not yet seem to be determined, but they will most likely be buffer zones and other areas outside of parks and reserves where "wildlife management areas" (WMA) are to be promoted. After several years of

---

[7] Key sources on Tanzania include: African Wildlife Foundation, *Partnership Options for Resource-Use Innovation (PORI Project), Revised Proposal*, February 1998; EPIQ/Tanzania, *Summary Report of the Second USAID/Tanzania Strategic Objective 2 Semi-Annual Program Integration Retreat* (Mafia Island, 23-25 June 1998), July 1998; USAID/TU/SUA, *Community Resource Improvement for Environmental Sustainability (CRIES) Newsletter*, Vol. 1, No. 2, September 1997; TCMP, *TCMP Office Factsheet*; TCMP, *Year One Work Plan, April 1, 1998 to June 30, 1999*, Executive Summary, Prepared in cooperation with: National Environment Management Council, URI/Coastal Resources Center, and USAID/Tanzania; U.S. Department of Interior, Partnership for Biodiversity, *Tanzania Work Plan*. April 1, 1998 to December 31, 1998, prepared March 1998; World Resources Institute, *Objectives, Results, and Indicators*.

preparation (including substantial assistance from USAID and AWF), a new Wildlife Policy has recently been adopted which makes provision for the establishment of WMA's and the management of wildlife and other natural resources outside of core protected areas by "authorized associations". In principle, this new policy can be used to encourage the participation of local communities in the establishment of WMA's so as to transfer management responsibilities to these communities while ensuring that they obtain tangible benefits from wildlife conservation and improved NRM.

Two areas have been targeted as model sites for the parks and game reserve management regimes: Tarangire National Park/Lake Manyara Complex (T/LM) and the Ugalla Game Reserve Ecosystem (Ugalla). Integrated Coastal Management (ICM) will be supported at the national level by the Tanzania Coastal Management Partnership (TCMP) through the establishment of a favorable policy, intersectoral mechanisms, human and institutional capacity and other foundation elements for effective coastal governance. Although the strategy for the CBC management regime has not yet been agreed upon, it appears that CBC will also be encouraged in WMA's and other pilot areas through support for policy implementation, institution strengthening, and testing of CBNRM approaches and technologies. National impact for the overall SO2 program is to be achieved over time by capturing and disseminating "lessons learned" related to each of the four management regimes.

SO2 is achieved through a wide variety of activities, which are supported through a number of different funding mechanisms. The activities are described below.

USAID/Tanzania, through the G/ENV/ENR Coastal Resources Management II Project, is implementing the **Tanzania Coastal Management Partnership (TCMP)** . Designed in March 1997, the TCMP is developing an integrated coastal management policy to address environmental degradation and sustainable use of coastal resources. It builds on steps that Tanzania has already taken at the national level toward developing a national Integrated Coastal Management (ICM) program. At the local level, several programs are successfully putting ICM principles into practice, including initiatives in Tanga, Kunduchi, Mafia, and Mtwara/Lindi. The TCMP is working with the existing network ICM programs and practitioners, to facilitate a participatory, transparent process to unite government and the community, science and management, sectoral and public interests to wisely conserve and develop coastal ecosystems and resources.

USAID/Tanzania has a buy-in to the **Environmental Policy and Institutional Strengthening Indefinite Quantity Contract (EPIQ)** which helps to coordinate SO activities and serves the needs of USAID/Tanzania partners. Beginning in October 1998, the EPIQ/Partner Support Unit has been organized and staffed, and has quickly become an indispensable and much-valued mechanism for facilitating communication, providing support services, filling implementation gaps and developing program vision. In the first six months of 1998, the following activities were completed with the assistance of the EPIQ/PSU: 2 major policy studies have been carried out, a training workshop organized on M&E, a gender assessment and the first of several CBO institutional assessments completed, and planning workshops have been

organized for Tarangire/Lake Manyara and Ugalla Ecosystem management regimes. The EPIQ/PSU is also facilitating the development of a SO2 Team Charter, the elaboration of results frameworks for each management regime, the preparation of a performance monitoring plan for the SO2 and collection of performance data for the USAID mission's R4, the development of website and newsletter for the SO2 partners and the EPIQ/PSU to encourage information sharing and dissemination of lessons learned and technical support for policy analysis and institution strengthening.

SO2 also supports the **World Resources Institute** (WRI), which is responsible for building NGO capacity in policy research and outreach as well as in institutional assessment and monitoring. Prior to the start of the program, NGOs existed but had limited capacity. Various approaches are being used to strengthen NGO capacities. These include joint NGO/WRI policy research, performance monitoring, and outreach activities. WRI is establishing long-term partnerships with three Namibian NGOs, the Lawyers' Environment Action Team (LEAT), Journalists Environmental Association of Tanzania (JET), and Wildlife Conservation Society of Tanzania (WCST), to develop policy research, performance monitoring, and outreach capacity. Their activities will focus primarily on two issues: wildlife management outside the protected estate and establishing an enabling environment for an active and effective environmental NGO community.

Through a buy-in with the Global Bureau, Office of Environment and Natural Resources, USAID/Tanzania is part the **Partnership for Biodiversity**, an initiative aimed at promoting biodiversity conservation in developing countries worldwide through the joint efforts of **USAID, Department of Interior, and Peace Corps**. The Partnership centers its assistance on addressing the key threats to biodiversity conservation in the area, working with in-country partners to identify ways to strengthen local and national institutions so they can apply adaptive management to promote biodiversity conservation. In Tanzania, Partnership activities focus on the Tarangire/Lake Manyara Complex in the north and the Ugalla Game Reserve in the west, where it works toward improving wildlife law enforcement, protected area management, and institutional capacity for NRM. Specifically, USAID/Tanzania works with the Peace Corps and local communities to introduce soil conservation and land management techniques which help increase benefits to the community from coexistence with wildlife.

USAID/Tanzania also has a linkage agreement with **Tuskegee University (TU)-Sokoine University of Agriculture (SUA)**. Under the first phase of this project (1990-1995), efforts focused on enhancing SUA's capabilities in teaching, applied research, and outreach. Under the current phase, which runs from 1995 to 2000, the focus will be on community-based management of natural resources. The goal of the project is to improve the well-being of Tanzanian rural communities and, in the process, increase the international content and dimension of SUA's curricula and community service. The project has nine focus areas, including: sustainable land use practices; sustainable crop production practices; the sound coexistence between wildlife protected areas and neighboring rural villages; production of

poultry, goats, and cattle; aquacultural production; and irrigation and flood control. Its geographic area of impact includes 17 villages in Morogoro Kilombero and Kilosa Districts.

USAID/Tanzania also works with the **African Wildlife Foundation's** Partnership Options for Resource-Use Innovation (PORI) program. PORI's activities focus on 2 main components: supporting and catalyzing community NRM in targeted pastoral areas adjacent to Tarangire National Park and other protected areas in northern Tanzania; and implementing innovative methodologies for operational planning, visitor services and park outreach in order to ensure the long term integrity of Tarangire National Park resources. While PORI focuses on the Tarangire and Lake Manyara ecosystems, its institutional strengthening and methodology has wider application and relevance.

Finally, SO2 supports the **Environmental Education and Communication (GreenCOM)** project through a buy-in to the Global Bureau. GreenCOM has completed an assessment of local partners' environmental education and communication (EEC) priorities. Based on this assessment, a preliminary EEC strategy is now in place to guide efforts for improving dissemination of information regarding appropriate environmental practices, advocacy, and for raising public awareness on key environmental issues.

2.4.7 USAID/Zambia Activities [8]

USAID/Zambia's SO2 emphasizes increasing the productive participation of rural enterprises and communities in the national economy. The majority of mission activities around this SO concern agriculture and increasing the productivity of small, rural enterprises, in the context of privatization. Through this SO, USAID/Zambia is helping to create a prosperous small-holder private agricultural economy by supporting rural group business development, farmer-initiated marketing enterprises, and rural savings mobilization. In addition, USAID/Zambia supports food security program managed through village committees and community-based natural resources management.

With support from USAID's privatization efforts, the Zambian government has reduced its role in agricultural production and marketing. Consequently, a number of private agribusinesses have been revitalized, including fertilizer and maize marketing firms, flour mills, feed mills, oil extraction plants, cold storage plants, cashew and coffee plants, seed multiplication and distribution firms, and several food canning plants. Given these developments in agroprocessing, agribusinesses have turned to the small farmer as a raw material supplier. They

---

[8] Key sources on Zambia include: USAID/Zambia, *FY 2000 R4* , March 3, 1998; *Zambia Program Day* ; *NRMP Program Review and Evaluation* , August 23, 1995. See also: www.esri.com/base/users/conservation/ctsp/admade/admade.html.

have developed new management systems, including outgrower schemes and contract producers, which improve the economics of working with small farmers as a group.

SO2 concentrates on four main activities (in FY 1997). Under a cooperative agreement with CARE, USAID/Zambia helps to increase the returns to small-scale agriculture in drought prone regions. Under its cooperative agreement with the Cooperative League of the USA (CLUSA), it helps expand access to rural finance for farmer-managed non-farm enterprises. This program also helps link small-scale producers and processors through outgrower schemes and contracts. In addition, a grant to Africare helps diversify rural household income sources by promoting small-scale rural agroprocessing enterprises. Finally, USAID/Zambia works with the Zambia Ministry of Tourism to promote community-based natural resources management in Game Management Areas surrounding Zambia's national parks through the Administrative Design for Management (ADMADE) project.

ADMADE is a wildlife-oriented variant of CBNRM which encourages residents of gazetted buffer zones (called game management areas, or GMAs) bordering the country's national parks to participate in wildlife conservation by ensuring that they benefit from improved natural resources and wildlife management. It is implemented through a Cooperative Agreement with the World Wildlife Fund and by Zambia's Ministry of Tourism, National Parks and Wildlife Services. Beginning in 1990 as the Zambian component of the Southern Africa Regional Program (SARP), ADMADE continues to receive support through the regional NRMP now funded by RCSA.

The ADMADE program, which spans all of the country's GMAs, takes a revenue sharing approach to CBNRM. It established a wildlife revenue revolving fund through which 40% of revenue from trophy hunting is channeled to GMAs. Under ADMADE in 1997, communities in 34 protected areas earned an average of $50,000 by managing wildlife resources. The communities invested their 40% share of these revenues in schools, clinics, water points, small grain mills, village scout housing and conservation education. Six communities bought vehicles for use in community development and resource management.

Since 1993, ADMADE has had numerous achievements. These include establishment of the principle that communities have a right to participate in wildlife management and that it is a more effective way to achieve conservation. The process of legalizing community ownership has started. For instance, Zambia's Policy for Wildlife, which was approved in 1993, supports the concept of CBNRM by confirming that the ownership of wildlife and management responsibility rests with the people on the land. It also hastened the time when authority and responsibility for wildlife and conservation management would devolved to local communities and the private sector.

ADMADE has also helped demonstrate that, at least for the first two years of the project, significant revenues could be generated and shared by communities from hunting safaris. In addition, it helped train and employ over 450 village scouts, 50 unit leaders, and 15 community

development assistants. For instance, 5 unit leaders have undergone diploma training courses at Mweka college in Tanzania, and 2 biologists have completed Msc degrees at the University of Zimbabwe. Special training courses for women have also been completed, and training workshops for traditional leaders have been held. ADMADE has also helped provide infrastructure improvements, under the supervision of a specially recruited community development officer. These improvements include schools, clinics, and housing in all of the targeted GMAs. Finally, ADMADE's land-use planning officer has assisted in the development of GIS databases for most GMAs in the ADMADE program.

2.4.8 USAID/Zimbabwe Activities [9]

USAID/Zimbabwe's environment and natural resources activities are focused through SO1, which strengthens NRM for sustainable development of CAMPFIRE communities. Together with RCSA's NRMP, USAID has been assisting the Communal Areas Management Program for Indigenous Resources (CAMPFIRE) since 1989. CAMPFIRE creates incentives that promote rational natural resources management in rural communities. Initially, CAMPFIRE was a wildlife-based/trophy hunting program. However, it is now diversifying to other activities. CAMPFIRE works in communal areas of marginal, non-agriculturally suitable land in Natural Regions IV and V. These regions are experiencing both the greatest levels of poverty and the most severe environmental degradation. Many of these communal areas border the 15% of Zimbabwe classified as "protected", either as national parks or forest reserves, which were in the past perceived as economic "black holes" by residents of communal areas.

