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**RESULTS REVIEW AND RESOURCE REQUEST (R4) FY 2002**

**REGIONAL CENTER FOR SOUTHERN AFRICA (RCSA)**

**MARCH 2000**



**Regional Integration Through  
Partnership and Participation**

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**Please Note:**

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### **The RCSA Explanation of Guidance Cable Mandatory and Suggested Annexes**

1. Global Field Support: The Global Field Support Table and Narrative is included in Part III.
2. Bureau for Humanitarian Resources Programmed Resources: Not included in this R4 Report, as the RCSA does not contain Title II or Title III Programs.
3. Closeout and Graduation: Not included in this R4 Report as the RCSA is not a closeout or graduation Mission.
4. Micro-Enterprise Reporting: Not included in this R4 Report, as the RCSA does not contain any Micro-Enterprise activities, i.e., the Southern African Enterprise Development Fund (SAEDF) is not a micro-enterprise activity.
5. Security Profiles: Not included at the Agency's request. The RCSA security profile will be addressed in a separate cable.
6. Environmental Annex: Included as Annex A
7. Updated Results Frameworks: Included as Annex B
8. Non-Presence Countries (NPCs): The RCSA is a regional Mission. The Center does not have management oversight of Non-Presence Countries in the region. Clarification of this issue was agreed by AFR/SA.
9. Global Climate Change: The RCSA's FY 1999 portfolio did not contain a Global Climate Change program. The FY 2000 program has an attribution level in our environmental program, and therefore, we will report on Global Climate Change in the R4 2003 Report.
10. Greater Horn of Africa: N/A
11. E&E Detailed Budget: N/A
12. Success Stories: Contained in Annexes C, D and E
13. Alternative FY 2001 Budget Request: FY 2001 and FY 2002 Operating Yearly Budget requests are within Agency guidelines and are not considered "alternative." Therefore, the RCSA does not include an Alternative Budget Annex

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**ACRONYMS LIST**

AAAS	American Association for the Advancement of Science
AC	Anti-corruption
AIA	Africa Information Afrique
ADB	African Development Bank
AFRONET	Inter-African Network For Human Rights
Ag/NRM	Agriculture/Natural Resource Management
AMUJA	Angola Media Women's Association
AWEPA	Association of European Parliamentarians for Africa
BBR	Beit-Bridge Bulawayo Railways
BLNS	Botswana, Lesotho, Namibia & Swaziland
BOCOBONET	Botswana Community Based Organization Network
BOCONGO	Botswana Council of NGOs
CAMPFIRE	Communal Areas Management Program for Indigenous Resources
CBNRM	Community-Based Natural Resource Management
CBO	Community Based Organization
CCN	Cooperating Country National
CLDP	Commercial Law Development Program
CORE	Cooperative for Research and Education
CIDA	Canadian International Development Agency
CSO	Civil Society Organization
DA	Development Assistance
DANIDA	Danish International Development Assistance
DFID	Department For International Development
DG	Democratic & Governance
DHRF	Democracy and Human Rights Fund
DNA	Deoxyribonucleic Acid
DOC	Department of Commerce
DOC CLDP	Department of Commerce Commercial Law Development Program
DRC	Development Research Center
DROC	Democratic Republic of Congo
ECF	Electoral Commissioners' Forum
EG	Economic Growth
EISA	Electoral Institute of South Africa
EU	European Union
FAA	Foreign Assistance Act
FANR/PAN	Food, Agriculture and Natural Resources Policy Analysis Network
FAO	Food and Agricultural Organization
FISCU	Finance and Investment Sector Coordinating Unit
FDI	Foreign Direct Investment
FTE	Full Time Equivalent
FTA	Free Trade Area
G	Global Bureau
GEF	Global Environment Facility
GETNET	Gender and Training Network
GDP	Gross Domestic Product
GOZ	Government of Zambia

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GTZ	German Development Agency
GWP	Global Water Partnership
HIVOS	Humanistic Institute for Co-Operation with Developing Countries
HRRDTSA	Human Rights Research and Documentation Trust (The Trust)
IARC	International Agriculture Research Center
ICRISAT	International Crops Research Institute for Semi-Arid Tropics
IDASA	Institute of Democracy in South Africa
IEC	Independent Electoral Commission
IO&P	International Organizations Programs Initiative
IITA	International Institute for Tropical Agriculture
IMF	International Monetary Fund
IPS	Inter Press Service
IR	Intermediate Result
IRB	Independent Regulatory Body
IRI	International Republican Institute
ISA	Initiative for Southern Africa
IT	Information Technology
ITC	International Trade Center
IUCN	World Conservation Union
IUCN/ROSA	IUCN/Regional Office for Southern Africa
LSGA	Limited Scope Grant Agreement
M&E	Monitoring and Evaluation
MICTOR	Ministry of Industry, Commerce, and Tourism
MISA	Media Institute for Southern Africa
MISANET	Media Institute for Southern Africa Network
MOU	Memorandum of Understanding
MPP	Mission Performance Plan
NACOBTA	Namibia Association of Community Based Tourism
NDI	National Democratic Institute
NETCAB	Networking and Capacity Building
NGO	Non-Governmental Organization
NRM	Natural Resource Management
NRMP	Natural Resource Management Project
NRMP/LIFE	Natural Resource Management Project/Living in a Finite Environment
NXP	Non-expendable Property
ODA	Overseas Development Agency
OES	Oceans, Environment and Science
OKACOM	Okavango River Basin Commission
ORT	Organization for Rehabilitation & Training
OSISA	Open Society Initiative for Southern Africa
OTI	Office of Transition Initiatives
OYB	Operational Year Budget
PAAS	Policy Analysis Assistance to SATCC
PACT	Private Agencies Collaborating Together
PROTOCOL	Regional legal document providing an agreed policy framework
PSC	Personal Service Contract
RAPID	Regional Activity to Promote Integration through Dialogue and Policy Implementation

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RCSA	Regional Center for Southern Africa
REDSO/ESA	Regional Economic Development Services Office/East and Southern Africa
RF	Results Framework
RSA	Republic of South Africa
RSIS	Rolling Stock Information System
RTRP	Regional Telecommunications Restructuring Program
SA	Southern Africa
SABA	Southern Africa Broadcasters' Association
SABANEWS	Southern Africa Broadcasters' Association News
SABONET	Southern African Botanical Network
SACCAR	Southern African Coordinating Commission for Agricultural Research
SACU	Southern African Customs Union
SADC	Southern African Development Community
SADC PF	Southern African Development Community Parliamentary Forum
SAEDF	Southern African Enterprise Development Fund
SAFOD	Southern Africa Federation of the Disabled
SAHRINGON	Southern Africa Human Rights NGO Network
SAMDEF	Southern Africa Media Development Fund
SAPES	Southern African Political Economy Series
SARDC	Southern Africa Research and Document Center
SARDF	Southern African Regional Democracy Fund
SARP	Southern African Regional Program
SARIPS	Southern Africa Regional institute for Policy Studies
SARRNET	Southern Africa Root Crops Research Network
SATCC	Southern Africa Transport and Communications Commission
SATUCC	Southern African Trade Union Coordinating Council
SCU	Sector Coordinating Unit
SIDA	Swedish International Development Agency
SITCD	SADC Industry and Trade Coordination Division
SME	Small and Medium Enterprise
SMIP	Sorghum and Millet Improvement Project
SO	Strategic Objective
SOAG	Strategic Objective Agreement
SOT	Strategic Objective Team
SPOA	Special Objective A
STEP	SADC Transport Efficiency Project
STRENGTH	Strengthening Regional Economies through NGOs
TALENT	Talent Consortium Tee Vee
TBNR	Transboundary Natural Resources
TBNRMA	Transboundary and Natural Resource Management Area
TCN	Third Country National
TDT	Technology Development and Transfer
TDY	Temporary Duty
TNF	Telecommunications' Negotiating Forum
TRASA	Telecommunications Regulators Association of Southern Africa
TRIPS	Trade-related Aspects of Intellectual Property Rights
UCT	University of Cape Town

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UNAM/UWC/NDI	University of Namibia/University of the Western Cape/National Democratic Institute (The Consortium)
UN	United Nations
UNCTAD	United Nations Conference on Trade and Development
UNDP	United Nations Development Program
UNECE	United Nations Economic Commission for Europe
US	United States
USAID	United States Agency for International Development
USAID/W	USAID/Washington
USDH	United States Direct Hire
USG	United States Government
USIS	United States Information Services
USPSC	United States Personal Service Contract
WCO	World Customs Organization
WILDAF	Women in Law and Development in Africa
WILSA	Women in Law in Southern Africa
WSCU	Water Sector Coordinating Unit
WSTCU	Water Sector Technical Coordinating Unit
WTO	World Trade Organization

## **PART I: OVERVIEW AND FACTORS AFFECTING PROGRAM PERFORMANCE**

**OVERVIEW:** The goal of the RCSA's Strategic Plan (1997-2003) is to promote "equitable sustainable economic growth in a democratic Southern Africa", which complements and supports the regional integration and economic development goals of the Southern African Development Community (SADC). The RCSA's regional strategy, with SOs in democracy, market integration, natural resources and agriculture, also complements the U.S. Mission Performance Plan's (MPP) regional<sup>1</sup> goals of *economic development*, *open markets*, *democracy* and *environment*. The achievement of the RCSA Strategy goal will contribute to a larger, more stable and democratic trading partner for the United States and eventually reduce the need for economic assistance to the region. By signing or acceding to the SADC Treaty of 1992, the 14 member states of SADC have committed themselves to regional economic cooperation and integration and to democratic governance. This commitment to regionalism, combined with SADC's institutional structures (e.g., Secretariat and Sector Coordinating Units) are the underpinnings of the RCSA's regional strategy and unique approach to implementation, described in the next paragraph. The RCSA's strategy complements USAID bilateral programs in the region in democracy and governance, private sector development, natural resources and agriculture, as concluded by the General Accounting Office in its September 1999 Report on the Regional Program and its challenges. The RCSA's strategy also supports broader U.S. foreign policy goals and initiatives such as the annual U.S.-SADC Forum.

In implementing the regional strategy, the RCSA collaborates with SADC, national governments in southern Africa, USAID bilateral missions, other donors, private sector, and civil society institutions. The RCSA is mandated to focus on uniquely regional issues, which cannot be optimally addressed through our bilateral programs. The Mission's *modus operandi* is based on three interdependent approaches to regionalism:

- (a) at the broad regional policy level, our involvement concerns macro policy in the development and ratification of SADC sectoral agreements ("protocols"), model legislation and application of international democratic, environmental, trade and commercial standards and norms;
- (b) at the regional stakeholder level (NGOs, Private Sector associations, SADC-affiliated organizations) we focus on advocacy, capacity building and networking to promote a sustainable, Southern African-led policy dialogue dynamic on regional integration and democracy issues;
- (c) at the implementation level, our participation is in the promotion, in collaboration with the bilaterals, of best practices, models, pilots and learning sites for regional adoption.

**THE DEVELOPMENT CHALLENGE AND FACTORS AFFECTING PROGRAM PERFORMANCE:** The low rate of economic growth, poverty, fragile democracy and issues of transparency and accountability in governance, critical need for effective regional cooperation in the management of shared natural resources (water and wildlife), sub-optimal performance of the agricultural sector, politico-military conflicts, the HIV/AIDS pandemic, economic domination by one SADC country, and the recent natural disasters are the major development challenges facing the region. The constraints posed by these challenges will

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<sup>1</sup> U.S. Embassy Gaborone has both a bilateral and a regional MPP because the Ambassador to Botswana is also the Secretary of State's Special Representative to SADC.

affect overall program performance—the pace and scope of regional integration, progress in democracy, management of natural resources, and the agricultural sector in the region.

Economic growth for the Southern African region in 1999 was 2%, according to SADC, compared to 1.7% in 1998. The SADC region has achieved continuous economic growth since the middle of the 1990s. However, with an estimated 40% of the population living in abject poverty, a 6.2% growth rate is needed on a sustained basis if poverty in the region is to be reduced. Mozambique and Botswana achieved high rates of growth in 1999 but this is expected to drop significantly in 2000 in the case of Mozambique due to severe damage caused by floods. Although the region is making a serious effort to attract domestic and foreign investment, the level of foreign direct investment remains very small (0.9 percent of total regional GDP). Intra-SADC investment has increased due largely to liberalization of exchange controls by South Africa to promote South African investment in the SADC region. Similar policies across the region, coupled with economic reforms supported by the RCSA and bilateral USAID missions, should contribute to a higher economic growth rate in the future.

South Africa is by far the dominant player in the region, accounting for about 80% of regional GDP. This presents a variety of development opportunities and challenges to the regional integration process. South Africa, as noted above, has partially liberalized exchange controls on South African investment into the region, which is contributing to increased economic growth and development in the region. On the other hand, South Africa has persisted in protecting its domestic textile and clothing industry in the Free Trade Area negotiations, impeding the proposed adoption of COMESA's administratively simpler rules of origin (ten SADC countries also belong to COMESA). While South Africa will undoubtedly have a decisive influence on the region's integration and development process, whether and the degree to which its influence is positive and constructive will depend on how South Africa's regional policies are affected by enormous domestic challenges, such as high unemployment, high levels of income inequality, and lack of basic services for the majority of its population. Effectively engaging South Africa in the process of regional integration to provide equitable gains for other countries in the region, will be an ongoing development (and U.S. foreign policy) challenge of the first order.

Democracy in the region continues to be fragile and is characterized by single-party dominant governments, with serious implications for transparency and accountability in governance. However, holding of regularly scheduled elections in five Southern African countries in 1999 and the emerging consensus existing among civil society institutions in the region on critical democratic norms and standards, holds promise for sustaining and moving towards greater democracy in the region. Conflicts in the Democratic Republic of Congo and Angola are spilling over into neighboring countries and this has limited the RCSA's capacity to engage on a SADC-wide basis. Various processes now underway, initiated by SADC and the international community, to establish peace in the two countries are expected to improve political stability, contain conflict in the region and help its economic growth. In addition, political and economic events in Zimbabwe are not only affecting long-term development of the country, but are also having a debilitating influence on regional integration and region-wide foreign investment.

HIV/AIDS is a major problem facing the region, depleting its human resource base, reducing

food security and drastically affecting life expectancy. The region holds the majority of the world's countries that are hardest hit by HIV/AIDS. The epidemic is decimating the limited pool of skilled workers and managers and is affecting core sectors. In South Africa, according to a recent report<sup>2</sup>, the prevalence of HIV/AIDS in the mining sector could be as high as 45% in the next 4-5 years, resulting in productivity losses of up to 15% and overall GDP reduction of 1% to 2% per year. A Zambian study attributed the decline in maize production to reduced labor and labor time and other costs associated with managing AIDS. In Zimbabwe the decline in agricultural output (maize 61%, Cotton 47%, Vegetables 49%), was principally attributed to the loss of workers and workdays due to HIV/AIDS. Various initiatives taken by the SADC member countries and donors, if implemented vigorously, will likely bring the epidemic within manageable levels, at best, in the next five to ten years. Accordingly, the Agency should seriously consider significantly upscaling its current HIV/AIDS response in Southern Africa.

A final development challenge that affects program performance was highlighted in the GAO report -- the generally weak capacity of our regional partner institutions (both in the governmental and non-governmental sectors). This has serious implications for the pace of implementation of the RCSA regional activities. The RCSA is investing in training and TA to strengthen managerial and implementation capacity of partner institutions, including SADC. The results of these investments are only expected to materialize in the medium term.

The problems facing the region, should not obscure its great promise. USAID's regional strategy represents a constructive response to many of these challenges confronting the region. As noted in the last R4, the RCSA's performance continues to be affected by certain internal constraints. The largely bilateral orientation of USAID's programs and the lack of incentives to integrate and coordinate regional and bilateral strategies adversely affect strategic coordination at the regional level. So far, the bulk of the burden to assure regional-bilateral cooperation has fallen on the RCSA. More Agency and Bureau support for regionalism in Southern Africa would help achieve more bang for the nearly one quarter of a billion dollars in Development Assistance that USAID annually puts into this region.

**SUMMARY OF PROGRESS IN STRATEGY IMPLEMENTATION & SIGNIFICANT PROGRAM ACCOMPLISHMENTS:** Notwithstanding the constraints noted above, the RCSA has made significant progress in 1999 in accomplishing results under its SOs, as detailed in Part II. The RCSA's regional market integration program has made rapid strides in key areas. The SADC multilateral framework for the establishment of a Free Trade Area (the Trade Protocol) was ratified by SADC member countries in December 1999. This major accomplishment is a direct result of the sustained, high quality technical assistance provided by the RCSA to the trade negotiating teams from the various SADC countries. Significant progress was also made in a number of infrastructure activities supported by the RCSA, including support to the telecommunications sector in establishing independent regulatory agencies. This has contributed to a substantial increase in private sector participation in this critical regional sector. Community based natural resources management (CBNRM) interventions have resulted in increased incomes and employment for the participating communities, with positive impacts on bio-diversity in target areas. Moreover, due largely to USAID's regional approach to CBNRM, most countries in the region, even those not directly

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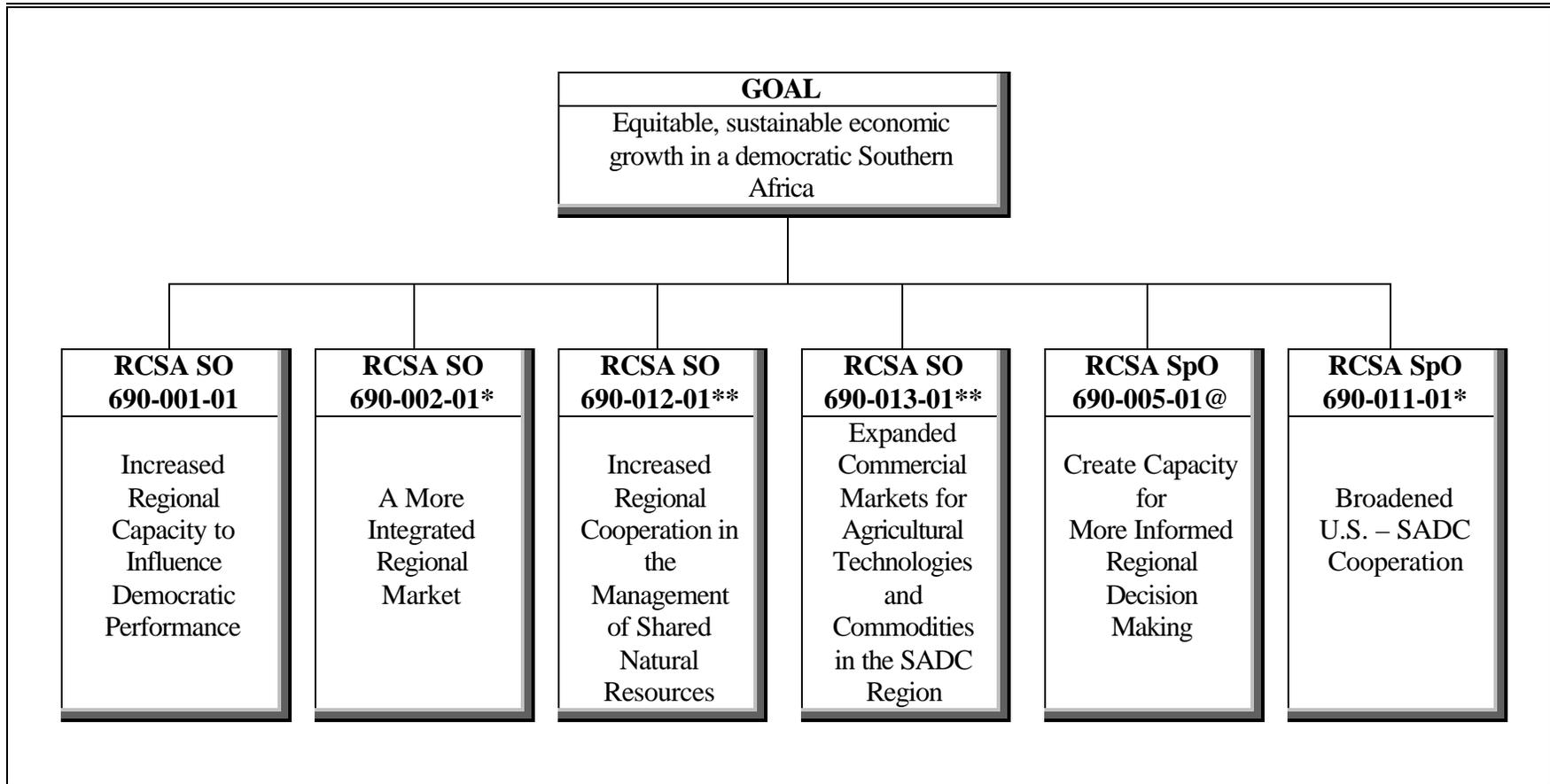
<sup>2</sup> Source: World Economic Forum

funded by USAID/CBNRM programs, have adopted CBNRM as their principal rural development strategy. The RCSA's support contributed to the signing or ratification of the SADC protocols in water and wildlife, which are essential elements of our planned interventions to promote increase regional cooperation in managing shared natural resources. The RCSA's activities in democracy and governance have made substantial headway in strengthening civil society institutions involved in anti-corruption initiatives; electoral administration and observation; and press freedom and media pluralism. The RCSA-funded SADC parliamentary Forum played a significant role in monitoring elections in Namibia and Mozambique, increasing its capacity to set higher election standards and norms and to mediate election-related conflicts in the future.

Prospects for further progress in 2000 and beyond appear very encouraging. Changes in the grants mechanism under the D/G SO-001 from many small grants to six to ten large umbrella grants will streamline its operations. In the Market Integration SO-002 ratification of SADC Trade Protocol and its entry into force will increase the pace of movement toward a SADC Free Trade Area (FTA). Proposed new activities will include working with customs authorities to facilitate more efficient movement of goods through the region, essential to the success of SADC FTA.

**PROPOSED CHANGES IN STRATEGY:** The Natural Resources Management (SO-012) and Agricultural Technology (SO-013) Strategic Objectives were revised. The Bureau reviewed and conditionally approved these Objectives in November 1999. With the submission of this R4 Report, which contains the natural resources management and agricultural technology strategic objectives' Performance Monitoring Plans, and the RCSA Director's commitment to AFR to provide final baseline data by June 15, conditions for full approval of these SOs are considered met. A new Special Objective (U.S.-SADC Forum) was approved in FY 1999 to implement programmatic activities resulting from the U.S.-SADC Forum. The RCSA is proposing to delete the SpO-005, *Creating capacity for more informed regional decision-making*, from its portfolio in this R4 Report. It was an experimental activity and the rationale for dropping this Special Objective (SpO-005) is discussed in Part-II.

### RCSA STRATEGIC OBJECTIVES (FY 2000)

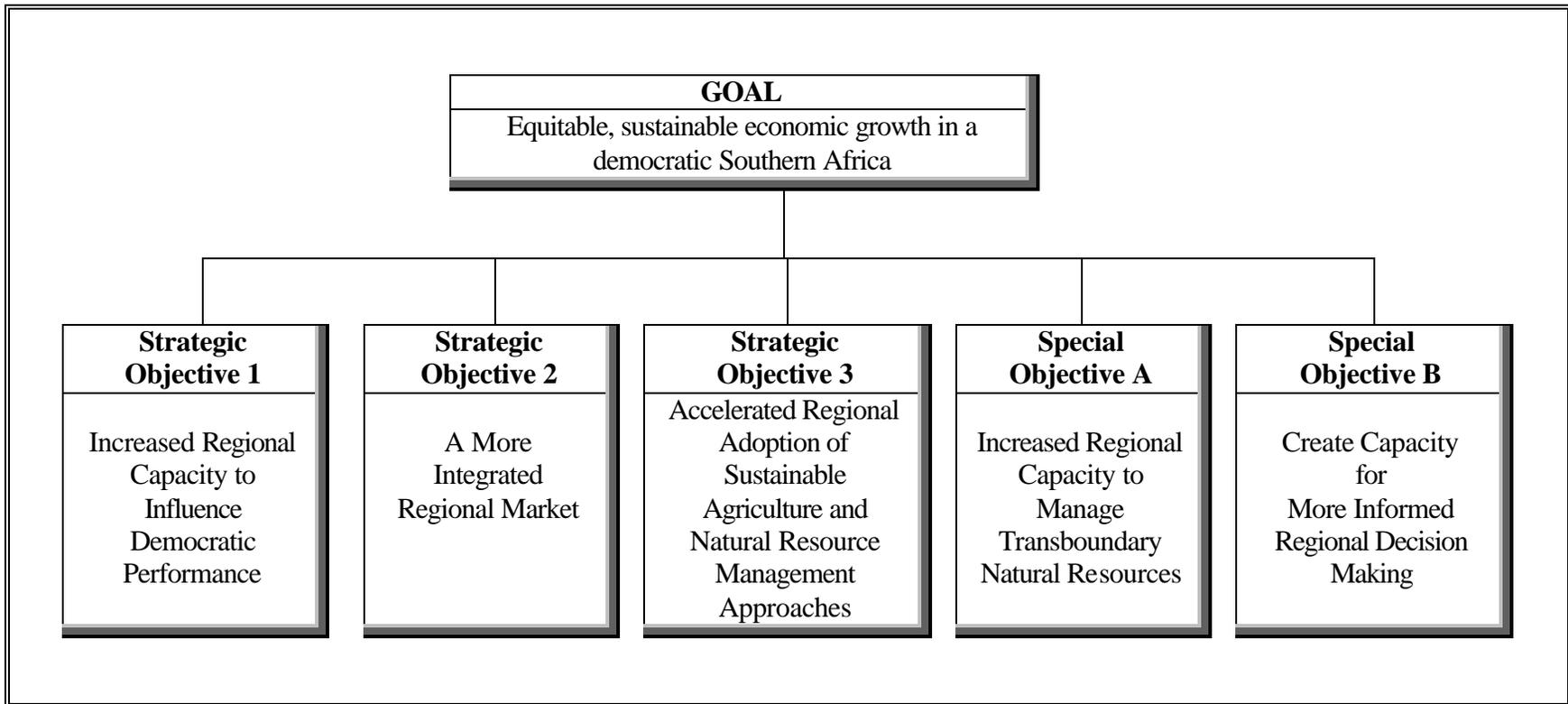


\* Approved in FY1999

\*\* Approved in FY2000

@ Proposed for deletion in FY2000

### RCSA STRATEGIC OBJECTIVES (FY 1999)



Country/Organization: RCSA

Objective ID: 690-001-01

Objective Name: Increased Regional Capacity to Influence Democratic Performance

**Self-Assessment:** On Track

**Self-Assessment Narrative:** Regional developments, indicator data and grantee, partner and stakeholder assessments confirm that performance is on track. For example, the RCSA's civil society and media partners monitored and covered the region's elections in 1999 with improved levels of regional oversight and professionalism. In addition, the strategic collaboration amongst the partners multiplied the collective impact of their individual activities. An RCSA grantee is engaging SADC to revitalize the Anti-Corruption Protocol which will provide a framework for regional cooperation to combat corruption in the public sector. The RCSA support to regional media organizations fosters press freedom, media pluralism and the viability of the independent media as key factors in effecting democratic change. SO-001 partnership agreements incorporate gender equity as an essential component of program activities, cumulatively supporting the SADC goal of 30% female representation in policy and decision making structures by 2005.

**Primary Link to Strategic Agency Framework:** 2.3 Credible Political Process

**Secondary Link to Strategic Agency Framework:**

- 2.2 Politically Active Civil Society       2.1 Rule of Law/Human Rights  
 2.4 Accountable Gov't Institutions

**Link to U.S. National Interests:** Democracy and Human Rights

**Primary Link to MPP Goals:** Democracy and Human Rights

**Secondary Link to MPP Goals (optional):** No Secondary Linkage

**Summary of the SO:** The RCSA's long-term strategy for democracy and governance addresses Southern African-identified impediments to democratization through regional cooperation. The SO is being achieved through three mutually reinforcing intermediate results: IR1, "*Increased information sharing within the region*" serves as a basis for IR2, "*Increased advocacy and other forms of collaboration bringing regional experiences to bear at the national level,*" which results in IR3, "*Regional norms (being) further defined by Southern Africans.*" The RCSA's support enables indigenous grantees and partners to develop strategic linkages and mutually supportive information and advocacy networks to promote democratic values, principles and processes. Most of the activities build on the experience that grantees acquired under the Southern African Regional Democracy Fund (SARDF) activity. New grants, training and technical assistance activities are designed to focus on a smaller group of partners with proven expertise in the areas of: anti-corruption initiatives; civil society participation in policy and decision-making; election administration and observation; and a sustainable and diversified media.

**Key Results:** The RCSA acknowledges the inherent limitations of quantitative indicators in measuring achievement in a regional DG program. Nonetheless, surveys of grantees,

partners, customers and stakeholders provide evidence of increased influence on democratic performance in Southern African as a direct result of the RCSA grantee and partner activities. Regionally referenced information is being incorporated into advocacy efforts to hold governments accountable for commitments made by signing international and regional agreements. The challenge that the RCSA and its partners are addressing is how best to promote the adoption and practice of those standards and principles.

**Box 1: The Power of Cross-Border Sharing of Experience.** The Tanzanian parliamentarian who led the **SADC Parliamentary Forum** electoral observation team to Mozambique reports that experience gained there is directly influencing preparations for Tanzania's elections scheduled for October 2000. **SATUCC** reports that nascent regional convergence in labor and social policy is evident *inter alia* in the content of debates about policy reform in Lesotho, Malawi, Namibia and Swaziland; the debate has been informed by institutional arrangements prevailing in South Africa. The **Human Rights Trust** found that the increased availability of comparative information helped to resuscitate debate about corruption in Zimbabwe. These breakthroughs demonstrate the impact of peer example in influencing democratic performance in the region.

Significant growth in the amount of advocacy support available and an increase in advocacy support that drew on regional experience was achieved in 1999 (Table 3). The RCSA grantees and partners are improving the quality of their activities, while broadening the reach of their information and advocacy services. More than 90% of the RCSA grantee and partners continue to report satisfaction with the quality, relevance and completeness of DG information and advocacy support (Tables 2 and 3).

In addition, the RCSA grantees and partners demonstrated measurable improvements in their effectiveness in providing information and services at the regional level (Table 1). These findings, which support attribution for the improved capacity of the grantees to implement their activities, are further reinforced by qualitative evidence from stakeholder and partner assessments about the impact of the RCSA funded activities (see Annex C: Success Stories).

**Box 2: Information Sharing for Advocacy.** **MISA's** network successfully lobbied the 1999 Paris Donor Conference, pressuring Zambia to outline a program of good governance that would include a Freedom of Information Act. Improved networking amongst the **ORT-connected umbrella NGO bodies** led to a first ever invitation to the SADC 2000 consultative conference, which recommended that the SADC CNGOs receive observer status at future conferences and that a formal NGO desk be established at the SADC Secretariat to provide a platform for government/NGO interaction for regional cooperation and development. All these RCSA-supported activities demonstrate the value of networking in advocating for positive change in Southern Africa.

**Performance and Prospects:** During the period under review, the RCSA grantees and partners made significant progress influencing democratic processes from a regional platform. SADC and its member governments are increasingly inviting the RCSA grantees and partners to contribute expertise to debate and develop the agreements, processes, and institutions that embody regional democratic norms, best practices, and principles. A mid-1999 Roundtable, reaffirmed the adoption of the Global Coalition on Africa's 25 Principles to Combat Corruption in Africa. The Human Rights Trust, a RCSA grantee, was mandated by attorney generals, judges, ministers and chairpersons of anti-corruption commissions to coordinate regional initiatives to combat public sector corruption. The Trust will convene a joint roundtable aimed at revitalizing the Anti-Corruption Protocol at the 2000 SADC Summit.

Program synergies are now being explicitly encouraged. Through the Southern African Research & Documentation Center (SARDC) cross-border elections project, seven male and five female senior journalists, including journalists nominated by Inter Press Service/Southern Africa Broadcasting Association (IPS/SABA), received hands-on training by covering the 1999 elections in Botswana, Malawi, Mozambique, Namibia, and South Africa. The articles produced during the training were distributed by MISANet (a regional electronic news distribution service linking 300 media organizations and workers) and radio SABANews (a regional news print and broadcast service linked to 12 national stations).

**Box 3: Increased Information Sharing within the Region.** USAID/Mozambique commented that *"the SARDC reporting on the electoral process here in Mozambique is arguably the most objective, accurate, and substantive that we're aware of. Kudos to the RCSA for supporting this effort through the SARDF program!"* The RCSA grantees are thus contributing to the high quality and improved information flow that democracies depend upon for informed participation in policy and decision-making.

The election workshops for the media resulted in the first ever press conferences in Malawi and Namibia where competing political parties presented their manifestos in a common forum. The SADC Electoral Commissioners Forum's election observation delegation to Namibia contributed to assessments about the quality of the elections. In a complementary activity, the Cooperative for Research & Education (CORE) trained civil society election monitors (about half of them women) for the elections in Botswana, Namibia and South Africa. The RCSA partners are consequently better equipped to monitor and observe the upcoming series of elections in 2000, where their new expertise will contribute to greater public confidence in the electoral process.

**Box 4: SADC Parliamentary Forum.** As a result the first ever SADC PF- led election observation mission in the region, the SADC PF decided to use its capacity to observe elections and capitalize on its membership - the parliamentary leadership in the region - to mediate election-related issues and conflicts. Dr. Sam Nujoma (President of Namibia and Deputy Chairperson of SADC) welcomed the Forum's unique potential for positive intervention.

Grantee and partner effectiveness in delivering results has been enhanced through capacity-building activities. With RCSA support, the Organization for Rehabilitation & Training (ORT) added five new umbrella NGO bodies to the regional NGO electronic network in 1999. Nine national organizations can now rapidly share information to mobilize support for each other on issues of common concern. With ORT training, the Botswana Council of NGOs (BOCONGO) doubled its outreach to member NGOs while reducing its communication costs by 60%. BOCONGO now sells its IT skills, thereby enhancing its organizational sustainability. Similarly, SAMDEF's technical assistance and loans are designed to ensure the commercial viability and sustainability of the independent media sector as an essential element of media pluralism. Building this kind of institutional sustainability is a key goal of the RCSA's capacity building assistance. The RCSA programs focused more explicitly on gender equity in 1999. The RCSA grantee, Women in Law & Development in Southern Africa (WILDAF), worked with Sister Namibia (which is supported by USAID/Namibia) to develop the Namibian Women's Manifesto that urged citizens to vote for female candidates in the 1999 elections. Programs targeted specifically at female journalists by SABANews & Amuja and female arbitrators by the University of Cape Town's Labor Law Unit have further helped to facilitate wider participation by women in setting policy agendas.