CAMPFIRE is reliant upon policy but is not funding policy reform. It is based on the hypothesis that people will manage natural resources sustainably if they have control over those resources and it is clearly demonstrated that such management is in their own best interest. Between 1989 and 1997, over US$6 million in revenues have been returned to participating members. It is interesting to note the CAMPFIRE program did not arise out of the NEAP process, but evolved from a program called Operation Windfall (Wildlife Industries New Development for All) which was launched in the mid-1970's and established the first formal link between communities and wildlife management.

One hypothesis underlying CAMPFIRE is that benefit, management and authority should be the same unit, and as low as possible, but regulatory functions should be separate. The

---

[9] Key sources on Zimbabwe included: USAID/Zimbabwe, *R4, FY 2000* ; USAID/Zimbabwe, *CSP 1997-2003* ; http://campfire-zimbabwe.org; Personal Interviews; Child, B., S. Ward, and T. Tavengwa, *Zimbabwe's CAMPFIRE Program: Natural Resource Management By the People* , 1997; and Metcalfe, Simon, *Notes on Environmental Issues in Zimbabwe* , August 1998.

Zimbabwe government has devolved authority over wildlife to Rural District Councils (RDCs), an administrative arm of government, with the discretion over distributing wildlife revenues to communities. While these rights are strong and legally entrenched, they are generally perceived to be located at an inappropriate level. In some communities, RDCs have devolved their authority to lower administrative levels, such as Wards. In these cases, communities are actively managing their wildlife resources as an integral part of other land uses. In addition, accountability and transparency appear to be higher. But under the current system, devolution below the district level has become stalled since there is no legal mechanism for devolving authority below the RDC level.

While Zimbabwe/CAMPFIRE was at the forefront of the movement to devolve wildlife benefits to communities, programs in other countries in the Southern African region have surpassed it in devolving access rights to lower administrative levels. Many persons interviewed about CAMPFIRE see the lack of further devolution to the village and community level as a limit to what it can accomplish and a threat to its sustainability over the long term. Additionally, it was reported that hunting revenues are typically devolved lower than tourism revenues. Tourism revenues are more centralized because they have a different legal foundation - communal areas have access to wildlife, but currently, not to land - so benefits from non-consumptive use are distributed differently. Thus, land tenure is another issue which will affect the success of CAMPFIRE.

USAID provides support for CAMPFIRE governmental and non-governmental partner agencies. While initially this CAMPFIRE Support Services program focused on NGOs, more recently, as the program has evolved, the CAMPFIRE Association and Rural District Councils have become the lead organizations. USAID has been effective in delivering much needed capacity-building and technical backstopping services to participating communities. Many CAMPFIRE communities have received skills training in a variety of NRM technologies, such as land use planning, solar game fencing, wildlife censusing and quota setting, under this component. Technical assistance and training have also been provided to assist environmental awareness-building and education; community institutional, organizational and leadership development; project analysis, design and management; goods and services contracting; and basic accounting, financial and commodity management.

To ensure the support services are demand driven and customer-oriented, program customers may access small support grants under the CAMPFIRE Development Fund (CDF). To date, 20 participating RDCs have received CDF grants to support the development of district and sub-district level CAMPFIRE institutions through the provision of staff, training, technical services and limited commodity support. Several proposals are under review to support development of NRM infrastructure and income-generating activities in their communities.

The main implementors of CAMPFIRE and their activities are as follows:

- The *CAMPFIRE Association* is the lead agency and co-ordinator of the CAMPFIRE program. It represents the 36 RDCs that have received appropriate authority, and thus in turn the interests of the rural communities involved in CAMPFIRE.
- *The Zimbabwe Department of National Parks and Wildlife* (DNPW) originally devolved its responsibilities for wildlife to communities and now provides these communities with technical advice on wildlife management.
- *The Ministry of Local Government, Rural and Urban Development* is responsible for the overall administration of the rural district councils, to whom the authority for wildlife has been devolved.
- *Zimbabwe Trust* focuses on training, institution building, and the development of skills among community members and representatives.
- *Africa Resources Trust* (ART) monitors external policy and regulation that effects CAMPFIRE and provides information to decision-makers worldwide.
- *World Wide Fund for Nature* (WWF) provides ecological and economic research, monitoring, and advisory services to CAMPFIRE and also assists in training.
- *ACTION Magazine* is best known for providing environmental education, training and materials to schools in the CAMPFIRE districts.
- *Center for Applied Social Sciences* (CASS) at the University of Zimbabwe is involved in socio-economic research and monitoring within CAMPFIRE communities.

2.4.9 USAID/RCSA Activities [10]

The RCSA undertakes a broad scope of environment activities under SO3, which promotes accelerated regional adoption of sustainable agriculture and NRM approaches. In addition, under Special Objective A (SPOA), it will emphasize building regional capacity to manage transboundary natural resources, such as water and/or wildlife and national parks.

SO3 concentrates on the promotion of functioning systems for transferring agriculture and NRM technologies and best practices across the region. It also supports an enabling environment that increases incentives for smallholders and communities to adopt sustainable agriculture and NRM technologies and approaches.

Numerous varieties of sorghum, millet, cassava and sweet potato with higher yields, good performance in drought years, and disease and pest resistance have been developed, tested, and disseminated by the international agricultural research centers over the past decade in collaboration with partners in the national agricultural research systems. Through the *Sorghum*

[10] Key sources on RCSA include: USAID/RCSA, *FY 1999 R4* , March 1997.

and Millet Improvement Program (SMIP) , improved varieties of sorghum and millet have been developed, tested and released throughout the region. As a result, the total area planted with improved varieties has grown by 12-14 percent, and average yields have increased by 15 percent. The transfer and adoption of improved varieties has been facilitated by drought relief and rehabilitation programs in Zimbabwe, Mozambique, Malawi, and Angola, with USAID/NGO assistance. Improvements are still needed on crop management practices, including use of small amounts of fertilizer and good weeding practices.

Similarly, through the *Southern Africa Root Crops Research Network (SARRNET)* , higher yielding varieties of cassava and sweet potato have been developed and demonstrated for both increased agricultural and natural resources productivity. Under SARRNET, work has progressed steadily on the collection of local varieties, introduction of elite seed and tissue culture material from the international agricultural research institutes, and regional breeding programs for cassava and sweet potato varieties. Although these crops are noted for the large role they play in food security in Southern Africa, particularly during drought, their commercial importance is growing. The successes just described with improved varieties might not have been possible under standard bilateral agreements, as the process of seed reproduction and dissemination requires a regional approach.

SO3 has also demonstrated that sustainable natural resources use is a viable and profitable option for rural communities through its regional Natural Resources Management Project (NRMP) . This program, which started in 1989 and runs through September 1999, supports component activities in Botswana (NRMP), Namibia (LIFE), Zambia (ADMADE), and Zimbabwe (CAMPFIRE). These programs demonstrate, through practical examples, the technical, social, economic and ecological viability of CBNRM and utilization programs on marginal lands for increasing household and community incomes while sustaining natural resources. They also seek to improve national and local capability to halt declines in the wildlife, range, watershed, veld products, and biodiversity of the resource base through training, education, protection, communication and technology transfer. In addition, most of these programs have resulted in the passage of legislation which enables communities to manage natural resources. Thus far, the primary emphasis of NRMP has been the wildlife sector. However, pilot initiatives in all the programs (e.g., sales of mopane caterpillars in Botswana, beekeeping in Zimbabwe; marketing of thatching grass in Namibia) have explored other natural resources.

Sharing of lessons learned is facilitated by SADC's Wildlife Sector Technical Coordinating Unit (TCU), which is supported by USAID through a technical service contract with the World Conservation Union (IUCN) (and in cooperation with WWF/Zimbabwe and ART/Zimbabwe). Located in Malawi, the TCU helps improve regional coordination, communication, understanding and technical knowledge of CBNRM throughout the region by organizing regional CBNRM conferences, workshops and exposure visits for peer groups, as well as by publishing a newsletter and publicizing lessons learned. By sharing experiences on a regional basis, local achievements in the individual programs are having a regional impact.

In addition, RCSA funds regional work on natural resources accounting and environmental strengthening and institution building. Due to the success of a pilot activity in natural resource accounting in Namibia, the regional governments requested that the RCSA fund a follow-on regional Natural Resource Accounting project, implemented by regional multi-institutional working groups in three countries. Some of the institutions involved in this project are the University of Swaziland, the University of Pretoria, the Directorate of Environmental Affairs in Namibia, and New York University. Capacity development for preparing and utilizing natural resource accounts for analysis of policies of regional import, such as the economic pricing of water and wildlife, is a major result expected from this activity. RCSA's Networking and Capacity Building initiative (NETCAB) is helping with this effort by building regional analytic capacity through its "Regional Environmental Economics Coordinating Committee," which produces and discusses policy briefs and case studies.

In addition, RCSA has supported information exchange among practitioners and analysts, necessary for the transfer of approaches regionally, largely through the efforts of two leading partners, the Southern African Center for Cooperation in Agriculture and Natural Resources Research and Training (SACCAR) in the agricultural sector and International Union for the Conservation of Nature (IUCN) (through NETCAB and NRMP) in the natural resources sector. Both of these organizations bring large networks of collaborators together in the SADC region and exhibit leadership in strategy development, program planning, and information management. SACCAR completed a highly participatory process to develop the region's new agricultural research and training strategy. Additionally, five of twelve SACCAR crop networks (representing sixty institutions) have received e-mail service and training, largely as a result of collaborative support from Africa Link, an activity managed by AFR/SD/PSGE. IUCN markedly improved its handling of applications for grant funding under NETCAB's small grants fund.

Finally, RCSA's SPOA, "increased regional capacity to manage transboundary natural resources," emphasizes strengthening regional institutions, building national capacity to address transboundary natural resources management issues, and developing models for improved transboundary natural resources management. It will build on RCSA's regional water study (the "Stanley Report") which was completed in 1995 and outlines recommendations for USAID to manage the region's water resources.

2.4.10 Africa Bureau's Office of Sustainable Development (AFR/SD) Activities [11]

The Africa Bureau's Office of Sustainable Development (AFR/SD) is a descendent of the Office of Analysis, Research and Technical Support (AFR/ARTS) and the Office of New Initiatives (AFR/ONI). As the Agency has downsized, certain aspects of both offices, namely

---

[11] Key sources include: Office of Sustainable Development, *Strategic Plan (FY 1998-2003)*, April 1997.

AFR/ARTS analytical leadership for the USAID program in Africa and AFR/ONI's role of catalyzing new programs, has been taken up by AFR/SD. AFR/SD does not provide implementation or technical backstopping to USAID missions, nor does it manage technical assistance contracts. Instead, as the only organization within USAID with a focus that is Africa-wide and covering all areas of the Agency's development program, it plays a broader, strategic role. Among it's activities, AFR/SD:

- monitors development trends and issues through out Africa and identifies priority issues that need to be resolved in order to achieve USAID and African development objectives;
- develops regional frameworks, strategies and initiatives with African, USAID and other donor partners to reach consensus on approaches and to leverage resources in order to address issues that affect multiple countries in the region;
- conducts research and analysis, disseminate analytical results and advocate policy, strategy and program change, in order to get priority issues on USAID, other donor and African agendas, influence strategy development and inform design and implementation decisions;
- develops new tools, methodologies and approaches to address identified constraints and systematically identify and disseminate best practices across Africa;
- supports African capacity building in policy analysis, strategy development, and evaluation and monitoring on a regional basis in specialized areas; and
- supports Africa-wide approaches and organizations, including networks, information exchanges and electronic connectivity.

AFR/SD has two Strategic Objectives (SO) and one Strategic Support Objective (SSO) in the field of environment. The first, SO3, aims to help resolve food insufficiency and poverty in Africa by working with Field Missions and African partners to increase the performance and impact of agricultural programs, policies and strategies. It strives to improve agriculture policies, programs and strategies by focussing on private sector agricultural marketing and service delivery, US-African agricultural trade and investment, and the impact of agriculture on nutrition. It also aims to increase the capacity of African institutions to design, manage, and evaluate sustainable agriculture programs, policies, and strategies. It does this by improving tools, mechanisms, and capacity for sustainable technology development and transfer, strengthening private and public sector capacity to identify, dialogue about and promote improved sustainable policies, programs, and strategies in agriculture marketing and rural services, and improving information systems on food security, agriculture, poverty, nutrition, and cross-sectoral linkages to African partners.