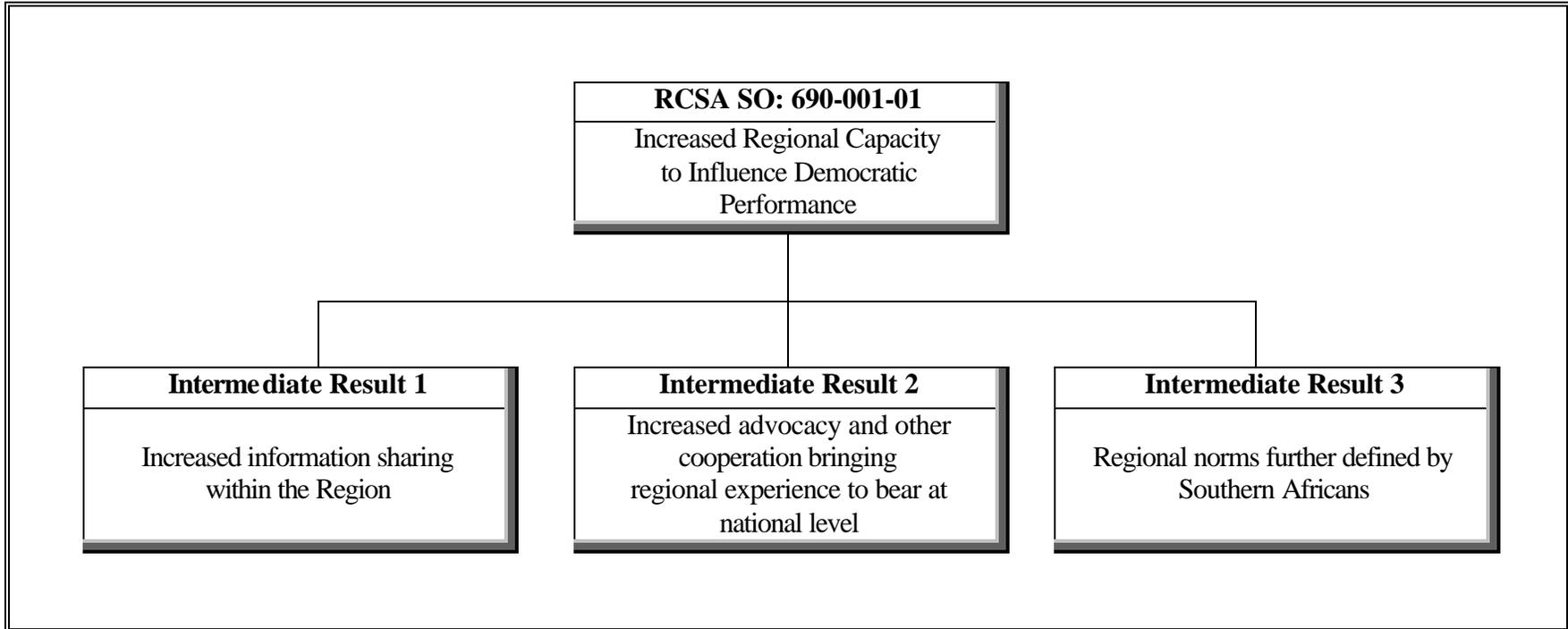
Through 2002, we expect the democratic gains in the region to be advanced and consolidated as partner interaction with governments and SADC intensifies, and an increased use of regional experience for improved DG performance. Prospects for achieving these results are good. Despite continued conflicts in Angola and DRC, and growing unrest in Zimbabwe, there is evidence of continued commitment to democracy. The SO team continues to consult with bilateral missions as part of the virtual team in partner selection and activity design. USAID/Harare and the Office of Transition Initiatives (OTI), for example, have expressed interest in working with SAMDEF. The SO Team is actively identifying partners - MISA, SARDC and the SADC PF - that can implement activities in conjunction with other RCSA SOs, thus also contributing to achieving the RCSA sub-goal, "*to create a cluster of well functioning democracies in the region.*" This will help maximize impact and use scarce resources more strategically. Should the requested funding levels not be forthcoming, the RCSA would reduce its key areas and partners, compromising the synergies inherent in the Intermediate Results and ultimately the SO.

**Adjustments to Plans:** The SO Team evaluated the SARDF activity and subsequently honed its focus to four areas where intervention is most likely to advance change in political systems and processes. Accordingly, in contrast to the small grants approach, the RCSA will provide substantial support to 6-10 partners with the strategic vision and the demonstrated potential to operate regionally.

**Other Donor Programs:** While several organizations, including AWEPA, HIVOS and OSISA, complement the RCSA activities separately in the focus areas, and provide support to grantees and partners, the RCSA continues to be the major donor providing support for regional democracy programs. The RCSA is exploring establishing an interactive database to better track complementary donor activity in SADC countries.

**Major Contractors and Grantees:** Major RCSA grantees and partners include the Human Rights Trust (anti-corruption initiatives); MISA (media freedom standards and advocacy); the SADC Parliamentary Forum (regional electoral standards and women's political participation) and SAMDEF (independent, commercially viable media). DATEX, a U.S. firm, will provide grant support services primarily via the STRENGTH activity after SARDF ends this August.

**RCSA Strategic Objective: DG 690-001-01**



**Performance Data Table 1: Average Organizational Effectiveness Score achieved by Regional Organizations**

<b>OBJECTIVE NAME:</b> Increased Regional Capacity to Influence Democratic Performance			
<b>OBJECTIVE ID:</b> 690-001-01			
<b>APPROVED:</b> August 1997		<b>COUNTRY/ORGANIZATION:</b> RCSA	
<b>RESULT NAME:</b> SO level: Increased Regional Capacity to Influence Democratic Performance			
<b>INDICATOR:</b> Increased Effectiveness of Organizations seeking to achieve regional DG impacts.			
<b>UNIT OF MEASURE:</b> Overall average score achieved by organizations on a 3-point rating scale of organizational effectiveness (min. = 1.0 and max. = 3.0)	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
<b>SOURCE:</b> Ratings made by stakeholders or peers.	1998	Baseline	1.8
<b>INDICATOR / DESCRIPTION:</b> SO-001 aims to expand the capacity within the region to share information &, experiences & to collaborate in order to exert influence to achieve positive changes in democratic performance. The indicator is intended to reflect DG practitioners' perceptions about the effectiveness of SO-001 funded organizations in achieving these impacts.	1999	1.9	2.5
	2000	2.6	
	2001	2.7	
	2002	2.8	
<b>COMMENTS:</b> Regional organizations funded by SO-001 are assessed on 10 dimensions related to effectiveness in undertaking regional DG work: advocacy, analytical ability, attention to gender issues, appropriateness of institutional framework, collaboration, influence on debate, influence on policy, information dissemination, lobbying of key decision making institutions & use of regional experiences in their work. The sample size was increased from 30 to 87 respondents from throughout the region in order to increase representativeness. Many of the respondents selected by the SO Team last year felt that they lacked the knowledge to make the assessments. Consequently this year, each organization was asked to nominate respondents from stakeholder and/or peer organizations who would be capable of making informed assessments about their performance. The organizations assessed this year were: AFRONET, CORE, HRRDTSA, IPS, MISA, SARDC, SARIPS & WILDAF (See Information Annex H for details of the organizations & their activities). The average combined score achieved by all organizations on the three-point scale (min. score = 1 & max. score = 3) of perceived organizational effectiveness was 2.5, up from the 1998 baseline of 1.8. The marked change may reflect respondents' greater familiarity with the work of the organizations being assessed. Overall, the results are broadly coincident with those obtained through the Regional Capacity Index (See Baseline Information for the New Performance Data Table 1 in Section 4.2 in Information Annex B). The SO's more strategic focus & the shift to longer-term partnerships with select organizations is expected to affect the baseline and targets. Targets have been adjusted accordingly in order to take into account partners that have not been part of the baseline. Targets are based on the assumption that as a result of having received targeted technical assistance, perceptions of organizations' effectiveness will improve. The organizations to be assessed in the future include: HRRDTSA, IPS, MISA, SADC ECF, SADC PF & SARDC.	2003	2.9	
	<p>The most effective organizations overall were CORE &amp; SARIPS followed by MISA, SARDC &amp; IPS. SARDC &amp; SARIPS are noted for effective information dissemination. SARIPS possesses the strongest analytical capability and to make the most effective use of regional experience. MISA &amp; WILDAF emerged as the most effective organizations for advocating on DG issues at the regional level. MISA operates an electronic Action Alert System. The HRRDTSA effectively lobbies key decision-makers. AFRONET also scored highly on this dimension. CORE, SARIPS and WILDAF have gender as a programmatic focus, are also successfully addressing gender concerns. CORE achieved this recognition by gender-balanced participation in training programs. SARIPS through analysis of gender impacts at the policy level. IPS is electronically connected to 12 national broadcasting stations in the region, and supplies and receives news items.</p>		

**Performance Data Table 2: Perception of Beneficiaries of SO-001-Funded Information-Dissemination Efforts of Overall Value of Information Received**

<b>OBJECTIVE NAME:</b> Increased Regional Capacity to Influence Democratic Performance			
<b>OBJECTIVE ID:</b> 690-001-01			
<b>APPROVED:</b> August 1997		<b>COUNTRY/ORGANIZATION:</b> RCSA	
<b>RESULT NAME:</b> IR1: Increased Information Sharing Within the Region			
<b>INDICATOR:</b> Perception of Beneficiaries of SO-001-Funded Information-Dissemination Efforts of Overall Value of Information Received			
<b>UNIT OF MEASURE:</b> Percentage of recipients scoring the information received as satisfactory or better on a Customer Satisfaction Index.	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
<b>SOURCE:</b> Survey of recipients. The names of individuals were sampled from lists of beneficiaries provided by SO-001 grantees & partners.	1998	Baseline	97%
	<b>INDICATOR / DESCRIPTION:</b> The purpose is to assess value of information disseminated as a result of SO-001 support.		
<b>COMMENTS:</b> The results reported here are based on a survey of 116 recipients of information conducted in October 1999 using a structured questionnaire with 5-point rating scales. The Customer Satisfaction Index measures the quality, relevance and completeness of the information received. The survey was conducted amongst recipients located in 11 countries that evaluated the information dissemination or related activities of 8 grantees & partners implementing 11 different activities (See Annex H for further details of grantee & partner activities). Assessed grantees and partners include: AFRONET, AIA, CORE, IPS, ORT, SATUCC and SARDC. The target was modified to reflect the revised goal of maintaining already high levels of customer satisfaction, even as the universe of recipients expands and becomes more discerning in its information needs. Evidence of increased information exchange is found in the fact that 46% of respondents reported a lot/very high growth in the amount of DG information available in the region, as compared to 1998. Moreover 54% of respondents then attributed all/a lot/moderate amounts of this growth to the activities of SO-001 grantees & partners. An increase in the availability of information with regional content is evident in the finding that 50% of respondents noted a lot/vast amount of growth in the availability of regionally referenced materials, as compared to 1998. Of those able to comment, 34% then attributed all/a lot of this growth to SO-001 grantee & partner activities. Evidence of the demand for information with regional content is found in the fact that 48% of respondents reported that they make vastly/a lot more use of regionally referenced materials than they did in 1998.	1999	90 -100%	98%
	2000	90 -100%	
	2001	90 -100%	
	2002	90 -100%	
	2003	90 -100%	

**This indicator will no longer be used for R4 reporting.** The indicator will be monitored but not used for performance reporting. Two new indicators are proposed for the FY2003 Results Report (see Annex B, Section 4, Table 4.1 and 4.2.)

**Performance Data Table 3: Perception of Beneficiaries of SO-001-Funded Advocacy Support Efforts of Overall Value of Advocacy Support Received**

<b>OBJECTIVE NAME:</b> Increased Regional Capacity to Influence Democratic Performance			
<b>OBJECTIVE ID:</b> 690-001-01			
<b>APPROVED:</b> August 1997		<b>COUNTRY/ORGANIZATION:</b> RCSA	
<b>RESULT NAME:</b> IR 2: Increased advocacy and other collaboration bringing regional experience to bear at national level			
<b>INDICATOR:</b> Perception of Beneficiaries of SO-001-Funded Advocacy Support Efforts of Overall Value of Advocacy Support Received			
<b>UNIT OF MEASURE:</b> Percentage of recipients scoring the advocacy support received as satisfactory or better on a Customer Satisfaction Index	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
<b>SOURCE:</b> Survey of recipients of advocacy support. The names of individuals were sampled from lists of beneficiaries who have been supplied with advocacy support services by SO-001 grantees & partners	1998	Baseline	98%
	<b>INDICATOR / DESCRIPTION:</b> The purpose is to assess the value of support supplied to advocacy efforts as a result of SO-001 support.		
<b>COMMENTS:</b> The results reported here are based on a survey of 60 recipients of advocacy support using a structured questionnaire with 5point rating scales. The Customer Satisfaction Index is composed of scale items measuring quality, relevance and completeness of advocacy support received. Advocacy support excludes financial support. The survey is conducted amongst recipients in those countries in which customers are located and in relation only to the advocacy support activities of two SO-001 supported grantees and partners (MISA & CORE) implementing 3 activities in total (See Information Annex H for further details of grantee and partner activities). The target was modified to reflect the revised goal of maintaining already high levels of customer satisfaction, even as the universe of recipients of advocacy support expands and becomes more discerning in its support needs and in the assessment of what it obtains. Growth in the amount of advocacy support available is evident in the fact that 52% of respondents discerned a lot/very high growth in the amount of such support compared to that available in 1998. Half of the respondents who were able to make an assessment then attributed all/a bt of this growth to SO-001 grantee & partner activity. An increase in the amount of advocacy support that draws on comparable regional experiences is found in the fact that 39% of respondents witnessed an increase in the amount of such support as compared to 1998. Of those able to make a judgement, 41% then attributed all/a lot of this growth to SO-001 grantee & partner activities. The utility of advocacy support that draws on comparable regional experiences was noted by 45% of respondents who reported making a vast/lot more use of such materials in their work compared to the previous year.	1999	90 -100%	98%
	2000	90 -100%	
	2001	90 -100%	
	2002	90 -100%	
	2003	90 -100%	

**This indicator will no longer be used for R4 reporting. The indicator will be monitored but not used for performance reporting. Two new indicators are proposed for the FY2003 Results Report (see Annex B, Section 4, Table 4.1 and 4.2.)**

Country/Organization: RCSA  
Objective Name: **A More Integrated Regional Market.**

Objective ID: 690-002-01

**Self-Assessment:** Exceeding Expectations.

**Self-Assessment Narrative:** With technical assistance provided by the RCSA, the Southern African Development Community (SADC) member states ratified the Trade Protocol in 1999. This established the legal/policy framework for the creation of a Free Trade Area (FTA) in Southern Africa. The Trade Protocol, together with several other regional legal agreements, provides the framework for cooperation among SADC member states in promoting regional economic integration. Critical for the smooth functioning of the FTA and the development of the region in general, is the need for an integrated and efficient transport and telecommunications system. Implementation of policies following the ratification of the Transport and Communications Protocol in 1998, with the RCSA's technical assistance, are contributing to an increase in telecommunications service provision and a reduction in transport costs (Figure 1). Thus, the regional trend towards creating a single integrated regional market continues as more liberal policies are adopted and barriers to trade and investment are gradually reduced. There has been an increase in dialogue on regional integration issues between national governments and the private sector, as a result of assistance provided by the RCSA to public/private sector groups.

**Primary Link to Strategic Agency Framework:** 1.1 Private Markets

**Secondary Link to Strategic Agency Framework:**

7.4 Technical/Managerial Capacity Expanded

**Link to US National Interests:** Economic Prosperity

**Primary Link to MPP Goals:** Economic Development

**Secondary Link to MPP Goals (optional):** Open Markets

**Summary of the SO:** This SO supports the Southern Africa region's efforts to move towards a more integrated regional market. This is in line with the agency goal of "Broad-based economic growth" and the twin goals of the MPP: "A better integrated regional market achieved through reduced barriers to intra-SADC trade" and "A more prosperous SADC region with increased trade and investment and improved infrastructure, leading to job creation and a more equal distribution of wealth." The SO contributes to regional market integration by supporting the region's efforts to: reduce barriers to cross-border trade and investment (IR1); develop an efficient transport and communications infrastructure to move goods, people, services and information across the region (IR2); and build the long-term capacity of private sector and industry associations to advocate for policy reforms (IR3). See Results Framework attached.

**Key Results:** The RCSA-backed reforms around trade liberalization, policy, legal and regulatory reforms in transportation and telecommunications leading to improved efficiency in

the movement of goods and services across borders, have increased prospects for increased regional trade. Based on the most recent (1998) trade data, progress towards market integration has continued with a further 6% increase in intra-SADC exports and a 15% increase in the share of intra-SADC exports in SADC's total exports to the world. At the same time, significant, sustained price convergence occurred from 1997 to 1999. In 1999 the interventions supported by the RCSA, through its Trade Advisory Team, helped advance intra-SADC tariff offers, reduce road transport costs, support improvements in telecommunications access (see Box 2) and assist in the formation of regional advocacy and policy networks, all of which enhance the market integration process. Tables 1-3 and Figure I below highlight trends that illustrate progress towards a more integrated regional market, which can be attributed to among other factors, various RCSA interventions.

**Figure I - Selected Indicator Results**

Indicators	1996	1997	1998	1999	Change
Intra-SADC Exports* (Real: US \$ Million)	8,417	9,179	9,732		6%
Intra-SADC Exports Share in Total Exports**	19%	20%	23%		15%
Standard Deviation (Price Convergence) ***		7.5%	4.3%	2.9%	32%
Transport costs ( US \$ for 12m container)		2,888	2,709	2,498	8%
Telecommunication service providers (number)		28	35	36	3%

Note: \* 1996 data revised from US\$ 8,744 million in the R4 released March 1998.\*\* Share of intra-SADC exports in total SADC exports to the world. \*\*\* For prices, a lower standard deviation between a 4-item basket of wholesale prices in the region is used to roughly proxy greater price convergence. Angola is excluded from the analysis.

**Performance and Prospects:** The RCSA's Trade Policy Activity is proving to be an important catalytic tool in support of the region's efforts to create a SADC Free Trade Area. Prior to the launching of the Trade Policy Activity, negotiations relating to tariff reductions were dominated by a couple of SADC member countries, as most other countries lacked the expertise and technical skills to engage in meaningful discussions and negotiations. There was a real danger of the negotiations being abandoned altogether. The RCSA provided technical assistance, which consisted of analysis of key policy and technical issues (such as tariff reduction schedules, sensitive products and rules of origin), and strengthened the negotiating capacity of individual countries. This was achieved through placement of resident advisors in a number of countries, which provided advisory support to country delegations during negotiations, and formulated policy options for the SADC Secretariat. This helped put the tariff negotiations on an equitable and sound technical basis. The result is that the Trade Protocol has now been ratified by more than the required minimum number of countries who signed the document. The protocol is therefore technically in force, paving the way for the FTA. The SO's support to the region as it moves towards a SADC Free Trade Area will also create new opportunities for US businesses to trade with and invest in the region.

**Box 1: Private Sector Advocacy** for trade liberalization in Mozambique resulted in the ratification by Mozambique of the SADC Trade Protocol, despite strong differences of opinion between Government Ministries on the issue. This outcome was the result of collaborative efforts by USAID/Mozambique and the RCSA to increase the capacity of both the private sector and the Ministry of Industry, Commerce and Tourism (MICTUR) to assess the implications of a SADC FTA. Without the strong and informed support from the private sector, MICTUR would have lost its battle within Government to ratify the Protocol. An UNCTAD official visiting the region remarked that in all her experience with trade negotiations, Mozambique was the only country she had ever seen where the private sector was encouraging a reluctant government to liberalize more rapidly (see Annex D for other success stories).

SAEDF has disbursed \$19.8 million to fourteen enterprises in Southern Africa. Approximately 42% of the total went to South Africa, 17% to Zimbabwe, 15% to Malawi, 10% to Namibia, 8% to Zambia, and the balance to Tanzania and Angola. Another \$13.4 million in investments has been approved by the SAEDF Board, but not yet disbursed by the end of the year. During the past year, SAEDF has had to shift its focus from simply pursuing deals to monitoring its portfolio since several companies have been experiencing problems. The SAEDF Board is conducting an internal mid-term review to identify why the portfolio is not performing as expected. The results will be discussed at a special three-day Board meeting in Johannesburg in March 2000.

Two RCSA funded infrastructure projects -- the SADC Transport Efficiency Project Policy Analysis Assistance to SATCC (STEP/PAAS) and the Regional Telecommunications Restructuring Program (RTRP) -- ended in September 1999. An impact evaluation of the contribution of the two projects confirmed significant progress in replacing monopoly laws with laws that embrace open market access, changing attitudes (from resistance to embracing private sector participation) and in establishing independent regulators, particularly in the telecommunications industry. Eight countries, Botswana, Lesotho, Malawi, Mauritius, Mozambique, Namibia, Tanzania and Zambia now have autonomous telecommunications regulators in place. The RCSA's technical assistance facilitated the creation of a regional forum of regulators called TRASA -- the Telecommunications Regulators Association of Southern Africa. The first annual meeting of the association was attended by the Chairman of the US Federal Communications Commission in August 1999, thus recognizing the importance of TRASA by the USG.

**Box 2: Reforms Improve Telecommunications Service.** Over the past six years, there has been a substantial increase in independent telecommunications regulators in the region from none in 1994 to eight in 1999, while telecommunications operators have also increased from a single monopoly operator in each country to 36 operators currently. As a result, fixed and mobile telecommunication lines increased 43% in Botswana, 39% in Zimbabwe, 29% in Namibia, 13% in South Africa and 7% in Mozambique. These developments can be attributed in large part to the reforms undertaken by the region, with the active assistance of the RCSA that opened up the sector to private sector participation.

Through its Support to Regional Non-governmental Organizations (STRENGTH) activity, the RCSA is building the capacity of selected regional organizations and networks. These include regional associations of freight forwarders, road haulers, railroads, telecommunications regulators, stock exchanges, cross-border traders and enterprise networks. This capacity building is creating strong advocates and stakeholder groups for market integration, to ensure that on-going reform efforts are sustained in the long-term.

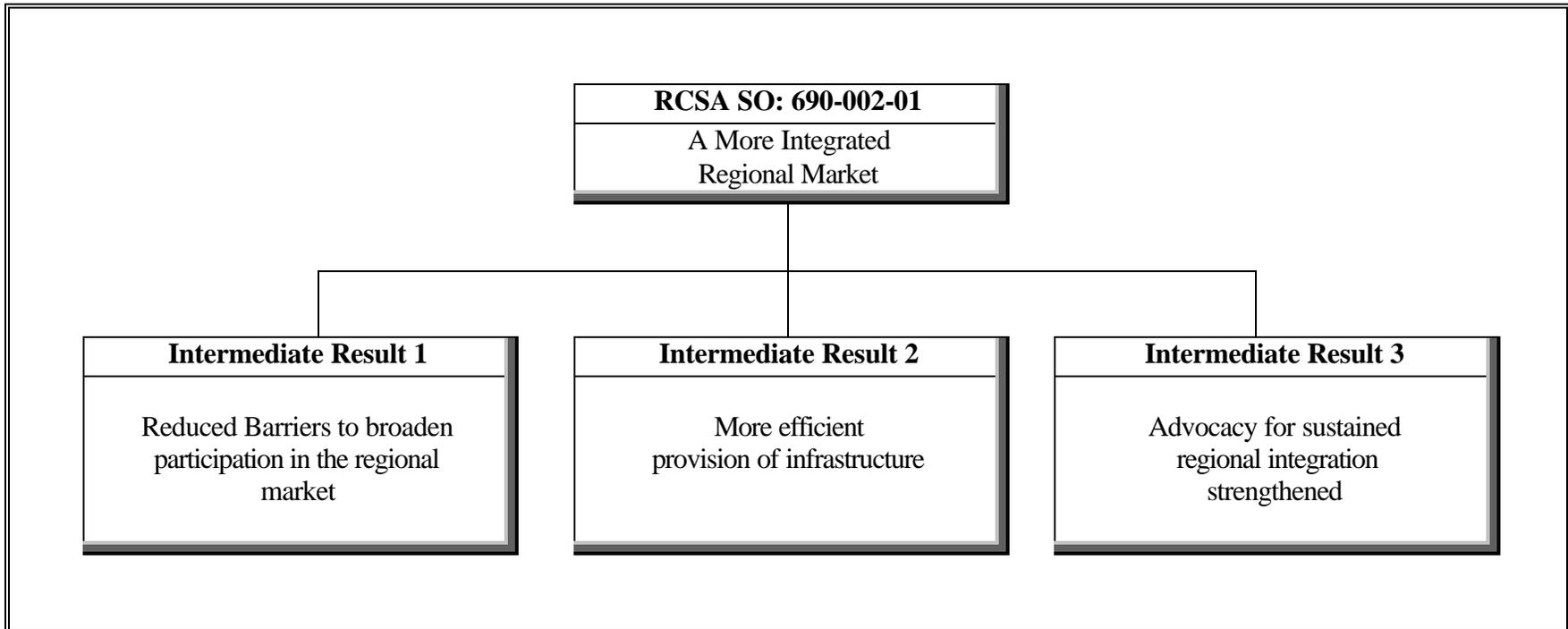
Despite continued conflicts in Angola and the DRC, growing unrest in Zimbabwe and floods in Mozambique, overall, the prospects for achieving results remain good. The RCSA will focus on helping SADC put in place mechanisms for management of the FTA; continue transport and telecommunications reforms; complete and hand-over of the Rolling Stock Information System activity (an IT based system that will improve the efficiency of SADC railways); support the creation of a market-based regional electricity trading system; support integration of SADC stock exchanges; and strengthen the capacity of selected public and private sector entities to strengthen their role as advocates of policy reform for market integration. Now that the restrictions around Section 660 of the Foreign Assistance Act have been lifted, the RCSA will support customs reforms and increased cooperation among customs agencies in the region.

**Adjustments to plans:** No major adjustments are proposed at this time. However, the RCSA is exploring the feasibility of including additional indicators to track results which could be directly attributed to specific activities implemented by the SO. The indicator reported on Table 3 will change to a teledensity indicator as discussed in Annex B, Section 2. The Regional Activity to Promote Integration through Dialogue (RAPID) technical assistance contract will be awarded in April 2000. This activity is a key component of SO-002, SO-012 and SO-013.

**Other Donor Programs:** The RCSA coordinates closely with the German and EU funded trade advisors to the SADC Secretariat. The European Union is supporting the development of the SADC Finance and Investment Protocol, while the UK is supporting public sector reform efforts and is considering support to regional trade initiatives. The IMF, EU and the World Bank funded Cross-Border Initiative are working with RCSA on reducing barriers to regional trade. The Canadian agency CIDA has a governance project in the transport sector. Given the complexity of regional integration and cross cutting issues in these areas, the RCSA coordinates its interventions with the donors noted above. In addition, the RCSA has initiated efforts to promote collaboration with international organizations such as, WCO, WTO, UNCTAD, ITC and UNECE.

**Major Contractors and Grantees:** Much of the RCSA's work in this SO is carried out to assist various SADC units in dealing with trade and infrastructure (telecommunications, railways, energy and road transport) issues. Major U.S. contractors providing technical assistance and assisting the RCSA include Nathan Associates, PriceWaterhouseCoopers, Science Applications International Corporation, Associates for Rural Development, Booz-Allen & Hamilton and Aurora Associates International.

**RCSA Strategic Objective: Market Integration 690-002-01**



**Performance Data Table 1: Value of Intra-SADC Trade**

<b>OBJECTIVE NAME:</b> A More Integrated Regional Market.			
<b>OBJECTIVE ID:</b> 690-002-01			
<b>APPROVED:</b> August 1997		<b>COUNTRY/ORGANIZATION:</b> RCSA	
<b>RESULT NAME:</b> SO Level: A More Integrated Regional Market.			
<b>INDICATOR:</b> Increased Value of Intra-SADC Trade			
<b>UNIT OF MEASURE:</b> US\$ million	<b>YEA R</b>	<b>PLANNED</b>	<b>ACTUAL</b>
<b>SOURCE:</b> General sources are statistics offices, customs and revenue authorities, SADC sector and consultancy reports. 1997 data based on 1998 consultancy report by Imani Development (Pvt.) Ltd. of Zimbabwe and on own calculations. 1998 data based on 1999 consultancy report by Botswana Institute of Development Policy Analysis.	1995	Baseline	9,044
	1996		8,417*
	1997	8,919	9,179
	1998	9,097	9,732
<b>INDICATOR / DESCRIPTION:</b> Total exports (from each of the SADC countries to the other eleven). 1995 is the base year. Figures for 1996 and 1997 are adjusted for inflation - using average GDP deflators. In 1998, data are deflated with a trade weighted GDP deflator. <b>PROJECTIONS /TARGETS</b> are guided by assumptions with regards real GDP growth and the beneficial impact of trade liberalization; and are given as a real increase of 2% per year through 1999 and 5% thereafter. These projections could still be refined further as more data becomes available.	1999	9,279	
	2000	9,465	
	2001	9,938	
	2002	10,435	
	2003	10,957	
<b>COMMENTS:</b> Progress in this indicator reflects in part the beneficial impact of RCSA involvement in ensuring ratification of the SADC trade protocol and in supporting trade liberalization in SADC.  Regarding the choice in indicator, since one SADC member's intra-regional exports are another member's intra-regional imports; it is sufficient to report on exports alone. Nevertheless, we do track total intra-SADC imports. Totals for intra-SADC import data compiled are close to those reported here for exports (\$9,127 million for intra-SADC imports in 1997). *1997 real intra-SADC trade value was revised downward from \$8,744 million in last R4 due to revisions in country data.  For the trade expansion projections, GDP growth is used as a basis because growth in GDP reflects growth in output, which allows for increased exports. At the same time, GDP growth also reflects increased incomes, which allow for growth in imports. In 1998 and 1999, the international financial crisis had slowed down global growth and therefore global demand for commodities exported by the region. In addition to this, the adverse impact on South Africa, the largest economy in the region resulted in a slowdown in South Africa with growth of less than 1% in 1998. From the end of 1999, however, growth in South Africa has begun to pick up. From 2000 onwards, now that the SADC trade protocol is ratified, it is assumed that the growth rates for most countries in the region will revert to an average of about 5% (3% for South Africa) and that this growth will now be supported by the beneficial effects of increased trade liberalization which will have become more evident.  SO 2 indicators, such as <i>increased value of intra-SADC trade</i> (reflecting the expansion of South African exports in the region) and <i>convergence of wholesale prices</i> (reflecting increased price stability and the influence of increased trade) show the combined impact of USAID/RCSA, regional institutions and other donors' interventions.			

**Performance Data Table 2: Cost of Transporting Imports**

<b>OBJECTIVE NAME:</b> A More Integrated Regional Market.					
<b>OBJECTIVE ID:</b> 690-002-01					
<b>APPROVED:</b> August 1997		<b>COUNTRY/ORGANIZATION:</b> RCSA			
<b>RESULT NAME:</b> IR2: More Efficient Provision of Infrastructure					
<b>INDICATOR:</b> Reduced Transport Costs of Imports					
<b>UNIT OF MEASURE:</b> US\$ at deflated prices		<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>	
<b>SOURCE:</b> Quotations from railway and major road transporters		1997	Durban to Ndola Baseline	3,100	
<p><b>INDICATOR / DESCRIPTION:</b> Minimum cost (in US\$ by either road or rail) of transportation for an inbound full twelve-meter container. The least of the quotes is taken as the cost of transportation. Cost is taken as the most important long-term indicator of operational efficiency.</p> <p>The two routes shown were selected on the grounds that they currently represent the backbone of the SADC transport system with each traversing three or four key countries in intra-SADC trade.</p> <p><i>* The data have been deflated using a rough 10% trade-weighted regional inflation estimate.</i></p> <p><b>COMMENTS:</b> This indicator reflects the beneficial impact of RCSA's involvement with the transport protocols, and with adjustments to legislation. The minimum cost reported each year often turns out to be the road transport cost. In a competitive market, rail costs would be lower than road costs. This is not yet the case in the region due in part to the inefficiency of state-run rail systems and uncompetitive, monopolistic behavior. Interventions are aimed at improving efficiency and competitive practice.</p> <p>In 1999, there was little difference between road and rail costs on the Beira-Ndola route. However, on the Durban-Ndola route, there was a significant escalation in rail costs, reflecting the negative impact of an uncompetitive pricing structure adopted at the new Beitbridge rail link in Zimbabwe.</p> <p><b>The planned values</b> project a reduction in transportation costs at the rate of 5% per year up to 1999 and then at 10% up to the year 2001 when costs are expected to stabilize with marginal reductions of 2% per year.</p>			Beira to Ndola	2,676*	
		1998	Durban to Ndola	2,945	2,898*
			Beira to Ndola	2,542	2,520*
		1999	Durban to Ndola	2,798	2,521*
			Beira to Ndola	2,415	2,475*
		2000	Durban to Ndola	2,518	
			Beira to Ndola	2,174	
		2001	Durban to Ndola	2,266	
			Beira to Ndola	1,956	
		2002	Durban to Ndola	2,040	
	Beira to Ndola	1,761			
2003	Durban to Ndola	1,836			
	Beira to Ndola	1,584			

**Performance Data Table 3: Licensed Telecommunications Service Providers**

<b>OBJECTIVE NAME:</b> A More Integrated Regional Market.			
<b>OBJECTIVE ID:</b> 690-002-01			
<b>APPROVED:</b> August 1997		<b>COUNTRY/ORGANIZATION:</b> RCSA	
<b>RESULT NAME:</b> IR2: More Efficient Provision of Infrastructure			
<b>INDICATOR:</b> Number of licensed telecommunications service providers			
<b>UNIT OF MEASURE:</b> Surveys of telecommunication regulatory authorities/ministries	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
<b>SOURCE:</b> Basic fixed network and cellular telephone services providers that have obtained licenses from SADC governments. Internet service providers are excluded from this indicator.	1993	Baseline	14
	<b>INDICATOR / DESCRIPTION:</b> Projections are based on a 10% annual growth rate in the number of service providers up until 2000. This is considered reasonable given the significant impact the introduction of cellular phones has had, and based on the expected impact of more liberal telecommunications legislation. Beyond 2000, projections labeled ** have been revised downwards as it is now evident from recent mergers and acquisitions in the industry that the market is consolidating to suit the market size and the number of service providers is peaking.	1997	27
	1998	31	35*
	1999	34	36
	2000	37	
	2001	38**	
	2002	39**	
<b>COMMENTS:</b> This indicator reflects the beneficial impact of RCSA's involvement with the transport and telecommunications protocols, and with adjustments to legislation.  The number of telephone and cellular companies in the region serves as a proxy for the number of people who have access to telecommunications services. *Note that the 1998 value has been corrected from 36 reported last year to 35.	2003	39**	

**This indicator will no longer be used for R4 reporting. The indicator value increased by only 1 in 1999. Given the current trends in market consolidation, little or no further change is expected in future years. The indicator was designed to capture growth in the telecommunications sector. For this reason, we propose that this indicator be replaced and supplemented with the more standard measure of tele-density.**

**The new Performance Data Table (with baselines and targets) that will be used for the FY2003 Results Report is included in Information Annex B, Section 4, Table 4.3.**

Country/Organization: RCSA

Objective ID: 690-012-01

Objective Name: Increased Regional Cooperation in the Management of Shared Natural Resources.