AFR/SD's second strategic objective on environment and natural resource management, SO5, is designed to accelerate progress in the spread of strategically viable and environmental sound environmental management systems. Specifically, it aims to put in place conditions which will encourage the adoption of approaches that increase natural resource productivity while simultaneously reducing the environmental stress on them.

SO5 strives to develop, improve and promote cost-effected approaches for in 5 main areas: biodiversity conservation; sustainable agriculture; environmental management in the Congo basin; urbanization and urban issues; and energy conservation. In biodiversity conservation, AFR/SD works with its partners in the Global Bureau's Biodiversity Support Program (BSP) and World Resource Institute's Policy Consultative Group (PCG), as well as partner strategic objectives in Madagascar, Botswana, Tanzania, Zimbabwe, Malawi and Uganda, to draw lessons learned in community based natural resource management (CBNRM), particularly related to biodiversity. In sustainable agriculture, AFR/SD is expanding the NEXUS effort (such as the coordinated approach adopted by the Madagascar mission), which identifies the dynamic linkages between agriculture and the environment. In the Congo Basin, a priority zone for conservation of biodiversity and mitigation of global climate change, AFR/SD is leading an effort to establish the enabling conditions for wise use of natural resources and to identify and test conservation practices. The main effort, CARPE (Central African Regional Program for the Environment), is being achieved in concert with national and international conservation organizations, such as World Wildlife Fund and Wildlife Conservation Society, federal agencies, such as the Forest Service, NASA and Peace Corps, and other bilateral and multilateral donors.

New areas for AFR/SD are issues of urbanization and energy conservation. AFR/SD has conducted an assessment of urbanization and urban issue and the implications of these issues for environment and natural resource management activities and development in Africa. In the area of energy conservation, AFR/SD will work closely with G/ENV to develop a plan for addressing energy/environment issues and initiate a series of interventions to identify best practices and sustainable approaches.

SO5 also seeks to identify and put in place those enabling conditions which stimulate the adoption of improved NRM approaches. It does this in several ways. For instance, AFR/SD helps build regional capacity to carry out environmental assessments, planning and analysis. As part of this effort, it supports training programs through ENCAP to improve NGO capacity to consider environmental issues in their work and strengthens NESDA (the Network on the Environment and Sustainable Development in Africa), whose partners include the heads of National Environmental Action Plans (NEAPs). AFR/SD also helps improve donor environmental coordination, through such interventions as the Multi-Donor Secretariat attached to the World Bank. In addition, AFR/SD works to improve methods and approaches for monitoring and reporting. As part of this effort, it evaluates the effectiveness of funds being allocated to existing environmental priorities, and identify the best options for accelerating adoption of improved management approaches. For instance, FRAME is developing an analytic system for gathering and reviewing national and regional data to help inform the R4 process, better understand USAID's environmental programming Africa and formulate strategic priorities. In addition, AFR/SD has supported strategic assessments of programs in a number of countries, including Malawi, Mozambique, Madagascar and Senegal.

AFR/SD also has a Special Support Objective (SSO) on environmental quality which sets out to help the Africa Bureau's operating units integrate environmental issues into their programs

to meet US government environmental requirements while also improving the intrinsic environmental soundness of program design and implementation. This SSO is directly linked to SO5, but it applies -- by statutory definition -- to all Africa Bureau investments. Specifically, SSO seeks to ensure effective tools, methods and approaches are adopted to improve the application of environmental procedures and strategies in the programs of Missions and their partners. It does this by helping to ensure that the analytical processes used for development planning lead to improved environmental soundness of the program. It also emphasizes building capacity to improve environmental review, planning and management, to assist with implementation of environmentally sound activities. In addition, it ensures USAID's environmental procedures are integrated into results planning and monitoring and that appropriate environmental frameworks, for monitoring, assessment and mitigation, are in place.

2.4.11 Global Environment Center Activities [12]

The Environment Center, located in the Bureau for Global Programs, Field Support and Research, coordinates USAID's environmental programs. The Center provides technical and programmatic leadership and support to the Agency, its field Missions and its domestic and international development programs on sustainable natural resources, urbanization and energy systems as well as on the Agency's commitment to combating global climate change and biodiversity loss. The Global Environment Center has a number of support mechanisms available to field Missions, which are summarized in Annex A.

The Center's **Office of Environment and Natural Resources** programs focus on strengthening local community groups and nongovernmental organizations and supporting policies that help them take responsibility for improving natural resources management. These programs focus particularly on communities and local environmental NGO's in areas rarely served by traditional development activities. The Office's approach to improving natural resources management in developing countries includes biodiversity, forestry, environmental education and communication, freshwater and coastal resources, and environment and sustainable agriculture. Many of these support mechanisms have been utilized by field missions, such as Tanzania, in the Southern African region.

The goal of the **Office of Environment and Urban Programs** is to improve the living conditions of the urban poor by promoting development practices that balance social, economic and environmental concerns without endangering the well-being of future generations. The Office collaborates with host-country governments (national and local level), community-based organizations, the private sector and other donor agencies and international organizations to

---

[12] Key sources on the Global Environment Center include: *Directory of Services: A Guide to the Global Environment Center's People, Programs, Projects and Partners*, June 1998.

identify creative and workable approaches to equitable sustainable urbanization, strengthen the management capacity of local governments, encourage participatory democracy and facilitate decentralization policy reform. The Office's approach to sustainable urbanization includes expanded and equitable delivery of urban services and shelter, more effective local governments, and reduced urban pollution.

The **Office of Energy, Environment and Technolog** y possesses a twofold strategy to address energy issues by first assisting developing countries in putting in place market-oriented policies and institutions to support private energy and environmental initiatives. Secondly, the Office arranges cooperative relationships to promote energy efficiency and greater use of clean and innovative energy and environmental technologies. Key partners include developing countries, the U.S. energy and environment industries, other federal government agencies, multilateral development banks and NGO's. The Office's integrated approach to improving energy choices available to developing countries includes energy sector policy and planning, cleaner energy production and use (climate change mitigation), renewable energy, energy efficiency, and training.

3.0 Summary of Program Evaluations and Assessments

This section contains brief descriptions of assessments and evaluations that have been done on some of USAID's existing programs. In particular, it includes summaries of the assessments on the Malawi, Mozambique and CBNRM programs. (Note: summaries on assessments for the Namibia, Zambia and Zimbabwe programs will be included in a later draft.)

3.1 *Strategic Assessment of USAID/Malawi's Natural Resources Program* [13]

USAID/Malawi's Natural Resources Program, known as Strategic Objective (SO) 2, focuses on increase sustainable use, conservation and management of Malawi's renewable natural resources. The main funding vehicle for SO2 is the five-year $40 million Natural Resource Management and Environmental Support Program (NATURE). This strategic assessment reexamined USAID/Malawi's SO2 activities and their expected results in the context of demographic, economic, market, environmental and political trends in the country. Its findings aim to provide direction for USAID and the Malawian government for re-orienting its program and project activities.

The assessment's recommendations suggest that, given the vast political and economic liberalization which has occurred recently in Malawi, SO2 should strive to be a more dynamic

---

[13] EPIQ. *Adjusting Priorities: A Strategic Assessment of USAID/Malawi's Natural Resources Program.* June 5, 1998.

system that captures new opportunities brought by these changes. It suggests that three goals should guide the strategic redirection of SO2 programs. These are:

- Use public resources to leverage larger trends -- SO2 programs should resist the tendency to fix the most urgent need and instead address those which are more important over the long-term.
- Define sustainability as a "system goal" rather than an "activity goal" -- For a more lasting impact on human and ecosystem welfare, SO2 should base interventions on larger trends and incentives and on recurrent, system-wide tendencies which generate future poverty and resource degradation.
- Expand the definition of "capacity building" to include "opportunity building" -- Instead of focusing exclusively on the lack of knowledge, technologies and skills, SO2 should also address the lack of opportunity to apply new capacity and that which already exists.

In conjunction with these goals, the assessment recommends nine strategic-level shifts to help redirect USAID/Malawi's environmental and natural resources program onto this new path:

- Substantially increase emphasis on the "policy transmission belt" through which national policy reforms are implemented. In the last five years, Malawi has made dramatic progress in reforming national policies relating to natural resources management. However, implementation of these policy reforms has been lagging.
- Substantially strengthen the hitherto under-emphasized "demand side" for local-level NRM initiatives and for use of environmental information. As a result, SO2 should establish analytical and programmatic procedures to make its resource allocations "opportunity-driven" rather than supply-driven, emphasizing program designs which identify demand and can provide a flexible set of solutions to meet it, rather than programs which fund solutions in search of problem.
- Shift the balance of capacity building efforts "down and out" -- down from the central to the district and local public sector; out from the public sector to the private economy. The weakness of national public institutions, as regards to financial assistance, has generated a strong emphasis on capacity building at the national level.
- Increase relative program emphasis on NRM practices by smallholders on individually-managed lands, while retaining attention to communal management of common property resources.
- Establish and focus resources on three to five local "target zones" to test market-based approaches to smallholder natural resources management on individually-managed lands.
- Dramatically reduce the cope and coverage of the NPA to focus on true priority changes
- Build long-term, structural linkages with East and Southern African "sisters institutions" to help transfer lessons from similar NRM experiences elsewhere in the region.
- Build targeted operational linkages with other USAID Strategic Objectives and with other Government of Malawi and donor-supported programs associating with rural production.

- Determine whether to adopt a national approach or geographic focus based on three main criteria: long-term "nexus"-type opportunities; program implementation strategy; and assessment of how best to achieve a critical threshold of impact in test areas.

Finally, the report presents a modified results framework, which includes some of the most significant changes that should be considered. It also analyzes seven areas of SO2 program activities: policy reform, environmental monitoring, agroforestry, community-based natural resources management, endowment fund, performance based budgeting, and institutional development.

3.2 *Assessment of Unmet Needs and Programs Options for Mozambique* [14]

The assessment of unmet needs and program options for USAID/Mozambique underlines the importance of adding more environmental content to its Strategic Plan for fiscal years 1996-2001. Conducted over a two-week period, the assessment team reviewed existing reports and studies and conducted interviews with government, donor, and nongovernmental organization representatives.

The assessment notes that the policy, legal, and institutional frameworks in Mozambique for the substantive evaluation, facilitation, and regulation of private investments are poorly developed. Overlapping bureaucracies grant concessions for the exploitation of local resources with little coordination or consistency between them, and a significant lack of transparency. These problems prompted the assessment team to suggest USAID help:

- accelerate establishment of an appropriate investment approval framework using a panel of high-level international experts to help guide its content;
- work toward passage of the draft Land Law revision before Parliament. This law makes provisions for the rights of communities to land and resources.
- work to include in the Environmental Framework Law before Parliament creation of an inter-ministerial coordination mandate for the Ministry of Environmental Coordination (MICOA). This mandate should allow MICOA to establish a requirement for environmental impact assessments (EIA) appropriate to the scale and nature of new investments in the private and public sectors. Thus, MICOA's responsibilities would include determination of the scope and content of EIAs, monitoring and review of compliance with EIA recommendations, and participation in negotiations if relief from EIA recommendations is granted.

---

[14] USAID/Mozambique. *An Assessment of Unmet Needs and Programs Options for an Environment Strategy in Mozambique.* March 1997.

Further, the assessment notes that, as the consciousness within civil society is raised, the priority of the environment and community land and resource rights will rise in the hierarchy of national goals. Thus, USAID may want to help create awareness of the importance of these issues.

The assessment goes on to discuss community and farm-level NRM and resource tenure. In Mozambique, several NGOs and donors are committed to community-based natural resources management (CBNRM) projects for wildlife and other non-farm resources. During fiscal year 1996, USAID/Mozambique gained environmentally earmarked funds instead of expected economic growth funds for grants to PVOs under its rural enterprise activities. As a result, the Mission added improving CBNRM as part of its strategic objective (SO1).

The report suggests USAID/Mozambique would benefit from a community-based and farm-level NRM assessment that highlights the geographic areas of actual or threatened resource degradation and the best technologies available for use in areas of unsustainable NRM practices. This would strengthen the environment and natural resource management aspects of PVO programs currently or potentially operating under SO1.