This is a new Strategic Objective which combines prior natural resource management (CBNRM) activities under the old SO3 "*Accelerated regional adoption of sustainable agricultural and natural resource management approaches*" with exploratory work in transboundary resource management conducted under the old Special Objective A "*Increased regional capacity to manage transboundary natural resources.*" In this R4 narrative, the RCSA discusses the progress to date under the old SOs in the "Key Results" section of the report and incorporates the new Strategic Objective activity implementation in the "Performance and Prospects" section. The rationale for the design of the new strategy is explained in the "Adjustments to Plans" section and in Annex B, Section 3.7.

**Self Assessment:** On Track (Based on achievements under the old SO 3 and SpOA)

**Self-Assessment Narrative:** Under the old SO3 (see Results Framework), widespread adoption of the community-based approach to natural resource management and the integration of the CBNRM approach into policy was achieved. Rural people in the target areas in Southern Africa experienced increased local control over, and more community benefits from improved management of their resource base. Local control was further strengthened by the RCSA's support for the development of community organizations, community trusts and regional networks. The widespread adoption of the community-based approach, combined with advances in policy development and the exploratory work under SpOA (see Results Framework), lay the groundwork for increased regional cooperation in the management of natural resources over the remainder of the strategy period.

**Primary Link to Strategic Agency Framework:** 5.5 Natural Resource Management

**Secondary Link to Strategic Agency Framework:**

5.2 Biological Diversity

**Link to U.S. National Interests:** Global Issues: Environment, Population, Health

**Primary Link to MPP Goals:** Environment

**Secondary Link to MPP Goals (optional):** Regional Stability

**Summary of the SO (NRM part of old SO3 and SpOA):** SO3 was designed to accelerate the development and adoption of participatory NRM approaches. Activities supported policy reforms and the creation of regional linkages and networks that bring together policy makers, end-users and private sector groups for conflict resolution, sharing best practices and advancing policy dialogue. At the national level, CBNRM activities were developed in Botswana, Namibia, Zimbabwe, and Zambia--the four pilot countries in the Regional NRM Project. Except in the case of Botswana, the activities were co-funded by

the RCSA and the USAID bilateral missions concerned. The purpose of SpOA was to work with SADC and other regional institutions (e.g., NGOs) to develop regional capacity to manage transboundary natural resources. SpOA conducted extensive consultations with partners and stakeholders to identify key areas of strategic interventions (now a part of the new SO).

**Summary of the new SO:** The new SO combines prior investments in developing NRM models and participatory approaches (CBNRM under the old SO3 and SpOA) to address the challenges of sustainable management of shared natural resources, particularly water and wildlife, and critical ecosystems and habitats. The new SO promotes regional stability and sustainable development through the management of shared resources. This would enable the region to take full advantage of its unique wildlife and extensive network of protected areas. Four Intermediate Results are identified (Results Framework attached): *Viable practices for sustainable management of shared natural resources adopted (IR1); Policies, protocols and agreements enacted (IR2); Organizations and institutions capable of effective regional intervention (IR3); and, Ecological monitoring systems for decision making improved (IR4).*

**Key Results (of the NRM part of old SO3 and SpOA):** The RCSA contributed to widespread awareness and adoption of CBNRM practices around the region, with the area under CBNRM in Botswana alone increasing from 61000 sq. km to 96000 sq. km over the past year (Table 1). The RCSA fostered the awareness and/or adoption of CBNRM approaches by supporting exchange visits and networking in the region. Fourteen Tanzanians visited CBNRM sites in Botswana to observe various activities. Although the spread of CBNRM approach is impressive, it only hints at the real impact of community empowerment to manage their natural resources. The level of control over resources and the levels of benefits accruing to community groups is empowering rural people to improve their own lives to the extent that CBNRM has become the leading rural development strategy. There are several examples of community level benefits, which generated revenues this year from their joint venture partnership, in addition to increased employment opportunities for its members. As an example, the Chobe Trust generated approximately \$200,000 this year from their joint venture partnership with Safari companies (see Annex E: Success Stories)

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**Box 1: Increased Benefits to Resource Users.** Over the past two years, more than 500 women in Kgetsi ya Tsie village have developed micro-enterprises based on the sale of edible “phane” caterpillars, thatching grass, and morula fruit products. Their individual incomes have increased by over 500 percent from less than \$100 per year to \$564.

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Key SADC-wide regional policy agreements (also known as "protocols"), in wildlife and water were supported by the RCSA. These protocols set the legal parameters to guide public and private behavior across national borders. The Wildlife Management and Law Enforcement Protocol was signed by all SADC countries within a record ten months, as a result of a more proactive approach linked to technical assistance provided by the RCSA to strengthen the SADC Wildlife Technical Coordinating Unit (see Table 3). Similarly, the Water Sector Coordinating Unit is assuming a leadership role in the region by

completing the final amendments to the Protocol on Shared Watercourse Systems.

The RCSA is supporting capacity building efforts in the water sector through the funding of training programs which will facilitate implementation of protocols. The first training session (Management of Transboundary Water Resources) resulted in increased awareness of the need for regional cooperation in water resources management among the 27 senior water resources managers from the region who attended. An added benefit of RCSA's active role in the water sector is strengthened ties to the U.S. State Department's Office of OES (Oceans, Environment and Science). A majority of SADC countries have signed multiple international treaties and conventions. The RCSA is assisting SADC to develop an "environmental charter" which provides a framework so that all environmental policies in the region are consistent with the provisions of the international agreements (see Table 2). This step will close the loop between citizens in each country and overarching global environmental problems like climate change and desertification.

Certain national level policies found to be effective will be shared regionally as possible models for other countries. An example of this is the integrated policy governing community-based management of natural resources developed in Botswana with RCSA support. This integrated policy approach could serve as a model for all countries in the region. Support to the Botswana Wildlife Training Institute resulted this year in the first professional guides training course in Botswana. Over half of the 21 trainees in this course secured employment with safari companies.

Through activities carried out under SADC Regional Natural Resources Management Program (NRMP) and Botswana NRMP, the RCSA supported the development of community organizations and community-level monitoring systems to better manage natural resources. These approaches were implemented more widely through regional networks and laying the foundation for a regional transboundary approach (see Table 4). Economic values were assigned to key natural resources in selected areas, providing crucial information to enable communities and governments to make informed ecological, economic and social decisions.

**BOX 2: Women are Beneficiaries of CBNRM.** As CBNRM has spread around the region, women have assumed greater influence. An example is the leadership taken by Chieftainess Chiyaba of the Lower Luwangwa Valley in Zambia. She transformed her area into a Game Management Area and initiated linkages between the area and similar programs in Zimbabwe (Guruve District) and Mozambique (Upper Cahorra Bassa). A transboundary CBNRM initiative is at an advanced stage of formation as a result of RCSA's NETCAB initiative.

**Performance and Prospects (for the new SO):** The RCSA will continue to support SADC to implement NRM related protocols. The Natural Resources Accounting activity commissioned a major study of water resources accounts in the Orange River basin, covering large parts of four countries, Lesotho, South Africa, Botswana, and Namibia. This activity sets the stage for valuing water and its use across borders and makes possible the setting of water use fees on a cost recovery basis. An additional refinement of the study will provide a preliminary assessment of the quality of the water provided

and estimate the impacts of wastewater discharge on the environment, a crucial step for implementation of the SADC Water Protocol. The RCSA will support SADC with the process of harmonizing the provisions of the Water Protocol with national water legislation. The initial focus is on the four countries that are part of the Okavango River basin, one of the SO's target TBRNM river basins<sup>3</sup>. A regional clearinghouse currently under design will capture the best practices from RCSA's investment in CBNRM over the last ten years. Key learning sites will become accessible for regional dissemination of best practices and examples shared.

**Adjustments to Plans:** SpOA undertook extensive consultations with partners and stakeholders to identify key areas of strategic intervention. This process resulted in the development of the new natural resource management SO, focussing on improved cooperation in the management of shared natural resources. The new SO was approved in November 1999. The reasons for adjusting the RCSA's NRM Strategy are discussed in Annex B, Section 3.7. As a part of the revised Strategy, the RCSA has developed a set of new performance indicators (see Annex B, Section 4, Tables 4.4 - 4.7). The four indicators reported in this R4 Report will no longer be used.

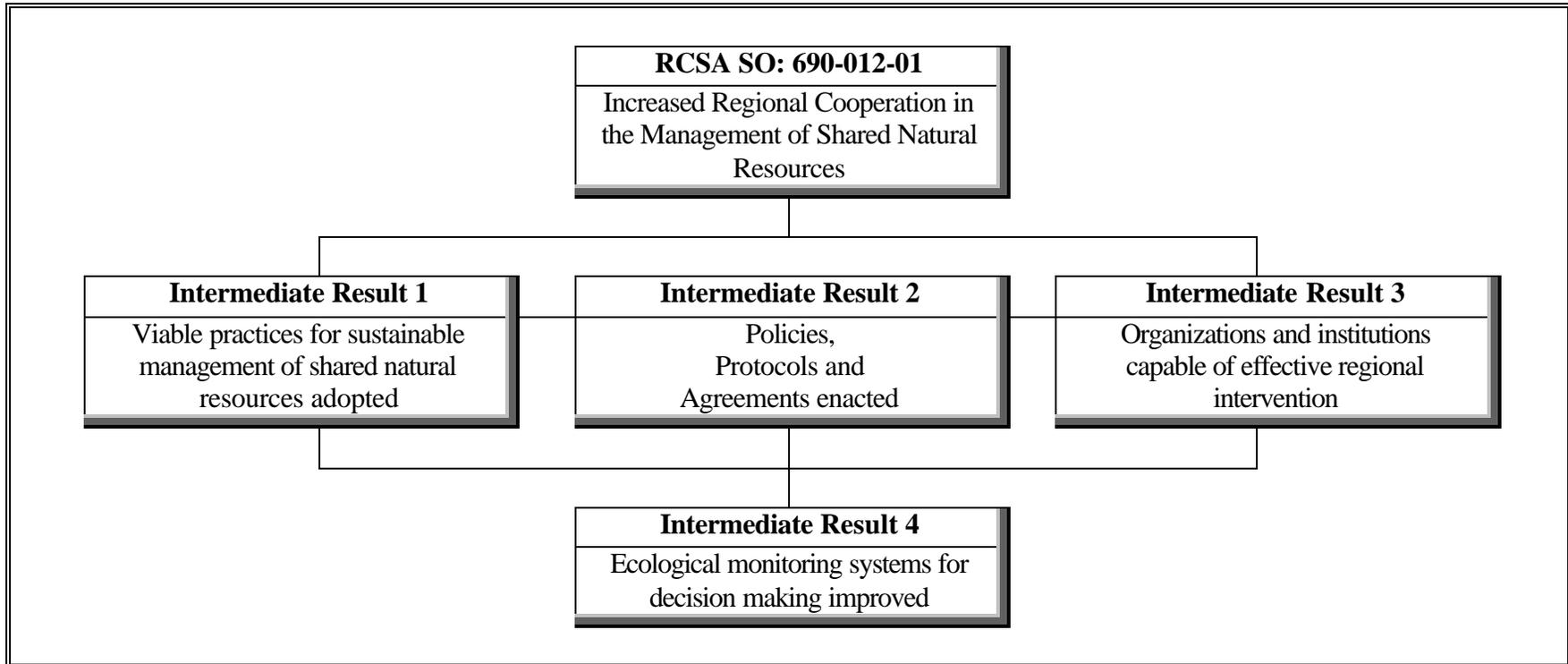
**Other Donor Programs:** USAID is the major regional donor to the NRM sector in southern Africa, particularly in the area of CBNRM. The RCSA has also assumed a leadership role in promoting a transboundary approach to NRM in the region. Other donors, however, are also supporting regional institutions such as SADC in this sector. Important donors in this sector are: (1) the European Union (water sector); (2) the Swedish International Development Agency—SIDA (water sector); (3) the World Bank, through the Global Environmental Facility (GEF) supported studies on fish taxonomy in Lake Malawi. The World Bank and EU are also supporting Park Planning in the Kruger-Gonarezhou area in South Africa, Zimbabwe and Mozambique; and, (4) the United Nations Development Program (UNDP) has placed a Technical Advisor with the Water Sector and is also supporting interventions in the Okavango area.

**Major Contractors and Grantees:** The SADC Secretariat and its sector coordinating unit for Water, Wildlife and Environment and Land Management are the RCSA's principal partners. Support to the Wildlife sector is provided through a consortium of NGOs including the WWF/Zimbabwe and Africa Resources Trust. This support is aimed at building the capacity of the WSTCU in its role as the coordinator of wildlife related programs on behalf of SADC. RCSA funds PACT, a U.S. firm to implement CBNRM activities in Botswana. The RCSA also collaborates with IUCN-ROSA in implementing the Regional Initiative for Networking and Capacity Building (NETCAB), an activity aimed at building capacity within NGOs for policy formulation and implementation.

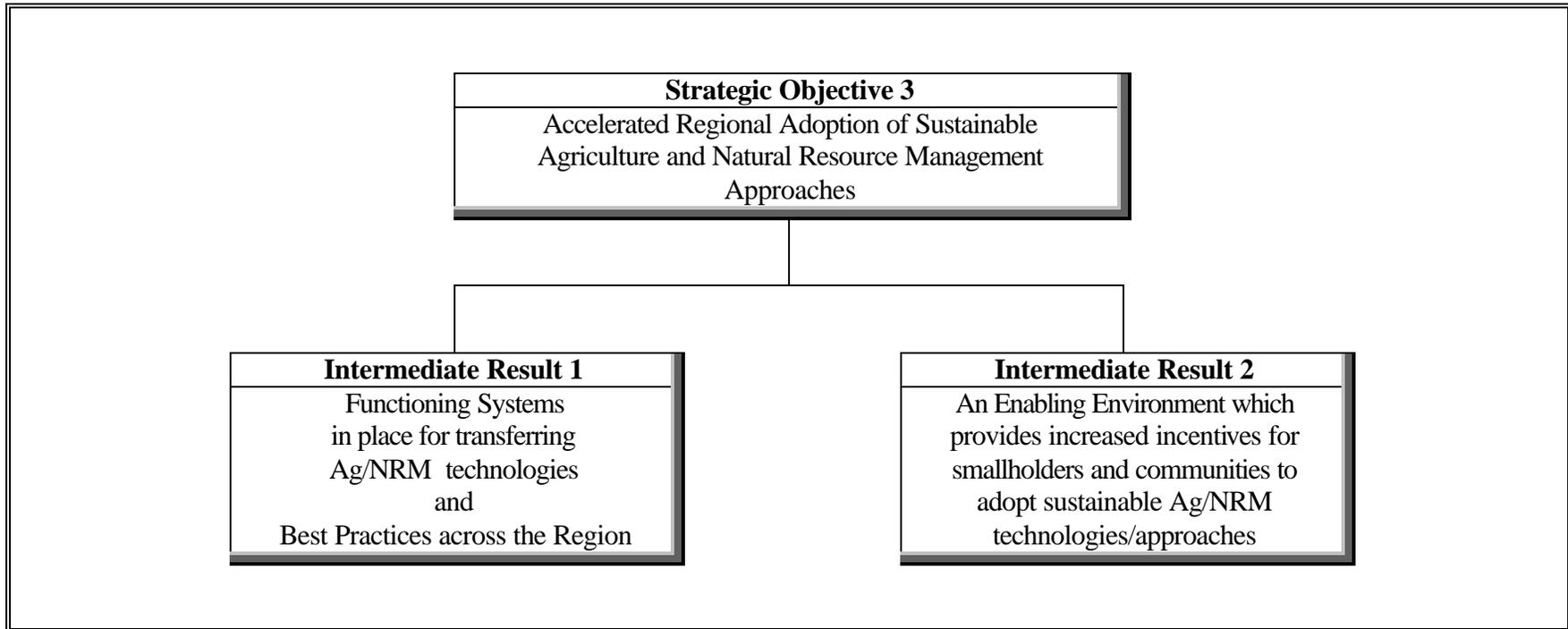
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<sup>3</sup> Two river basins (Okavango and Limpopo) and three TBRNM areas were selected using 12 criteria, including other donor presence for complementarity and leveraging, with participation from the Global Bureau. The three TBRNM areas are the Okavango/Capri area, Kruger/Gonarezhou/ area, and Lake Malawi.

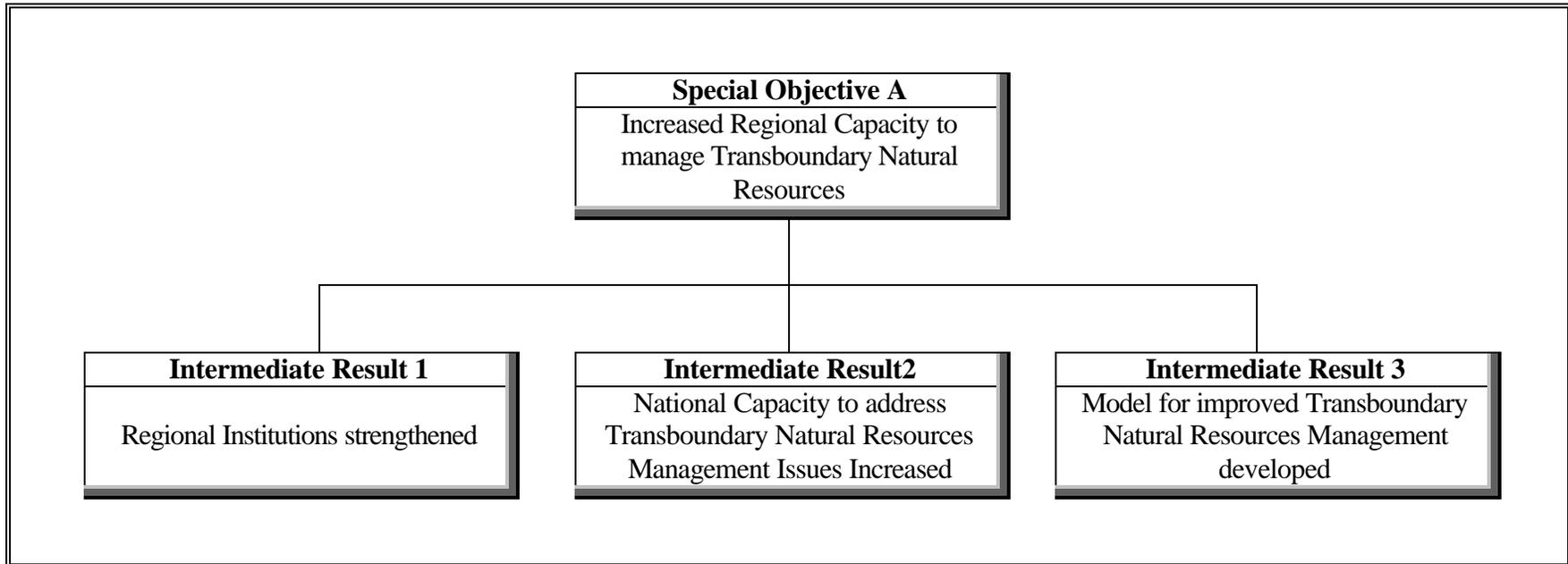
### RCSA's NRM Strategic Objective 690-012-01 (New)



### RCSA's NRM Strategic Objective (old SO3)



**RCSA's NRM Special Objective (Old SpOA)**



**Performance Data Table 1: Area under Improved Natural Resources Management**

<b>OLD OBJECTIVE NAME:</b> Accelerated Regional Adoption of Sustainable Agriculture and Natural Resources Management Approaches <b>APPROVED:</b> August 1997			
<b>NEW OBJECTIVE NAME:</b> Increased Regional Cooperation in the Management of Shared Natural Resources <b>APPROVED:</b> November 1999			
<b>OBJECTIVE ID:</b> 690-012-01		<b>COUNTRY/ORGANIZATION:</b> RCSA	
<b>RESULT NAME:</b> Accelerated Regional Adoption of Sustainable Ag/NRM Approaches (Old SO3)			
<b>INDICATOR:</b> Area Under Improved Natural Resources Management			
<b>UNIT OF MEASURE:</b> Thousands of hectares.	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
<b>SOURCE:</b> Mission and project reports	1984	Baseline	Nil
<b>INDICATOR / DESCRIPTION:</b> Hectares under management apply to those areas in which the RCSA-funded efforts take place. Numbers here represent area under CBNRM achieved through the Regional NRMP.	1996		6,253
	1997	6,878	6,907
	1998	7,566	15,452
<b>COMMENTS:</b> The 1999 total is estimated from new conservancies in Namibia and the new community areas in Botswana. The area under CBNRM in Botswana alone increased from 6,100 (thousand hectares) to 9,600 (thousand hectares) over the past year. Namibia gazetted five new conservancies in December 1999 – with a total area of 485 thousand hectares and 12,987 people involved.	1999	8,322	19,438

**This indicator will no longer be used for R4 reporting purposes.** The indicator has been useful in measuring the spread of CBNRM throughout the region. National policies are in place in many countries and CBNRM is an accepted approach that has been successfully adapted for local conditions throughout the region. The community empowerment principles on which CBNRM is based has become the dominant rural development approach. It is expected that the spread of CBNRM will continue, but now that the approach is entrenched, monitoring further spread is no longer necessary for management purposes. The indicator has limited value, as it does not capture the impact of community empowerment to manage their natural resources. The new SO-012 framework will build on specified best practices in particular TBNRM areas. The indicator is replaced by: *"Number of TBNRMA agreements established with RCSA support in the Region."* See New Performance Data Tables for NRM, in Annex B, Section 4, Table 4.4.

**Performance Data Table 2: Stage of Adoption of Policy Framework**

<b>OLD OBJECTIVE NAME:</b> Increased Regional Capacity to manage Transboundary Natural Resources <b>APPROVED:</b> August 1997			
<b>NEW OBJECTIVE NAME:</b> Increased Regional Cooperation in the Management of Shared Natural Resources <b>APPROVED:</b> November 1999			
<b>OBJECTIVE ID:</b> 690-012-01		<b>COUNTRY/ORGANIZATION:</b> RCSA	
<b>RESULT NAME:</b> An Enabling Environment Which Provides Increased Incentives for Smallholders to Adopt Sustainable Ag/NRM Technologies and Approaches (OLD SpOA)			
<b>INDICATOR:</b> Adoption of Policy Framework			
<b>UNIT OF MEASURE:</b> Stage of Development and Adoption	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
<b>SOURCE:</b> USAID Mission Reports	1997 (B)	Baseline	None
<b>INDICATOR / DESCRIPTION:</b> Policy frameworks for natural resources management will be developed. The stages are: 1) task force(s) constituted for reviewing policies that constrain NRM development; 2) draft policy framework prepared; 3) policy framework approved; 4) policy framework implemented.	1998	Task force constituted	Task forces constituted
	1999	Draft Policy Framework	Action Plan for Environmental Charter completed
<b>COMMENTS :</b>			

**This indicator will no longer be used for R4 reporting purposes.** The data will be captured under a more comprehensive measure: *"Progress towards the ratification of selected Protocols."* See New Performance Data Tables for NRM in Annex B, Section 4, Table 4.5.

### Performance Data Table 3 Summary Status of SADC TBNR Protocols (Water and Wildlife)

<b>OLD OBJECTIVE NAME:</b> Increased Regional Capacity to manage Transboundary Natural Resources <b>APPROVED:</b> August 1997			
<b>NEW OBJECTIVE NAME:</b> Increased Regional Cooperation in the Management of Shared Natural Resources <b>APPROVED:</b> November 1999			
<b>OBJECTIVE ID:</b> 690-012-01		<b>COUNTRY/ORGANIZATION:</b> RCSA	
<b>RESULT NAME:</b> Summary Status of SADC TBNR Protocols (Water and Wildlife) (Old SpOA)			
<b>INDICATOR:</b> Steps Taken Towards Making TBNR Protocols Operational			
<b>UNIT OF MEASURE:</b> Stages of Protocol Development and Implementation	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
<b>SOURCE:</b> Stages of Protocol Development and Implementation	1997	Baseline	Water Protocol signed by all SADC countries except Angola, and ratified by 6 countries; Wildlife in early draft.
<b>INDICATOR / DESCRIPTION:</b> There are at least two protocols, one for water and one for wildlife. The stages are: Protocol drafting, signing by member countries, ratification by at least two thirds of member states, policy and legal constraints identified and reformed, and implementation.	1998	Water Protocol ratified by two thirds. Wildlife Protocol ready for signing.	Water Protocol ratified by 10 countries making the required two-thirds. Wildlife Protocol in draft stage.
<b>COMMENTS:</b> : The SADC Protocol on Shared Watercourse Systems has now been ratified and the Water Sector Coordinating Unit has started working on projects that support the goals of the Protocol. The RCSA is funding activities for the smooth implementation of the Protocol – management training, harmonization of legislation & technical assistance. The RCSA supported the Water Sector Technical Coordinating Unit in its implementation of the Water Protocol by building capacity regionally through training of water resources managers. The RCSA motivated the Water Sector Coordinating Unit to assume a leadership role in completing the final amendment to the Protocol. Amendments to the Protocol on Shared Watercourse Systems, which was ratified in 1998, will be finalized through the RCSA efforts in bringing together environmental ministers in the region to agree on these amendments by the end of March 2000.  The SADC Protocol on Wildlife has not been ratified but various activities are under way through the Wildlife Technical Coordinating Unit in Malawi.	1999	River basin boundaries delineated. Legal and policy constraints identified. Wildlife Protocol signed by 8 countries.	Terms of Reference for water basin boundary delineation prepared. Legal analysis to fit with global conventions completed. Wildlife Protocol signed by 14 countries.

**This indicator will no longer be used for R4 reporting purposes. A broader new indicator will capture the new indicator data: "Progress towards the ratification of selected Protocols".**

**See New Performance Data Tables for NRM in Annex B, Section 4, Table 4.5.**

**Performance Data Table 4: NGOs Involved in Transboundary Natural Resources Management.**

<b>OLD OBJECTIVE NAME:</b> Increased Regional Capacity to manage Transboundary Natural Resources <b>APPROVED:</b> August 1997			
<b>NEW OBJECTIVE NAME:</b> Increased Regional Cooperation in the Management of Shared Natural Resources <b>APPROVED:</b> November 1999			
<b>OBJECTIVE ID:</b> 690-012-01		<b>COUNTRY/ORGANIZATION:</b> RCSA	
<b>RESULT NAME:</b> Regional Institutions Strengthened (Old SpOA)			
<b>INDICATOR:</b> Number of Regional NGOs Actively Involved in TBNR Management			
<b>UNIT OF MEASURE:</b> Number of NGOs	<b>YEAR</b>	<b>PLANNE D</b>	<b>ACTUAL</b>
<b>SOURCE:</b> Survey of NGOs	1997	Baseline	7
<b>INDICATOR / DESCRIPTION:</b> The criteria for determining level of active involvement in TBNRM by an NGO are number and diversity of TBNRM activities, budget and staff size dedicated to TBNRM and length of involvement in TBNRM.	1998	10	8
	1999	9	14
<b>COMMENTS:</b> A comprehensive list of NGOs involved in TBNRM was developed from existing databases and expert opinion. 43 NGOs were contacted to ascertain whether they were involved in TBNRM or not. Of those, 24 were currently involved in TBNRM activities and they were requested to supply information in face-to-face interviews. Useful data was also collected on those NGOs in the planning stages of TBNRM involvement and the organizational constraints to greater involvement which will inform decisions as to which NGOs to support and what capacity building activities to fund. Data will also be used to assist the SOT in partner selection for the new Strategic Framework. From the 24 NGOs involved in TBNRM, only 14 NGOs were actively involved.			

**This indicator will no longer be used for R4 reporting purposes. A new indicator "Number of institutions providing key services during the establishment of targeted Transboundary Natural Resources Management Areas" will provide a better measurement of the achievements of the RCSA-supported NGOs. See New Performance Data Tables for NRM Table 4 in Annex B, Section 4, Table 4.7.**

Country/Organization: RCSA

Objective ID: 690-013-01

Objective Name: Expanded Commercial Markets for Agricultural Technologies and Commodities in the SADC Region.

This is a new SO approved in November 1999 (see Results Framework attached), following the Mission's decision to separate agricultural development from natural resource management, which were combined under the old SO3 (see Results Framework attached). Under this new SO the RCSA's support to agriculture development will shift away from technology development and transfer, towards a marketing approach (see discussion in Annex-B Section 3.7). The rationale is to accelerate the process of technology adoption by supporting market forces. The results achieved in 1999 under the old SO3 are reported below in the "self-assessment" and "key results" sections. "Summaries of the old SO3 and new SO-013" and "performance and prospects" of the new SO-013 are presented under the relevant sections. This is the last year of reporting results under the old SO3.

**Self-Assessment:** (Old SO3) On Track.

**Self-Assessment Narrative:** The RCSA is the major donor funding the development of new varieties of key staples (sorghum, millet, cassava and sweet potato) for Southern Africa, through its support to the two research networks: Sorghum and Millet Improvement Program (SMIP) and the Southern Africa Root Crops Research Network (SARRNET). Adoption rates for improved varieties of both sorghum and millet have continued to increase, although adoption of sorghum varieties is below target (Table 1). Adoption of these higher-yielding, drought tolerant varieties is increasing, as they are well adapted to the chronic drought conditions in Southern Africa. In 1999 the RCSA continued to fund the "heartwater" research project to develop and test vaccines to control this economically important tick-borne cattle disease widely prevalent in Southern Africa. The commercialization of this vaccine, now at an advanced stage of field testing, will be the first biotechnology research product developed in Southern Africa with U.S. assistance, which is to be commercialized by a pharmaceutical company.

**Primary Link to Strategic Agency Framework:** 1.1 Private Markets

**Secondary Link to Strategic Agency Framework:**

1.2 2 Ag Development/Food Security       7.4 Technical/Managerial Capacity Expanded

**Link to U.S. National Interests:** Economic Prosperity

**Primary Link to MPP Goals:** Open Markets

**Secondary Link to MPP Goals (optional):** Economic Development

**Summary of agriculture in the old SO3:** The purpose of this SO was to accelerate the adoption of sustainable crop production technologies especially among smallholders and rural communities. The old SO3 focused on the achievement of two Intermediate Results: functioning systems for transferring agricultural technologies and best practices in the region (IR1); and the adoption of an enabling policy framework (IR2).

**Key Results (old SO3):** The percent of total crop area planted under improved varieties (i.e., adoption) has risen 15% for improved sorghum and millet varieties. These varieties were developed by the RCSA funded SMIP network. However, the adoption of sorghum varieties is below target for 1999, principally because of interference in markets by parastatals and other subsidy programs. The adoption of millet varieties, nevertheless, was above target (Table 1). SMIP produced over five tons of foundation and breeder seed, which is sufficient to meet the SO targets for 1999/2000 in the three target countries (Tanzania, Zimbabwe and Mozambique). Foundation seed will enable national programs to test and release improved varieties more quickly. In 1999, activities under the old SO3 also tested market approaches and identified new partners to support commercial market expansion for technologies in the region. For example, a private firm in Zimbabwe developed innovative marketing strategies for contracting commodity purchases and selling improved seed (see Box. 1)

The greatest demand for sorghum varieties developed by SMIP will be through increased demand by agri-businesses for sorghum grain to produce food and feed products for regional markets. For example SMIP in cooperation with bakeries successfully test-marketed bakery products where SMIP-developed white-grained hybrid sorghum was substituted for wheat flour in bread. Private breweries and poultry feed producers will also be testing similar substitution approaches in 2000 with SMIP/RCSA support. Food processors are also beginning to substitute cassava and sweet potato flour for wheat flour in bakery products and snack foods. Sweet potato is increasingly used in the diets of children vulnerable to Vitamin A deficiency in the target countries. The RCSA's partners will be developing ways of expanding these nascent markets in 2000 and beyond.

**Box1: Good Things Come in Small Packages.** SMIP and the Seed Company of Zimbabwe during the 1998/99 season tested commercial demand for new varieties. Seed, priced at full cost, was sold in small packs through rural retailers. Credit was provided to encourage retailers to stock the seeds. The number of farmers willing to purchase SV2 sorghum seed in Zimbabwe increased from less than 10% to almost 90% as a result of seed being available in rural markets. Test marketing results were so encouraging that the seed company is expanding the program in year 2000 in Zimbabwe and Mozambique.<sup>4</sup>

During 1997-1999, there was an increased use of improved cassava (13 percent) and sweet potato (48 percent) planting material in the four target countries (Mozambique, Tanzania, Zambia and Zimbabwe), resulting in significant increases in cassava and sweet potato production in the SADC region as a result of the RCSA funded SARRNET. Survey data shows that the lack of access to improved planting material impeded expansion of these crops. SARRNET, with support from USAID Malawi, USAID Mozambique and the RCSA promoted a "easy-access" nursery system. Thirty NGOs in 10 SADC countries established multiplication sites (nurseries) close to the production centers in these countries. These nurseries serve approximately 134,000 farmers<sup>5</sup>. Flood victims in Mozambique could use this system to re-establish plant material nurseries destroyed in the floods. The two agricultural research networks supported by the RCSA are on track. Research is increasingly focussed on marketing considerations. New ways of managing research are being implemented. Improved technologies are developed that will increase demand by commercial markets for the four target commodities (Tables 2 and 3).

<sup>4</sup> Collaboration and Achievements in Southern Africa 1983-1999, SADC/ICRISAT pg. 6

<sup>5</sup> SARRNET country reports and email from James Teri, Project Coordinator.

In 1999, the RCSA-funded Heartwater Research Project, implemented by the University of Florida, continued field-testing of vaccines, and other control measures for this tick-borne disease (see Box 2). The disease annually costs livestock owners in Southern Africa \$44 million in livestock production losses and pesticide purchases. Our partners accomplished two major breakthroughs which will accelerate commercialization: the South African government granted a patent for the Heartwater DNA vaccine and the Government of Zimbabwe permitted field tests of this vaccine to be carried out on sheep. This technology could be applied in the U.S. as the recent appearance of African ticks in the U.S. poses a real threat to its livestock and deer populations.

**Box 2: University of Florida Collars Ticks.** “Tick collars” (like flea collars) will soon be sold in Southern Africa to protect livestock from tick and insect-borne diseases like Heartwater. The technology was developed by the RCSA-funded Heartwater project conducted by the University of Florida and SADC. A Zimbabwean company in Harare will begin manufacturing and selling collars and tail tags to the region’s cattle farmers. The collars and tags will save livestock owners in the region more than US\$44 million annually in livestock losses and pesticide costs<sup>6</sup>.