In addition, the assessment notes the Country Strategic Plan (CSP) presents considerable opportunities to better exploit synergies between existing or planned activities in CBNRM, land tenure security and environmental planning at the local level.

Further, the assessment notes that in areas of intense competition for resources, land tenure security, community rights to off-farm natural resources, and the implementation of plans or strategies to manage the competition for affected resources are important supports to effective and sustainable rural development. While existing law acknowledges farmer or community rights to resources beyond the area cultivated, it only does so for subsistence or "own-use" exploitation. The land policy of September 1995 recognizes the legitimacy of customary law and the role of local leaders in land management and conflict resolution. Given the uncertainties and difficulties communities are likely to face in taking advantage of the rights and opportunities available to them under the current and prospective legislative and regulatory frameworks, the assessment recommends that USAID contribute to enabling selected communities and smallholders to benefit from the resources traditionally controlled by them. In particular, it suggests that USAID/Mozambique:

- continue supporting University of Wisconsin Land Tenure Center's work in providing information, analysis and advice to assist with the deliberations of the relevant Mozambican government agencies in land policy, legislation and regulations; and

- strengthen the capacities of NGOs and other elements of civil society to help rural communities know, secure, and legally document their resource tenure rights; resolve intra- and inter-community conflicts; negotiate commercial interests and work toward

their development. This includes supporting civil society efforts to inform themselves, acquire analytical skills, and advocate their point of view.

Finally, the assessment identifies coastal zone management as another area for enhanced USAID/Mozambique attention. More than two-thirds of Mozambique's population live along the coast, and coastal resources are one of three national priorities, as they are a significant contributor to the national GDP. The government's commitment to coastal zone management was illustrated by its willingness to host the next ministerial regional workshop on coastal resources, with SIDA providing Secretariat funding (the most recent workshop was in March 1996, in the Seychelles). Presently, MICOA is working on activities to create a capacity to coordinate the cross-cutting sectors in coastal zones, develop a coastal master plan, and gather information on coastal resources. The Mozambique government is concerned about information on coastal resource use.

Many donors, such as the World Bank/Global Environment Fund, NORAD, DANIDA, European Union, and IUCN, are working on coastal zone activities designed to build capacity to manage resources and protect the biological diversity of coastal areas. Given the importance of these areas, the assessment applauded the Mission's idea to extend its efforts to increase rural household incomes to include coastal resources management activities, as it noted that this will have a long-lasting impact on the achievement of sustainable development in Mozambique.

In sum, the assessment team outlines 11 unmet needs that should be considered for inclusion in USAID/Mozambique's program strategy. These are:

- Economic, environment and social governance assessment;
- Environmental Impact Assessment (EIA) capacity;
- MICOA staff training;
- SOE report/prelude to Environmental Information System (EIS);
- Land and resource tenure advocacy;
- Farm and community NRM assessment;
- Prevention of land and resource conflicts;
- Rural level advocacy on land and resource conflicts;
- Participatory planning in key districts;
- CBNRM pilot in Sofala province; and
- Environmental enterprises

The assessment estimates that, together, activities to address these challenges will cost around $5.9 million.

3.3 *Assessment of Community-Based Natural Resource Management (CBNRM) in Southern Africa*[15]

This assessment sought to review USAID's Community-Based Natural Resource Management (CBNRM) program activities in Southern Africa, as part of RCSA's internal planning process for the development of strategies for the next planning cycle. The assessment had three stated purposes: to explore the potential for RCSA's future involvement in CBNRM; to help USAID quantify the impacts and the sustainability of CBNRM in southern Africa; and to assist RCSA, AFR/SD, and their regional partners in identifying design issues and major considerations that should be addressed in a regional follow-on CBNRM project.

Through RCSA and the Southern Africa Development Fund (SARP), USAID supports CBNRM activities in Botswana, Namibia, Zambia, and Zimbabwe and provides assistance to the Southern Africa Development Community's (SADC) Wildlife Sector Technical Coordinating Unit in Malawi. The Mission's CBNRM activities, which started in 1989 and will continue until September 1999, advances RCSA's SO3 (accelerated regional adoption of sustainable agriculture and natural resource management approaches). SO3 aims to demonstrate, through practical examples, the technical, social, economic and ecological viability and replicability of CBNRM and utilization programs on marginal lands for increasing household and community incomes while sustaining range, watershed, veld products, and biodiversity of the resource base through training, education, protection, communication, and technology transfer.

The assessment examined only RCSA's program. It did not evaluate other CBNRM programs, USAID-funded or otherwise, in the region. Based on this limited scope, the assessment concluded RCSA's initial pilot-program focus on wildlife resources was appropriate. It noted that, because this sector was threatened by significant over-exploitation and is a major concern across the region and around the world, the concentration of CBNRM activities helped spur involvement and interest at a variety of levels.

The assessment notes RCSA's CBNRM activities are helping the rural poor because their communal lands, which were marginal in terms of agriculture, are now becoming profitable as part of wildlife production systems. It further suggests that CBNRM is making a substantial contribution to many local economies where people were previously dependent upon either these marginal lands and/or remittances from outside employment. It goes on to note that, while some data show increasing populations of particular wildlife species and improvements in some habitats, there is insufficient evidence to conclude any cause-and-effect relationship between CBNRM activities and these broad biophysical trends.

---

[15] Agricultural Development Consultants, Inc. *Assessment of Community-Based Natural Resource Management (CBNRM) in Southern Africa.* July 1998.

Finally, the assessment recommends that expansion of RCSA's CBNRM efforts be geared toward the linkage of existing market demands to additional products and services -- such as forest products, non-timber forest products, forage for livestock, beeswax, and honey -- that can be supplied by the communities, while they continue to operate in the wildlife sector. It concludes that indigenous program designs work better in CBNRM programs, although CBNRM approaches are adaptable from country to country.

4.0 Assessment of USAID's Current Assistance Strategy with Agency and Africa Bureau Environmental Objectives

4.1 *Overview of Agency Environmental Strategic Plan*

USAID's overall strategic plan lists protection of the world's environment for long-term sustainability as one of its six Agency-wide goals. To achieve this goal, the Agency aims to:

- reduce the threat of global climate change:
- conserve biological diversity;
- promote sustainable urbanization, including pollution management;
- increase the use of environmentally sound energy services; and
- enhance sustainable management of natural resources.

4.1.1 Operational Approaches

USAID's Strategies for Sustainable Development further lists the operational approaches the Agency should follow in achieving its environment goal. These are:

- Pursue *integrated approaches* to environmental issues.
- *Strengthen USAID's institutional capacity* to ensure that all Agency-supported efforts, whether projects or program-related investments, are environmentally sound.
- *Emphasize local level solutions* , even for environmental problems with global implications.
- *Involve citizens* in identifying problem areas, suggesting and designing solutions, overseeing implementation, and evaluating results.
- *Coordinate and communicate closely with host governments* (while essential to all development work; especially critical here).
- Encourage the development of institutional and policy capacity within recipient countries in order to sustain the environmental impact of USAID's work.
- *Coordinate USAID's efforts with other donors.*

4.2 *Overview of Africa Bureau's Plan for Supporting Natural Resource Management (PNRM)*

The earliest USAID funded natural resources projects in Africa emphasized fuelwood production, village woodlots, improved cook stoves, and renewable energy development. During the 1980's, the need for change became increasingly relevant. Since then, the Africa Bureau has moved towards a greater integration of agriculture, forestry, and natural resources programs.

The Africa Bureau's Plan for Supporting Natural Resource Management (PNRM) identifies five broad environmental problem areas which form the basis for Africa's strategic focus. These are: soil erosion and soil fertility decline; loss of vegetative cover; surface and groundwater degradation; failure to manage coastal resources; and loss of biological diversity.

4.2.1 Program Criteria

Within Africa, the arid-semi-arid tropics and the tropical highlands are two agro-ecological sub-regions that are categorized as high priority target areas for USAID support to NRM. The PNRM also cites Africa's coastal areas, river basins and water resources, and wildlife as significant areas which are increasingly threatened.

Host country government commitment and capability is also an important factor influencing decisions on development assistance in the natural resources and environment sector. Elements to be considered include:

- a favorable policy environment which fosters popular involvement in natural resources development and conservation;
- appropriate national institutions working with adequate budgets and an administrative structure to effectively service participatory management by farmers, small-holders and the private sector;
- a sufficient cadre of trained and motivated extension personnel; and
- realistic national and local experience in carrying out natural resources projects and programs.

In addition, the Africa Bureau's Strategic Plan designates country categories as major, middle-level or minor, is another criteria that should be considered. In essence, major countries, given the coincidence of other decision criteria favoring involvement in natural resources, will likely have a fuller range of activities than a country designated as minor or middle-level.

Further, given the importance and complementarity of agriculture programs with natural resource management activities, the PNRM encourages USAID missions to support collaborative efforts among countries (networking) and donor coordination.

The PNRM also states USAID should continue to strive to address the fundamental causes of environmental degradation in Africa: population growth, economic stagnation and poverty, and declining agricultural productivity. At the same time, USAID will also support focused efforts to deal with specific natural resources management needs and opportunities.

4.2.2 Africa Bureau Priority Technical Concerns

The Africa Bureau considers unsustainable agricultural practices to be Africa's highest priority environmental problem. Thus, the first priority focus for the Africa Bureau is sustainable agriculture. The Plan promotes projects and programs that address the following key characteristics of sustainable agriculture:

- adequate economic returns to farmers;
- maintenance of natural resources base and productivity indefinitely;
- minimal adverse environmental impacts;
- optimal production with minimal external inputs;
- satisfaction of human needs for food and income; and
- provision for the social needs for farm families.

Concentration in the establishment of conditions which favor farmer adoption of better NRM and sustainable agricultural practices will continue to be a primary activity. This will be accomplished through project activities and non-project activities in sustainable agriculture and policy reform.

The Africa Bureau's second priority area is tropical forestry and biodiversity. The primary mode of maintaining biodiversity will be the integration of sustainable development practices within and without the boundaries of reserves and parks.

4.2.3 Agro-Ecological Target Sub-Regions

The PNRM lays out specific target areas in the arid and semi-arid tropics and the tropical highlands. In the SADC region, for sustainable agriculture, Lesotho is a major country, while for tropical forestry and biodiversity, Botswana is a major country and Namibia is a middle one. In addition, Madagascar and central Africa are also target areas for the Bureau.

4.3 *Synergy between USAID's Existing Environmental Portfolio and Agency and Bureau Strategies*

In many cases, USAID's environmental and natural resource management activities in southern Africa mesh well with the approaches and criteria outlined in the Agency and Africa Bureau strategies on the environment. This section briefly delineates areas where ongoing programs correspond closely with the strategies.

4.3.1 Synergy with USAID's Agency Strategy for Sustainable Development

- *Take integrated approaches to environmental issues* -- Integrated approaches have been taken in Namibia, and South Africa. For example, USAID/Namibia's strategic objectives

in economic growth, education, and democracy and governance have strong synergies with its environmental SO. In South Africa, the national level Agenda 21 Awareness Campaign emphasizes the many linkages between various sectors. In addition, there are significant opportunities for linkages between USAID/Malawi's SO1 and SO2 programs which could result in a much more integrated approach to agriculture.

- *Strengthen USAID's institutional capacity* -- Many of AFR/SD's programs strive to strengthen environmental capacity within the agency.

- *Encourage local level solutions for global environmental problems* -- USAID/South Africa's Global Climate Change Initiative and USAID/Tanzania's biodiversity conservation in pilot areas illustrates how local initiatives are used to address environmental problems with global implications.

- *Promote community involvement in identifying problems, designing solutions, overseeing implementation, and evaluating results* -- USAID/Malawi's MAFE project incorporates farmer-level agroforestry research to address problems of soil fertility. RCSA's CBNRM programs involve communities in all aspects of its approach. For instance, in Namibia, the LIFE program mobilizes communities and improves their NRM skills.

- *Coordinate with host governments* -- In Malawi, government partnerships with respect to policy reform are critical. For instance, USAID provides a policy advisor to the Environmental Affairs Department. In Namibia, LIFE works closely with the Directorate of Environmental Affairs and Directorate of Resource Management. In South Africa, the SO6 team is working closely with Department of Housing. Similarly, in Zimbabwe, USAID is involved closely with the Department of National Parks and Wildlife and Ministry of Local Government, Rural and Urban Development.