**Summary of new SO-013:** The purpose of the new SO is to "expand markets for improved agricultural technologies and commodities in Southern Africa". The RCSA's research support is targeted to sorghum, millet, cassava and sweet potato, and control of heartwater disease, while commercialization of technologies and regional trade in is promoted by supporting market forces through policy and regulatory reform. The ultimate beneficiaries will be approximately five million rural households that depend on farming for employment, income and food security; and, several thousand small and medium agribusiness firms that are involved in grain trading and processing. The SO will support the reform of policies, laws and regulations that help increased trade of agricultural technologies and commodities (IR1); increasing the adoption of sustainable agricultural technologies and practices (IR2); increasing private sector participation in delivery systems for existing agricultural technologies and practices (IR3) and develop new sustainable agricultural technologies and practices (IR4). The SO seeks to harmonize national laws and regulations with internationally accepted standards in order to bring a new generation of technologies into Southern Africa through regional and international investment.

**Performance and Prospects (for the New SO):** Increased demand for sorghum, millet and cassava by food and feed manufacturers will help expand national and regional markets, although growth in demand is expected to be slow initially. The RCSA expects an increase in productivity on farms to result in a 10-15 percent increase in the marketed surplus and a 20 percent increase in the adoption of new varieties at the end of the strategy period. Regional trade in these commodities is expected to increase by ten percent. Markets for value-added products (e.g. starch from cassava) should also emerge. Implementation of the SADC trade protocol, ratified in January 2000, will provide an enabling environment for regional trade in these commodities by eliminating tariff and non-tariff trade barriers. The networks are helping in the development of a sound information base on regional markets, agricultural policies and the effect of tariff and non-tariff trade barriers on agricultural trade. The RCSA and AFR/SD funded Food,

<sup>6</sup> Heartwater Research Project reports and discussion with Michael Burrige, Project Director.

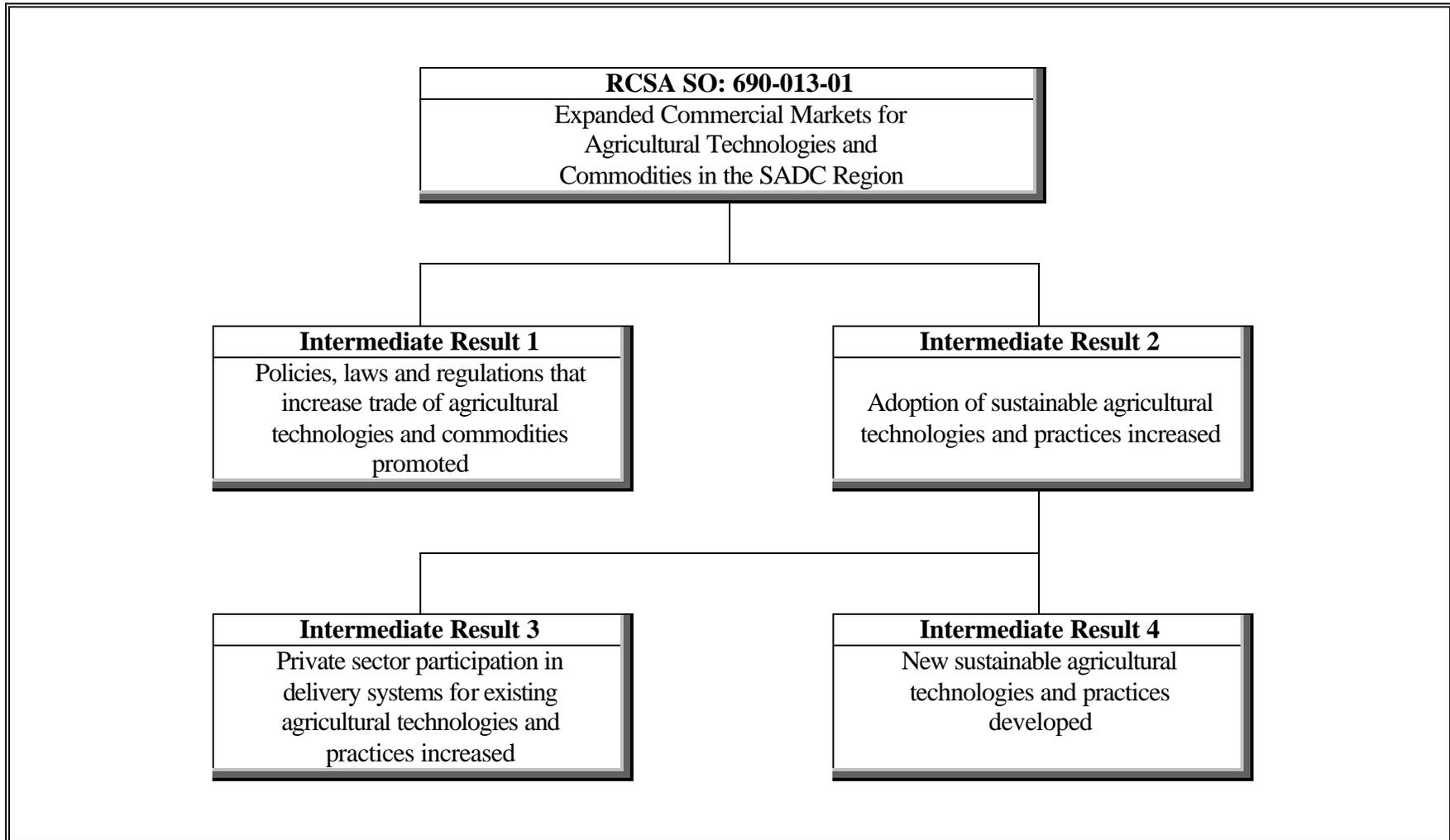
Agriculture and Natural Resources Policy Analysis Network (FANR/PAN) will be focusing on issues related to agricultural trade, particularly seed trade, in Southern Africa. The policy network will provide decision-makers with a sound analysis of policy constraints in promoting regional trade in technologies and commodities. The RCSA will also support training and technical assistance to establish grades and standards for improved varieties and selected commodities through regional or sub-regional agreements during 2000-2003.

**Possible adjustments to Plans:** The reasons for adjusting the RCSA's strategy for agricultural development and this SO's market oriented approach to the development of technologies, and promotion of regional trade in technologies and commodities are discussed in Annex B, Section 3.7. Various studies supported by the RCSA demonstrated the need for an enabling policy and regulatory environment and supporting market forces, to ensure a sustained transformation of agriculture in the region. Based on our experience of collecting impact data and its cost, we have formulated new indicators and measures (Annex-B, Section 4, Tables 4.8 - 4.11). The cost of technical assistance to reform policies and reduce non-tariff barriers to regional trade could exceed resources allocated to the SO. The costs will be partially offset by the activities related to reduction of trade barriers funded by the RCSA under its Market Integration SO. Efforts will also be made to find opportunities for collaboration with other donors and leverage resources with our stakeholders. However, if budget cuts were to occur, the SO Team would elect to reduce support to the activities dealing with development of new technologies (IR4) and promoting the adoption of technologies (IR2), rather than reduce efforts in policy reform or private sector activities (IR1 and IR3). For example, a 10 percent budget cut could force the SO to fund the work on only 2 or 3 improved technologies (out of five). A 25 percent reduction may force us to fund only one or two improved technologies. The Regional Activity to Promote Integration through Dialogue (RAPID) technical assistance contract will be awarded in April 2000. This activity is a key component of SO-002, SO-012 and SO-013.

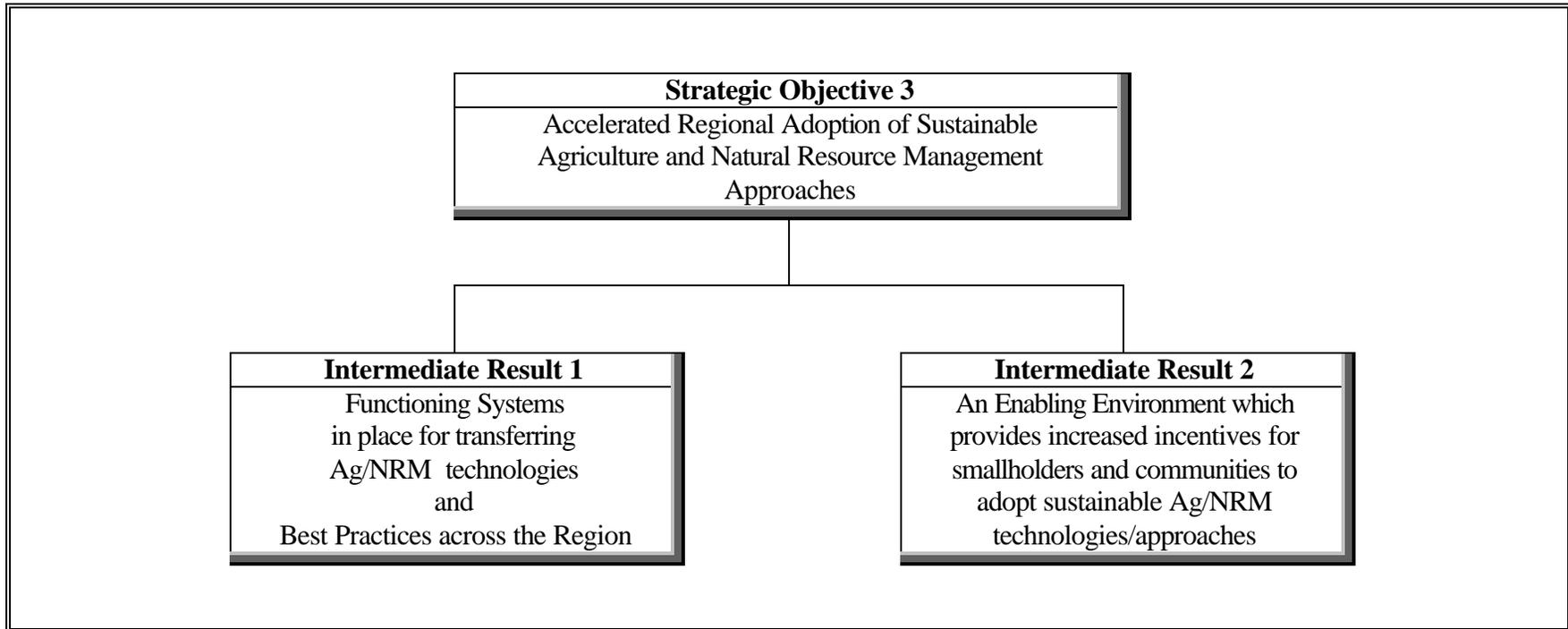
**Other Donor Programs:** USAID is the major donor supporting agricultural research in the SADC region. However, the limited resources available to the SO are leveraged by functional collaboration with other donors in selected activities e.g. in promoting seed sector reforms, the RCSA is collaborating with the World Bank's "Sub-Saharan African Seed Initiative" that is focusing on reforming government seed sector support programs; in agricultural policy analyses, the RCSA is collaborating with the Government of France, who is assisting one of the members of the FANR/PAN funded by the RCSA.

**Major Contractors and Grantees:** Two international agricultural research centers (ICRISAT and IITA) are grantees working with the 12 national agriculture research institutions in the region. The University of Florida is developing Heartwater disease control technologies for livestock. Other partners include about 30 Southern African NGOs. RCSA will be working with the SADC Parliamentary Forum on promoting policy reforms and with the Southern Africa Media Foundation to increase public awareness of improved technologies and regional trade in agriculture. Datex (a U.S. firm) provides NGO support services under the STRENGTH project.

**RCSA Strategic Objective: Agriculture 690-013-01 (New)**



### RCSA Strategic Objective: Agriculture (Old SO3)



### Performance Data Table 1: Improved Agricultural Management

<b>OLD OBJECTIVE NAME:</b> Accelerated Regional Adoption of Sustainable Agriculture and Natural Resource Management Approaches. <b>APPROVED:</b> August 1997			
<b>NEW OBJECTIVE NAME:</b> Expanded Commercial Markets for Agricultural Technologies and Commodities in the SADC Region. <b>APPROVED:</b> November 1999			
<b>OBJECTIVE ID:</b> 690-013-01		<b>COUNTRY/ORGANIZATION:</b> RCSA	
<b>RESULT NAME:</b> Adoption of improved Agricultural Technologies and Practices in Southern Africa Increased (old SO3)			
<b>INDICATOR:</b> Area Under Improved Agricultural Management			
<b>UNIT OF MEASURE:</b> Thousands of hectares.	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
<b>SOURCE:</b> Mission and project reports	1984	Baseline	Millet: Nil Sorghum: Nil
<b>INDICATOR / DESCRIPTION:</b> Hectares under management apply for those areas in which USAID-funded efforts take place. It is estimated from the quantity of improved seed or planting material distributed through public, NGO and private sector, and then confirmed or modified after a reconnaissance survey is held in that particular country. SMIP surveys Botswana, Zimbabwe, Tanzania and Mozambique. Each country is surveyed once every four years.	1996		Millet: 155 Sorghum:327
	1997	Millet: 171 Sorghum:360	Millet: 219 Sorghum:327
	1998	Millet: 188 Sorghum:396	Millet: 204 Sorghum:312
	<b>COMMENTS:</b> Implementation of SMIP Phase IV started in 1999. It focuses on expanding the market for inputs and commodities thereby broadening its customer base to include government policy makers, NARs, researchers, breeders, farmers, transporters, millers, input traders and commodity traders. This is expected to accelerate adoption by mobilizing the potential demand for the produce.	1999	Millet: 206 Sorghum:435
2000		Millet: 227 Sorghum:479	
2001		Millet: 250 Sorghum:527	
2002		Millet: 302 Sorghum:637	

**This indicator will no longer be used for R4 reporting. Adoption rates (expressed as % of total area suitable for these crops which is planted with improved varieties) will be used instead.**

**The new Performance Data Table that will be used for the FY2003 Results Report is included in Information Annex B, Section 4, Table 4.8**

## Performance Data Table 2: Stage of Development and Adoption of Agricultural Policy Framework

<b>OLD OBJECTIVE NAME:</b> Accelerated Regional Adoption of Sustainable Agriculture and Natural Resource Management Approaches. <b>APPROVED:</b> August 1997			
<b>NEW OBJECTIVE NAME:</b> Expanded Commercial Markets for Agricultural Technologies and Commodities in the SADC Region. <b>APPROVED:</b> November 1999			
<b>OBJECTIVE ID:</b> 690-013-01		<b>COUNTRY/ORGANIZATION:</b> RCSA	
<b>RESULT NAME:</b> Laws and Policies that Increase Trade in Agricultural Technologies and Commodities Enacted (Old SO3)			
<b>INDICATOR:</b> Adoption of Policy Framework			
<b>UNIT OF MEASURE:</b> Stage of Development and Adoption	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
<b>SOURCE:</b> USAID Mission and Partner Reports	1997	Baseline	None
<b>INDICATOR / DESCRIPTION:</b> This indicator measures the progress in the development and adoption of Policy frameworks that support adoption of improved agricultural management. The milestones used to assess progress are: 1) task force(s) constituted for reviewing policies that constrain Ag/NRM development; 2) draft policy framework prepared; 3) policy framework approved; 4) policy framework implemented.	1998	Task force constituted	Task force constituted
	1999	Draft Policy Framework	FANR/PAN Framework developed*
	2000	Policy Framework reviewed with relevant policy makers with participation from private sector and civil society	
	2001	Policy Framework approved	
<b>COMMENTS:</b>  *During 1999, the FANRPAN held extensive consultations with its Stakeholders and partners and developed a detailed plan of action for FY2000. FANRPAN identified institutional nodes in eight Southern African countries and implemented a framework and implementation plan with the institutions. FANRPAN developed a prioritized policy agenda with a focus on agricultural trade, with specific emphasis on seed trade within the region. They were selected as the analytical group to undertake the seed sector analysis in the Southern African component of the World Bank's Sub-Saharan African Seed Initiative during the year 2000.	2003	Policy Framework approved and implementation begun	

**This indicator will no longer be used for R4 reporting. A qualitative indicator "progress in policy reform for the removal or mitigation of non-tariff trade barriers for plant genetic resources" in the new SO monitoring framework will replace the indicator. The new Performance Data Table that will be used for the FY2003 Results Report is included in Information Annex B, Section 4, Table 4.11.**

**Performance Data Table 3: Regional Networks Established & Strengthened**

<b>OLD OBJECTIVE NAME:</b> Accelerated Regional Adoption of Sustainable Agriculture and Natural Resource Management Approaches. <b>APPROVED:</b> August 1997			
<b>NEW OBJECTIVE NAME:</b> Expanded Commercial Markets for Agricultural Technologies and Commodities in the SADC Region. <b>APPROVED:</b> November 1999			
<b>OBJECTIVE ID:</b> 690-013-01		<b>COUNTRY/ORGANIZATION:</b> RCSA	
<b>RESULT NAME:</b> Expanded Commercial Markets for Agricultural Technologies and Commodities in the SADC Region (Old SO3)			
<b>INDICATOR:</b> Agriculture research networks established and strengthened			
<b>UNIT OF MEASURE:</b> Number of Networks that are established and strengthened in each of 4 developmental stages.	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
<b>SOURCE:</b> USAID, Regional NGOs		Baseline	a. 0 b. 2
<b>INDICATOR / DESCRIPTION:</b> # of networks at the four developmental stages defined by: a. Organized & functioning with partners b. Have operating plan to identify sufficient local resources to sustain the network c. Are implementing their plan with 50% local funds d. Are able to function without international support.		a. 1 b. 2	a. 1 b. 2
<b>COMMENTS:</b> Agricultural Networks at level "a" is FANR/PAN  Networks at level "b" are: SARRNET and SMIPNET  Networks under new SO4 will bring all market stakeholders together for Expanded Commercial Markets for Agricultural Technologies and Commodities in the SADC Region.			

**This indicator will no longer be used for R4 reporting. The SO Team will continue to collect the data for management purposes. However, this new indicator will not be used in the FY2003 R4 cycle, as the results are too long-term to be measured productively on an annual basis.**

**The new Performance Data Tables that will be used for the FY2003 Results Report are included in Information Annex B, Section 4, Tables 4.8 - 4.11.**

Country/Organization: RCSA

Objective ID: 690-005-01

Objective Name: Create Capacity for More Informed Regional Decision Making.

**Self-Assessment:** On Track.

**Self-Assessment Narrative:** The focus of Phase I of Special Objective 005 (SpO-005) was to establish the Mission's Performance Monitoring Plan (PMP). Phase I has proceeded as expected. The PMP was completed in July 1998 and data collection, analysis and review systems are in place. The Mission assessment is that Phase I has fully met expectations, and initial agendas under Phase II have accomplished short-term milestones. Considering the experimental nature of the SpO-005 (ADS 201.5 10.c), however, and its prospects for achieving expected results under the emerging scenarios of reduced personnel and financial resources, and other well funded donor programs in the region for capacity building, the Mission has concluded that this objective is less likely to achieve results. Therefore, the RCSA is proposing to delete SpO-005 from the portfolio. See discussion in the section on "Adjustments to Plans."

**Primary Link to Strategic Agency Framework:** Program Effectiveness Improved**Secondary Link to Strategic Agency Framework:** 7.2 Program Effectiveness Improved  7.4 Technical/Managerial Capacity Expanded**Link to U.S. National Interests:** Economic Prosperity**Primary Link to MPP Goals:** Economic Development**Secondary Link to MPP Goals (optional):** No Secondary Linkage

**Summary of the SO:** Special Objective 005 is structured as the mission's analytical capacity building vehicle to establish the mission's program monitoring and evaluation system; provide strategic analyses to guide the strategy; and, build policy analytical capacity needs in the region. The reason for including SpO-005 in the Strategy was to: (1) allow the Mission to explore the nature of issues involved in regional data collection; (2) assess the impacts and results of the Strategy; (3) understand the nature of analytical capacity needs and explore the feasibility of undertaking interventions; and, (4) develop a more definitive strategic framework to "*Create capacity for more informed regional decision making*" SO. This special objective supports the MPP goal of effective support for a broad-based coordinated USG effort to advance national objectives within the SADC region. Shortage of regional information and analytical resources is a serious impediment to effective southern African policy-making on a regional basis. There are vast gaps in data-collection and analytical capabilities among countries. The general approach to aggregate existing country-specific data and treat it as regional data frequently fails to provide the basis for strategic policy decisions. As a result of such information gaps, Southern African decision-makers lack the tools for sound policy-making based on reliable analyses. The Special Objective's approach to creation of regional capacity is to: (1) strengthen the capacity of selected institutions in the region to provide regional analyses/assessments relating to policies and their impacts on economic growth, regional integration and socio-economic trends; and (2) support information-

based regional decision making through a strengthened network of users and producers of analytical information. The objective is to be accomplished by: (1) assisting decision makers to identify and prioritize their analytical needs; (2) strengthening institutions in the region, through technical assistance and financial support, to undertake analyses; and, (3) strengthen decision-making structures to utilize policy analyses in regional decision making.

**Key Results:** An effective system of collecting regional data and information on the RCSA's program results and impacts are established. The RCSA now has a comprehensive understanding of the difficulties involved in regional data collection (data availability, quality of data, logistics involved and costs of collection) and problems relating to attribution of impacts. Based on this experience, the RCSA has made adjustments in its impact measurement and data collection methodologies to reduce data collection costs. Through SpO-005's support, the region's decision-makers have developed a prioritized analytical agenda, selected elements of which will be implemented during FY 2000, as a part of the Mission's analytical agenda. Performance of the RCSA's program has been enhanced by the analytical reports produced through SpO-005's effort. These reports help to inform strategy implementation and prospects for achievement of results. In addition, SpO-005 has continued to support Strategic Objective Teams with performance monitoring and results reporting through the IMPACT activity.

Under Phase I of SpO-005, the Mission's Performance Monitoring Plan was developed and maintained. The RCSA's PMP was finalized in July 1998 and partners implementing the RCSA Strategy were trained in preparing monitoring and evaluation plans. These Plans are now consistent with the Mission's PMP. DG performance data was assessed and more relevant indicators were designed, while support was also provided to SO-012 and SO-013 in the design of their strategic frameworks. Regional data on progress and prospects for the regional market integration strategy was collected and factors affecting progress were identified. The RCSA strategic implementation and prospects for achieving results was continuously informed through a number analytical information bulletins.

Through Phase II activities, Southern African Policy Makers have identified the regional analytical agenda in economic sectors (trade, finance, investment and development planning). This was achieved through an African Decision-Makers Round Table supported by the RCSA in December 1999, in which high ranking leaders, such as reserve bank Governors and government planning department chiefs from the region participated. Annex J provides a summary of the analytical agenda identified by these regional leaders. Efforts to develop partnership between selected regional organizations and U.S. centers of excellence were constrained by the lack of readiness of the potential regional partners. Additionally, the RCSA begun an assessment of selected institutions in the region to be targeted for analytical capacity strengthening to enhance the supply of reliable analysis to decision-makers. A regional economic policy research network, South East African Policy Research Network (SEAPREN), comprising of well-recognized and credible quality research institutions was targeted for support. Specific research areas to be pursued by the network that meet the needs of the policy makers have been agreed upon. As a baseline, 56% of surveyed senior decision-makers in trade, investment, commerce, transport and agriculture sectors from nine countries in the region reported a

significant increase in the utilization of information over the previous year.

**Performance and Prospects:** In the last R4 Report, the RCSA indicated that by end of 2000, we would have: (1) implemented the RCSA's internal analytical agenda; (2) coordinated the identification of a regional (economic) analytical agenda by decision makers in the region; (3) assessed and selected institutions meeting RCSA's criteria to be targeted for analytical strengthening; (4) facilitated linkages between decision makers and institutions capable of supplying policy analysis; (5) set up a process for strengthening the selected institutions; and, (6) facilitated partnerships between the selected institutions in the region and U.S. based think tanks. Performance in four (items 1 through 4) of the six items noted was satisfactory. Working papers were drafted for use by the mission, covering topics identified for the internal (RCSA) analytical agenda (1998/99). These included updates on the SADC Trade Protocol (regional trade policy framework) negotiations, macroeconomic trends in the region and the implications of South Africa's VAT for the smaller countries in the five member Southern African Customs Union. A monthly bulletin, the *Regional EconReview* was also introduced this year for internal use by the SO teams and mission program managers. This publication reviews available regional and international research and analyses done on issues pertinent to the mission's market integration program and impacting on the results. Topics covered so far in the *Review* include the World Trade Organization Seattle Ministerial Meeting and the Millennium Round, and the impact of trade reforms on the Southern African region. Future issues of the *Review* will discuss regional transport and communications issues and the implications of the European Union's plans to further access the region for trade. In 2000 the internal analytical agenda will assess implications of crosscutting issues such as conflict, corruption, national budget allocations, and tourism for regional development. A Southern African Decision makers Roundtable was held, which brought together decision makers and suppliers of policy analyses, where regional policy analyses agenda was identified by the decision makers.

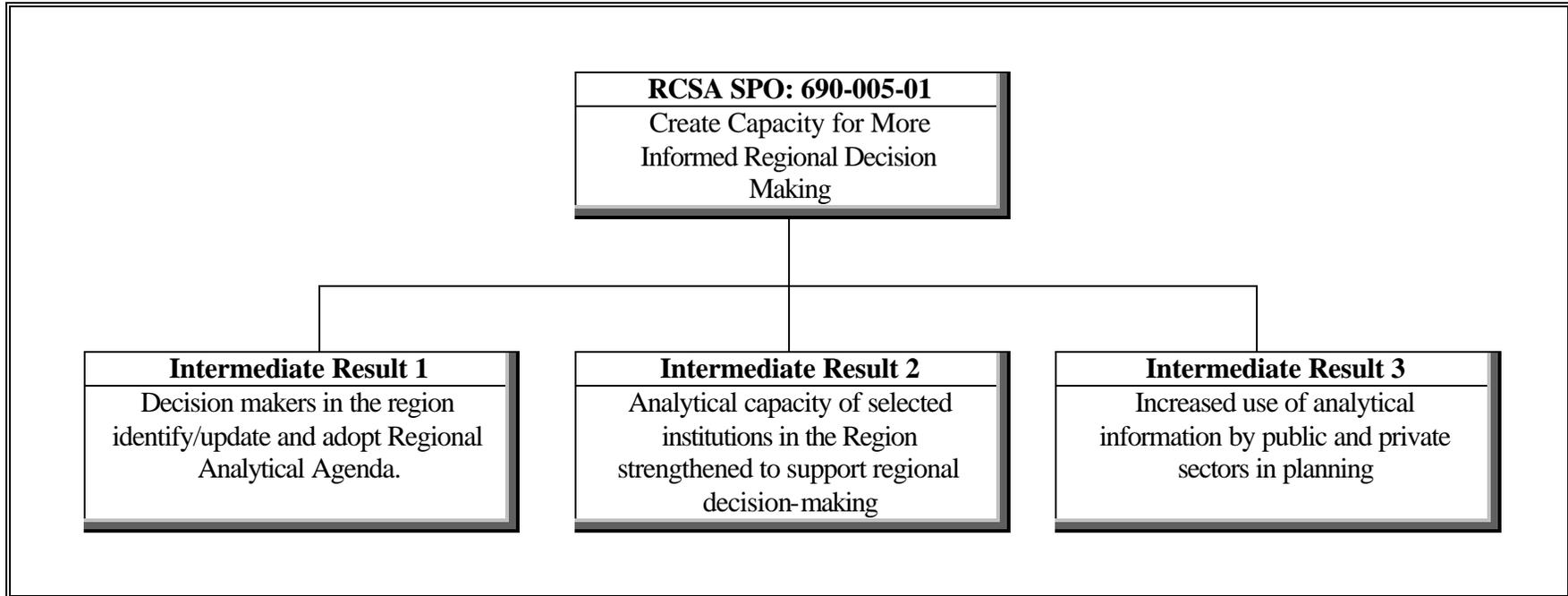
**Possible adjustments to Plans:** Although several milestones set for Phase II in 1999 have been achieved, as noted above, the RCSA has determined that prospects for sustainable impact under this objective did not appear good, due to the following reasons: (1) SADC Secretariat has not demonstrated their commitment to an earlier indication that this is a priority activity for the region; (2) potential partner institutions in the region are either getting established now (SEAPRN in February 1999) or have not yet defined their regional role and thus are not ready at this juncture to partner with the RCSA and US. institutions; (3) other donor's initiatives already under way, e.g., the World Bank funded African Capacity Building program; the Global Development Network and its corresponding regional center in Africa which is dedicated to support policy research conducted by institutions in the region; and, (4) planned reductions in the RCSA's personnel and financial resources. The RCSA is therefore proposing that this special objective be deleted from our portfolio. Following the deletion SpO-005 from the Strategy, the RCSA's analytical needs (internal analytical agenda to inform the Strategy and USG policy considerations in the region) and implementation of monitoring and evaluation activities will be integrated into the existing SOs.

**Other Donor Programs:** The World Bank is actively engaged in analytical capacity building in the region. The International Monetary Fund and the European Union also

fund policy analyses and promote policy dialogue in the region. IDRC (Canada) and France support selected policy research networks in the region.

**Major Contractors and Grantees:** SpO-005 was still in its experimental phase, trying to establish the necessary framework for interventions and therefore has not yet established contracts or grants. Aurora Associates International is the institutional contractor responsible for establishment of the RCSA Performance Monitoring Plan and participating in the implementation of the internal analytical agenda.

**RCSA Strategy: Special Objective (690-005-01)**



**Performance Data Table 1:** Extent to which demand for analytical information is being met.

<b>OBJECTIVE NAME:</b> Create Capacity for more Informed Regional Decision Making.			
<b>OBJECTIVE ID:</b> 690-005-01			
<b>APPROVED:</b> August 1997		<b>COUNTRY/ORGANIZATION:</b> RCSA	
<b>RESULT NAME:</b> (SO-level) Create Capacity for more Informed Regional Decision Making.			
<b>INDICATOR:</b> Extent to which demand for analytical information is being met.			
<b>UNIT OF MEASURE:</b> Percent.	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
<b>SOURCE:</b> Survey of key regional decision-makers.	1999	Baseline	65%
<b>INDICATOR / DESCRIPTION:</b> This indicator measures the extent to which demand for analytical information is being met as given by the proportion of surveyed users who report that their analytical information needs are met more than half the time in terms of reliability, technical soundness, relevance, usefulness, timeliness and availability.			
<b>COMMENTS:</b> Due to reasons provided in the narrative, the mission proposes to eliminate this objective and transfer the activities to other SOs. Consequently, no targets are provided for 2000 and beyond.			

**Performance Data Table 2:** Progress in the identification, prioritization and adoption of annual regional analytical agenda

<b>OBJECTIVE NAME:</b> Create Capacity for more Informed Regional Decision Making.			
<b>OBJECTIVE ID:</b> 690-005-01			
<b>APPROVED:</b> August 1997		<b>COUNTRY/ORGANIZATION:</b> RCSA	
<b>RESULT NAME:</b> (IR1) Decision makers in the region identify/update and adopt Regional Analytical Agenda.			
<b>INDICATOR:</b> Priority regional analytical agenda identified and adopted by users and suppliers annually.			
<b>UNIT OF MEASURE:</b> Progress in the identification, prioritization and adoption of annual regional analytical agenda process.	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
<b>SOURCE:</b> Mission Reports.	1998	Baseline	Process not started
<b>INDICATOR / DESCRIPTION:</b> RCSA will facilitate the process of identification, prioritization and adoption of regional analytical needs. This list will be revised/updated on an annual basis. Progress will be assessed semi-annually.  Each year the process bench marks are: a) Draft list developed, b) Priority list developed c) Feasible (time funding and skills) analysis selected from priority list d) Analytical agenda adopted	1999	Initial regional analytical agenda will be identified, prioritized and adopted by regional decision makers	Initial regional analytical agenda was identified, prioritized and adopted by regional decision makers
	<b>COMMENTS:</b> See Information Annex J.		

**Performance Data Table 3:** Quality of partnership between selected regional organizations and U.S. centers of excellence

<b>OBJECTIVE NAME:</b> Create Capacity for more Informed Regional Decision-Making.			
<b>OBJECTIVE ID:</b> 690-005-01			
<b>APPROVED:</b> August 1997.		<b>COUNTRY/ORGANIZATION:</b> RCSA	
<b>RESULT NAME:</b> IR2: Analytical capacity of selected institutions in the Region strengthened to support regional decision-making.			
<b>INDICATOR:</b> Partnership between selected regional organizations and U.S. centers of excellence.			
<b>UNIT OF MEASURE:</b> # of partnerships	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
<b>SOURCE:</b> Mission records	1999	Baseline	No Partnerships
<b>INDICATOR / DESCRIPTION:</b> A partnership will be said to be established if the organizations are jointly implementing a program/research/analysis			
<b>COMMENTS:</b> Experience during the exploratory phase showed that this result was going to take much more time and resources than previously anticipated. Due to this and other reasons provided in the narrative, the mission proposes to eliminate this objective and transfer the activities under other SOs. Consequently, no targets are provided for 2000 and beyond.			

**Performance Data Table 4:** Proportion of decision-makers reporting increased use of analysis for regional policy and decision making

<b>OBJECTIVE NAME:</b> Create Capacity for more Informed Regional Decision-Making.			
<b>OBJECTIVE ID:</b> 690-005-01.			
<b>APPROVED:</b> August 1997.		<b>COUNTRY/ORGANIZATION:</b> RCSA	
<b>RESULT NAME:</b> IR3: Increased use of analytical information by public and private sectors in planning.			
<b>INDICATOR:</b> Proportion of decision-makers reporting increased use of analysis (and quoting examples) for regional policy and decision making.			
<b>UNIT OF MEASURE:</b> Percentage.	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
<b>SOURCE:</b> Survey of users of regional analysis.	1999	Baseline	0%
<b>INDICATOR / DESCRIPTION:</b> Senior decision makers in trade, investment, commerce, transport and agriculture sectors from nine countries in the region were surveyed and asked whether in their opinion utilization of analytical information had increased relative to the previous year.			
<b>COMMENTS:</b> The mission proposes to eliminate this objective and transfer the activities to other SOs. Consequently, no targets are provided for 2000 and beyond.			

Country/Organization: RCSA  
Objective Name: Broadened U.S. – SADC Cooperation

Objective ID: 690-011-01

**Self-Assessment:** On Track.

**Self-Assessment Narrative:** Although this is a new SO (approved July 23, 1999), the preparatory work to support activities under the SO is proceeding on-track.

**Primary Link to Strategic Agency Framework:** 7.1 Responsive Assist Mech Developed

**Secondary Link to Strategic Agency Framework:**

- 7.1 Responsive Assist Mechanisms Developed       7.2 Program Effectiveness Improved  
 7.3 Commit Sustainable Development Assured

**Link to U.S. National Interests:** Economic Prosperity

**Primary Link to MPP Goals:** Global Growth and Stability

**Secondary Link to MPP Goals (optional):** Open Markets

**Summary of the SO:** The purpose of this Special Objective is to strengthen the relationship and develop stronger economic ties between the member states of the Southern African Development Community and the United States. In recognition of the need to strengthen the relationship, the U.S. Government (USG) and SADC have agreed to conduct an annual U.S.- SADC Forum. The Forum aims to facilitate dialogue regarding regional issues of mutual interest and critical importance. The inaugural forum was held in April 1999. It brought together senior USG officials and high-ranking SADC and national officials to explore issues of mutual concern, demonstrate USG and SADC commitment to the region, and further assist the SADC states to develop a sense of common identity and purpose in dealing with the broader global community. To this end, a set of mutually agreed activities, financed through Economic Support Funds (ESF), is being undertaken to further the U.S.-SADC Forum agenda.

**Key Results:** The 1999 U.S.-SADC Forum set the agenda for activities to be undertaken under this SO. The U.S. Government committed to: (1) assisting SADC in developing the legal basis necessary to successfully stimulate investment and expand trade by providing training related to intellectual property rights from the Department of Commerce's Commercial Law Development Program; 2) providing a trade advisor to the SADC Secretariat to assist in the implementation of the SADC Trade Protocol through provision of analytical expertise and policy advice. The advisor would also help strengthen the institutional capacity of the SADC Secretariat; 3) engaging an expert to conduct an analysis of the trade and revenue implications of implementing the proposed SADC Free Trade Area; 4) providing support for SADC's regional HIV/AIDS activities; 5) developing SADC member states' capacity to collect, analyze and share with international partners information on climate change patterns and to predict climatic changes that will have significant regional socioeconomic consequences; 6) assisting SADC in the development of desert ecotourism; and, 7) assisting SADC in the management of persistent organic pollutants.

**Performance and Prospects:** The first U.S.-SADC Forum dealt with economic,

social/transnational and political issues that affect both the United States and SADC. Representatives from 10 U.S. Government agencies met Ministers and senior officials of SADC. Notably, both sides benefited from active private sector participation.

Subsequent to the first forum, the RCSA received ESF funding (US\$2,000,000) in late September 1999 to support the identified activities. Preparatory work is proceeding well and the first activities have already taken place. The RCSA has entered into an interagency agreement with the Department of Commerce (DOC) to provide assistance to SADC in the development of the legal basis to successfully stimulate investment and expand trade by providing training through the Commercial Law Development Program (CLDP). An advisory team has already started working with SADC member states. A two-day roundtable on the WTO Agreement on Trade-Related Aspects of Intellectual Property Rights (TRIPS) compliance was held in December 1999 in Gaborone. TRIPS teams will travel to the SADC region in late April or early May to consult with SADC member States. A plenary conference is scheduled for early June 2000. USAID has entered into an agreement with Department of State to implement the majority of the environmental initiatives proposed under the U.S.-SADC Forum. A Global Climate Change workshop held in September 1999 in Gaborone attracted 75 decision-makers from the region. This was followed by a Persistent Organics Pollutant workshop held in Lusaka, Zambia in March 2000. A needs assessment for a regional SADC natural resource database is completed and will form the basis for activities in 2000. Activities to promote the development of desert ecotourism will be initiated at a planning workshop in April 2000 at the Desert Research Foundation in Namibia. The workshop is attracting with broad participation, including representatives from at least seven communities that could potentially engage in desert ecotourism. The RCSA anticipates taking the lead in initiating the majority of the remaining trade initiatives, including the provision of a SADC trade advisor and the completion of a regional free trade study in coordination with its other regional market integration activities. Finally, the RCSA is providing technical assistance to SADC in the area of HIV/AIDS, by supporting the SADC HIV/AIDS task force. This task force is developing a SADC Strategic Plan and Program on HIV/AIDS, as well as developing a scope of work for policy analysis in HIV/AIDS testing and counseling.

The 2000 U.S.-SADC Forum is planned for May 2000. This forum will be more focused and will address: 1) economic architecture needed for market economies to function properly to increase trade and attract investment; 2) regional security; and 3) HIV/AIDS.

The range of interventions being considered under this activity is so diverse that any measurement of a common denominator would, by necessity, be too broad to have any significance. Therefore, USAID/Washington has formally exempted this special objective from developing strategic-level performance indicators.

**Adjustments to Plans:** There are no planned adjustments to this objective.

**Other Donor Programs:** The RCSA seeks opportunities to cooperate with other donors in promoting a variety of initiatives in the development sectors targeted under this activity (i.e., economic growth, HIV/AIDS, and the environment). Since the overarching purpose of the SADC-U.S. Forum is specifically to strengthen U.S.-SADC ties, the scope of donor coordination in achieving this primary purpose is, by definition, limited to USG agencies and SADC.

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**Major Contractors and Grantees:** Principal U.S. implementing partners are various USG agencies. Principal southern African implementing partners are the SADC Secretariat and governmental and private sector organizations of the SADC member states. Field coordination occurs principally through the U.S. Special Representative to SADC and the SADC Secretariat. The Department of State, assisted by USAID, coordinates Washington participation. The Regional Center for Southern Africa is responsible for the obligation and disbursement of funds and for assuring effective design and monitoring of activities, except where another USG agency is specifically authorized to perform any such functions through interagency agreements.

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**PART III: RESOURCE REQUEST**

**RATIONALE AND SUMMARY FINANCIAL PLAN:** The RCSA requests a straight-lined OYB of \$21,000,000 for each FY 2001 and FY 2002. Tables 3.1 - 3.4 outline FY 2000 final control levels, FY 2001 Preliminary Control Levels, and FY 2001 and FY 2002 Preferred Control Levels by Strategic Objective. The requested funding levels are based on Mission management's assessment of the pace of OYB expenditures, quality of program implementation and resources required for achieving expected results. The Managing for Results approach followed in this assessment concluded that the RCSA, with Bureau concurrence, should delete Special Objective 005 from the Mission portfolio. Additional assessments earlier during the reporting period, concluded that realignment of our natural resources and agricultural SOs, resulting in separate Strategic Objectives for each sector was required.<sup>7</sup> These program recommendations and decisions will improve the RCSA results performance. Finally, the Mission conducted a three-day off site workshop on implementation planning which led to the development of ambitious, but realistic, implementation and procurement plans for all of our Strategic Objectives. These Plans, including Global Bureau buy-ins of \$6,000,000 each in FY 2001 and FY 2002, are expected to reduce our overall non-SAEDF pipeline from \$60 million currently, to \$55 million by the end of FY 2001 and to \$37 million by the end of FY 2002.

The Southern African Enterprise Development Fund (SAEDF) pipeline contributes over 50% of the SO2 pipeline. Given SAEDF's high pipeline, the RCSA does not plan to obligate any additional funds to this activity for the remainder of the Strategy period. However, beyond recommending obligation levels, the RCSA has no control whatsoever over how SAEDF is managed, since it is managed by an independent, Presidentially appointed Board of Directors. SAEDF is not a component of the RCSA's Strategy, which the Bureau approved in 1997. The RCSA's internal assessment of the program has concluded that the SAEDF activity should be transferred to the Africa Bureau.

**Strategic Objectives:**

**Strategic Objective 001: Increased Regional Capacity to Influence Democratic Performance.** This Strategic Objective assists important regional institutions and organizations that support and advocate improved democratic norms and practices throughout Southern Africa. The RCSA requests an OYB of \$2,500,000 for FYs 2001 and FY 2002 for this Strategic Objective. The requested funding levels are consistent with those contained in the Strategy. The end of the FY 2000 pipeline of \$4,567,000 is not within the forward funding guidelines, but these funds are committed to regional DG partners whose expenditure rates are accelerating. The end of FY 2001 and FY 2002 pipelines are well within forward funding guidelines. The shift made in FY 2000 from small grants approach to large umbrella grants to the implementing partners will result in rapid reductions in the pipeline in FY 2001 and in FY 2002. Additionally, intensification of ongoing, highly successful regional democratic institution building, anti-corruption and electoral support activities during FY 2001 and FY 2002 under this SO requires funds at the level requested.

**Strategic Objective 002: A More Integrated Regional Market.** This Strategic Objective assists the SADC region with trade and investment liberalization measures. A funding level of \$9,000,000 in FY 2001 and FY 2002 is required in order to support the wide range of mutually reinforcing activities to be continued in support of the SADC Free Trade Area. The

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<sup>7</sup> The Bureau approved these Strategic Objectives in November 1999. With the inclusion of Performance Monitoring Plans (PMP) for both SOs in this R4 Report and final PMPs to be submitted in June 2000, the SOs are considered fully approved. The June 2000 submission will confirm the baseline and target information submitted in this Report.

estimated end of FY 2000 pipeline of \$27,863,000 (excluding SAEDF) is in excess of the forward funding guidelines. Current plans to increase disbursements under this SO, including Global Bureau buy-ins, will reduce the pipeline by \$4,200,000 in FY 2001 and an additional \$6,100,000 in FY 2002, after factoring in new obligations (“net” pipeline reduction). The RAPID technical assistance contract, delayed by more than a year in the contracting process, will be awarded in April 2000, for up to \$38 million from funds obligated under SOs 2, 3 and 4. This contract alone will further reduce the pipeline of this SO.

**Strategic Objective 012: Increased Regional Cooperation in the Management of Shared Natural Resources.** The purpose of this objective is to promote cooperation among the SADC countries in managing shared natural resources. A funding level of \$4,700,000<sup>8</sup> for FY 2001 and FY 2002 is required in order to continue the complex set of cross-border biodiversity, wildlife and river basin management activities planned to begin in FY 2000. Although the end of FY 2000 pipeline of \$24,832,000 is in excess of forward funding guidelines, aggressive implementation plans and Global Bureau buy-ins will reduce the pipeline by \$4.2 million at the end of FY 2001 and by an additional \$5.3 million at the end of FY 2002, net new obligations. New activities planned for FY 2000 to strengthen regional networks, train wildlife and tourism NGOs, strengthen three SADC coordinating units (environment, water and wildlife) will accelerate disbursements for the remainder of the Strategy period. The RAPID project, noted under SO2, is also a key component of the SO 3 portfolio and will thus increase expenditures and SO implementation.

**Strategic Objective 013: Expanded Commercial Markets for Agricultural Technologies and Commodities in the SADC Region.** The purpose of this objective is to increase the role and participation of commercial markets in the region in marketing agricultural and livestock technologies. A funding level of \$3,800,000<sup>9</sup> in FY 2001 and FY 2002 is requested in order for the Mission to increase the supply and adoption rates of improved agricultural technologies and removal of non-tariff barriers to agricultural trade. Activities under this new Strategic Objective, approved in November 1999, are being designed and procurement of goods and services are expected to begin in the third quarter of FY 2000. The requested funding levels are essential for this SO under the current plans. The end of FY 2000 pipeline of \$7,376,000 is not within forward funding guidelines, but estimated pipelines in FY 2001 and FY 2002 are within these guidelines. The pipeline will be reduced by \$3.2 million in FY 2001 and even further reduced by the end of FY 2002 as a result of planned activities under RAPID, Heartwater, SMIP, SARNETT and Global Bureau buy-ins.

#### **Special Objectives:**

**Special Objective 005: Create Capacity for More Informed Regional Decision Making.** This Special Objective will be deleted from the RCSA’s portfolio this FY and therefore the Mission will not request additional funds for FY 2001 and FY 2002. This Objective has been allocated Economic Growth directive funds. The RCSA will continue to fund monitoring and evaluation activities, previously funded under this Objective, with the economic growth funds in FY 2000 and those requested for FY 2001 and FY 2002.

**Special Objective 011: U.S.-SADC Forum.** The purpose of this special objective is to strengthen the relationship and develop stronger economic ties between SADC countries and

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<sup>8</sup> The \$4.7 million figure represents a “straight-line” request of \$4.2 in ENV funding, plus \$500,000 in EG money for monitoring and evaluation of the SO. EG funding was previously under SpO-005.

<sup>9</sup> The \$3.8 million figure represents a “straight-line” request of \$3.3 in AG funding, plus \$500,000 in EG money for monitoring and evaluation of the SO. EG funding was previously under SpO-005.

the United States. A funding level for \$1.0 million in Economic Support Funds (ESF) is requested for each of the fiscal years -- FY 2001 and FY 2002. This SO, approved in FY 1999, but not initially obligated until August 1999, is in its first year of implementation with the first U.S.-SADC Forum held in April 1999. The second U.S.-SADC Forum is planned for May 2000. The ESF Funds requested, will provide necessary resources to the United States Special Representative to SADC, in response to the demands of an expanding U.S.-SADC relationship. During FY 2000, the RCSA entered into interagency agreements with the Department of Commerce to provide assistance to SADC to address issues related to intellectual property rights, and to the Department of State for a range of environmental activities. Other activities to be funded in FY 2000 will be in regional trade and HIV/AIDS. With implementation of these activities the \$2,427,000 pipeline will be reduced to \$1,927,000 in FY 2001 and \$1,127,000 at the end of FY 2002. Pipeline rates are within forward funding guidelines.

**B. WORKFORCE AND OPERATING EXPENSE (OE):** The Regional Center is responsible for implementing the USAID's regional program encompassing twelve countries, and providing financial, legal and contracting support services to five client Missions and Embassies in the region. These support functions require extensive travel and support staff which involve additional expense to the Mission. Unless we receive sufficient funding, these functions, essential to the operations of other missions in the region, as well as the RCSA, will be at risk.

The RCSA will be taking steps to reduce costs by cutting OE-funded expatriate staff over the next 18 months, i.e., one USPSC Deputy Executive Officer (EXO), one USPSC Senior Contract Specialist, and one Third Country National (TCN) Contract Specialist. The Mission intends to re-fill these positions with Foreign Service National (FSN) staff in order to save OE funds. However, replacing the current experienced staff with less experienced staff will negatively affect our ability to provide services to our customers. This is especially true for the currently understaffed Contracts Office, now that the closing of USAID/Zimbabwe, a client Mission, has been cancelled, and it is implementing a new strategy, as are USAID/Namibia and USAID/Malawi. In addition, if Congress approves a supplemental appropriation for reconstruction in Southern Africa, it will further increase the number of contracting actions in the region. All of this compounds the workload, putting what could be an unbearable strain on an already constrained staffing and OE situation.

The RCSA has undertaken considerable additional cost saving actions over the past year, which cannot be continued indefinitely without having a serious impact on operations. For example, in fiscal years 1999 and 2000, the Mission has not and will not purchase any replacement vehicles, in spite of the fact that five Mission vehicles were auctioned during this fiscal year. Eight additional Mission vehicles will meet disposal standards before the end of fiscal year 2001. We have budgeted for the replacement of just two vehicles in 2001 and 3 vehicles for 2002. This inevitably results in increased maintenance and repair costs to keep an aging fleet of vehicles on the road. In addition, we have taken similar steps with regard to NXP purchases. For residential furniture, we have not budgeted for any purchases in 2000, and \$10,000 in 2001, which will be used for the replacement of individual pieces as necessary. Office furniture is budgeted at \$10,000 a year for the next two years. Such austerity, in general, has a debilitating effect on morale, operating efficiency, and our ability to effectively carry on operations.

The Mission has recently begun, with the assistance of the USAID/IRM, a complete review of our information technology (IT) equipment. This has become necessary due to recurrent

problems and outages of the Mission's IT system. Although the study is in its initial stages, the Mission anticipates expenditures for IT equipment possibly in excess of the amount requested in this R4, even stretching out the required purchases over three years. In order to meet budgetary constraints, our budgeted ADP hardware purchases for 2001 drops almost in half, compared to the amounts allocated for 2000 and 2002, which may prove woefully inadequate.

In Botswana we face another problem. Due to a rapidly growing private sector, there is a market shortage of qualified personnel. This results in large salary increases to remain competitive in order to attract and retain qualified personnel. Salaries are the largest of our cost centers. This problem is expected to become more severe over time, further impacting on our budget.

We have increased our OE budget in 2002 by a modest amount of \$100,000. This is to help meet some of the expenditures held off in our 2000 and 2001 budgets. This amount may be severely understated due to the pressures of inflation and an aging NXP inventory. If we continue to fail to buy replacement equipment, we will be creating a situation where the cost of repairs will outstrip the savings by holding off the purchase of replacement property. We may eventually be unable to function efficiently.

An ICASS Table is not included for this R4 Report, as the RCSA is not an ICASS service provider. Additionally, a Capital Investment Fund Table is not included in this Report, as the RCSA does not plan to expend \$10,000 on any one IT, physical renovation and/or security item. Currently, however, the RCSA is undergoing an IRM IT evaluation by USAID/IRM, and when this survey is completed, IT purchases above \$10,000 may be required.

**C: FIELD SUPPORT:** For both FY 2001 and FY 2002, the RCSA will buy-in \$6,000,000 for technical assistance to the Global Bureau. The Regional Market Integration Strategic Objective will buy-in \$1,500,000 Global's Energy Environment and Technology activity for regulatory and policy assistance to SADC for each FY 2001 and FY 2002. Under the Mission's environmental Strategic Objective, "Increased Regional Cooperation in the Management of Shared Natural Resources," we plan to allocate \$1,000,000 for FY 2001 and \$1,000,000 for FY 2002 to the Global Bureau's River Basin Management activity. Similarly, under this Strategic Objective, the Mission plans to allocate \$1,000,000 for FY 2001 and \$1,000,000 for FY 2002 to the Bureau's Global Conservation Program, which will assist the RCSA in nature conservancy with the World Wildlife Fund and the African Wildlife Foundation.

Under the Mission's agricultural technologies Strategic Objective, "Expanded Commercial Markets for Agricultural Technologies and Commodities in the SADC Region," the RCSA plans to allocate \$2,000,000 for FY 2001 and \$2,000,000 for FY 2002 to the Global Bureau's Agricultural Business Marketing Development activity. Similarly, under this Strategic Objective, the Mission plans to allocate \$500,000 for FY 2001 and \$500,000 for FY 2002 to the Bureau's Agricultural Commercial Technologies.

**Table 3.1 FY 2000 -- Final Control Levels**

Strategic Objective	ESF	Economic Growth	Agriculture	Environment	Democracy/ Governance	Total
SO-001					\$1,900	\$1,900
SO-002		\$8,603				\$8,603
SO-012			\$5,312			\$5,312
SO-013				\$3,100		\$3,100
SpO-005		\$1,500				\$1,500
SpO-011	\$1,000					\$1,000
<b>Total</b>	\$1,000	\$10,103	\$5,312	\$3,100	\$1,900	\$21,415

**Table 3.2 FY 2001 -- Preliminary Control Levels**

Strategic Objective	ESF	Economic Growth	Agriculture	Environment	Democracy/ Governance	Total
SO-001					\$2,309	\$2,309
SO-002		\$9,000				\$9,000
SO-012		\$500		\$4,251		\$4,751
SO-013		\$500	\$3,326			\$3,826
SpO-011	\$1,000					\$1,000
<b>Total</b>	\$1,000	\$10,000	\$3,326	\$4,251	\$2,309	\$20,886

**Table 3.3 FY 2001 -- Preferred Control Levels**

Strategic Objective	ESF	Economic Growth	Agriculture	Environment	Democracy/ Governance	Total
SO-001					\$2,500	\$2,500
SO-002		\$9,000				\$9,000
SO-012		\$500		\$4,200		\$4,700
SO-013		\$500	\$3,300			\$3,800
SpO-011	\$1,000					\$1,000
<b>Total</b>	\$1,000	\$10,000	\$3,300	\$4,200	\$2,500	\$21,000

**Table 3.4 FY 2002 -- Preferred Control Levels**

Strategic Objective	ESF	Economic Growth	Agriculture	Environment	Democracy/ Governance	Total
SO-001					\$2,500	\$2,500
SO-002		\$9,000				\$9,000
SO-012		\$500		\$4,200		\$4,700
SO-013		\$500	\$3,300			\$3,800
SpO-011	\$1,000					\$1,000
<b>Total</b>	\$1,000	\$10,000	\$3,300	\$4,200	\$2,500	\$21,000

OPERATING EXPENSES

Org. Title:	USAID/RCSA	Overseas Mission Budgets												
		Org. No:	690	FY 2000 Estimate			FY 2001 Target			FY 2002 Target				
				Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total		
OC														
11.1	Personnel compensation, full-time permanent			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
11.1	Base Pay & pymt. for annual leave balances - FNDH	52.8		52.8	56.5		56.5	60.5		60.5			60.5	
	Subtotal OC 11.1	52.8	0	52.8	56.5	0	56.5	60.5	0	60.5				
11.3	Personnel comp. - other than full-time permanent			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
11.3	Base Pay & pymt. for annual leave balances - FNDH			0			0	0		0			0	
	Subtotal OC 11.3	0	0	0	0	0	0	0	0	0			0	
11.5	Other personnel compensation			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
11.5	USDH			0			0	0		0			0	
11.5	FNDH	2		2	2	0	2	2		2			2	
	Subtotal OC 11.5	2	0	2	2	0	2	2	0	2			2	
11.8	Special personal services payments			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
11.8	USPSC Salaries	231.3		231.3	194		194	173.7		173.7			173.7	
11.8	FN PSC Salaries	711.4		711.4	886.2		886.2	888.3		888.3			888.3	
11.8	IPA/Details-In/PASAs/RSSAs Salaries			0	0		0			0			0	
	Subtotal OC 11.8	942.7	0	942.7	1080.2	0	1080.2	1062	0	1062			1062	
12.1	Personnel benefits			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
12.1	USDH benefits			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
12.1	Educational Allowances	89.3		89.3	134.2		134.2	140.6		140.6			140.6	
12.1	Cost of Living Allowances	0		0	0		0	0		0			0	
12.1	Home Service Transfer Allowances	1		1	1		1	0		0			0	
12.1	Quarters Allowances	0		0	0		0	0		0			0	
12.1	Other Misc. USDH Benefits	15		15	13.5		13.5	13.5		13.5			13.5	
12.1	FNDH Benefits			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
12.1	**        Payments to FSN Voluntary Separation Fund - FNDH	0		0	0		0	0		0			0	
12.1	Other FNDH Benefits	6.5		6.5	7		7	7.5		7.5			7.5	
12.1	US PSC Benefits	26.2		26.2	31.8		31.8	15.2		15.2			15.2	
12.1	FN PSC Benefits			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
12.1	**        Payments to the FSN Voluntary Separation Fund - FN	20.9		20.9	21.6		21.6	23.7		23.7			23.7	
12.1	Other FN PSC Benefits	108.4		108.4	136.7		136.7	62.9		62.9			62.9	
12.1	IPA/Detail-In/PASA/RSSA Benefits	0		0	0		0			0			0	
	Subtotal OC 12.1	267.3	0	267.3	345.8	0	345.8	263.4	0	263.4			263.4	

OPERATING EXPENSES

Org. Title:	USAID/RCSA	Overseas Mission Budgets												
		Org. No:	690	FY 2000 Estimate			FY 2001 Target			FY 2002 Target				
				Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total		
OC														
13.0	Benefits for former personnel			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
13.0	FNDH			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
13.0	Severance Payments for FNDH			0		0	0		0	0			0	
13.0	Other Benefits for Former Personnel - FNDH			0		0	0		0	0			0	
13.0	FN PSCs			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
13.0	Severance Payments for FN PSCs			0		0	0		0	0			0	
13.0	Other Benefits for Former Personnel - FN PSCs			0		0	0		0	0			0	
	Subtotal OC 13.0			0		0	0		0	0			0	
21.0	Travel and transportation of persons			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
21.0	Training Travel			50		50	50		50	50			54	
21.0	Mandatory/Statutory Travel			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
21.0	Post Assignment Travel - to field			39.2		39.2	30.2		30.2	22.9			22.9	
21.0	Assignment to Washington Travel			5.4		5.4	5.8		5.8	0			0	
21.0	Home Leave Travel			34.4		34.4	58.8		58.8	61.3			61.3	
21.0	R & R Travel			47.6		47.6	57.5		57.5	68.6			68.6	
21.0	Education Travel			21		21	30.2		30.2	32.6			32.6	
21.0	Evacuation Travel			0		0	0		0	0			0	
21.0	Retirement Travel			5		5	8.1		8.1	8.7			8.7	
21.0	Pre-Employment Invitational Travel			5		5	5		5	5			5	
21.0	Other Mandatory/Statutory Travel			10		10	10		10	12			12	
21.0	Operational Travel			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
21.0	Site Visits - Headquarters Personnel			45		45	28.4		28.4	19.8			19.8	
21.0	Site Visits - Mission Personnel			99.5		99.5	105.8		105.8	109.7			109.7	
21.0	Conferences/Seminars/Meetings/Retreats			55		55	55		55	61			61	
21.0	Assessment Travel			0		0	0		0	0			0	
21.0	Impact Evaluation Travel			0		0	0		0	0			0	
21.0	Disaster Travel (to respond to specific disasters)			0		0	0		0	0			0	
21.0	Recruitment Travel			0		0	0		0	0			0	
21.0	Other Operational Travel			10		10	10		10	12			12	
	Subtotal OC 21.0			427.1		0	427.1		454.8	0		454.8	467.6	
22.0	Transportation of things			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
22.0	Post assignment freight			97		97	69.8		69.8	67.3			67.3	
22.0	Home Leave Freight			20		20	29.4		29.4	28.7			28.7	
22.0	Retirement Freight			18		18	18.9		18.9	19.8			19.8	
22.0	Transportation/Freight for Office Furniture/Equip.			2		2	2		2	3			3	

OPERATING EXPENSES

Org. Title: Org. No: OC		USAID/RCSA 690		Overseas Mission Budgets								
				FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
				Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
22.0	Transportation/Freight for Res. Furniture/Equip.	0		0	2		2	10		10		
	Subtotal OC 22.0	137	0	137	122.1	0	122.1	128.8	0	128.8		
23.2	Rental payments to others	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
23.2	Rental Payments to Others - Office Space	106.7		106.7	106.7		106.7	106.7		106.7		
23.2	Rental Payments to Others - Warehouse Space	20.1		20.1	21.1		21.1	22.1		22.1		
23.2	Rental Payments to Others - Residences	162.7		162.7	168		168	173		173		
	Subtotal OC 23.2	289.5	0	289.5	295.8	0	295.8	301.8	0	301.8		
23.3	Communications, utilities, and miscellaneous charges	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
23.3	Office Utilities	32.8		32.8	34.4		34.4	36.1		36.1		
23.3	Residential Utilities	64.9		64.9	68.1		68.1	71.6		71.6		
23.3	Telephone Costs	52.8		52.8	55.4		55.4	58.2		58.2		
23.3	ADP Software Leases	0		0	0		0	0		0		
23.3	ADP Hardware Lease	0		0	0		0	0		0		
23.3	Commercial Time Sharing	0		0	0		0	0		0		
23.3	Postal Fees (Other than APO Mail)	0		0	0		0	0		0		
23.3	Other Mail Service Costs	0.5		0.5	0.5		0.5	0.5		0.5		
23.3	Courier Services	12		12	12		12	12		12		
	Subtotal OC 23.3	163	0	163	170.4	0	170.4	178.4	0	178.4		
24.0	Printing and Reproduction	0		0	0		0	0		0		
	Subtotal OC 24.0	0	0	0	0	0	0	0	0	0		
25.1	Advisory and assistance services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
25.1	Studies, Analyses, & Evaluations	0		0	0		0	0		0		
25.1	Management & Professional Support Services	0		0	0		0	0		0		
25.1	Engineering & Technical Services	0		0	0		0	0		0		
	Subtotal OC 25.1	0	0	0	0	0	0	0	0	0		
25.2	Other services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
25.2	Office Security Guards	21.8		21.8	23		23	24.1		24.1		
25.2	Residential Security Guard Services	11.9		11.9	12.5		12.5	13.1		13.1		
25.2	Official Residential Expenses	0		0	0		0	0		0		
25.2	Representation Allowances	2.5		2.5			0	2.5		2.5		
25.2	Non-Federal Audits	0		0	2.5		2.5	0		0		

OPERATING EXPENSES

Org. Title:	USAID/RCSA	Overseas Mission Budgets													
		Org. No:	690	FY 2000 Estimate			FY 2001 Target			FY 2002 Target					
				Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total			
OC															
25.2	Grievances/Investigations			0			0			0			0		
25.2	Insurance and Vehicle Registration Fees			4			4.2			4.2			4.4		
25.2	Vehicle Rental			0			0			0			0		
25.2	Manpower Contracts			7.4			7.7			7.7			8.1		
25.2	Records Declassification & Other Records Services			0			0			0			0		
25.2	Recruiting activities			0			0			0			0		
25.2	Penalty Interest Payments			0			0			0			0		
25.2	Other Miscellaneous Services			20			21			21			22		
25.2	Staff training contracts			40			40			40			43		
25.2	ADP related contracts			0			0			0			0		
	Subtotal OC 25.2			107.6		0	107.6		110.9	0	110.9		117.2	0	117.2
25.3	Purchase of goods and services from Government accounts			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line					
25.3	ICASS			100			105			105			110.3		110.3
25.3	All Other Services from Other Gov't. accounts			0			0			0			0		0
	Subtotal OC 25.3			100		0	100		105	0	105		110.3	0	110.3
25.4	Operation and maintenance of facilities			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line					
25.4	Office building Maintenance			28			28			28			32		32
25.4	Residential Building Maintenance			55			55			55			60		60
	Subtotal OC 25.4			83		0	83		83	0	83		92	0	92
25.6	Medical Care														
	Subtotal OC 25.6			0		0	0		0	0	0		0	0	0
25.7	Operation/maintenance of equipment & storage of goods			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line					
25.7	ADP and telephone operation and maintenance costs			24			24			24			17		17
25.7	Storage Services			0			0			0			0		0
25.7	Office Furniture/Equip. Repair and Maintenance			20			20			20			25		25
25.7	Vehicle Repair and Maintenance			14			14			14.5			15		15
25.7	Residential Furniture/Equip. Repair and Maintenance			10			10			10			11		11
	Subtotal OC 25.7			68		0	68		56.5	0	56.5		68	0	68
25.8	Subsistence & spt. of persons (by contract or Gov't.)			0			0			0			0		0
	Subtotal OC 25.8			0		0	0		0	0	0		0	0	0

OPERATING EXPENSES

Org. Title:	USAID/RCSA	Overseas Mission Budgets									
		OC	FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
			Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
26.0	Supplies and materials	100		100	99		99	103		103	
	Subtotal OC 26.0	100	0	100	99	0	99	103	0	103	
31.0	Equipment	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			
31.0	Purchase of Residential Furniture/Equip.	0		0	10		10	55		55	
31.0	Purchase of Office Furniture/Equip.	10		10	10		10	20		20	
31.0	Purchase of Vehicles	0		0	40		40	80		80	
31.0	Purchase of Printing/Graphics Equipment	0		0	0		0	0		0	
31.0	ADP Hardware purchases	60		60	36		36	65		65	
31.0	ADP Software purchases	10		10	5		5	8		8	
	Subtotal OC 31.0	80	0	80	101	0	101	228	0	228	
32.0	Lands and structures	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			
32.0	Purchase of Land & Buildings (& bldg. construction)	0		0	0		0	0		0	
32.0	Purchase of fixed equipment for buildings	0		0	0		0	0		0	
32.0	Building Renovations/Alterations - Office	0		0	0		0	0		0	
32.0	Building Renovations/Alterations - Residential	0		0	0		0	0		0	
	Subtotal OC 32.0	0	0	0	0	0	0	0	0	0	
42.0	Claims and indemnities	0		0	0		0	0		0	
	Subtotal OC 42.0	0	0	0	0	0	0	0	0	0	
TOTAL BUDGET		2820	0	2820	3083	0	3083	3183	0	3183	

**Additional Mandatory Information**

**Dollars Used for Local Currency Purchases**

**Exchange Rate Used in Computations**

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If data is shown on either of these lines, you MUST submit the form showing deposits to and withdrawals from the FSN Voluntary Separation Fund.

On that form, OE funded deposits must equal:

20.9

21.6

23.7

USDH STAFF IN REQUIREMENTS BY BACKSTOP, FY 2000 - FY 2003

Mission: USAID/RCSA

Functional Backstop (BS)	Number of USDH Employees in Backstop in:			
	FY 2000	FY 2001	FY 2002	FY 2003
<b>Senior Management</b>				
<b>SMG - 01</b>	2	2	2	2
<b>Program Management</b>				
<b>Program Mgt - 02</b>	2	2	2	2
<b>Project Dvpm Officer - 94</b>	2	2	2	2
<b>Support Management</b>				
<b>EXO - 03</b>	1	1	1	1
<b>Controller -04</b>	2	2	2	2
<b>Legal - 05</b>	2	2	2	2
<b>Commodity Mgt. 92</b>	0	0	0	0
<b>Contract Mgt.-93</b>	3	3	3	3
<b>Secretary - 05 &amp; 07</b>				
<b>Sector Management</b>				
<b>Agriculture - 10 &amp; 14</b>	1	1	1	1
<b>Economics - 11</b>				
<b>Democracy - 12</b>				
<b>Food for Peace - 15</b>				
<b>Private Enterprise - 21</b>	1	1	1	1
<b>Engineering - 25</b>				
<b>Environment - 40 &amp; 75</b>	1	1	1	1
<b>Health/Pop. - 50</b>				
<b>Education - 60</b>				
<b>General Dvpm. - 12*</b>				
<b>RUDO, UE-funded - 40</b>				
<b>Total</b>	<b>17</b>	<b>17</b>	<b>17</b>	<b>17</b>

\* **GDO - 12:** for the rare case where an officer manages activities in several technical areas, none of which predominate, e.g., the officer manages Democracy, Health and Environment activities that are about equal. An officer who manages primarily Health activities with some Democracy and Environment activities would be a Health Officer, BS 50.

remaining **IDIs:** list under the functional Backstop for the work they do.