- *Encourage development of institutional and policy capacity in recipient countries* -- In Malawi, significant policy reform, which will creates the opportunity to build supporting capacity, has been achieved. In addition, USAID is helping to build national capacity for an environmental information system, including environmental monitoring and GIS capability. In Namibia, USAID has encouraged establishment of a firm legislation/policy base for community-based wildlife management. It is now working to improve other policies and helping to improve the capacity of Namibia organizations. In South Africa, USAID has promoted policy formulation and reform in housing sector, improving capacity of communities to apply environmental management principles to local-level urban development. In Tanzania, USAID has helped establish a policy framework for sustainable NRM and focused on improving NGO capacity to support these reforms. In Zimbabwe, USAID is working to establish sound decision making in communities. It also focuses on training and institution building. At RCSA, a primary focus is strengthening regional institutions and national capacity for transboundary NRM.

- *Coordinate efforts with other donors* -- In Malawi, USAID chairs monthly meetings of the Natural Resource Donor Coordination Group. In Namibia, USAID plays a relatively strong role on the CBNRM Collaborative Group and in the CBNRM National Program. In Tanzania, USAID co-chairs a monthly donor focus group on the environment which fosters coordination of activities. In RCSA, other donors are key partners in achieving results.

4.3.2 Synergy with USAID Africa Bureau's Plan for Supporting NRM (PNRM)

USAID's existing environmental portfolio in southern Africa correspond to the five broad environmental problem areas identified in the Africa Bureau's Plan for Supporting Natural Resource Management (PNRM).

- *Soil erosion and soil fertility decline* -- USAID/Malawi's MAFE program has concentrated on addressing soil erosion and fertility declines through agroforestry efforts.

- *Loss of vegetative cover* -- USAID/Malawi's agroforestry efforts address losses of vegetative cover. In addition, USAID/Mozambique's proposed SO will help develop local capacity to manage environmentally sound enterprises such as sustainable forestry and non-timber woodland enterprises.

- *Surface and groundwater degradation* -- USAID/South Africa has emphasized improved access to shelter and urban services, which includes sanitation and potable water. In addition, RCSA's SPOA explores options for improving management of transboundary water resources.

- *Failure to manage coastal resources* -- USAID/Tanzania, through the Global Environment Center's Coastal Resources Management II Project, has been involved in the development of an integrated coastal management policy to address environmental degradation and sustainable use of coastal resources.

- *Loss of biological diversity* -- RCSA's regional CBNRM program, located in Botswana, Namibia, Zambia, and Zimbabwe, concentrate on addressing a loss of those countries' wildlife and other resources. In addition, USAID/Tanzania, through a buy-in with the Global Bureau's Partnership for Biodiversity, works with in-country partners to identify ways to strengthen local and national institutions so that they can apply adaptive management to promote biodiversity conservation.

The PNRM also lays out specific target areas in the arid and semi-arid tropics and the tropical highlands. In the SADC region, these areas are:

- Lesotho, for sustainable agriculture -- USAID's Lesotho Community Natural Resources Management Project, which began in 1991, was designed to be implemented in 2 five-year phases, with an estimated completion date in June 2001. However, USAID closed the bilateral mission in 1995 and, consequently, truncated the CNRM project.

- Botswana and Namibia, for tropical forestry and biodiversity -- RCSA's regional CBNRM program has components which address wildlife and other resources in both of those countries.

In addition, the PNRM cites Africa's coastal areas, river basins and water resources, and wildlife regions as areas that are increasingly threatened. Only USAID/Tanzania and the Global Bureau are involved in Africa's coastal areas. With respect to river basins and water resources, RCSA, through its SPOA, has done quite a bit of analysis and design of future programs. In addition, wildlife concerns have been addressed through RCSA's CBNRM program in Botswana, Namibia, Zambia, Zimbabwe as well as in Tanzania.

5.0 Summary and Conclusions

This report provides information on USAID's existing environmental portfolio in Southern Africa. It does not assess or evaluate this portfolio but rather describes existing strategic objectives, programs and activities.

At present, USAID sponsors bilateral or regional programs in the environment and natural resources sector in six Southern African countries: Botswana, Malawi, Namibia, South Africa, Tanzania, Zambia and Zimbabwe. A further ENR program is proposed for FY 1999 in Mozambique. Additional programs with ENR components (but not stand-alone environmental strategic objectives) exist in Angola, Malawi, Mozambique and Zambia. Most of these programs will end within the next few years.

As this report discusses, the existing portfolio is predominantly rural and spatially-oriented. It is also heavily concentrated in two sectors, agriculture and wildlife, with other sectors receiving less emphasis. Virtually all of USAID's Southern African environmental programs emphasize capacity building, although the level at which capacity is built and the types of activities or approaches used can vary. In general, there has been significant focus on building capacity for resource management at the local or community level. In addition, much effort has gone into strengthening technical capacity at the national level.

This report also identifies how USAID's existing Southern Africa environmental portfolio corresponds to Agency-wide and Africa Bureau strategic priorities on environment. In many

cases, USAID's environmental and natural resource management activities in Southern Africa mesh well with the approaches and criteria outlined in the Agency and Africa Bureau strategies on the environment. In general, existing programs utilize the operational approaches outlined in the Agency Strategy for Sustainable Development. For instance, encouraging development of institutional and policy capacity in recipient countries and involvement of communities in identifying problems and implementing solutions are significant strengths of USAID in Southern Africa. Similarly, much of the existing environmental portfolio concentrates on addressing the loss of biodiversity, one of the five broad environmental problem areas identified in the Africa Bureau's Plan for Supporting Natural Resource Management (PNRM).

In sum, this report aims to provide information on USAID's current environment and natural resource activities in Southern Africa as a precursor to strategic analysis of this portfolio. While useful as a stand-alone document, it is meant to be part of a broader strategic planning initiative, known as FRAME -- Framework for Regional Action and Monitoring on the Environment. It is hoped that this information will feed into future FRAME activities which will explore ways in which USAID's portfolio might evolve so that, using new and existing approaches, it might better address current and emerging challenges facing the region.

Appendix A
Documents Consulted

- **General or Africa-wide**

Africa Bureau, Office of Sustainable Development

Plan for Supporting Natural Resources Management in Sub-Saharan Africa: Regional Environmental Strategy for the Africa Bureau [1992]
Strategic plan 1998-2003 [1997]

USAID

Annual Performance Plan FY 1999 [1998]
Strategies for Sustainable Development: Protecting the Environment
USAID Strategic Plan

World Bank

Achieving a sustainable agricultural system in SSA [1995]
A climate strategy for Africa [1995]
Environmental education in SSA [1998]
A Framework for integrated coastal zone management [1995]
Institutional structures for environmentally sustainable development [1995]
Managing the environment locally in SSA [1995]
Toward environmentally sustainable development in SSA [1996]
Towards a renewable energy strategy for SSA [1995]
Urban agriculture [1996]
Urban planning and environment in SSA [1995]

Other

BSP annual report [1996]
BSP - Evaluating the first eight years [1997]
Lessons from the ground up - WRI [1995]
New roots - WRI [1995]
Plan for supporting NRM in SSA [1992]
PARTS midterm evaluation [1994]

- **Regional**

RCSA/SADC

Capitalizing on regional dynamics in Southern Africa [1997]
Environmental flashpoints in SSA [1998]
Environment project profile [1994]
Forest sector policy and development strategy for SADC [1997]

FY 1999 R4 [1997]
FY 2000 R4 [1998]
Regional integration through partnership and participation [1997]
Southern African initiative on EE [1996]
Southern Africa beyond the millennium [1997]
Southern Africa regional environmental activities and issues [1997]
Southern Africa water sector assessment [1995]

REDSO/ESA

FY 1999 R4 [1997]
Strategic plan 1996-2000

- **By Country**

Angola

Congressional Presentation FY 1998 [1996]
Environmental Synopsis [1993] - English and Portuguese
R4 FY 2000 [1998]
R4 FY 1999 [1997]
Strategy Update, FY 1998-2001 [1998]

Botswana

Locust Control Program [1994]

Lesotho

Evaluation of the CNRM Project [1995]
Environmental Synopsis [1993]

Malawi

Congressional Presentation FY 1998 [1996]
Congressional Presentation FY 1999 [1997]
Consolidating the SADC Forestry, Fisheries, and Wildlife... [1997]
Country Profile: Implementation of Agenda 21 [1997]
CSP 1995-2000 [1995]
Environment and Law [1997]
Environmental Synopsis [1993]
GreenCOM/Malawi [1996]
National Environmental Action Plan [1994]
National Environmental Policy [1996]
Policies for NRM [1998]
Protected Areas [1997]
Public Lands Utilization Study [1998]
R4 FY 2000 [1998]

Strategic Assessment of USAID/Malawi's Natural Resources Program [1998]

Mozambique

Assessment of unmet needs and program options for an environment strategy in Mozambique [1997]
Congressional Presentation FY 1998 [1996]
Congressional Presentation FY 1999 [1997]
CSP FY 1996-2001
Environmental Synopsis [1993] - English and Portuguese
Environmental Issues Relevant to the Preparation of USAID/MOZ's CSP [1994]
Program Day [1997?]
Programmatic Environmental Assessment of USAID/MOZ... [1993]
R4 FY 1999 [1997]
R4 FY 2000 [1998]

Namibia

CBNRM Sector Assessment [1998]
CBNRM Strategic Objective and Strategic Plan [1998]
Congressional Presentation FY 1998 [1996]
Congressional Presentation FY 1999 [1997]
CSP FY 1996-2000
Document Bibliography
Environmental Synopsis [1993]
Environmental Threats and Opportunities: Synthesis Report [1996]
LIFE Evaluation [1998]
LIFE Project Evaluation [1995]
Marine Environmental Threats [1997]
Outline of CBNRM Projects in Namibia [1997]
R4 FY 2000 [1998]
Support to the CBNRM Programme: Concept Paper [1998]

South Africa

R4 FY 1999 [1997]
R4 FY 2000 [1998]
CSP FY 1996-2005
Congressional Presentation FY 1998 [1996]
Municipal Environmental Development [1996]

Tanzania

African Wildlife Foundation PORI Project Revised Proposal [1998]
Congressional Presentation FY 1998 [1996]
Congressional Presentation FY 1999 [1997]

CRIES (Community Resource Improvement for Environmental Sustainability) Newsletter. USAID/TU/SUA. [1997]
CSP 1997-2003
Program Day [1997?]
R4 FY 1999 [1997]
TCMP Fact Sheet and Work Plan [1998]
U.S. Department of Interior, Partnership for Biodiversity. Tanzania Work Plan [1998]
World Resources Institute. Objectives, Results, and Indicators.