Workforce Tables

Org <u>RCSA</u> End of year On-Board								Total	Org.	Fin.	Admin.	Con-	All	Total	Total		
<b>FY 2000 Estimate</b>	SO 1	SO 2	SO 3	SO 4	SO 5	SpO1	SpO2	SO/SpO	Mgmt.	Mgmt	Mgmt	tract	Legal	Other	Mgmt.	Staff	
<b>OE Funded: 1/</b>																	
U.S. Direct Hire	1	2	2	2	0	0	0	7	2	2	1	3	2	0	10	17	
Other U.S. Citizens	0	0	0	0	0	0	0	0	0	1	2	1	0	0	4	4	
FSN/TCN Direct Hire	0	0	0	0	0	0	0	0	0	1	0	0	0	0	1	1	
Other FSN/TCN	0	0	0	0	0	0	0	0	2	12	35	6	1	4	60	60	
Subtotal	1	2	2	2	0	0	0	7	4	16	38	10	3	4	75	82	
<b>Program Funded 1/</b>																	
U.S. Citizens	1	1.5	0	1.5				4	0	0	0	0	0	1	1	5	
FSNs/TCNs	4	7.5	5	1.5				18	0	0	0	0	0	0	0	18	
Subtotal	5	9	5	3	0	0	0	22	0	0	0	0	0	1	1	23	
Total Direct Workforce	6	11	7	5	0	0	0	29	4	16	38	10	3	5	76	105	
TAACS								0								0	0
Fellows								0								0	0
IDIs								0								0	0
Subtotal	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
<b>TOTAL WORKFORCE</b>	6	11	7	5	0	0	0	29	4	16	38	10	3	5	76	105	

1/ Excludes TAACS, Fellows, and IDIs

Org RCSA  
 End of year On-Board

<b>FY 2001 Target</b>	SO 1	SO 2	SO 3	SO 4	SO 5	SpO1	SpO2	Total SO/SpO	Org. Mgmt.	Fin. Mgmt	Admin. Mgmt	Con- tract	Legal	All Other	Total Mgmt.	Total Staff
<b>OE Funded: 1/</b>																
U.S. Direct Hire	1	2	2	2	0	0	0	7	2	2	1	3	2	0	10	17
Other U.S. Citizens	0	0	0	0	0	0	0	0	0	1	1	1	0	0	3	3
FSN/TCN Direct Hire	0	0	0	0	0	0	0	0	0	1	0	0	0	0	1	1
Other FSN/TCN	0	0	0	0	0	0	0	0	2	10	35	5	1	4	57	57
Subtotal	1	2	2	2	0	0	0	7	4	14	37	9	3	4	71	78
<b>Program Funded 1/</b>																
U.S. Citizens	1	1.5	0	1.5				4						1	1	5
FSNs/TCNs	4	7.5	5	1.5				18							0	18
Subtotal	5	9	5	3	0	0	0	22	0							

Workforce Tables

Org____RCSA End of year On-Board  FY 2002 Target	SO 1	SO 2	SO 3	SO 4	SO 5	SpO1	SpO2	Total SO/SpO Staff	Org. Mgmt.	Fin. Mgmt	Admin. Mgmt	Con- tract	Legal	All Other	Total Mgmt.	Total Staff
<b>OE Funded: 1/</b>																
U.S. Direct Hire	1	2	2	2	0	0	0	7	2	2	1	3	2	0	10	17
Other U.S. Citizens	0	0	0	0	0	0	0	0	0	1	1	1	0	0	3	3
FSN/TCN Direct Hire	0	0	0	0	0	0	0	0	0	1	0	0	0	0	1	1
Other FSN/TCN	0	0	0	0	0	0	0	0	2	10	35	5	1	4	57	57
Subtotal	1	2	2	2	0	0	0	7	4	14	37	9	3	4	71	78
<b>Program Funded 1/</b>																
U.S. Citizens	1	1.5	0	1.5				4						1	1	5
FSNs/TCNs	4	7.5	5	1.5				18							0	18
Subtotal	5	9	5	3	0	0	0	22	0	0	0	0	0	1	1	23
Total Direct Workforce	6	11	7	5	0	0	0	29	4	14	37	9	3	5	72	101
TAACS								0							0	0
Fellows								0							0	0
IDIs								0							0	0
Subtotal	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>TOTAL WORKFORCE</b>	<b>6</b>	<b>11</b>	<b>7</b>	<b>5</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>29</b>	<b>4</b>	<b>14</b>	<b>37</b>	<b>9</b>	<b>3</b>	<b>5</b>	<b>72</b>	<b>101</b>

Organization: USAID/RCSA OPERATING EXPENSES

Foreign National Voluntary Separation Account									
Action	FY 2000			FY 2001			FY 2002		
	OE	Program	Total	OE	Program	Total	OE	Program	Total
Deposits	20.9		20.9	21.6	5.3	26.9	23.7	5.7	29.4
Withdrawals	2.6		2.6			0.0			0.0

Local Currency Trust Funds - Regular			
	FY 2000	FY 2001	FY 2002
Balance Start of Year			
Obligations			
Deposits			
Balance End of Year	0.0	0.0	0.0

**Exchange Rate**                    \_\_\_\_\_

Local Currency Trust Funds - Real Property			
	FY 2000	FY 2001	FY 2002
Balance Start of Year			
Obligations			
Deposits			
Balance End of Year	0.0	0.0	0.0

**Exchange Rate**                    \_\_\_\_\_

Organization: USAID/RCSA OPERATING EXPENSES

Foreign National Voluntary Separation Account									
Action	FY 2000			FY 2001			FY 2002		
	OE	Program	Total	OE	Program	Total	OE	Program	Total
Deposits	20.9		20.9	21.6	5.3	26.9	23.7	5.7	29.4
Withdrawals	2.6		2.6			0.0			0.0

Local Currency Trust Funds - Regular			
	FY 2000	FY 2001	FY 2002
Balance Start of Year			
Obligations			
Deposits			
Balance End of Year	0.0	0.0	0.0

**Exchange Rate**                    \_\_\_\_\_

Local Currency Trust Funds - Real Property			
	FY 2000	FY 2001	FY 2002
Balance Start of Year			
Obligations			
Deposits			
Balance End of Year	0.0	0.0	0.0

**Exchange Rate**                    \_\_\_\_\_

Organization: USAID/RCSA CONTROLLER'S OPERATIONS

Foreign National Voluntary Separation Account									
Action	FY 2000			FY 2001			FY 2002		
	OE	Program	Total	OE	Program	Total	OE	Program	Total
Deposits	8.3		8.3	3.6	5.3	8.9	3.8	5.7	9.5
Withdrawals			0.0			0.0			0.0

Local Currency Trust Funds - Regular			
	FY 2000	FY 2001	FY 2002
Balance Start of Year			
Obligations			
Deposits			
Balance End of Year	0.0	0.0	0.0

**Exchange Rate**                    \_\_\_\_\_

Local Currency Trust Funds - Real Property			
	FY 2000	FY 2001	FY 2002
Balance Start of Year			
Obligations			
Deposits			
Balance End of Year	0.0	0.0	0.0

**Exchange Rate**                    \_\_\_\_\_

CONTROLLER OPERATIONS

Org. Title: USAID/RCSA- CONTROLLER'S OFFICE Org. No: 690 OC		Overseas Mission Budgets								
		FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
11.1	Personnel compensation, full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.1	Base Pay & pymt. for annual leave balances - FNDH	52.8		52.8	56.5		56.5	60.5		60.5
	Subtotal OC 11.1	52.8	0	52.8	56.5	0	56.5	60.5	0	60.5
11.3	Personnel comp. - other than full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.3	Base Pay & pymt. for annual leave balances - FNDH			0	0		0	0		0
	Subtotal OC 11.3	0	0	0	0	0	0	0	0	0
11.5	Other personnel compensation	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.5	USDH	0		0			0	0		0
11.5	FNDH	2		2	2		2	2	0	2
	Subtotal OC 11.5	2	0	2	2	0	2	2	0	2
11.8	Special personal services payments	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.8	USPSC Salaries	45.5		45.5	56.5		56.5	62.1		62.1
11.8	FN PSC Salaries	192.1		192.1	132.6		132.6	141.8		141.8
11.8	IPA/Details-In/PASAs/RSSAs Salaries	0		0	0		0			0
	Subtotal OC 11.8	237.6	0	237.6	189.1	0	189.1	203.9	0	203.9
12.1	Personnel benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	USDH benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	Educational Allowances	7.8		7.8	8.6		8.6	8.6		8.6
12.1	Cost of Living Allowances	0		0	0		0	0		0
12.1	Home Service Transfer Allowances	0		0	0		0	0		0
12.1	Quarters Allowances	0		0			0	0		0
12.1	Other Misc. USDH Benefits	3.1		3.1	6.2		6.2	6.2		6.2
12.1	FNDH Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	**        Payments to FSN Voluntary Separation Fund - FNDH	0		0	0		0	0		0
12.1	Other FNDH Benefits	6.5		6.5	6.9		6.9	7.4		7.4
12.1	US PSC Benefits	12.5		12.5	13.7		13.7	13.8		13.8
12.1	FN PSC Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	**        Payments to the FSN Voluntary Separation Fund - FN PSC	8.3		8.3	3.6		3.6	3.8		3.8
12.1	Other FN PSC Benefits	8.8		8.8	8.9		8.9	9.1		9.1
12.1	IPA/Detail-In/PASA/RSSA Benefits	0		0	0		0	0		0
	Subtotal OC 12.1	47	0	47	47.9	0	47.9	48.9	0	48.9

CONTROLLER OPERATIONS

Org. Title: Org. No: OC		USAID/RCSA- CONTROLLER'S OFFICE 690		Overseas Mission Budgets								
				FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
				Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
13.0	Benefits for former personnel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
13.0	FNDH	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
13.0	Severance Payments for FNDH	0		0	0	0	0		0			
13.0	Other Benefits for Former Personnel - FNDH	0		0	0	0	0		0			
13.0	FN PSCs	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
13.0	Severance Payments for FN PSCs	0		0	0	0	0		0			
13.0	Other Benefits for Former Personnel - FN PSCs	0		0	0	0	0		0			
	Subtotal OC 13.0	0	0	0	0	0	0	0	0			
21.0	Travel and transportation of persons	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
21.0	Training Travel	20		20	5		5	5.5	5.5			
21.0	Mandatory/Statutory Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
21.0	Post Assignment Travel - to field	2.8		2.8	0		0	3.3	3.3			
21.0	Assignment to Washington Travel	0		0	0		0	0	0			
21.0	Home Leave Travel	2.7		2.7	13.8		13.8	2.9	2.9			
21.0	R & R Travel	11.2		11.2	3		3	13.1	13.1			
21.0	Education Travel	0		0	0		0	0	0			
21.0	Evacuation Travel	0		0	0		0	0	0			
21.0	Retirement Travel	0		0	0		0	0	0			
21.0	Pre-Employment Invitational Travel	2.2		2.2	0		0	0	0			
21.0	Other Mandatory/Statutory Travel	1.5		1.5	0		0	0	0			
21.0	Operational Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
21.0	Site Visits - Headquarters Personnel	0		0	0		0	0	0			
21.0	Site Visits - Mission Personnel	13		13	14		14	15.2	15.2			
21.0	Conferences/Seminars/Meetings/Retreats	1.5		1.5	1.5		1.5	1.5	1.5			
21.0	Assessment Travel	0		0	0		0	0	0			
21.0	Impact Evaluation Travel	0		0	0		0	0	0			
21.0	Disaster Travel (to respond to specific disasters)	0		0	0		0	0	0			
21.0	Recruitment Travel	0		0	0		0	0	0			
21.0	Other Operational Travel	0		0	0		0	0	0			
	Subtotal OC 21.0	54.9	0	54.9	37.3	0	37.3	41.5	41.5			
22.0	Transportation of things	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
22.0	Post assignment freight	12.5		12.5	0		0	13.8	13.8			
22.0	Home Leave Freight	2		2	2		2	2	2			
22.0	Retirement Freight	0		0	0		0	0	0			
22.0	Transportation/Freight for Office Furniture/Equip.	0		0	0		0	0	0			

CONTROLLER OPERATIONS

Org. Title: Org. No: OC		USAID/RCSA- CONTROLLER'S OFFICE 690		Overseas Mission Budgets								
				FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
				Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
22.0	Transportation/Freight for Res. Furniture/Equip.	0		0		0		0		0		
	Subtotal OC 22.0	14.5	0	14.5	2	0	2	15.8	0	15.8		
23.2	Rental payments to others	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
23.2	Rental Payments to Others - Office Space	16.1		16.1	16.1		16.1	16.1		16.1		
23.2	Rental Payments to Others - Warehouse Space	2.4		2.4	2.4		2.4	2.4		2.4		
23.2	Rental Payments to Others - Residences	11.6		11.6	11.6		11.6	12.2		12.2		
	Subtotal OC 23.2	30.1	0	30.1	30.1	0	30.1	30.7	0	30.7		
23.3	Communications, utilities, and miscellaneous charges	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
23.3	Office Utilities	4.9		4.9	5.1		5.1	5.4		5.4		
23.3	Residential Utilities	8.4		8.4	8.8		8.8	9.3		9.3		
23.3	Telephone Costs	6.5		6.5	8.3		8.3	8.7		8.7		
23.3	ADP Software Leases	0		0	0		0	0		0		
23.3	ADP Hardware Lease	0		0	0		0	0		0		
23.3	Commercial Time Sharing	0		0	0		0	0		0		
23.3	Postal Fees (Other than APO Mail)	0.2		0.2	0.2		0.2	0.2		0.2		
23.3	Other Mail Service Costs	0		0	0		0	0		0		
23.3	Courier Services	1.8		1.8	1.8		1.8	1.8		1.8		
	Subtotal OC 23.3	21.8	0	21.8	24.2	0	24.2	25.4	0	25.4		
24.0	Printing and Reproduction	0		0	0		0	0		0		
	Subtotal OC 24.0	0	0	0	0	0	0	0	0	0		
25.1	Advisory and assistance services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
25.1	Studies, Analyses, & Evaluations	0		0	0		0	0		0		
25.1	Management & Professional Support Services	0		0	0		0	0		0		
25.1	Engineering & Technical Services	0		0	0		0	0		0		
	Subtotal OC 25.1	0	0	0	0	0	0	0	0	0		
25.2	Other services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
25.2	Office Security Guards	3.3		3.3	3.4		3.4	3.6		3.6		
25.2	Residential Security Guard Services	1.5		1.5	1.6		1.6	1.7		1.7		
25.2	Official Residential Expenses	0		0	0		0	0		0		
25.2	Representation Allowances	0		0	0		0	0		0		
25.2	Non-Federal Audits	0		0	0		0	0		0		

CONTROLLER OPERATIONS

Org. Title: Org. No: OC		USAID/RCSA- CONTROLLER'S OFFICE 690		Overseas Mission Budgets								
				FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
				Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
25.2	Grievances/Investigations	0		0		0		0		0		
25.2	Insurance and Vehicle Registration Fees	0		0		0		0		0		
25.2	Vehicle Rental	0		0		0		0		0		
25.2	Manpower Contracts	1.1		1.1		1.2		1.2		1.2		
25.2	Records Declassification & Other Records Services	0		0		0		0		0		
25.2	Recruiting activities	0		0		0		0		0		
25.2	Penalty Interest Payments	0		0		0		0		0		
25.2	Other Miscellaneous Services	2		2		2		2		2		
25.2	Staff training contracts	4		4		4		4		4		
25.2	ADP related contracts	0		0		0		0		0		
	Subtotal OC 25.2	11.9	0	11.9		12.2	0	12.2		12.5	0	12.5
25.3	Purchase of goods and services from Government accounts	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
25.3	ICASS	15		15		15.8		15.8		16.5		16.5
25.3	All Other Services from Other Gov't. accounts	0		0				0		0		0
	Subtotal OC 25.3	15	0	15		15.8	0	15.8		16.5	0	16.5
25.4	Operation and maintenance of facilities	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
25.4	Office building Maintenance	4.2		4.2		4.2		4.2		4.8		4.8
25.4	Residential Building Maintenance	7.1		7.1		7.1		7.1		7.8		7.8
	Subtotal OC 25.4	11.3	0	11.3		11.3	0	11.3		12.6	0	12.6
25.6	Medical Care					0						
	Subtotal OC 25.6	0	0	0		0	0	0		0	0	0
25.7	Operation/maintenance of equipment & storage of goods	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line				
25.7	ADP and telephone operation and maintenance costs	3.7		3.7		1.8		1.8		2.5		2.5
25.7	Storage Services	0		0		0		0		0		0
25.7	Office Furniture/Equip. Repair and Maintenance	3		3		3		3		3.7		3.7
25.7	Vehicle Repair and Maintenance	0		0		0		0		0		0
25.7	Residential Furniture/Equip. Repair and Maintenance	1.5		1.5		1.5		1.5		1.8		1.8
	Subtotal OC 25.7	8.2	0	8.2		6.3	0	6.3		8	0	8
25.8	Subsistence & spt. of persons (by contract or Gov't.)	0		0		0		0		0		0
	Subtotal OC 25.8	0	0	0		0	0	0		0	0	0

CONTROLLER OPERATIONS

Org. Title: USAID/RCSA- CONTROLLER'S OFFICE Org. No: 690 OC		Overseas Mission Budgets								
		FY 2000 Estimate			FY 2001 Target			FY 2002 Target		
		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
26.0	Supplies and materials	15		15	14.8		14.8	16.8		16.8
	Subtotal OC 26.0	15	0	15	14.8	0	14.8	16.8	0	16.8
31.0	Equipment	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
31.0	Purchase of Residential Furniture/Equip.	0		0	0		0	0		0
31.0	Purchase of Office Furniture/Equip.	0		0	0		0	0		0
31.0	Purchase of Vehicles	0		0	0		0	0		0
31.0	Purchase of Printing/Graphics Equipment	0		0	0		0	0		0
31.0	ADP Hardware purchases	0		0	0		0	0		0
31.0	ADP Software purchases	0		0	0		0	0		0
	Subtotal OC 31.0	0	0	0	0	0	0	0	0	0
32.0	Lands and structures	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
32.0	Purchase of Land & Buildings (& bldg. construction)	0		0	0		0	0		0
32.0	Purchase of fixed equipment for buildings	0		0	0		0	0		0
32.0	Building Renovations/Alterations - Office	0		0	0		0	0		0
32.0	Building Renovations/Alterations - Residential	0		0	0		0	0		0
	Subtotal OC 32.0	0	0	0	0	0	0	0	0	0
42.0	Claims and indemnities	0		0	0		0	0		0
	Subtotal OC 42.0	0	0	0	0	0	0	0	0	0
TOTAL BUDGET		522.1	0	522.1	449.5	0	449.5	495.1	0	495.1

Additional Mandatory Information

Dollars Used for Local Currency Purchases \_\_\_\_\_

Exchange Rate Used in Computations \_\_\_\_\_

\*\* If data is shown on either of these lines, you MUST submit the form showing deposits to and withdrawals from the FSN Voluntary Separation Fund.  
On that form, OE funded deposits must equal: 8.3 3.6 3.8

### FY 2000 Budget Request by Program/Country

Fiscal Year: 2000      Program/Country:      Regional Center for Southern Africa (RCSA)  
 Approp:                    DA  
 Scenario:

S.O. # , Title	FY 2000 Request													Est. S.O. Expenditures	Est. S.O. Pipeline End of FY2000
	Bilateral/Field Spt	Total	Agriculture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival (*)	Infectious Diseases (*)	HIV/AIDS (*)	Health Promotion (**)	Environ	D/G		
<b>690-0514 SOUTHERN AFRICA ENTERPRISE DEVELOPMENT FUND</b>															
Bilateral	0													27,800	29,483
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	27,800	29,483
Bilateral	0													0	0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Bilateral	0													0	0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Bilateral	0													0	0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>SO 6:</b>															
Bilateral	0													0	0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>SO 7:</b>															
Bilateral	0													0	0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>SO 8:</b>															
Bilateral	0													0	0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	27,800	29,483
Total Field Support	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>TOTAL PROGRAM</b>	0	0	0	0	0	0	0	0	0	0	0	0	0	27,800	29,483

FY 2000 Request Agency Goal Totals	
Econ Growth	0
Democracy	0
HCD	0
PHN	0
Environment	0
Program ICASS	0
GCC (from all Goals)	0

FY 2000 Account Distribution (DA only)	
Dev. Assist Program	0
Dev. Assist ICASS	0
Dev. Assist Total:	0
CSD Program	0
CSD ICASS	0
CSD Total:	0

Prepare one set of tables for each Fiscal Year (FY2000, FY2001, FY2002)

Prepare one set of tables for each appropriation Account  
 Tables for DA and CSD may be combined on one table.

For the DA/CSD Table, columns marked with (\*) will be funded from the CSD Account.

(\*\*) Health Promotion is normally funded from the CSD Account, although amounts for Victims of War/Victims of Torture are funded from the DA/DFA Account

### FY 2001 Budget Request by Program/Country

Fiscal Year: 2001      Program/Country:      Regional Center for Southern Africa (RCSA)  
 Approp:                    DA  
 Scenario:

S.O. # , Title	FY 2001 Request													Est. S.O. Expenditures	Est. S.O. Pipeline End of FY2001			
	Bilateral/Field Spt	Total	Agriculture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival (*)	Infectious Diseases (*)	HIV/AIDS (*)	Health Promotion (**)	Environ	D/G					
690-0514 Southern Africa Enterprise Development Fund																		
Bilateral	0						0										27,800	1,683
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	27,800	1,683
Bilateral	0																	
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Bilateral	0																	
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Bilateral	0																	
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 6:																		
Bilateral	0																	
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 7:																		
Bilateral	0																	
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 8:																		
Bilateral	0																	
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	27,800	1,683
Total Field Support	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>TOTAL PROGRAM</b>	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	27,800	1,683

FY 2001 Request Agency Goal Totals	
Econ Growth	0
Democracy	0
HCD	0
PHN	0
Environment	0
Program ICASS	0
GCC (from all Goals)	0

FY 2001 Account Distribution (DA only)	
Dev. Assist Program	0
Dev. Assist ICASS	0
Dev. Assist Total:	0
CSD Program	0
CSD ICASS	0
CSD Total:	0

Prepare one set of tables for each Fiscal Year (FY2000, FY2001, FY2002)  
 Prepare one set of tables for each appropriation Account  
 Tables for DA and CSD may be combined on one table.  
 For the DA/CSD Table, columns marked with (\*) will be funded from the CSD Account.  
 (\*\*) Health Promotion is normally funded from the CSD Account, although amounts for Victims of War/Victims of Torture are funded from the DA/DFA Account

# Accessing Global Bureau Services Through Field Support and Buy-Ins

Regional Center for Southern Africa (RCSA)

Objective Name	Field Support and Buy-Ins: Activity Title & Number	Priority *	Duration	Estimated Funding (\$000)			
				FY 2001		FY 2002	
				Obligated by:		Obligated by:	
				Operating Unit	Global Bureau	Operating Unit	Global Bureau
SO:002	Energy Environment & Technology (G/EET)	High	1yr		1,500		1,500
SO:012	River Basin Management	High	1 yr		1,000		1,000
	Global Conservation Program	High	1 yr		1,000		1,000
SO:013	Agriculture Business & Marketing Development	High	1yr		2,000		2,000
	AG Commercial Technologies, Biotechnologies & IPR	High	1yr		500		500
<b>GRAND TOTAL.....</b>					<b>6,000</b>	<b>0</b>	<b>6,000</b>

\* For Priorities use high, medium-high, medium, medium-low, low

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**PART IV: ANNEXES****The RCSA explanation of Guidance Cable Mandatory and Suggested Annexes:**

1. **Global Field Support:** The Global Field Support Table and Narrative is included in Part III.
2. **Bureau for Humanitarian Resources Programmed Resources:** Not included in this R4 Report, as the RCSA does not have Title II or Title III Programs.
3. **Closeout and Graduation:** Not included in this R4 Report, as the RCSA is not a closeout or graduation Mission.
4. **Micro-Enterprise Reporting:** Not included in this R4 Report, as the RCSA portfolio does not contain any Micro-Enterprise activities. The Southern African Enterprise Development Fund (SAEDF) is not a micro-enterprise activity.
5. **Security Profiles:** Not included at the Agency's request. The RCSA security profile will be addressed in a separate cable.
6. **Environmental Annex:** Included as Annex A.
7. **Updated Results Frameworks:** Included as Annex B.
8. **Non-Presence Countries (NPCs):** The RCSA is a regional Mission and does not have management oversight of Non-Presence Countries in the region. Clarification of this issue was agreed by AFR/SA.
9. **Global Climate Change:** The RCSA's FY 1999 portfolio did not contain a Global Climate Change program. The FY 2000 program has an attribution level in our environmental program, and therefore, we will report on Global Climate Change in the R4 2003 Report.
10. **Greater Horn of Africa:** N/A
11. **E&E Detailed Budget:** N/A
12. **Success Stories:** Contained in Annexes C, D and E.
13. **Alternative FY 2001 Budget Request:** FY 2001 and FY 2002 Operating Yearly Budget requests are within Agency guidelines and are not considered "alternative." Therefore, the RCSA does not include an Alternative Budget Annex.

### **INFORMATION ANNEX A: Environmental Impact**

The RCSA is cognizant of its statutory obligations under ADS 204.5.3 as it relates to 22 CFR 216 ("Regulation 16"). During 1999-2000, Initial Environmental Evaluations (IEEs) were conducted for the new Strategic Objective Agreements (SOAG) for SO-012, Increased Regional Cooperation in the Management of Shared Natural Resources, and SO-013, Expanded Commercial Markets for Agricultural Technologies and Commodities in the SADC Region. USAID REDSO will assist the mission within the next several months with environmental compliance of the new SO-012 and SO-013 (yet to be designed) activities. Sub-grants issued under the Mission's STRENGTH activity and under SO-011, Broadened U.S.-SADC Cooperation is subject to environmental review. The RCSA remains aware of the need to conduct environmental reviews at such time as deemed necessary should new design activities take place or changes occur in the potential level of environmental impact of existing activities. All new sub-grantees will routinely receive environmental impact training.

The Mission-developed *Environmental Manual* continues to be applied by the Southern Africa Enterprise Development Fund for the evaluation of environmental impacts and risk associated with its funding activities. Further, the RCSA Environmental Officer continues to provide Mission staff with guidance on the importance of and procedures to be followed in the Environmental Review process for USAID programs as required by law.

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**INFORMATION ANNEX B: Updated Results Framework****SECTION 1: UPDATED RESULTS FRAMEWORK****1.1 RCSA SO: 690-001-01: Increased Regional Capacity to Influence Democratic Performance.**

IR1: Increased information sharing within the region.

IR2: Increased advocacy and other cooperation bringing regional experience to bear at national level.

IR3: Regional norms further defined by Southern Africans.

**1.2 RCSA SO: 690-002-01: A More Integrated Regional Market.**

IR1: Reduced barriers to broaden participation in the regional market.

IR2: More efficient provision of infrastructure.

IR3: Advocacy for sustained regional integration strengthened.

**1.3 RCSA SO: 690-012-01: Increased Regional Cooperation in the Management of Shared Natural Resources.**

IR1: Viable practices for sustainable management of shared natural resources adopted.

IR2: Policies, protocols and agreements enacted.

IR3: Organizations and institutions capable of effective regional intervention.

IR4: Ecological monitoring systems for decision making improved.

**1.4 RCSA SO: 690-013-01: Expanded Commercial Markets for Agricultural Technologies and Commodities in the SADC Region.**

IR1: Policies, laws and regulations that increase trade of agricultural technologies and commodities promoted.

IR2: Adoption of sustainable agricultural technologies and practices increased.

IR3: Private sector participation in delivery systems for existing agricultural technologies and practices increased.

IR4: New sustainable agricultural technologies and practices developed.

**1.5 RCSA SpO: 690-005-01: Create Capacity for More Informed Regional Decision Making.**

IR1: Decision makers in the region identify/update and adopt Regional Analytical Agenda.

IR2: Analytical capacity of selected institutions in the Region strengthened to support regional decision-making.

IR3: Increased use of analytical information by public and private sectors in planning.

**1.6 RCSA SpO: 690-011-01: Broadened U.S. – SADC Cooperation.**

The SpO has no Intermediate Results

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**SECTION 2: UPDATED LIST OF PERFORMANCE DATA TABLES**  
**(to be used for FY2003 R4)****2.1 RCSA SO: 690-001-01: Increased Regional Capacity to Influence Democratic Performance.**

- Organizational effectiveness score achieved by Regional Organizations
- Percentage of Regional Organizations by Regional Capacity Category
- Milestones achieved in the implementation of agreements that embody regional norms

**2.2 RCSA SO: 690-002-01: A More Integrated Regional Market.**

- Increased Value of Intra-SADC Trade
- Reduced Transport Costs of Imports
- Tele-Density

**2.3 RCSA SO: 690-012-01: Increased Regional Cooperation in the Management of Shared Natural Resources.**

- Number of Transboundary natural resource management area Agreements established with the RCSA support in the Region
- Progress towards the Ratification of selected Protocols
- Number of Countries in which viable practices are being applied in the formation of targeted Transboundary Natural Resource Management Areas
- Number of institutions providing key TBNRM services during the establishment of targeted Transboundary Natural Resource Management Areas

**2.4 RCSA SO: 690-013-01: Expanded Commercial Markets for Agricultural Technologies and Commodities in the SADC Region.**

- Percentage of Area Planted with Improved Varieties as a Share of the Total Suitable Planting Area
- Percentage of Improved Seed Sold in Selected Private Sector Markets
- Percentage of Farmers Selling Surplus Production to Commercial Markets for Selected Commodities
- Progress in Policy, Legal and Regulatory Reform for the Removal or Mitigation of Non-tariff Trade Barriers

**2.5 RCSA SpO: 690-005-01: Create Capacity for More Informed Regional Decision Making.**

The RCSA is recommending the deletion of the SpO from its portfolio.

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**SECTION 3: CHANGES IN THE RCSA RESULTS FRAMEWORK**  
**(From FY 2001 R4)****3.1 RCSA SO: 690-001-01: Increased Regional Capacity to Influence Democratic Performance.**

**Indicator Changes:** Progress towards the achievement of IR3 will be monitored through the use of a new indicator: "*Progress made in the implementation of agreements that embody regional norms in key areas.*" A second new SO indicator will be used for the FY 2003 R4: "*Increased capacity of organizations seeking to achieve regional DG impacts.*" For baseline and targets see attached Tables 4.1 & 4.2.

**3.2 RCSA SO: 690-002-01: A More Integrated Regional Market.**

**Indicator Changes:** The frequency of data collection for the indicator "*Decreased proportion of intra-SADC imports subject to tariffs in excess of 10%*" is changed to every second year after full consideration of cost/benefit factors.

In response to the recent trend towards market consolidation among telecommunications service providers, the indicator "*Number of licensed telecommunications service providers*" is replaced with a new teledensity indicator. This indicator will be used to monitor the extent of development and reach of the telecommunications network.

For baseline and targets see attached Table 4.3.

**3.3 RCSA SO: 690-012-01: Increased Regional Cooperation in the Management of Shared Natural Resources.**

This is a new SO approved per 00STATE 001637. See Section 3.7 below. The SO activities build on achievements under the natural resource management component of the old SO3 "*Accelerated regional adoption of sustainable agriculture and natural resource management*" and on SpOA "*Increased regional capacity to manage transboundary Natural Resources.*" A new indicator framework has been developed to support performance monitoring of the new SO. For baseline and targets see attached Tables 4.4 - 4.7.

**3.4 RCSA SO: 690-013-01: Expanded Commercial Markets for Agricultural Technologies and Commodities in the SADC Region.**

This is a new SO approved per 00STATE 001637. See Section 3.7 below. The SO activities build on achievements under the agricultural component of the old SO3 "*Accelerated regional adoption of sustainable agriculture and natural resource management.*" A new indicator framework has been developed to support performance monitoring of the new SO. For baseline and targets see attached Tables 4.8 - 4.11.

### **3.5 RCSA SpO: 690-005-01: Create Capacity for More Informed Regional Decision Making.**

The RCSA is recommending the deletion of the SpO from its portfolio.

### **3.6 RCSA SpO: 690-011-01: Broadened U.S. – SADC Cooperation.**

This is a new SO approved per Action Memo signed by AA/Afr July 23, 1999.

### **3.7 Restructuring the RCSA's natural resources management and agricultural development portfolios: November 1999**

#### **3.7.1 Background**

The Regional Center for Southern Africa (RCSA) strategy (Strategic Plan: 1992-2003) approved in 1997 included agricultural and natural resource activities under one Strategic Objective, SO3, *"Accelerated regional adoption of sustainable agriculture and natural resources management approaches."* It also included a Special Objective (SpOA) *"Increased regional capacity to manage transboundary resources."* The later allowed the RCSA to explore the potential and feasibility of supporting transboundary natural resources management (TBNRM) activities. As a Special Objective, SpOA was experimental in nature, subject to either development as a full SO by itself or dropping it from the strategy. Approximately two years of exploratory work on development opportunities presented by TBNRM was carried out during 1997-1999.

Principal activities pursued under the agricultural development component were: the development of improved varieties of sorghum, millet, cassava and sweet potato, the transfer of these varieties to smallholder farmers and the development and testing of "Heartwater" control technologies. Under the natural resources management component the activities were: community based natural resources management (CBNRM); building capacity and support to the NGOs and networks working in natural resources management (NRM) and bio-diversity areas; supporting the SADC wildlife sector coordinating unit; and natural resources accounting. The exploratory activities undertaken under SpOA included: an in depth of analyses of water sector in the region (especially the issues involved in managing river basins and deltas common to two or more countries); support to the SADC water and environmental sector coordinating units and an analysis of issues involved in managing migratory wildlife, game parks and ecosystems involving two or more countries.

#### **3.7.2 Rationale for Restructuring NRM and Agricultural activities:**

In the two years since the approval of the Strategic Plan in 1997 it became clear that linking both agriculture and natural resources management (NRM) under one SO does not adequately serve the development objectives of our stakeholders in either sector. The proposal to refocus the strategy is based on the following reasons:

1. The problems to be addressed in each sector were significantly different and require markedly different development strategies. The disparities in resource allocations to the sectors further skewed the management focus away from agriculture.
2. The regional environment has evolved considerably since formulation of the RCSA Strategic Plan in 1997. Significant changes in Southern African Development Community (SADC) priorities and the regional environment presented an opportunity to refine the agriculture and NRM strategies to make the most of these developments.
  - Southern Africa was moving forward developing a regional Free Trade area. With the RCSA technical support, SADC had developed a trade protocol, with the aim of reducing tariffs and non-tariff trade barriers between member states. This protocol creates a framework for the development of a free trade area in the region. Ratification is expected by a majority of member states by January 2000.
  - SADC is becoming more involved in policy dialogue on global trade issues, such as those covered in the World Trade Organization (WTO) talks in Seattle. This represents a shift to a more global market outlook, particularly for regional agriculture.
3. The RCSA had gathered more information about regional markets and the policy environment, including significant input from the regional agricultural policy networks. The information indicated an opportunity to engage in activities that advanced SADC regional agricultural policies forward towards broader market participation. An example of a recent development opportunity is the World Bank Sub-Saharan Africa Seed Initiative (SSASI), which is aimed at reforming seed trade policy as a mechanism to increase to the use of quality seed in the region. This initiative will greatly improve food security and agricultural production throughout the region. The RCSA's revised strategy for agriculture will build upon this and similar developments.
4. The investigations under the SpOA identified the need to elevate the SpO strategy to SO-level and consequently, integrate all RCSA NRM activities into one SO.
5. The RCSA had embarked upon an extensive stakeholder consultation process to determine the priority NRM problems and priorities in the region. These consultations identified water and wildlife as critical natural resources for the region's continued growth and development. Water was underlined as the resource of greatest importance since it could lead to regional conflicts if not properly managed. Wildlife was emphasized as the foundation for the region's phenomenal tourism potential. Other resources identified for consideration, including the region's national parks, protected areas, and adjacent ecological landscapes, which could be clustered together as transboundary Natural Resource Management Areas (TBNRMAs).

6. At the national level, CBNRM interventions have been supported jointly by the RCSA and the USAID bilateral Missions in Botswana, Namibia, Zimbabwe, and Zambia. Consultations indicated that the widespread adoption of these approaches lay the foundation for their application in transboundary NRM areas. These critical resources are essentially shared among stakeholders who are divided by formal and legal jurisdictions. If sustainable use of these resources is to occur, management approaches will have to rely on collaboration and cooperative action among the affected communities and nations.
7. Several analytical studies were commissioned under SpOA, including one that assessed the potential for the development and management of TBNRMAs in southern Africa. This study confirmed the need for TBNRM approaches that develop mechanisms for broad stakeholder participation in regional decision-making, particularly involving the communities that live with and are most dependent on these resources.