Zambia

Congressional Presentation FY 1998 [1996]
Congressional Presentation FY 1999 [1997]
CSP 1998-2002 [1997]
NRMP Program Review and Evaluation [1995]
Program Day [1997]
R4 FY 2000 [1998]
R4 FY 1999 [1997]

Zimbabwe

Congressional Presentation FY 1998 [1996]
Conrgessional Presentation FY 1999 [1997]
CSP 1997-2003
R4 FY 1999 [1997]
R4 FY 2000 [1998]

Appendix B
Persons Contacted

USAID/AFR

Paul Bartel
Jim Graham
Curt Grimm
Patricia Jordan
Mike McGahuey
Tony Pryor
Tim Resch
Fred Swartzendruber

GLOBAL/ENV

Danielle Arigoni
Dan Deely
Cynthia Gill
Bob McLeod
John Mitchell
Mark Murray
Christine Wegman

EIC/PADCO

Rob Aldrich
Ko Barrett
John Michael Kramer

CDIE

Keith Forbes
Chris Cochran
Valerie Douglas

WORLD BANK

Nina Chee
Robert Clement-Jones
Albert Greve

OTHER

John Adair	[AMEX]
Yasmin Ahmad	[DAC (OECD)]
Mark Buccowich	[USFS]
Nils Christofferson	[ART]
Richard Cincotta	[Pop. Action Int'l]
Theresa Kimble	[CNA]
Joseph Koroma	[NESDA]
Stefania Korontzi	[UVA-CARPE website]
Bob Mowbray	[Consultant]
Cecile Thiery	[IUCN librarian]
Dan Tunstall	[WRI]

Appendix C

Country Matrices

Southern Africa E/NR Program Matrix Other Related Strategic Objectives

ANGOLA

SO1 *Increased Resettlement Rehabilitation and Food crop Self reliance of War torn Angolan Communities* [initial obligation FY 1996 estimated completion date 1999]

Beneficiaries The beneficiaries of USAID resettlement and rehabilitation programs include 330 000 refugees 40 000 demobilized soldiers and their 100 000 family members 3 000 war affected children and 2 500 victims of land mines

Geographic Region Mostly Huambo Region where most resettlement was to take place where most of the non Ovimbundu people live and which was most affected by the war

Development Hypothesis

SO Indicators	INTERMEDIATE RESULTS	IR Indicators	Reported Results (from R4's)	Approach	Noteworthy Elements	Linkages	
						USAID/Angola	Other Donors
	1 Increased levels of food security in communities where there are significant populations of resettled Increased household food production Improved food crop variety availability Restored roads and bridges in certain areas Rehabilitated community facilities	Number of internally displaced people resettled Decrease in free food distribution in partner programs Increase in improved food crops adopted by farmers in targeted areas secondary and tertiary roads and bridges repaired and maintained rehabilitation of schools health posts and other community facilities	level of resettlement expected in 1997 did not occur primarily due to the slow progress of extension of state administration lack of full freedom of movement and insecurity in many areas during 1997 340 000 of 540 000 USAID supported free food beneficiaries were able to be phased off general distributions over 800 farmers participated in testing new varieties of imported seeds 9 of 12 were selected over local varieties in 1997 USAID funded PVOs exceeded the results planned over the next 3 years (1646 km of road 74 bridges) USAID funded PVOs exceeded results planned over the next 3 years			SO2[DG] support to farmer s associations and micro-credit links to support civil society	Other major donors to the resettlement and rehabilitation effort are the European Union, the Netherlands and the United Nations Development Program (UNDP) soon to be joined by the World Bank with a $20 million Emergency Social Recovery Program There are periodic food aid meetings called by United Nations Humanitarian Coordination Office, bi weekly meetings of the Technical Working Group on Demobilization of the Joint Peace Commission periodic demobilization support meetings called by UNDP and periodic seed and tool committee meetings called by the Food and Agriculture Organization of the United Nations
	2 Improved health status in areas covered by NGO partner programs Decreased rates of malnutrition Increased access to primary health care Increased access to potable water	decrease in number of children with severe or acute malnutrition increase in access to primary health care increased water points	exceeded planned results in number of children treated (19 000) and individuals outreached (1 27 million) 122 water systems rehabilitated exceeding				

52

	3 Rehabilitation of war victims and other vulnerable groups Institutional support provided for the treatment and rehabilitation of vulnerable groups Communities and individuals trained to facilitate return of vulnerable groups to their homes Demobilization process supported	number of organizations with socialization treatment capacity expanded IOTs given to adults in socialization treatment increased number of former soldiers disarmed and	capacity of 119 groups improved exceeded planned results 925 adults trained approximately 42 000 soldiers were demobilized				

Project Name Seeds of Freedom'
Description increased agricultural productivity by raising quality of seeds given to resettled farmers
Funding level FY 1998 $200 000 Proposed FY 1999 $500 000 (Environment funds)
Key Documents

Bostwana
SO 3 Improved agriculture policies programs and strategies [initial obligation 1 Y1995 Estimated completion date FY 2000]
Beneficiaries The Department of Wildlife and National Parks (DWNP) received technical and policy assistance so as to establish joint venture guidelines defining the management roles and responsibilities for community management of wildlife and tourism concessions
Development Hypothesis

SO Indicators	INTERMEDIATE RESULTS	IR Indicators	Results/Outcomes	Approach	Noteworthy Elements	Linkages	
						USAID/Bostwana	Other Donors
- Rate at which 'percentage area on which improved technologies and management practices are utilized' increases - Sales of improved seeds - Increased private sector involvement in technology development and transfer, as measured by number of networks with private sector representation	1 Functioning systems in place for transfering Ag/NRM technologies and best practices across the region 2 An enabling environment which provides increased incentives for smallholders and communities to adopt sustainable Ag/NRM technologies and approaches	- Policies and regulations facilitate cross border transfer - Improved regional institutional capacity to assess best practices/technologies a/ Technologies/approaches developed and tested b/ Capacity to develop and test new approaches c/ Coordinated plans developed through participatory process d/ Improved data and analysis for decision making	- Smallholder agriculture Community based natural resources management	- Improving the effectiveness of regional research and training, and training efforts by the SADC coordination units in the agricultural and natural resource sectors -Promoting CBRNM in areas unsuitable for intensive agriculture			Chemonics International and its subcontractors Conservation International and Domestic Technologies International provide institutional contract for communities involvement.
	3 Improved infrastructure to move goods and people	Strengthened local capacity for Ag/NRM decision making Policies promote sustainable use of Ag/NRM a/ Strengthened regional market structures b/ Improved input distribution c/ Improved market information	Sustainable natural resource use is profitable for rural communities	Promotion of sustainable conservation based development of marginal lands	- The BNRMP become a government funded activity		Institutional Reinforcement and Community Empowerment (IRCE) helps strengthen local NGOs IUCN/Bostwana
			Local employment and incomesare increased	Use of technical and policy assistance			

			Local institutional decision making and management are strengthened as well as women s participation in reource management programs	Curriculum development teacher training and non formal and conservation based education			

Project Name Bostwana Natural Resources Management Project (BRNMP)

Demonstration projects in community based resource use
Planning and applied research
Personnel planning and training
Environmental and conservation education
Policy development

Funding level P10 million (US$2 8 million) programmed in 1997 by the National Development Plan
Key Documents

Southern Africa E/NR Program Matrix Environment Strategic Objectives

MALAWI

SO2 *Increased sustainable use conservation and management of natural resources* [initial obligation FY 1995 estimated completion date FY 2000]

Beneficiaries The 90% of Malawi s population who live and work in rural areas, particularly women who are responsible for 70% of the farming practices and most household chores such as collecting firewood

Development Hypothesis

SO Indicators	INTERMEDIATE RESULTS (1996)	IR Indicators	Reported Results (from R4 s)	Approach	Noteworthy Elements	Linkages	
						USAID/Malawi	Other Donors
adoption of improved soil conservation practices adoption of improved soil fertility practices adoption of improved tree planting practices	1 comprehensive policy and legislative framework established sectoral policies and legislation updated	new policies and legislation enacted	Forestry and Fisheries legislation enacted	National and sector policies and legislation (e g fisheries forestry wildlife) changed from centralized command and control of natural resources to encouraging community based management Use NPA National scope Implementing mechanism CA with University of Arizona (Tony Seymour)	Sweeping policy reforms coincide with democratic political shift Need to emphasize policy implementation and redefinition of institutional roles	SO1 [EG/increasing rural incomes] SO2 results will ensure sustainability of SO1, progress under SO1 is considered key to the success of SO2 Increased incomes and food security can only be assured with sound NRM SO5 [DG/judicial reform] a link to SO5's support for judicial reform will be explored as a means of addressing the challenge of effectively enforcing new NRM legislation	The World Bank, European Union United Nations and the British and Danish governments are implementing assistance programs to address environmental constraints that complement the USAID program It is widely acknowledged that USAID s focus on policy reform will enhance the feasibility success and sustainability of all GOM and donor financed programs in this sector To promote improved donor coordination among a wide variety of stakeholder organizations, USAID chairs monthly meetings of the Natural Resource Management Donor Coordination Group *DANIDA* supporting the formulation of Malawi s new strategy for agriculture, including preparation of land reform. Also supports irrigation and livestock farming *UNEP/UNDP* Environmental law reform assistance
	2 capacity of national NRM institutions strengthened Institutional coordinating mechanism in place and function NRM and environmental information available Sustainable mechanisms for financing NRM and Environmental activities in place and function Institutional roles and responsibilities clarified	- prototype environmental information system (EIS) developed and applied environmental research and training strengthened	Middle Shire River EIS strategy developed GOM agreement on system of national data standards for GIS preparation of land cover maps and a land cover change assessment which pinpoints areas of severe environmental degradation developed environmental research partnership between GOM and University of Malawi technical training and field experience for Malawians	Focus on GIS and information system Objectives changed significantly over time from monitoring environmental impact of tobacco smallholder production reforms to monitoring environmental data for NEAP Started with national approach now region specific Implementing mechanism CA with University of Arizona (Kent Berger)	GIS training and independent use within public sector institutions Opportunity for demand driven information system which may include basic products incorporation of socio economic data and timely delivery of services and enhanced private sector participation		

	3 service programs improved	agroforestry technologies and support services tested evaluated and adapted at farm level before broad based extension to farmers ongoing partnership agreements agroforestry/soil conservation support provided through partnerships	number of technologies which are undergoing testing or have completed testing and modification/adapting with farmers met target of 2 and 15 respectively 29 USAID/NGO/private sector partnership agreements supporting agroforestry/soil conservation	Program (MAFE) emphasizes field research on technically viable practices to increase yields and improve soil fertility Close partnership with EU agroforestry program (PROSCARP) which emphasizes extension services and allows dissemination of research results Implementing mechanism CA with Washington State University (Trent Bunderson) MAFE	Opportunity for greater emphasis on short term economic gains		
	1 capacity of communities to manage natural resources improved	indicators to be developed once activity under this IR begins in June 1998		Implementing mechanism (IBA) COMPASS	Opportunity to focus on policy transmission belt		
	5 capacity of NGOs/PVOs strengthened						

Project Name NATURE (Natural Resources and Environmental Support Program)
Description NATURE was initiated in 1995 to assist the Government of Malawi (GOM) with environmental policy reform in addition to project activities and technical assistance This program is the primary means of achieving SO2, and its estimated completion date is 2000 There are several components to NATURE (1) NEAP Implementation - Cooperative Agreement with U of Arizona, Tony Seymour
(2) Environmental Information System Implemented by U of Arizona Arid Lands Institute Clark University, (3) Agroforestry research and extension programs Implementor Washington State University, (4) COMPASS Project
Funding level Financial assistance is divided into two components GOM budgetary support of $30 5 million (non project assistance) and activity assistance of $9 5 million over five years
Key Documents Malawi Strategic Assessment June 1998 PLUS Study March 1998, Policies for Natural Resources Management March 1998

MOZAMBIQUE

SO1 *Increased rural household income in focus areas* [initial obligation FY 1996, estimated completion date 2001]

Beneficiaries An estimated 9 million people 52% of Mozambique's population live in USAID program target areas Virtually all of these will benefit from the improved policy environment and USAID financed technical interventions The multi-donor roads program and market information systems will improve market access for 65% of this population Field activities operate in Nampula and Zambezia Provinces northern Sofala and Manica, and one district in Tete This area covers about 35% of Mozambique's territory and about 52% of its population and has great agricultural potential

Development Hypothesis

SO Indicators	INTERMEDIATE RESULTS	IR Indicators	Results/Outcomes	Approach	Noteworthy Elements	Linkages	
						USAID/Mozambique	Other Donors
net per capita average real income per year Income shares from agricultural production for household consumption and for sale from microenterprises and from wage labor	1 Increased access to markets in focus area improved enabling environment for market activities roads necessary for agricultural marketing are rehabilitated and are thereafter adequately maintained expanded private sector capacity to market goods and provide transport services market information systems operational	mean volume of maize marketed by households cashew marketed in focus area value of key exports produced by focus area volume of maize exports from focus area	between 1995 and 1997 income per household from sales of agricultural produce rose by 51% in those districts with USAID field activities generally upward trend in amount of cashew marketed in focus areas exports of maize increased from almost nothing in 1995 to 50 000 tons in 1997 volume of coastal shipping more than doubled			SO2[DG] empowering citizens in micro-enterprises is linked to democracy and good governance Also linkages in that SO1 is supporting new legislation which strengthens the land tenure of smallholders and larger commercial and agricultural interests and is maintaining a dialogue between the government civil society, and rural communities Proposed SO[NRM] sustainable NRM is important for the adoption of sustainable agriculture techniques Additionally SO1 supports the proposed SO in its environmental monitoring and mitigation in road rehabilitation efforts.	*World Bank.* Agricultural Extension institutional support, rural trade *UNDP* Institutional support for MOA and INDER, technical assistance extension social infrastructure in Tete, Niassa, Inhambane *EU* rural microenterprises in Gaza, Manica seed potato, agriculture (Nampula, Cabo Delgado Manica, Sofala, Zambezia) NORAD Rural Recovery Program (state administration social services ag extension in Cabo Delgado), Institutional support to fisheries
	2 Rural enterprises expanded improved environment for microenterprise development strengthened access to financial services farmer marketing associations adoption of new technologies	rural households in focus area that are involved in or operating at least one micro or small enterprise (MSL) rural households owning/operating MSEs of different sizes MSLs in target areas having an environmental focus average annual value per household of transactions (gross sales) of MSLs and Rural Group Enterprises (RGEs)	USAID assisted farmer marketing associations to gain legal status but registration requirements remain onerous only 14% of rural microenterprises received loans last year although overall growth in number of in kind loans was 136% network of rural based marketing associations in three provinces expanded from 65 to 255 and from 2 740 to 18 657 member participants no MSL s have a strict env focus as yet improved post harvest technologies were introduced				

58

	3 Increased sustainable agricultural output in focus area increased agricultural production improved farming practices sustainable production land tenure security	average volume of household agricultural production (selected crops) average gross value of household agricultural production households adopting specific production or diversified production technologies households making improved resource management investments average corn yield	average volume of household agricultural production increased due to both cultivated area and yield increases gross value of farm production has consistently increased over 23 000 farmers participated in 950 field days 2 700 contact farmers on the job training from partner extensionists and 10 500 farmers undertook controlled production trials adoption of improved maize varieties increased yield 15 percent in selected areas 62% of farmers practice some form of soil conservation 82% reported controlled burning of crop fields 28 practiced agroforestry including cashew Over 8 000 households in the focus area engaged in cashew improvement activities				

Project Name
Description Activities to support increased sustainable agricultural output of cashews and other crops
Funding level Environment Funds I Y 1998 $6 735 000 Proposed Environment Funds I Y 1999 $4 300 000
Key Documents

NAMIBIA

SO 3 *Increased benefits to historically disadvantaged Namibians from sustainable local management of natural resources* [initial obligation FY 1996 estimated completion date FY 2001]

Beneficiaries Rural community members in target areas of eastern Otjozondjupa western Omusati and East and West Caprivi (LHE) MET EE Centers school groups and communities nationwide (for environmental education) support to a number of national level institutions

Development Hypothesis Namibia s SO 3 hypothesis is that by changing the rules of State to permit local peoples to manage certain resources initially wildlife not only will communities be able to improve their livelihood, but the resource will also be sustained Operationally the CBNRM program s hypothesis is that national reforms related to wildlife management and the management of other resources can be captured within the concept of a conservancy and then tested in a series of pilot areas Once the details of this have been tested, and a broader policy regime put in place it is further hypothesized that the conservancy construct can be "ramped up to cover a significant portion of the Namibian rural population

SO Indicators	INTERMEDIATE RESULTS	IR Indicators	Reported Results (from R4 s)	Approach	Noteworthy Elements	Linkages	
						USAID/Namibia	Other Donors
community income (gross) from program supported natural resource management activities number of individuals in target communities that benefit from program supported NRM activities hectares of communal land under local management number of conservancies created	1 improved policy and legislative environment for local control of NRM improved capacity of Namibian organizations to establish legal regulatory and policy framework supportive of CBNRM increased community awareness and knowledge of NRM opportunities and constraints increased analysis of CBNRM dynamics experience and lessons learned	national policies legislation and regulations adopted that promote environmentally sustainable resource management practices number of USAID funded activities that have assisted Namibian organizations to establish legal regulatory and policy frameworks supportive of CBNRM	seven policies supportive of CBNRM have been adopted in some form USAID supported 19 activities (exceeding target by 5) including exchange visits training workshops research and discussion papers	National policy and analysis non NLAP based		SO1 [EG/enhancing roles of historically disadvantaged] SO3 complements SO1 through micro-enterprise development from CBNRM resulting in increased income and involvement in the economy particularly among women SO2 [EDUC] improving education in disadvantaged primary schools will support the progress of SO3, introducing environmental education may lead communities to be more supportive of CBNRM SO4 [DG] strengthening policy and legislation, increasing community involvement in Namibian NGOs and CBOs will contribute to strengthening civil society	*GTZ* supporting natural resources management, fisheries and water management along with range and livestock activities *Austria* supporting the MET in planning for community based tourism *SIDA* funding and implementing Natural Resource Accounts Project and Namibian Community based Tourism Association (NACOBTA) *FINNIDA* supporting a community component within its program with the Directorate of Forestry in the MET EU five year assistance program beginning 1998 that includes US $7 million for tourism development

	2 strengthened CBNRM activities in target communities communities mobilized into legally recognized bodies to manage communal resources improved community skills in participatory and technical NRM and enterprise management improved knowledge base of key stakeholders and other resource users	number of Namibian organizations strengthened to sustainably assist communities in the establishment of sustainable CBNRM enterprises and management enterprises number of Namibian men and women participating in officially recognized management bodies which assume responsibility for management of natural resources number of program supported activities that produce positive net economic benefits to resource users in target areas	three organizations showed a 40% improvement in management capacity as measured by the Institutional Development Profile total numbers lower than anticipated but percentage of female members stayed constant only one new activity since last year due to conservancies which have not registered yet	Initial wildlife focus now diversifying Concentrate on conservance establishment Started as pilot now becoming national **Implementing mechanism** CA with WWF US (Irene Kamau) Contracts with MSI (David Callahan) Rossing Foundation World Learning AED			
	3a improved natural resource base in communal areas improved capacity of Namibian organizations to sustainably support communities in CBNRM social/economic/ecological knowledge base improved for management of communal natural resources ---------- 3b CBNRM implemented nationally improved natural resources accounting systems	---------- progress towards implementation of a national CBNRM program [qualitative evaluation] indicators to be developed once activity under this IR begins in June 1998					

Project Name LIFE (Living in a Finite Environment) Initiated 1993 scheduled to be completed 1999
Description LIFE is a CBNRM project which also supports changes in national legislation social and economic improvements in marginal communal areas, research, training, and regional information exchange Implementation through a cooperative agreement with WWF US (Irene Kamau) Other implementers include Integrated Rural Development and Nature Conservation (IRDNC) Namibia Nature Foundation (NNF), Division of Environmental Affairs (DEA) MSI (subcontract under CA David Callahan) and Academy for Educational Development (AED)
Funding Level $15 million from USAID with in kind contributions from Ministry of Environment and Tourism valued at $3 910 000 and a matching contribution from WWF valued at $3 million
Key Documents CBNRM Sector Assessment for Namibia LIFE Evaluation, March 1998 USAID/Namibia SO 3 Community based Natural Resources Management (CBNRM) Strategic Objective and Strategic Plan

SOUTH AFRICA

SO6 *Improved Access to Environmentally-Sustainable Shelter and Urban Services for the Historically Disadvantaged Population* [initial obligation FY 1995 estimated completion date 2000]

Beneficiaries Urban households earning below median national monthly income **Locations** National (policy agenda) Urban based Eastern Cape KwaZulu Natal Mpumalanga

Development Hypothesis

SO Indicators	INTERMEDIATE RESULTS	IR Indicators	Reported Results (from R4's)	Approach	Noteworthy Elements	Linkages	
						USAID/South Africa	Other Donors
Total rand value of funds (including amounts leveraged) made available for shelter and urban services for the HDP Total number of HDI households with improved access to full or partial shelter units and urban services through USAID partner intervention	1 Improved policy environment for facilitating access to shelter and urban services	degree to which the policy framework addresses identified constraints to the provision of housing and urban services for the HDP implementation of policy frameworks as assessed by # of subsidies issued by the Dept of Housing # of areas provided with cover against risk of non payment by the Mortgage Indemnity fund # of builders registered und r National Home Builders Warranty Scheme Rand value of credit made available to retail credit institutions by the National Housing Finance Corporation	To be determined (as of April 1998)	Technical assistance through mechanisms such as public private partnerships within the context of a bilateral agreement with RSA focused on specific analysis amd determination of policy	Recently passed Community Reivestment Act Also working in area of credit reform Intergovernmental grants are critical for local government as they have beepme the basis for distributing financial resources	SO1[DG] SO1 will strengthen national and provincial level public sector institutions and civil society organizations to help ensure that the new political compact will endure SO2[EDUC] The provision of education and training should have a positive impact on the development of critical management skills SO4[EG] Improving the capacity of South Africans to ensure the level of economic growth that has been identified as a prerequisite to the development of shelter and infrastructure markets and to enterprise creation SO5[market access for HDP] Supports SO6 in strengthening access to finance for HDP owned enterprises including the construction industry which is expected to build as much as 90% of the required housing and services	*DANIDA* development of rural areas including support for land reform strategy and policy development.
	2 Previously ineligible households developers/ builders and municipal services providers obtain access to credit	Rand value of credit obtained by HDP households developers/builders and service providers for HDP shelter and urban services Number of HDI households assisted to obtain shelter and urban services through the provision of credit to emerging developers builders service providers as well as the households themselves	Actual Rand value was 1 482 billion double the value of the planned result Over 270 000 households assisted	Technical assistance working with formal and non traditional sector banks through the HGA	Country wide loans and loan guarantees		
	3 Increased non credit forms of assistance mad available	number of HDP households that receive shelter related services through USAID partner intervention	over 340 000 households serviced exceeding expected 1997 results by 150 000	Grants to NGOs	Organizing community based organizations Facilitating community participation access to funds and information provision		

62

	4 Improved capacity to apply sustainable/participatory environmental management principles to local level urban development	number of low income communities in which sustainable environmental management practices are being applied	six communities Note this indicator only reports on communities where programs have been set up by local authorities working within Agenda 21 guidelines It does not include many other SO6 assisted interventions such as the creation of environmental clubs workshops neighborhood centers publications etc	Implementing mechanism Fixed amount reimbursement (FAR) agreement with the University of Cape Town s Urban Environment Unit Also provides funding fro environmental activities proposed by the Committees of the US/RSA BNC such as the Working for Water alien plant species removal program	Environmental education and support for schools or community groups developing urban or peri urban gardens Implementing mechanism Grant to Wildlife and Environment Society of South Africa		

Activities being initiated include a National Level Agenda 21 Awareness Campaign and an Urban Environmental Training and Resources Center The Agency s Global Climate Change Initiative in RSA will also be implemented under this SO
Funding level FY 1998 (ENV funds) $1 000 00
Key Documents SO Agreement between USAID and RSA for the South Africa Global Climate Change Support Program

TANZANIA

SO2 *Foundation established for adoption of environmentally sustainable NRM practices* [initial obligation FY 1995 estimated completion date FY 2003]

Beneficiaries Over 80% of the country's labor force (about 12 million people) live in rural areas and are involved in agriculture herding forest extraction or mining activities Legislation and policies which support sustainable use of the country's natural resources will benefit over 40% of these residents directly as well as businesses involved in tourism mining and marketing of agricultural and forestry products

Development Hypothesis Once Tanzania has a sound and interrelated legal framework for environmental preservation and use and when individuals and communities have secure tenure over resources combined with the knowledge skills organizations and technologies to use them in a productive manner they will be motivated and committed to do so

SO Indicators	INTERMEDIATE RESULTS	IR Indicators	Reported Results (from R4's)	Approach	Noteworthy Elements	Linkages	
						USAID/Tanzania	Other Donors
improved conservation practices adopted in pilot areas land area effectively managed by communities in pilot areas	1 policy framework for sustainable NRM established NRM friendly policies and laws enacted enabling conditions set in place improved coordination among partners secure resource tenure established	environment/natural resources management policy index local communities legally empowered to manage local resources mandates of institutions responsible for environmental management clarified and coordinated	Tanzanian Parliament approved the National Environmental Policy (NEP) which provides the framework for subsequent policy actions in coastal resources management			SO1 [POP] success of SO1 will contribute to long term success in SO2 [it will be extremely difficult for sound natural resources management to occur if pop growth rates remain high and pressure on the resources exceeds renewal capacity] SO4 [EG] the success of SO4 over the long term will depend on a renewable resources base for the private sector to exploit SO3 [DG] environmental education, strengthened legislation work with community based organizations and local NGOs etc will strengthen the civil society SO5 [Infrastructure] success of SO2 depends over the long term on improved access to transportation communication and markets REGIONALLY program build on lessons learned by AFR elsewhere including KEN ZIM NAM MAD UGA TAN is key in region [pol stability ag potential Efforts at regional cooperation w/SADC, EAC GHAI around Lake Victoria basin	USAID co-chairs a monthly donor focus group on the environment which fosters coordination of activities *UNDP/GEF* biodiversity conservation *DANIDA* environmental monitoring and a national forest seed project in the southern highland districts *NORAD* Assists Ministry of Tourism Natural Resource Management and Environment unit with planning, training, land conservation and evaluation
	2 institutional and technical capacity for analysis built results of testing lab synthesized and disseminated analytic capacity developed problems and solutions with NRM programs tested and analyzed	number of Tanzanian organizations and institutions strengthened to assist communities in the establishment of sustainable CBNRM enterprises number of Tanzanian NGOs or local community organizations strengthened to manage biological resources effectively number of people trained in environmental/NRM related fields and applying their skills	optimal measure for success in institutional strengthening is currently being determined					