In addition to the transboundary study, a comprehensive analysis of the water sector, and several CBNRM assessments helped craft the new Strategy. Other factors that influenced the development of the new focus included an analysis of: regional trends; critical constraints and opportunities; U.S. and the RCSA comparative advantage; gaps in donor support; potential synergy with USAID bilateral missions; and numerous stakeholder consultations conducted throughout the region.

8. As a result of consultations and analysis, the RCSA decided that existing and proposed CBNRM activities and transboundary activities should be managed under one SO, instead of two. The link between CBNRM and transboundary NRM is twofold. First, the CBNRM approach is a widely accepted rural development strategy in the region that can be applied across borders. More importantly, Community-Based Organizations (CBOs) constitute an effective and necessary source of grassroots advocacy directly contributing to policy reform.

### **3.7.3 Conclusion:**

Based on the above considerations, which were informed by significant analyses and stakeholder consultations, the RCSA developed comprehensive strategies for natural resources management and agriculture. The new strategy for NRM focuses on TBNRM and integrates all NRM related activities, and includes transferring CBNRM lessons learned to transboundary areas. The agricultural strategy combines technology development and transfer with the development of commercial markets for technologies and commodities. The NRM and agriculture strategies and the planned activities are also linked more closely with the three basic underlying themes of the RCSA's strategy: regional integration, capacity building, and creating an enabling policy and regulatory environment in the region.

## **SECTION 4: PERFORMANCE DATA TABLES.**

### **LIST OF INDICATORS INCLUDED IN THIS ANNEX**

- 4.1 New Performance Data Tables for DG (690-001-01): Table 1:** Milestones achieved in the implementation of agreements that embody regional norms
- 4.2 New Performance Data Tables for DG (690-001-01) Table 2:** Percentage of Regional Organizations by Regional Capacity Category
- 4.3 New Performance Data Tables for the Market Integration (690-002-01) Table 1:** Tele-Density
- 4.4 New Performance Data Tables for NRM (690-012-01) Table 1:** Number of transboundary natural resource management area agreements
- 4.5 New Performance Data Tables for NRM (690-012-01) Table 2:** Ratification of Protocols
- 4.6 New Performance Data Tables for NRM (690-012-01) Table 3:** Application of viable practices for sustainable management of shared natural resources
- 4.7 New Performance Data Tables for NRM (690-012-01) Table 4:** Organizations and institutions capable of effective regional intervention
- 4.8 New Performance Data Tables for AG (690-0013-01) Table 1:** Area (Percentage) planted with Improved Varieties
- 4.9 Performance Data Tables for AG (690-0013-01) Table 2:** Sale of Improved Seeds in Private Sector Markets
- 4.10 Performance Data Tables for AG (690-0013-01) Table 3:** Sale of Surplus Production to Meet Commercial Market Demand
- 4.11 New Performance Data Tables for AG (690-0013-01) Table 4:** Performance in Policy, Legal and Regulatory Reform
- 4.12 PERFORMANCE DATA TABLES USED FOR PERFORMANCE REPORTING IN THE 2001 R4 (and not repeated in the 2002 R4)**
  - Table 1:** Regional Networks Established & Strengthened (Old NRM section of SO3)
  - Table 2:** Adoption of Selected TBNRM Best Practices (Old SpOA)

**4.1 New Performance Data Tables for DG (690-001-01): Table 1: Milestones Achieved in the Implementation of Agreements that Embody Regional Norms**

<b>OBJECTIVE NAME:</b> Increased Regional Capacity to Influence Democratic Performance			
<b>OBJECTIVE ID:</b> 690-001-01			
<b>APPROVED:</b> August 1997		<b>COUNTRY/ORGANIZATION:</b> RCSA	
<b>RESULT NAME:</b> IR3: Regional norms further defined by Southern Africans			
<b>INDICATOR:</b> Progress made in the implementation of agreements that embody regional norms in key areas			
<b>UNIT OF MEASURE:</b> Milestones achieved.	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
<b>SOURCE:</b> Partners in key areas and secondary data sources.	1999	Baseline	<p><b>Anti-Corruption:</b> Discussions on Anti-Corruption Protocol initiated by HRRD TSA</p> <p><b>Elections:</b> Forum on Electoral Standards funded (SADC ECF/EISA)</p> <ul style="list-style-type: none"> <li>• Forum on Code of Conduct for Political Parties funded (UNAM/UWC/ NDI Consortium)</li> <li>• Standards for Election Observation funded (SADC PF)</li> <li>• Participatory process for the adoption of the Principles of election coverage for the media commenced in 3 countries (SARDC)</li> </ul> <p><b>Media:</b> Windhoek Declaration signed 1991</p> <ul style="list-style-type: none"> <li>• Advocacy for establishment of Independent Regulatory Bodies (IRB) for broadcast media commenced (MISA)</li> <li>• Relevant civil society bodies (MISA chapters) established in 10 program countries (MISA)</li> </ul>
	2000	<p><b>Anti-Corruption:</b> Anti-Corruption Protocol drafted (HRRD TSA)</p> <p><b>Elections:</b> Electoral Standards agreed (SADC ECF/EISA)</p> <ul style="list-style-type: none"> <li>• Code of Conduct for Political Parties agreed (Consortium)</li> <li>• Election dispute adjudication processes agreed (SADC PF)</li> <li>• Participatory process for the adoption of the Principles of Election Coverage for the media extended to 7 countries (SARDC).</li> </ul> <p><b>Media:</b></p> <ul style="list-style-type: none"> <li>• Preparations for review of Windhoek Declaration underway (MISA)</li> <li>• Advocacy for establishment of IRBs continued</li> <li>• 11 MISA chapters established (MISA)</li> </ul>	
<b>INDICATOR / DESCRIPTION:</b> Agreements are defined as SADC protocols, MOUs, treaties, conventions, declarations, charters, codes of conduct, etc. negotiated in both government & civil society sectors. Key areas are anti-corruption initiatives, election administration & observation and media pluralism. Civil society engagement is subsumed under the other focus areas because their activity contributes to achievements in those areas. Attribution to SO-001 partner intervention must be evident. Milestones in implementation are: Partners funded by RCSA; Discussions on agreements initiated; Agreement drafted; Satisfactory participatory processes commenced; Consensus on agreement achieved; Agreement formally concluded; Relevant legislation drafted/amended if necessary; Relevant institution/s established if necessary. Milestones are not necessarily sequential.			

**4.1 New Performance Data Tables for DG (690-001-01) : Table 1(Continued)**

<b>OBJECTIVE NAME:</b> Increased Regional Capacity to Influence Democratic Performance			
<b>OBJECTIVE ID:</b> 690-001-01			
<b>APPROVED:</b> August 1997		<b>COUNTRY/ORGANIZATION:</b> RCSA	
<b>RESULT NAME:</b> IR3: Regional norms further defined by Southern Africans			
<b>INDICATOR:</b> Progress made in the implementation of agreements that embody regional norms in key areas			
<b>UNIT OF MEASURE:</b> Milestones achieved.	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
<b>SOURCE:</b> Partners in key areas and secondary data sources.	2002	<p><b>Anti-Corruption:</b> Anti-Corruption Protocol formally concluded</p> <p><b>Elections:</b> Agreement on Electoral Standards formally concluded</p> <ul style="list-style-type: none"> <li>• Agreement on Code of Conduct for Political Parties formally concluded</li> <li>• Agreement on Standards for Election Observation formally concluded</li> <li>• Consensus on Principles of Election coverage for the media achieved</li> </ul> <p><b>Media:</b></p> <ul style="list-style-type: none"> <li>• Reaffirmation of Windhoek Declaration (MISA)</li> <li>• 3/4 IRBs established (MISA)</li> </ul>	
	2003	<p><b>Anti-Corruption:</b> Processes of drafting &amp; amending Anti-Corruption legislation &amp; establishing Anti-Corruption institutions underway</p> <p><b>Elections:</b> Processes of drafting &amp; amending legislation relevant to Electoral Standards &amp; establishment of relevant bodies underway</p> <ul style="list-style-type: none"> <li>• Processes of drafting &amp; amending legislation relevant to Code of Conduct for Political Parties &amp; establishing relevant institutions underway</li> <li>• Processes of drafting &amp; amending legislation relevant to Election Observation Standards &amp; establishing relevant institutions underway</li> <li>• Processes of drafting &amp; amending legislation relevant to Principles of Election coverage for the media achieved underway</li> </ul> <p><b>Media:</b></p> <ul style="list-style-type: none"> <li>• Processes of drafting &amp; amending legislation relevant to media freedom underway</li> <li>• 4/5 IRBs established (MISA)</li> </ul>	

**4.2 New Performance Data Tables for DG (690-001-01) Table 2: Percentage of Regional Organizations by Regional Capacity Category**

<b>OBJECTIVE NAME:</b> Increased Regional Capacity to Influence Democratic Performance			
<b>OBJECTIVE ID:</b> 690-001-01			
<b>APPROVED:</b> August 1997		<b>COUNTRY/ORGANIZATION:</b> RCSA	
<b>RESULT NAME:</b> SO Level: Increased Regional Capacity to Influence Democratic Performance			
<b>INDICATOR:</b> Increased capacity of organizations seeking to achieve regional DG impacts			
<b>UNIT OF MEASURE:</b> Percentage of organizations characterized as “Competent” (C) or “Strong” (S) based on a Regional Capacity Index.	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
<b>SOURCE:</b> Self-assessment undertaken by SO-001 partners using a questionnaire designed to measure organizational capacity in areas regarded as critical to effective performance at the regional level.	1999	Baseline	C = 60% S = 40%
<b>INDICATOR / DESCRIPTION:</b> : SO-001 aims to expand regional capacity to influence national democratic performance by sharing information as a complement to advocacy for the adoption and practice of democratic norms & principles. The indicator is intended to assess organizations’ internal capacity to exert such influence at the regional level. Possible bias in the results of the self-assessment is off-set by the first SO indicator which measures the perceived effectiveness of organizations funded by SO-001 in achieving regional DG impacts.	2000	C = 60% S = 40%	
	2001	C = 30% S = 70%	
	2002	C = 20% S = 80%	
<b>COMMENTS:</b> The Index incorporates the following dimensions related to effective functioning at a regional level of intervention: organizational structure & programmatic coherence, <b>management systems &amp; leadership</b> , organizational culture & style, administrative & financial capacity, <b>advocacy capacity</b> and <b>strategic location</b> . The dimensions in bold indicate the heaviest weighting in the Index. Scores range from a minimum of 14 to a maximum of 75. Scores in the 14 - 35 range indicate weak organizations (W); scores in the 35 - 50 range indicate competent organizations (C) and scores of 50+ indicate strong organizations (S). The 10 SO-001 partners & grantees that completed the self-assessment were: AFRONET, EISA, HRRDTSA, IPS, MISA, SADC PF, SAMDEF, SARDC, SARIPS & WILDAF (See Annex H for details of the organizations & their activities). Organizations in the strong category (S) are: EISA, MISA, SARDC & SARIPS. Organizations in the competent category (C) are: AFRONET, HRRDTSA, IPS, SADC PF, SAMDEF & WILDAF. Corroboration of the tool is found in the broadly coincident results obtained for the indicator of regional effectiveness (See Performance Table 1). The basket of organizations for next year will include EISA/SADC ECF, HRRDTSA, IPS, MISA, SADC PF, SAMDEF & SARDC. Targets are based on the assumption that 1-2 organizations per year will receive targeted technical assistance. Organizations are also expected to improve their individual scores even though, as is anticipated for 2000, they may not change their current categorization.	2003	C = 10% S = 90%	

The original indicator for the SO, "Regional capacity to influence democratic performance" was "regional influence on national-level discourse." Attempts to measure the degree of reference to regional events in national-level discourse proved expensive and the results of little value as an input to management decisions. The results of the two data collection methodologies used (focus groups & a content analysis of the print media) did not corroborate each other, casting doubt on the validity and reliability of the

methodologies. It was therefore reported in the FY2001 R4 that this indicator would be discontinued.

Alternative indicators focusing on capacity to influence were consequently developed for the SO:

- (I) “Increased effectiveness of organizations seeking to achieve regional DG impacts.”
- (II) “Increased capacity of organizations seeking to achieve regional DG impacts.”

The first indicator is measured in a survey of the perceptions of DG practitioners about the effectiveness of a number of organizations with regional DG activities or programs. The results are presented as the average score on a scale of 1 to 3, where 3 is the maximum score possible. This indicator was first reported in the FY2001 R4 and the results corroborated by the findings of a series of key informant interviews.

A methodology for the second indicator took longer to develop thus it was not reported on in FY2001 R4. Existing organizational capacity tools were reviewed but none were found to adequately capture the essential elements of working regionally. The development of a regional DG capacity tool was therefore commissioned. The tool takes the form of a self-assessment by selected the RCSA grantees and partners about their capacity in a number of areas regarded as critical to effective operation at a regional level. The results are presented as a categorization of organizations as “weak”, “competent” or “strong.” Baseline data have been collected and found to support the results of the first indicator thereby increasing our confidence in the validity and reliability of both methodologies.

**4.3 New Performance Data Tables for the Market Integration (690-002-01)**

**Table 1: Tele-Density**

<b>OBJECTIVE NAME:</b> A More Integrated Regional Market.			
<b>OBJECTIVE ID:</b> 690-002-01			
<b>APPROVED:</b> August 1997		<b>COUNTRY/ORGANIZATION:</b> RCSA	
<b>RESULT NAME:</b> IR2: Number of Licensed Telecommunications Service Providers			
<b>INDICATOR:</b> Tele-density of Telephone Networks (covering fixed, cellular and internet networks).			
<b>UNIT OF MEASURE:</b> Average number of lines per 100 inhabitants.	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
<b>SOURCE:</b> Giersing-Rose Consultancy Reports – data source from the International Telecommunications Union 1998 Telecom Indicators; USTDA.	1993	Baseline	2.68
	<b>INDICATOR / DESCRIPTION:</b> Tele-density is a standard measurement used in the telecommunications industry to measure the extent of development and the reach of a telecommunications network. It measures the density of the service relative to the population. Projections are based on a 10% annual growth rate in tele-density, which is considered reasonable given the significant impact the introduction of cellular phones has, and based on the expected impact of more liberal telecommunications legislation.	1997	3.92
	1998	4.32	4.47
	1999	4.75	
	2000	5.22	
	2001	5.74	
	2002	6.32	
<b>COMMENTS:</b> This indicator reflects the beneficial impact of the RCSA’s involvement with the transport and telecommunications protocols, and with adjustments to legislation. This table will replace the current Performance Data Table (No 3 in Part 2): Licensed Telecommunications Service Providers.  The recent trends in consolidation of the market for service providers, has necessitated the adoption of tele-density as a more suitable indicator, reflecting the expansion in the consumer market shares captured by existing service providers. It should be noted however, that tele-density data are currently available with a one-year lag. Notwithstanding this, the tele-density indicator is being introduced as a more appropriate measure of the provision and use of telecommunications infrastructure to SADC consumers. As reflected in this table, past trends show a sustained rise in tele-density in all countries in the region (with the sole exception of Malawi where authorities record tele-density as having remained low and constant over the period shown).	2003	6.95	

#### 4.4 New Performance Data Tables for NRM (690-012-01) Table 1: Number of Transboundary Agreements

<b>OBJECTIVE NAME:</b> Increased Regional Cooperation in the Management of Shared Natural Resources			
<b>OBJECTIVE ID:</b> 690-012-01			
<b>APPROVED:</b> November 1999		<b>COUNTRY/ORGANIZATION:</b> RCSA	
<b>RESULT NAME:</b> SO Level: Increased Regional Cooperation in the Management of Shared Natural Resources			
<b>INDICATOR:</b> Number of TBNRMA agreements established with the RCSA support in the Region			
<b>UNIT OF MEASURE:</b> Number of TBNRM agreements.	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
<b>SOURCE:</b> Project management files & partner reporting documents.	1999	Baseline	1*
<b>INDICATOR / DESCRIPTION:</b> Agreements are those in which the RCSA has had direct and substantial input. They are transboundary in nature (i.e., involving 2 or more countries in the SADC region) in addition to being formal and binding.	2000	1	
	2001	1	
	2002	2	
<b>COMMENTS:</b> Site selection was done through a consultative process with partners out of a total of 15 potential sites. The RCSA assistance will support development at all 15 sites to leverage additional impact, however, the RCSA will specifically target three geographical sites: 1 - Okavango/ Caprivi/ Chobe (inclusive of the Okavango River Basin); 2- Kruger-Gonarezhou Park & 3 – Lake Malawi.  * The first transboundary park, the Kgalagadi Transfrontier Park, was established in April 1999 partly due to the RCSA's efforts over a nine year period in strengthening the Botswana DWNP. The area consists entirely of protected area at this time but participation of surrounding communities is deemed as a next phase.	2003	4	

#### 4.5 New Performance Data Tables for NRM (690-012-01) Table 2: Ratification of Protocols

<b>OBJECTIVE NAME:</b> Increased Regional Cooperation in the Management of Shared Natural Resources				
<b>OBJECTIVE ID:</b> 690-012-01				
<b>APPROVED:</b> November 1999			<b>COUNTRY/ORGANIZATION:</b> RCSA	
<b>RESULT NAME:</b> IR2: Policies, protocols and agreements enacted				
<b>INDICATOR:</b> Progress towards the ratification of selected Protocols				
<b>UNIT OF MEASURE:</b> Number.	<b>YEAR</b>	<b>PROTOCOL</b>	<b>PLANNED</b>	<b>ACTUAL</b>
<b>SOURCE:</b> SADC Sector Coordinating Units	1999	Wildlife Protocol		Protocol Signed
		Environmental Protocol		Consultation initiated
<b>INDICATOR / DESCRIPTION:</b> Targeted protocols ratified. Targeted protocols are Wildlife & Environment.	2000	Wildlife Protocol	Protocol Signed	
		Environmental Protocol	Protocol Drafted	
	2001	Wildlife Protocol	Protocol Signed	
		Environmental Protocol	Protocol Signed	
	2002	Wildlife Protocol	Protocol Ratified	
		Environmental Protocol	Protocol Signed	
<b>COMMENTS:</b> This indicator replaces two prior indicators that were part of the old SO3 and SpOA indicator frameworks i.e. "Adoption of Policy Framework" and "Steps taken towards making TBNRM Protocols operational" respectively.	2003	Wildlife Protocol	Protocol Ratified	
		Environmental Protocol	Protocol Ratified	

**4.6 New Performance Data Tables for NRM (690-012-01) Table 3: The Application of Practices for Sustainable Management of Shared Natural Resources in Target Areas**

<b>OBJECTIVE NAME:</b> Increased Regional Cooperation in the Management of Shared Natural Resources												
<b>OBJECTIVE ID:</b> 690-012-01												
<b>APPROVED:</b> November 1999					<b>COUNTRY/ORGANIZATION:</b> RCSA							
<b>RESULT NAME:</b> IR1: Viable practices for sustainable management of shared resources adopted												
<b>INDICATOR:</b> Number of countries in which viable practices are being applied in the formation of targeted TBNRMAs.												
<b>UNIT OF MEASURE:</b> Number of countries applying viable practices in the formation of target transboundary natural resource management areas.	<b>YEAR</b>	<b>SITE</b>	<b>PLANNED</b>					<b>ACTUAL</b>				
			<b>A</b>	<b>B</b>	<b>C</b>	<b>D</b>	<b>E</b>	<b>A</b>	<b>B</b>	<b>C</b>	<b>D</b>	<b>E</b>
<b>SOURCE:</b> Analysis of TBNRMA management body documents relating to the stages of development of establishing TBNRMAs.	1999	Okavango/Chobe						4	4	4	4	4
		Kruger/Gonarezhou						2	2	2	1	2
		Lake Malawi						1	2	0	0	1
<b>INDICATOR / DESCRIPTION:</b> Viable practices targeted by the RCSA are:  A. CBNRM  B. Natural Resource Monitoring Systems  C. Natural Resource Management Plans  D. Community-NGO-Private Sector partnerships  E. Stakeholder Participation (e.g., Government, community and users)	2000	Okavango/Chobe	4	4	4	4	4					
		Kruger/Gonarezhou	3	2	2	2	2					
		Lake Malawi	2	3	1	0	2					
	2001	Okavango/Chobe	4	5	5	4	4					
		Kruger/Gonarezhou	3	2	3	2	3					
		Lake Malawi	2	3	3	1	3					
	2002	Okavango/Chobe	4	5	5	4	4					
		Kruger/Gonarezhou	3	3	3	3	3					
		Lake Malawi	2	3	3	2	3					
	2003	Okavango/Chobe	4	5	5	4	5					
		Kruger/Gonarezhou	3	3	3	3	3					
		Lake Malawi	2	3	3	2	3					
	<b>COMMENTS:</b> See Background Information on the next page. This indicator replaces an old indicator from SpOA that measured the adoption of selected TBNRM Best Practices.											

**Background information for New NRM Indicator:** *"Viable practices for sustainable management of shared natural resources adopted."* See Section 4.6

<b>COUNTRIES INVOLVED</b> Angola, Botswana, Malawi, Mozambique, Namibia, South Africa, Zambia, Zimbabwe	<b>1999</b>	<b>2000</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>
A = CBNRM	All except Angola, Mozambique, Tanzania	Mozambique	-	-	-
B = NR Monitoring System	All except Angola & Mozambique	Mozambique	Angola	All	All
C = NRM Plans	All except Angola, Mozambique, Malawi, Tanzania	Malawi	Angola Mozambique Tanzania	All	All
D = Community – NGO – Private Sector Partnerships	All except Angola, South Africa, Mozambique, Malawi, Tanzania	South Africa	Malawi	Mozambique	All except Angola & Tanzania
E = Stakeholder Participation	All except Angola, Mozambique, Tanzania	Tanzania	Mozambique	-	Angola

**4.7 New Performance Data Tables for NRM (690-012-01) Table 4: Organizations and Institutions capable of Effective Regional Intervention**

<b>OBJECTIVE NAME:</b> Increased Regional Cooperation in the Management of Shared Natural Resources											
<b>OBJECTIVE ID:</b> 690-012-01											
<b>APPROVED:</b> November 1999					<b>COUNTRY/ORGANIZATION:</b> RCSA						
<b>RESULT NAME:</b> IR3: Organizations and institutions capable of effective regional intervention											
<b>INDICATOR:</b> Number of institutions providing key TBNRM services during the establishment of targeted Transboundary Natural Resource Management Areas.											
<b>UNIT OF MEASURE:</b> Total Number in the three targeted Transboundary Natural Resource Management Areas.	<b>YEAR</b>	<b>PLANNED</b>					<b>ACTUAL</b>				
		<b>A</b>	<b>B</b>	<b>C</b>	<b>D</b>	<b>E</b>	<b>A</b>	<b>B</b>	<b>C</b>	<b>D</b>	<b>E</b>
<b>SOURCE:</b> TBNRMA Site Project documentation.	1999	Baseline					3	10	4	1	0
<b>INDICATOR / DESCRIPTION:</b> Number of organizations providing key services in the targeted Transboundary Natural Resource Management Areas. An institution providing a key TBNRM service to more than one TBNRM area is counted more than once.  Key services are: A - TBNRMA training; B – TBNRMA Policy C – Information Dissemination & Advocacy for TBNRM D – Collation, Analysis & Utilization of ecological monitoring data E –TBNRMA Support Services (legal, marketing, conflict management; financial management, business planning etc.)  Targeted TBNRMAs are the Okavango /Caprivi /Chobe area, the Kruger/Gonarezhou area and Lake Malawi  Services must be provided by the RCSA-funded organizations.	2000	4	12	4	1	2					
	2001	5	13	5	2	4					
	2002	6	14	5	2	6					
	2003	6	15	5	3	9					
<b>COMMENTS:</b> Background data is found on the next page.											

**Background information for the new NRM indicator "Number of institutions providing key TBNRM services during the establishment of targeted transboundary natural resources management areas."**

TBNRMA Sites	-A - TBNRMA training	-B - TBNRMA Policy	-C - Information Dissemination & Advocacy for TBNRMA	-D- Collation, Analysis & Utilization of ecological monitoring data	-E - TBNRMA Support Services (legal, marketing, conflict management, financial management, business planning etc.).
Okavango/Chobe	Botswana Wildlife Training Institute & University of Botswana	Okavango River Basin Commission & SADC Sector Coordinating Units for Water, Wildlife and Environment	SADC Wildlife Sector Coordinating Unit & Southern African Research & Documentation Center	One CBO monitoring in Okavango/Caprivi/Chobe	
Kruger/Gorenszhou	Southern African Wildlife College	SADC Sector Coordinating Units for Water, Wildlife and Environment	Southern African Research & Documentation Center		
Lake Malawi		SADC Sector Coordinating Units for Water, Wildlife and Environment	Southern African Research & Documentation Center		

#### 4.8 New Performance Data Tables for AG (690-0013-01) Table 1: Area (%) planted with Improved Varieties

<b>OBJECTIVE NAME:</b> Expanded Commercial Markets for Agricultural Technologies and Commodities in the SADC Region				
<b>OBJECTIVE ID:</b> 690-013-01				
<b>APPROVED:</b> November 1999		<b>COUNTRY/ORGANIZATION:</b> RCSA		
<b>RESULT NAME:</b> IR2: Adoption of Improved Agricultural Technologies and Practices in Southern Africa Increased				
<b>INDICATOR:</b> Percentage of area planted with improved varieties as a share of the total suitable planting area				
<b>UNIT OF MEASURE:</b> %	<b>YEAR</b>		<b>PLANNED</b>	<b>ACTUAL</b>
<b>SOURCE:</b> IARCs.	1998	Sorghum	Baseline	12
		Millet	Baseline	12
		Cassava	Baseline	5
		Sweet potato	Baseline	6
<b>INDICATOR / DESCRIPTION</b> Adoption rate is defined as the percentage of total area suitable for growing sorghum, pearl millet, cassava and sweet potato in the target countries planted with improved varieties of these crops. Target countries for sorghum and millet are Mozambique, Tanzania and Zimbabwe. Target countries for cassava and sweet potato are Malawi, Mozambique, Tanzania and Zambia.	1999	Sorghum	13	
		Millet	14	
		Cassava	7	
		Sweet potato	8	
	2000	Sorghum	15	
		Millet	16	
		Cassava	10	
		Sweet potato	11	
	2001	Sorghum	18	
		Millet	19	
		Cassava	13	
		Sweet potato	14	
<b>COMMENTS:</b> Actual linear increases in adoption rates are speculative; i.e., droughts, floods and government policies have and will cause fluctuations.	2002	Sorghum	22	
		Millet	23	
		Cassava	16	
		Sweet potato	17	
	2003	Sorghum	25	
		Millet	25	
		Cassava	20	
		Sweet potato	20	

#### 4.9 New Performance Data Tables for AG (690-0013-01) Table 2: Sale of Improved Seeds in Private Sector Markets

<b>OBJECTIVE NAME:</b> Expanded Commercial Markets for Agricultural Technologies and Commodities in the SADC Region.			
<b>OBJECTIVE ID:</b> 690-013-01			
<b>APPROVED:</b> November 1999		<b>COUNTRY/ORGANIZATION:</b> RCSA	
<b>RESULT NAME:</b> SO-level: Expanded Commercial Markets for Agricultural Technologies and Commodities in the SADC Region			
<b>INDICATOR:</b> Percentage of improved seed sold in selected private sector markets			
<b>UNIT OF MEASURE:</b> %	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
<b>SOURCE:</b> IARCs.	1999	Baseline	Less than 5
<b>INDICATOR / DESCRIPTION:</b> Calculated from the value of improved seed sold by private sector as a percentage of the value of total seed sold by private sector in selected markets.	2000	8	
	2001	10	
	2002	12	
<b>COMMENTS:</b> Crops are sorghum and millet. The baseline value is estimated from data on total seed distribution and prior knowledge. The baseline and target values will be verified through a planned survey to be completed before June 2000.	2003	15	

#### 4.10 New Performance Data Tables for AG (690-0013-01) Table3: Sale Of Surplus Production to Meet Commercial Market Demand.

<b>OBJECTIVE NAME:</b> Expanded Commercial Markets for Agricultural Technologies and Commodities in the SADC Region.			
<b>OBJECTIVE ID:</b> 690-013-01			
<b>APPROVED:</b> November 1999		<b>COUNTRY/ORGANIZATION:</b> RCSA	
<b>RESULT NAME:</b> IR3: Private Sector participation in delivery systems for improved agricultural technologies increased			
<b>INDICATOR:</b> Percentage of farmers selling surplus production to commercial markets for selected commodities			
<b>UNIT OF MEASURE:</b> %	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
<b>SOURCE:</b> Annual survey of farmers and traders in selected districts.	1999	Baseline	Less than 3
<b>INDICATOR / DESCRIPTION:</b> Farmers in selected market areas will be interviewed to determine how they dispose of their surplus production in these commodities. Data will be collected from identified markets.	2000	5	
	2001	8	
	2002	11	
<b>COMMENTS:</b> Crops are sorghum, millet, cassava and sweet potato. The baseline value is estimated from existing data on purchases from small-scale farmers. The baseline and target values will be verified through a planned survey of farmers and traders to be completed before June 2000.	2003	15	

**4.11 New Performance Data Tables for AG (690-0013-01) Table 4:**  
**Performance in Policy, Legal and Regulatory Reform**

<b>OBJECTIVE NAME:</b> Expanded Commercial Markets for Agricultural Technologies and Commodities in the SADC Region.				
<b>OBJECTIVE ID:</b> 690-013-01				
<b>APPROVED:</b> November 1999		<b>COUNTRY/ORGANIZATION:</b> RCSA		
<b>RESULT NAME:</b> IR4.1 Laws and Policies that Increase Trade in Agricultural Technologies and Commodities Enacted				
<b>INDICATOR:</b> Progress in policy, legal and regulatory reform for the removal or mitigation of non-tariff trade barriers				
<b>UNIT OF MEASURE:</b> Progress towards established milestones.	<b>YE R</b>	<b>PLANN ED</b>	<b>ACTU AL</b>	
<b>Source:</b> The RCSA project documents.	1999	Baseline	SPS:A TBT:A IPR:A	
<b>Indicator Description:</b> Progress in policy reform for the removal or mitigation of non-tariff trade barriers for seed and planting material.	2000	SPS:B TBT:B IPR:B		
<b>Comments:</b> There are three key policy reform priorities: 1) Sanitary/phytosanitary regulations (SPS), includes food, plant and animal quarantine measures 2) Technical barriers to trade (TBT), includes seed registration, certification and labeling 3) Intellectual property rights (IPR), includes plant variety protection, patents and licenses. Level A (1999) => prioritization of policy reform agenda begun Level B (2000) => policy reform agenda established and policy analyses begun Level C (2001) => policy analyses completed (50% complete) and pilot policy reform activities initiated Level D (2002) => key policy analyses completed (100% complete) and pilot policy reform activities ongoing Level E (2003) => memorandum of agreement for harmonized legislation to promote agricultural trade in improved varieties in two or more SADC countries Level F (2004) => draft national-level policies completed and commencement of adoption (two or more country-level agreements to harmonize seed trade laws and regulations towards international standards / norms)  <u>Definitions:</u> a) Policy reform agenda: determined and approved by regional policy analysis networks, the agenda focuses on the harmonization of seed trade policies, laws and regulations. Included in the agenda are needs assessments with respect to analyses, technical support, collaborating partners and a timeframe for action. b) Policy analysis: studies will provide empirical evidence regarding the impact on regional seed trade of the removal of non-tariff barriers. Analyses will be carried out by research organizations such as the Food, Agriculture and Natural Resources Policy Analysis Network (FANR/PAN) and U.S. University partners. c) Pilot policy reform activities: e.g., advocacy groups for policy reform will lobby and engage key government decision makers, including Members of Parliament, in the SADC region to push reform at the national and regional levels. d) Memorandum of Agreement: an agreement between two or more SADC countries to promote trade in improved seed varieties will pave the way for harmonization of seed trade laws and regulations at the national level, leading to draft legislation or more formal agreements at the regional level. e) Harmonized seed trade laws: Legislation in compliance with international standards allowing the free movement and trade of seeds between signatory nations.	2001	SPS:C TBT:C IPR:C		
		2002	SPS:D TBT:D IPR:D	
		2003	SPS:E TBT:E IPR:E	

#### 4.12 PERFORMANCE DATA TABLES USED FOR PERFORMANCE REPORTING IN THE 2001 R4 (and not repeated in the 2002 R4)

**Table 1:** Regional Networks Established & Strengthened (Old NRM section of SO3)

<b>OBJECTIVE NAME:</b> Expanded commercial markets for Agricultural Technologies and Commodities in the SADC Region			
<b>OBJECTIVE ID:</b> SO3			
<b>APPROVED:</b> August 1997		<b>COUNTRY/ORGANIZATION:</b> RCSA	
<b>RESULT NAME:</b> Functioning Systems in place for transferring Ag/NRM technologies & Best Practices across the Region			
<b>INDICATOR:</b> NRM networks established and strengthened			
<b>UNIT OF MEASURE:</b> Number of Networks that are established and strengthened in each of 4 developmental stages.	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
<b>SOURCE:</b> USAID, Regional NGOs.	1998	Baseline	a) 5 b) 1
<b>INDICATOR / DESCRIPTION:</b> Number of networks at the four developmental stages defined as follows: a. Organized & functioning with partners b. Have operating plan to identify sufficient local resources to sustain the network c. Are implementing their plan with 50% local funds d. Are able to function without international support.			
<b>COMMENTS:</b> NRM Networks at level "a" are BOCOBONET, SADC CBNRM NETWORK CAMPFIRE ASSOCIATION, NACOBTA* CBNRM ASSOCIATION OF NAMIBIA  Networks at level "b" are: SABONET	1999	a) 7 b) 3	a) 5 b) 1

**4.12 Table 2: Adoption of Selected TBNRM Best Practices** Old(SpOA)

<b>OBJECTIVE NAME:</b> Increased Regional Cooperation in the Management of Shared Natural Resources			
<b>OBJECTIVE ID:</b> 690-012-01			
<b>APPROVED:</b> November 1999		<b>COUNTRY/ORGANIZATION:</b> RCSA	
<b>RESULT NAME:</b> Models for Improved TBNRM Developed			
<b>INDICATOR:</b> Adoption of selected TBNRM Best Practices			
<b>UNIT OF MEASURE:</b> Stages of Development and Adoption	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
<b>SOURCE:</b> USAID, SADC and Regional NGOs. <b>INDICATOR / DESCRIPTION:</b> TBNRM management is a new concept in the region and formal agreements and strategies are just now being developed. Best practices will be documented as they develop and adoption rates assessed.	1998	Baseline	None TBCA best practices identified
<b>COMMENTS:</b>	1999	Two best practices (River Basin Management and Transfrontier Conservation Management) identified.	TOR for River Basin Management Study prepared and under review; TBNRM concept fully informs new SO; selection criteria & approaches for TBNRMAs determined.