64

	3 appropriate NRM approaches and technologies identified field tested and implemented in pilot areas technologies and hypothesis tested in pilot areas technologies and practices employed in pilot areas	number of pilot areas operating under integrated management plans including community resource agreements percent of revenue generated from appropriate practices in pilot protected areas that is shared with buffer zone communities percent of men and women in target areas adopting sustainable practices (index measuring 3 phases knowledge experimentation adoption)	Tanzania Coastal Management Partnership (TCMP) is introducing a set of self regulating best practices which will be introduced in late CY 1998				

Project Name Participatory Environmental Resource Management (PERM) Kagera Resources Management Program, Tuskegee/University of Agriculture Linkages (TU/SUA)
Description USAID supports institutional strengthening policy dialogue, legislative reform and village level activities designed to support community based natural resources management around protected areas with rich biological diversity Implementers include African Wildlife Foundation and WWF US Tanzania also has buyins to Environmental Policy and Institutional Strengthening Indefinite Quantity Contract (EPIQ IGC) implemented by International Resources Group and MSI Environmental Education and Communication (GreenCOM) contract with AED, Coastal Resources Management II Cooperative Agreement with University of Rhode Island
Funding level Proposed FY 1999 $3 000 000 Development Assistance
Key Documents African Wildlife Foundation Partnership Options for Resource Use Innovation (PORI Project)
Revised Proposal February 1998, CRIES (Community Resource Improvement for Environmental Sustainability) Newsletter September 1997 USAID/TU/SUA, TCMP Executive Summary, Year One Work Plan, 1 April 1998 to 30 June 1999 U S Department of Interior Partnership for Biodiversity Tanzania Work Plan 1 April 1998 to 31 December 1998, World Resources Institute Objectives Results, and Indicators

65

ZAMBIA

SO1 *Increased Rural Incomes for Selected Groups* [initial obligation FY 1996 estimated completion date 2003] *note* below are redefined SOs/IRs from new 1998 2002 Country Strategic Plan

Beneficiaries The Zambian private sector which through privatization and a better enabling environment receives adequate rewards for their initiative In turn all citizens will benefit from a stronger and more open private sector through employment opportunities lower prices, improved quality and diversity of products and services Specific beneficiaries of rural based activities include disadvantaged rural communities people and animals in game management areas, small scale farmers, and agribusiness operators

Development Hypothesis The development hypothesis underlying SO1 is that three key sets of interventions can effectively fill the gap left when the government redefined its role in rural markets reducing constraints to private sector growth increasing production and improving productivity

SO Indicators	INTERMEDIATE RESULTS	IR Indicators	Results/Outcomes	Approach	Noteworthy Elements	Linkages	
						USAID/Zambia	Other Donors
Aggregated increases in rural net family income	1 Increased sustainable agricultural and natural resource based production improved low rainfall farm production improved farm productivity improved farm productivity improved sustainable output of NR based community groups increased adoption of sustainable agriculture and NRM practices	number of farmers using improved technologies number of farmers planting low rainfall crops and technologies number of farmers who increase their net incomes by participating in post production economic activities number of rural non farm enterprises marketing natural resource products number of local level (project area) farmers using sustainable agriculture or NRM practices				SO2[EDUC] SO1 is supportive of SO2 in that increasing rural incomes weakens the rationale for limiting the education of girls SO3[HEALTH] By increasing the disposable income of the rural population health services become more affordable and thus may be used more frequently SO4[DG] Reducing private sector constraints are inherently related to SO4 as they relate to the institutional environment in which the rural economy operates Activities such as binding arbitration are also related to DG goals as they bring the legal system closer to the people	*World Bank* largest funder of privatization activities from legal reform to direct business financing *UNDP* focuses on employment creation through small enterprises women entrepreneurs and policy support. *UK* major microfinance project and co-fund Venture Capital Fund *GTZ* finances macroeconomic enhancement and provides advisory services to the Ministry of Commerce Trade and Industry *EU* supports high value crop exportation a major restructuring activity with the Ministry of Tourism and the National Parks and Wildlife Service including finalizing new wildlife legislation *NORAD* wildlife/NR management in Luangwa National Park, supported National Farmers Union in testing more environmentally sound methods of cultivation
	2 Increased contribution of rural SMEs to private sector growth increased rural non farm enterprise access to finance and markets improved rural SME skills improved SME support institutions	supported and impacted SMEs annual increase in profits supported and impacted SMEs annual increase in number of employees increase in the annual value of total loan disbursement to rural non farm enterprises by or through supported entities number of graduates from training courses increase in number of members in SME associations increase in percentage of self funding of SME associations					
	3 Reduced constraints to PS growth increased non traditional exports reduced cost of commercial reduced State involvement in the economy	cumulative number of new fair and effective trade agreements signed value of non traditional exports number of companies having resolved contract disputes via binding arbitration number of parastatal companies sold or liquidated percentage of privatized assets bought or controlled by Zambians					

Project Name 4 activities in 1997

Cooperative Agreement with CARE to increase the returns to small scale agriculture in drought prone regions

Cooperative Agreement with the Cooperative League of the U S A (CLUSA) expanding access to rural finance for farmer managed non farm enterprises and linking small scale producers and processors through outgrower schemes and contracts

Grant to Africare to diversify rural households income sources through small scale rural agroprocessing enterprises

- *The Administrative Design for Management (ADMADE) Project Grant* Agreement with the GRZ Ministry of Tourism to promote community based natural resources management in Game Management Areas surrounding Zambia s national parks Revenues accrue to the community

Funding level Total Proposed FY 1999 $6 900 000 Environment Funds FY 1998 $400 000

Key Documents NRMP Program Review and Evaluation (1995)

ZIMBABWE

SO1 *NRM strengthened for sustainable development of CAMPFIRE communities* [initial obligation FY 1989 estimated completion date FY 2000]

Beneficiaries Rural families and communities throughout the poorest regions of Zimbabwe through increased revenue and income and through increased empowerment gained by an enhanced capacity to effect real positive and lasting change in the quality of their lives and the surrounding environment

Development Hypothesis The basic development hypothesis underlying CAMPFIRE is that people will manage natural resources sustainably if they are granted control over those resources, and if it can be clearly demonstrated that such management is in their own best interest

SO Indicators	INTERMEDIATE RESULTS	IR Indicators	Reported Results (from R4's)	Approach	Noteworthy Elements	Linkages	
						USAID/Zimbabwe	Other Donors
number of CAMPFIRE communities with established NRM programs value of total CAMPFIRE benefits number of households in CAMPFIRE communities value of local level CAMPFIRE benefits per benefitting household status of natural resources base in CAMPFIRE area diversification of CAMPFIRE revenue base	1 sustainable NRM practices adopted incentives for sustainable NRM expanded technical and entrepreneurial skills enhanced	rate of reported NRM infractions (annually) among CAMPFIRE communities with NRM by laws	TBD appropriate baseline and targets will be established and comprehensive reporting on by law infractions will begin in 1998			SO2[EG] SO1 directly contributes to SO2 through CAMPFIRE benefits which are directly devolved to participating communities SO3[reduced fertility HIV/AIDS] SO3 complements SO1 reducing fertility may assist in reducing rural land pressure	*UNDP/GEF* Biodiversity enabling activity working to assist the Ministry of Environment and Tourism in developing a National Biodiversity Strategy and Action Plan *IUCN* District level environmental action plans *NORAD* Support to Department of National Parks & Wildlife Management *World Bank* Biodiversity conservation in southeast Zimbabwe, Photovoltaics for household and community use *JICA* institutional support *France* biodiversity
	2 sound community decision making processes established increased accountability and responsiveness of GOZ & NGO service providers to community needs integrated development planning processes adopted	- percentage of CAMPFIRE communities with sound decision making processes established	Met target but only assessment of institutional development only successfully applied to a limited set of CAMPFIRE communities Broad based expansion will begin in 1998				
	3 rural land pressure reduced alternative off farm economic opportunities developed population growth rate reduced * This IR was defined as falling largely outside USAID/Zimbabwe's manageable interest	average population density in CAMPFIRE areas	Baseline research to be conducted in 1998				

Project Name Communal Areas Management Program for Indigenous Resources (CAMPFIRE)

Description CAMPFIRE originally focused on community based natural resources management in areas which have commercially exploitable wildlife populations but has expanded to include other natural resources like woodlands minerals and grasslands Four components to CAMPFIRE community based resource management and utilization planning and applied research wildlife and natural resource conservation, and regional

communications and information exchange Institutional contract with Development Associates, CAMPFIRE Association is the primary implementor (Tap Mavenecke) Cooperative Agreement with WWF Zimbabwe (Dr R. Cummings) and Zim Trust (Rob Monro) Other implementors are Africa Resources Trust (ART Jon Hutton) Action Magazine Ministry of Local Government and Housing, Department of National Parks and Wildlife, University of Zimbabwe - Center for Applied Social Sciences (CASS Marshall Murphree)

Funding level

Key Documents

RCSA Regional Center for Southern Africa
[Implementation Botswana Namibia Zambia Zimbabwe]
SO3 *Accelerated regional adoption of sustainable agriculture and NRM approaches* [initial obligation 1 Y 1995 estimated completion date 1 Y 2003]
Beneficiaries
Development Hypothesis Substantially greater numbers of smallholders and communities throughout the region must adopt improved agricultural and natural resource management (Ag/NRM) technologies and practices if natural resource deterioration is to be reversed and smallholder income increased and if there is to be a decline in smallholder exodus to urban areas

SO Indicators	INTERMEDIATE RESULTS	IR Indicators [see note]	Reported Results (from R4's)	Approach	Noteworthy Elements	Linkages	
						USAID/RCSA	Other Donors
rate at which percentage area on which improved technologies and management practices are utilized increases sales of improved seeds increased private sector involvement in technology development and transfer as measured by the number of networks with private sector representation	1 functioning systems in place for transferring Ag/NRM technologies and best practices across the region policies and regulations facilitate cross border transfer improved regional institutional capacity to assess best practices/technologies a) technologies/approaches developed and tested b) capacity to develop and test new approaches c) coordinated plans developed through participatory process d) improved data and analysis for decision making					SO1[DG] participation and transparency in government is key to effective reform of policies and institutions needed to support sustainable agriculture/NRM SO2[EG/regional market] work under SO3 will facilitate smallholder participation in the potential benefits of an integrated regional market SPOA[transboundary NRM] the adoption of sustainable water management practices (for example) will support the growth of sustainable agriculture	*UNDP/GEF* Capacity building network for Southern African Botanical diversity, Southern Africa Biodiversity Support Program
	2 an enabling environment that provides increased incentives for smallholders and communities to adopt sustainable Ag/NRM technologies and approaches strengthened local capacity for Ag/NRM decision making policies promote sustainable use of Ag/NRM a) strengthened regional market structures b) improved input distribution c) improved market information	Adoption of policy framework	Policy frameworks for both agriculture and natural resources management will be developed after targets are refined following consultations with SADC and other regional actors in 1998				
		note RCSA indicators will be formally defined in the RCSA Performance Monitoring Plan					

Project Name Natural Resources Management Program (NRMP) Sorghum/Millet Improvement Program (SMIP) Southern Africa Root Crops Research Network (SARRNET)
Description *NRMP* Community Based Natural Resources Management *SMIP and SARRNET* developing testing and disseminating varieties of sorghum millet cassava and sweet potato with higher yields, good performance in drought years, and disease and pest resistance