## **INFORMATION ANNEX C: Success Stories**

### **Impact of the Regional Democracy and Governance Program**

This annex provides supplementary qualitative evidence of the program's impact to date. All the activities mentioned below were funded by the RCSA's DG Strategic Objective. Grantees and partners provided the following information. The material is organized by key focus area and references the level of impact and the date of the reported success.

- **Anti Corruption Initiatives**

The RCSA's DG program includes the strategic cross cutting issues of anti corruption.

The **Human Rights Research & Documentation Trust of Southern Africa** (The Trust) was funded to expand its regional anti-corruption initiatives since 1998. The Trust facilitates regional dialogue on ethical norms and good governance across all sectors (IR1), advocates for the establishment and strengthening of anti-corruption institutions (IR2) and facilitates the incorporation of ethical norms, values and good governance best practices in a variety of bodies at the national and regional level (IR3).

At a the Roundtable, held in 1999, influential leaders from the region, including judges, attorneys-general, and heads of anti-corruption agencies, reaffirmed their adoption of the Global Coalition for Africa's 25 Principles to Combat Corruption, laying a solid basis for the institutionalization of norms in this area. Even more significantly, the Roundtable participants gave the Trust the mandate to pursue anew a SADC Protocol on Anti-Corruption and to explore how to integrate regional and national legislation to create a framework that enhances regional cooperation for combating corruption. The Draft Protocol had been unanimously supported by the SADC Council of Ministers but rejected by SADC Heads of State at the 1998 Summit amid suspicions that it was donor-driven. The Trust is currently developing a strategy for engaging the Heads of State to secure their ownership of the process of drafting and implementing the Protocol. In a noteworthy first step, the Trust's Report on Anti-Corruption Mechanisms was presented by the former Tanzanian Prime Minister at the 9<sup>th</sup> International Anti-Corruption Conference in October 1999. The Trust has subsequently consulted with the SADC Justice Sector Coordinating Unit and will lead a joint roundtable on anti-corruption issues at the SADC 2000 Summit. In addition, the Trust is engaging with parliamentarians throughout the region to garner support for the Protocol and to delineate their role in combating corruption. In this respect, synergies are likely to be exploited with the SADC Parliamentary Forum, another RCSA partner with wide outreach capabilities.

In carrying out its activities, the Trust collaborates with national chapters of Transparency International to reach civil society and the private sector, the ultimate customers of their anti-corruption work, and with the World Bank and the National Democratic Institute. Linkages with some of the initiatives of the U.S.-SADC Forum are also likely to be developed and will add weight to the regional approach.

- **Civil society**

SO-001 grantee and partner activities in the civil society arena generally seek to broaden the base for participation by civil society groupings in policy and decision-making.

Through two SARDF grants to the **Organization for Rehabilitation & Training (ORT)**, SO-001 established a mechanism for sharing information within the region amongst umbrella NGO organizations (IR1). Nine organizations are now electronically linked through the provision of computer equipment and training in electronic networking skills. Most of these organizations have since created their own web-sites, and all nine are connected with a common email address to ensure speedy and wide-ranging exchange of information. As a result, the Secretariat of the SADC Council of NGOs was able to produce a report on the role of NGOs in Southern Africa with input from other umbrella NGO bodies in the region for the SADC Secretariat in the space of 8 days (IR1). Significantly, this year (2000), SADC for the first time invited the SADC CNGO to its annual consultative conference in Mbabane, Swaziland. A SADC CNGO representative who made a presentation at the conference attributes this breakthrough to improved networking between the umbrella NGO bodies. In addition, the Catholic Commission for Justice & Peace in Zambia reports that because it can now access parliament websites, the organization can find out which Bills are being discussed and plan its advocacy activities accordingly (IR2). In a positive, complementary development, umbrella NGO bodies in Botswana, Namibia and South Africa have introduced activities that have the potential to be self-financing, for example, by providing such services as training and web-site development and maintenance (SO).

The **Southern African Federation of the Disabled (SAFOD)** advocacy efforts (IR2) resulted in the appointment of a Minister for Disability Affairs in the office of the Zambian President. Moreover, three participants were elected as parliamentarians as a result of skills learned during the project.

The **Southern African Trades Union Coordinating Council (SATUCC)**, a regional grouping of 12 affiliated countries, was funded in 1998/99 to improve its information outreach to national coordinating bodies and thereby to their constituent union members (IR1), and to monitor labor rights violations (IR2). Partly through these activities, and as a result of its increased networking with other labor organizations, SATUCC has gained a voice in the SADC Employment & Labor Sector Coordinating Unit and has advocated for the acceptance of a regional social charter on fundamental human rights. This activity has also increased the level of participation by women in the union movement; one of the regional workshops focused on the role of women in networking. As a result of the workshop, the SATUCC Regional Women's Committee has forged ties with the SADC Secretariat's Gender Unit in order to monitor regional progress in implementing the 1997 SADC Declaration on Gender and Development.

The **University of Cape Town Labor Law Unit (UCTLLU)**, funded since 1997, also focused on developing women's leadership capacity in the labor movement in activities

that took place in 5 countries (SO). The organization's insistence on equal representation of women in their conflict resolution training courses has resulted in women now serving as para-legals, conciliators, industrial relations court staff and arbitrators in the union movement and has helped to reorient the labor agenda to include gender equity concerns (IR2). More generally, the UCTLLU has worked with a wide range of partners to reformulate policy that increases and institutionalizes their participation in labor-related matters across the SADC region. Nascent regional convergence in labor and social policy is evident *inter alia* in the content of debates about policy reform in Lesotho, Malawi, Namibia and Swaziland; the debate has been informed by institutional arrangements prevailing in South Africa (IR1, IR3). UCTLLU has also contributed to having the HIV/AIDS Code of Practice in Employment adopted by the SADC Heads of State. Together with SATUCC, it helped draft the SADC Social Charter, which was approved by the SADC Council of Ministers and which is presently being reviewed by the SADC Heads of State (IR3). Additional UCTLLU achievements include the approval by the Government of Malawi and social partners in that country of the Industrial Relations Court Rules of Procedure and the Charter on Industrial Relations, and the drafting of a new Industrial Relations Bill in Swaziland (in cooperation with the U.S. Embassy).

- **Elections**

Elections crystallize democracy at a single moment in time and constitute a context within which the RCSA's regional partners can advocate for change in a key political process that impacts on all sectors, notably trade and investment. Several of the RCSA grantees and partners took advantage of the considerable number of elections that were held in 1999 to work together in mutually reinforcing ways. In particular, the RCSA support significantly contributed to the development of electoral standards through election observation activities.

The **Cooperative for Research and Education (CORE)** captured the opportunity presented by the elections that were held across the region in 1999 to advocate for and develop regional capacity for civil society election monitoring (SO). Civil Society monitoring is increasingly accepted by national election commissions and governments as standard electoral practice that helps to ensure the conduct of free and fair elections by verifying the impartiality of elections administration. CORE worked with national partners in Botswana, Lesotho, Malawi, South Africa and Zimbabwe to train over 150 trainers (just under half were women) in the skills and standards for civil society election monitoring (SO, IR3). The training workshop in Lesotho was attended by representatives of the political parties and the Lesotho Independent Electoral Commission, and the NGO-brokered plan to establish a civil society monitoring structure ahead of elections in 2000 met with broad acceptance by these key actors (IR2, IR3). The Namibian Electoral Commission also attended sessions of CORE's training workshop, increasing their exposure to the views and principles adopted by Namibian civil society organizations (IR2, IR3). The training-of-trainers approach multiplied the impact of the CORE program because trainers could then train others. CORE-trained monitors observed the

elections in Botswana and Namibia, and CORE was accredited as a voter education provider and civil society monitoring organization by the South African Independent Electoral Commission (IR2, IR3). Monitors made widespread use of CORE's Field Manual for Civil Society Election Monitors, which was developed in 1998 (SO). In addition, CORE found that its Principles for Civil Society Election Monitoring, which it developed in 1998 (IR3) were readily accepted in the regional NGO community because of the existence of mutual understanding and agreement across the region about the principles of democratic practice for election monitoring. NGOs subsequently developed strategies to advocate for the acceptance of those principles by the national authorities (IR2).

The **SADC Electoral Commissioners' Forum** (SADC ECF) observed the elections in Namibia in 1999, and engaged with the Namibian Directorate of Elections based on its experience in observing elections in Botswana, Malawi and South Africa. During the elections in Botswana and Malawi, the Southern Africa Research and Documentation Center arranged press conferences with the SADC ECF affording journalists the opportunity to report on the SADC ECF's role and vision as a relatively new regional actor. SARDC and the ECF agreed to exchange election reports (IR1). The RCSA will shortly award the ECF a grant to hold a regional forum to debate election administration standards and to formulate recommendations for Election Commissions (IR3). The RCSA is likely to fund follow-on activities to implement the Forum's recommendations.

The **SADC Parliamentary Forum** (SADC PF) was launched in 1996 and recognized by SADC in 1999. The SADC PF fielded two separate delegations to observe the 1999 elections Mozambique and Namibia with technical assistance from the National Democratic Institute for International Affairs (NDI). The delegations exchanged views about how to improve the quality of elections with the Electoral Commissions in those countries, and drafted reports with recommendations about the format of observation missions and nature of electoral systems in general to the SADC PF Secretariat (IR1, IR3). In both instances, the SADC PF members received briefing kits from SARDC that furnished them with information pertinent to the elections (IR1). The delegations presented their election observer reports to the SADC plenary in Namibia in December 1999. While officially opening the plenary session, Sam Nujoma, Namibian president and deputy chairperson of SADC, applauded the Forum's election observation initiatives and noted the critical role that the SADC PF could play in mediating election-related conflict since the members are composed of the parliamentary leadership in the region. Following deliberations of the election observer reports, consensus emerged that the SADC PF should develop its capacity for election observation as part of its overall mission to consolidate democracy in the region. More concretely, the Tanzanian MP who led the observer delegation in Mozambique reports that he is using the experience gained through observing the elections in Mozambique to address issues relating to the upcoming national elections in Tanzania in October 2000. Follow-up grants due to be awarded during the second quarter of 2000 will permit the SADC PF to develop its capacity in election observation and elections-related dispute mediation (SO) by establishing a regional election information center (IR1), developing a non-partisan advocacy role that promotes adherence to regional electoral standards (IR2) and

formulating regional standards for the credible and systematic evaluation of national election processes (IR3).

The **Southern African Research and Documentation Center (SARDC)** harnessed the national elections in five of the SADC countries during 1999 to analyze elections-related issues in a regional context (IR1) and to strengthen media experience and exposure at the regional level (SO). SARDC, with the University of Namibia and eight media training institutions, developed media resource packs that journalists used to prepare themselves for covering the elections in each country. The network thus created will also strengthen the capacity of national media training organizations, which now plan to continue to share ideas and resources (IR1). SARDC's national workshops brought together political parties, media executives, government representatives, electoral officials and parliamentarians to discuss issues relating to media coverage of elections i.e. access to information, balanced coverage, reporting election results, etc. (IR1, IR3). In addition, a Media Handbook highlighting regionally common election issues, information on electoral systems used in the region, ethical issues and models of election coverage was developed with input from key media organizations in the region. Finally, 12 journalists, 5 of whom were women, were sponsored to cover elections outside of their own countries (IR1, SO). As a result, a Mozambican journalist generated 13 feature articles about the elections in Malawi for his newspaper in two weeks. MISANet, an affiliate of the RCSA partner MISA and SABANEWS, a service provided by Inter Press Service Africa, another RCSA grantee both disseminated the SARDC-generated election coverage. The election coverage was also carried by Africa News On-Line, an electronic news distribution network linking 40 African news organizations and which receives 3 million web-site hits per year. Twenty feature articles about Botswana's elections alone were thus distributed worldwide (IR1). Complementary SARDC activities include publishing SADC country profiles and a quarterly journal that extensively covered the elections.

**Women in Law and Development in Africa (WILDAF)** conducted a "Women in Politics" project in four countries, including Malawi and Namibia as both countries were scheduled to hold elections in 1999. WILDAF worked with national partners to develop strategies and action plans to improve the chances that women could successfully compete in the elections (IR2). In Namibia, WILDAF worked with Sister Namibia, which is supported by USAID/Namibia, to develop the Namibian Women's Manifesto that urged citizens to vote for female candidates (IR3).

- **Media**

SO-001 supports press freedom, promotes the development of media pluralism (public and private media), and strengthens the independent media given the essential role they play in a functioning democracy. SO-001 partners and grantees not only increase the exchange of information around the region (IR1) but also undertake advocacy activities (IR2) and are instrumental in setting standards for press freedom (IR3).

**Africa Information Afrique (AIA)** provides a translation service that broadens the outreach of regional news to Lusophone countries. AIA increased its circulation of the

Portuguese edition of the Southern African Chronicle from 50 to 100 organizations and supplied articles on a weekly basis to 6 newspapers in Angola and Mozambique (IR1).

Building on SO-001-funded activities implemented in 1997-1998 to strengthen the flow of pluralistic news in Southern Africa (IR1), **Inter Press Service Africa** (IPS) is now working towards improving the editorial quality of SABANEWS. This is a unique regional electronic and broadcast news service that reaches a potential audience of 180 million SADC citizens. IPS is increasing the pool of independent journalists writing for the service (IR1), training female journalists and editors (SO), providing gender training to incorporate women's perspectives in editorials, and creating linkages to community broadcast stations to *inter alia* overcome the urban bias in reporting (IR1). Twelve attachments of female editors from all the countries in the region have completed training during this reporting period. Two participants were subsequently promoted to senior management positions and five were nominated to cover elections under SARDC's Cross-Border Election Reporting activity (SO). Nine community radio stations in seven countries are now linked to SABANEWS for a two-way exchange of news (IR1). The SABANEWS editor observed that: "*The batch of people (trainees) who have been here over the past four months under the USAID and IFEX funded programs show remarkable improvements in filing (news articles), especially those from USAID.*" IPS continues to encourage its member stations to adopt electronic means of communication to enhance the flow of information. A content analysis of SABANEWS broadcast items presently being undertaken by the SO-001 Team will provide a benchmark for measuring changes in the percentage of regionally-referenced information being circulated and the diversity of news sources that are used in news reporting.

SO-001 has supported the **Media Institute of Southern Africa** (MISA) since 1997. MISA has now established national chapters in ten countries that monitor and advocate for press freedom and media pluralism and independence (SO, IR2). Chapters are in the process of receiving training in critical information technology (IT) and advocacy skills (SO, IR2). Through the electronic Action Alert system, MISA galvanized regional and international support this year for the release of jailed Angolan journalist, Rafael Marques and support for journalists who were harassed in Swaziland, Zimbabwe and Zambia (IR1, IR2). MISA coordinates a regional network of media legal experts, some of whom in 1999 assisted MISA Botswana in commenting on a proposed Freedom of Information Act after it had successfully lobbied for greater participation in drafting the Act. MISA Namibia and the MISA Regional Secretariat provided amendments to the Namibian Film Commission Act that was accepted in early 1999. SO-001 supports MISA's Legal Defense Fund, which provides legal support in cases where media freedom is threatened. MISA is currently providing support in a Supreme Court case in Zimbabwe that is challenging the constitutionality of laws that allowed the arrest and torture of journalists. SO-001 negotiated a three-year partnership grant with MISA in December 1999, a move welcomed by the Public Affairs Officer in Mozambique who reported that it would now be easier to motivate funding the local MISA chapter.

The **Southern African Media Development Fund** (SAMDEF), a MISA affiliate that began operation in April 1998, has contributed to the viability of the emerging private

and independent media by providing technical and capacity building assistance to a variety of media outlets, including newspapers, radio stations and publishing houses. Across the region, since early 1999, 3 media advertising/communication agencies, 5 radio stations, 6 newspapers, 2 publishing companies, 1 TV production agency, 2 magazines, 1 printing company, and MISANet have received technical, training, and/or financial assistance. SAMDEF provides technical assistance to develop marketing tools, business plans and strategies; training to improve administrative, technical and managerial services; and loan finance and grants to provide access to capital that otherwise is not readily available through commercial banks (SO). SO-001 signed a grant with SAMDEF in December 1999 to continue its activities, with particular emphasis on Botswana, Lesotho, and Swaziland. In late March 2000, SAMDEF inaugurated its electronic website, which will include a roster of experts who can provide targeted technical assistance to media entities. The website is expected to enhance SAMDEF's capacity to provide its services more quickly, and with increasing efficiency.

## INFORMATION ANNEX D: Success Stories Regional Market Integration

### The RCSA's STEP-PAAS Project<sup>10</sup>

STEP-PAAS, the SADC Transport Efficiency Project, Policy Analysis and Assistance to SATCC (the Southern African Transport and Communications Commission) was designed and implemented in 1995 as a major USAID effort to reform transport policy in SADC. Support was targeted primarily to SATCC's technical unit.

The STEP-PAAS project arose in response to low transport efficiency in the region – characterized by high costs (in some cases, up to 45% of the price of imported goods), poor service and little co-ordination. Up until then, donor investments in the sector had focussed on infrastructure development and equipment, which had done little to improve costs or service delivery. Successes of the project to date are considerable:

- The project successfully established a regional surface-transport policy agenda for the SADC region through the transport section of the SADC Protocol on Transport, Telecommunications and Meteorology. Southern Africans have cited the protocol as the most outstanding achievement of SATCC-TU, under the STEP-PAAS project.
  - The protocol was signed in 1996 and fully ratified in 1998. It is universally recognized as a binding legal document requiring national action;
  - The protocol itself is an expression of integrated policy, with common goals, objectives and commitments, providing a regional framework for institutional reform to implement policy change at the national level;
  - It provides an overall regional agenda for all SADC countries and a common direction for the region, and is recognized as a legally binding commitment that obligates Member States to implement policy reform;
  - It was formulated through a consultative process with input from all countries and all sectors, which ensured stakeholder ownership;
  - According to one Southern African respondent:

*"It (the protocol) has opened our eyes to the direction we should take if we are serious about attracting foreign and local investment. It is helping to change minds."*

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<sup>10</sup> Summary compiled from Booz-Allen and Hamilton Evaluation Report, October 1999

➤ The protocol establishes a wide-ranging program of reform in seven transport areas. Five of these are within the scope of assistance provided under STEP-PAAS, namely:

- Railways;
- Roads Transport;
- Roads Traffic;
- Roads Infrastructure; and
- Integrated Transport.

The remaining two areas;

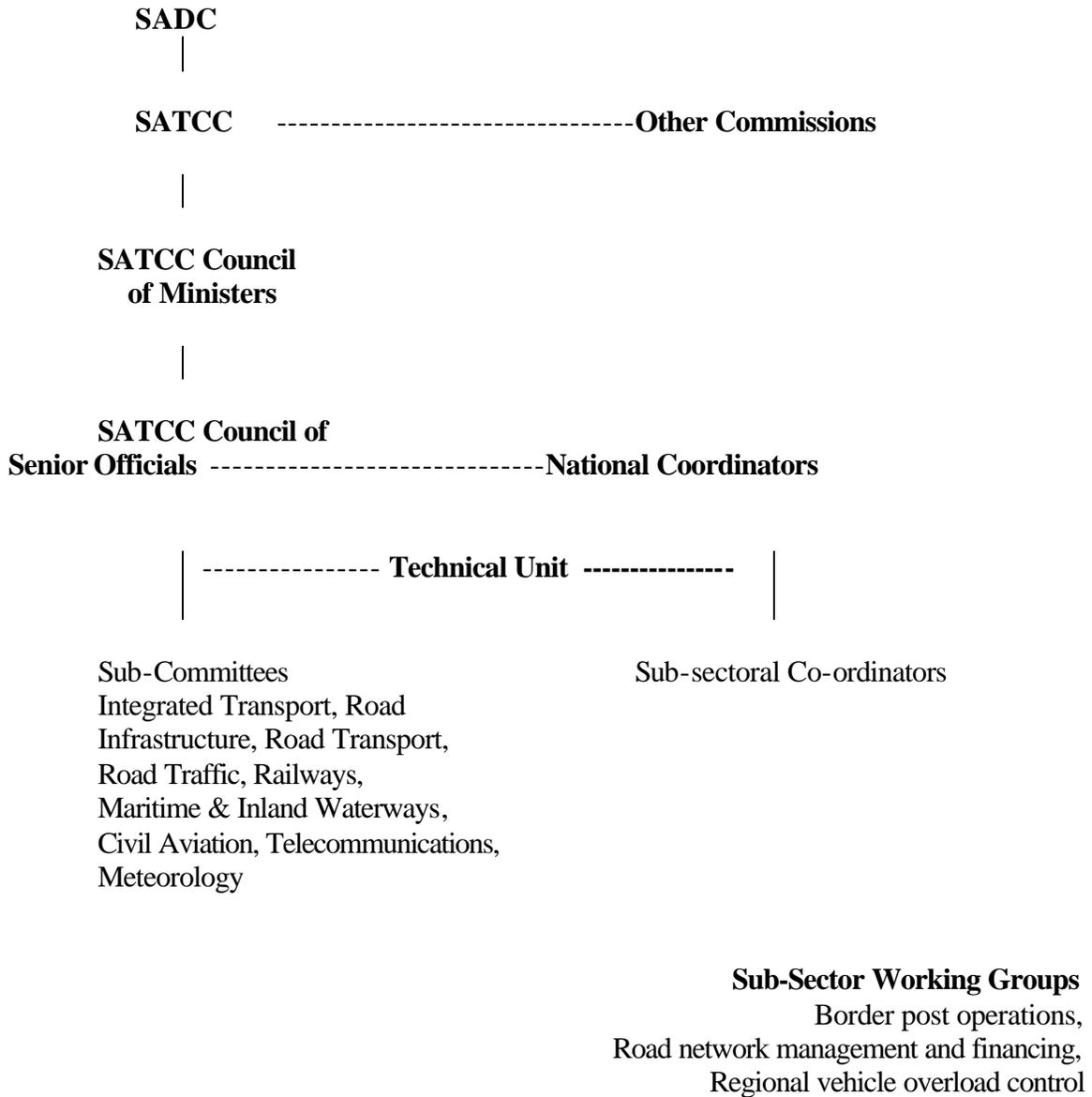
- Civil Aviation; and,
  - Maritime and Inland Water-ways,
- are outside the scope of STEP-PAAS.

➤ Under the protocol, numerous specific policies have been developed, more than twenty-five specific sector policies, to be exact. For many of these policies, model legislation and memoranda of understanding were also developed. For some of the policies, model bilateral agreements and other supporting documentation was also provided (Table 1).

**TABLE 1:  
Establishment of Specific Regional and National Policies**

	S T C C	A G	N B T	O L S	M L	A M U	M Z	N M	S A	S W A	T N	Z A M	Z I M
<b>Integrated Transport</b>													
Flexible Investment Regime	?	?		?	?	?	?	?	?	?	?	?	?
Corridor Planning Committees in support of Regional Development Corridors	?	?	?		?		?	?	?	?	?		?
Border Post Management			?				?	?	?		?	?	?
Harmonized Regional Transit Facilitation Regime	?												
<b>Road Infrastructure</b>													
Dedicated Road Fund	?	?	?	?	?	?	?	?	?	?	?	?	?
Representative Road Board(s)	?	?	?	?	?	?	?	?	?	?	?	?	?
Autonomous Road Agencies	?	?			?	?	?	?		?			?
Phasing Out Force Account/Capacity Building in Reg'l Contracting Industry	?	?		?	?	?	?	?	?	?	?	?	?
Standardized Tender and Contract Documentation/Procedures	?	?	?		?		?		?		?		?
<b>Road Transport</b>													
Conclusion of Standardized Agreements	?	?	?	?	?		?	?	?	?	?	?	?
Implementation of Standardized Route Management Procedures (RMGs)	?		?	?	?	?	?	?	?	?		?	?
Improved Transport Law Enforcement	?		?	?	?			?	?	?		?	?
<b>Road Traffic</b>													
Harmonized Road Traffic Safety Standards (vehicle fitness)	?												
Harmonized Road Traffic Safety Standards (driver training & testing)	?												
Harmonized Road Traffic Safety Standards (driver license format & codes)	?	?	?	?	?		?	?	?	?	?	?	?
Harmonized Road Traffic Safety Standards (road traffic signs & markings)	?		?	?	?		?	?	?	?		?	?
Harmonized Permissible Axle Mass Loads & Vehicle Dimensions	?	?	?	?	?		?	?	?	?	?	?	?
Improved Vehicle Overloading Control	?	?	?	?	?	?	?	?	?	?		?	?
<b>Railways</b>													
Institutional Reform: Service Provider	?		?		?		?	?	?		?	?	?
Institutional Reform: Government	?	?	?		?		?	?	?	?	?	?	?
Institutional Reform: Regulator	?		?		?		?		?			?	?
Economic Restructuring (concessioneing)	?	?			?		?	?	?	?	?	?	?
Railway Safety	?	?	?		?		?	?	?	?	?	?	?
Railway Trackage Rights	?	?	?		?		?	?	?	?	?	?	?
Operational Co-operation (with Route Management Groups established)	?		?		?		?	?	?	?	?	?	?
		? Completed				? partially completed				? underway			

- A regional institutional framework has been established – which provides a formal structure allowing for public and private sector interaction in twelve countries:



- 
- Beyond its catalytic role in the ratification of the protocol, STEP-PAAS had other notable achievements:
    - The fact that SATCC-TU which it sponsored, is now recognized as the most credible institution in the region for policy reform in the transport sector;
    - STEP-PAAS increased the policy making capacity of SATCC-TU, enhancing its profile and credibility;
    - STEP-PAAS also enhanced the institutional capacity of SATCC-TU in project design and its ability to provide demand-based technical assistance; and,
    - The project also secured a recognized commitment by the twelve protocol signatories to reduce state involvement in the provision of transport services through privatization and divestiture.
  
  - STEP-PAAS also contributed significantly to the current pro-active environment in the region's transport sector:
    - Policy-makers now see national issues within a regional context – “think regionally, act nationally;”
    - Policymakers, public officials and many private sector interest groups have come to understand that many problems in the transport sector are regional in nature or require regional solutions;
    - At the same time, an awareness that national policies have a regional impact has developed;
    - Various respondents surveyed attribute this change in attitude to the numerous consultative workshops and seminars in which SATCC-TU brought together stakeholders from throughout the region to examine national issues in a regional context;
    - Increasingly, national private-sector associations understand and play a role in regional issues, including identifying national solutions within a regional context and framework;
    - The project recognized that the creation of regional private-sector associations provides private-sector input into regional solutions. It supported and assisted in the development of:
      - ◆ *The Federation of Regional Road Freight Associations*
        - Applying for consultative membership in Road Sub-Committee
        - Larger members (Zimbabwe and South Africa) offering help to smaller
      - ◆ *The Federation of Clearing and Forwarding Associations of Southern Africa*

- Applying for consultative membership in Road and Maritime Sub-Committees
    - Still very weak on funding
  - ◆ The Regional Association of Chambers of Commerce
    - Currently being constituted after September Regional Associations Workshop
    - 10 member states already involved
  - ◆ The Regional Association of Road Agencies
    - At STEP-PAAS workshop, initial group agreed in principle to the need for an association
  - ◆ The Regional Association of Contractors
    - Through STEP-PAAS, exploring resuscitation of former or creation of new group
  - ◆ The Regional Association of Vehicle Manufactures and Assemblers
    - Applying for consultative membership in Road Sub-Committee
    - Very small, but interested in active involvement
  - ◆ The Southern Africa Railway Association
    - Slow start, but increasingly valuable
    - Will become more important with implementation of Rolling Stock Information System
- As attitudes in the region undergo change, the consultative process has also helped to focus new attitudes and forge a common understanding on potentially controversial issues, such as the view that:
    - The role of government has changed from operations to regulation;
    - Subsidies should be decreased or eliminated in favor of user charges for transport infrastructure;
    - The private sector has primary responsibility for providing transport services;
    - The market - not the government - is the driver of the economy;
    - The role of government is to facilitate private sector activity.
- STEP-PAAS has also provided lessons on an effective approach to policy based intervention. It found that it was necessary to:
- Build on an existing demand base:  
**One of the principal reasons for the rapid acceptance of the Protocol was that it responded to existing local demand for an improved transport policy and an improved policy environment;**
  - Mobilize support through sufficient (extensive) consultation:  
 STEP-PAAS built upon and continued an extensive consultative process that brought together stakeholders on a national and regional basis – their participation created both ownership and ongoing support in the adoption of the Protocol and subsequent change;

In the words of one respondent:

*"Implementation of the Transport Protocol is an African initiative with USAID assistance, not a USAID initiative with African assistance"*

- Include public and private sector stakeholders throughout the process:  
Because the private sector was included and consulted from the outset, the quality of their input has been much higher and more representative than would otherwise be the case, and the public sector has learned to expect and appreciate private sector input;
- Create working documents based on local needs:  
Many initiatives start with a model document to be discussed and adapted; the Protocol was drafted only after first identifying local needs. It was then refined through additional consultation and stakeholder input;
- Undertake consultative consensus building – though it takes time, it's worth it:  
Support for the Protocol process began in 1993, under a separate contract, and was picked up under STEP-PAAS, requiring approximately three years until signature at the end of 1996, with another year to achieve ratification. (Compare to the hastily pushed Trade Protocol, signed at the same time but only ratified two and half years later in 2000).

### **The RCSA's RTRP Project**<sup>11</sup>

The RCSA's Regional Telecommunications Restructuring Project (RTRP) was initiated in April 1994. RTRP aimed to:

- Strengthen the capacity to manage telecommunications networks in the region;
- Assist with legal-regulatory issues through development of a framework, protocol and model laws and use this vehicle to:
  - Encourage the restructuring of state owned monopolies;
  - Encourage private investment;
  - Introduce competition.
- Prepare the telecommunications industry for national restructuring programs;
- Link U.S. suppliers to the region.

Support was targeted primarily to the Southern African Transport and Communications Commission's (SATCC) technical unit.

The impact of RTRP in preparing the telecommunications sector in the region for

<sup>11</sup> Summary compiled from Booz-Allen and Hamilton Evaluation Report, October 1999

upcoming reform has been significant. Southern Africans in the sector recognize this:

- *“Thanks to RTRP, we now know what it entails to create a transparent, functioning regulatory environment...”*
- *“Without USAID technical assistance we would not be where we are today in terms of our legal and regulatory environment....”*
- *“Focus on the SADC Protocol was key to creating legislation in many countries...”*

The extent of RTRP’s impact on the formulation of new policies, laws and regulatory bodies is illustrated in Table 1 below.

**Table 1: RTRP Contribution to Progress in Telecommunication (T/C) Reform**

<b>Country</b>	<b>New T/C Policy Drafted?</b>	<b>RTRP Causal Effect?</b>	<b>New T/C Law Drafted?</b>	<b>RTRP Causal Effect?</b>	<b>New T/C Regulator Designed?</b>	<b>RTRP Causal Effect?</b>
<b>Angola</b>	Yes	None	No		25%	None
<b>Botswana</b>	Yes	50%	Yes	50%	Yes	50%
<b>Lesotho</b>	Yes	100%	Yes	100%	Yes	100%
<b>Malawi</b>	Yes	25%	Yes	50%	Yes	100%
<b>Mauritius</b>	Yes	100%	Yes	50%	Yes	100%
<b>Mozambique</b>	Yes	100%	Yes	100%	Yes	100%
<b>Namibia</b>	Yes	50%	Yes	100%	Yes	100%
<b>South Africa</b>	Yes	None	Yes	None	Yes	25%
<b>Swaziland</b>	Yes	100%	Yes	100%	Yes	100%
<b>Tanzania</b>	Yes	50%	Yes	None	Yes	25%
<b>Zambia</b>	Yes	50%	Yes	None	Yes	50%
<b>Zimbabwe</b>	Yes	100%	50%	100%	50%	50%

Through the above reforms, the RTRP activity has enabled the attainment of specific goals such as ensuring that a regulator is in place and functioning in each SADC country, ensuring increased competition from mobile operators and ensuring the passing of relevant laws. The RTRP impact in this regard is illustrated in Table 2.

**Table 2: RTRP Contribution to Progress in Implementation of Reforms**

Country	Regulator in Place and Functioning?	RTRP Effect?	Mobile Competition in place?	RTRP Effect?	Law Passed?	RTRP Effect?
Angola	No	-	No	-	No	-
Botswana	Yes	100%	Yes	100%	Yes	50%
Lesotho	No	-	No	-	50%	100%
Malawi	50%	100%	No	-	Yes	50%
Mauritius	50%	100%	Yes	50%	Yes	100%
Mozambique	Yes	100%	No	-	50%	100%
Namibia	50%	100%	No	-	50%	100%
South Africa	Yes	50%	Yes	None	Yes	None
Swaziland	No	-	No	-	50%	100%
Tanzania	75%	50%	Yes	50%	Yes	None
Zambia	75%	50%	Yes	100%	Yes	None
Zimbabwe	No	-	50%	50%	25%	100%

Critical success factors that led to the RTRP project results were due to both internal and external influences:

**Table 3: Internal and External Influences on Project Success**

INTERNAL TO RTRP	EXTERNAL TO RTRP
<ul style="list-style-type: none"> <li>• Obtaining agreement to the protocol</li> <li>• Drafting consensus on model laws</li> <li>• Collaboration with experienced regulators internationally (FCC, PUCs, USTTI)</li> <li>• Long-term advisors (had major impact)</li> <li>• Workshops helped change attitudes and understanding</li> <li>• SATCC and the RCSA vigorous co-operation in the latter part of project</li> <li>• Establishment of the Telecommunications Regulators</li> </ul>	<ul style="list-style-type: none"> <li>• World Trade Organization pressure</li> <li>• FCC and international accounting rate declines</li> <li>• Widespread adoption of GSM cellular platform (however, this was made possible by new legislation prompted by the protocol)</li> <li>• Rapid evolution of telecommunications technology</li> <li>• Global wave of privatization</li> <li>• Need for quality infrastructure to attract investment in other sectors of</li> </ul>

Association of Southern Africa (TRASA)	the economy
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Southern Africans in the sector highlighted aspects of the project that made an impression on them:

- *“Our long-term regulatory advisor has been involved in almost every activity of our Commission, and we wouldn’t be where we are today without him.”*
- *“RTRP did a very good job of sensitizing us to key issues”*
- *“RTRP has been instrumental in the formulation of the interconnection policy, and has enhanced our capacity to manage the privatization process.”*
- *“The RTRP web-site has been a very important medium for the centralization of information.”*

In acknowledging the benefits of RTRP, Southern Africans in the telecommunications sector emphasized the need to sustain momentum in the build-up to reforms by retaining RTRP, which would help to further develop the regional capacity needed to sustain the process.

### **The RCSA’s Trade Policy Activity**

A key result in the advancement of regional integration was achieved in 1999 when the SADC Trade Protocol was ratified. The SADC Trade Protocol is a legally binding framework agreement for trade policies throughout the region. This result was achieved through technical assistance provided to the SADC secretariat and to governments in the region, in the negotiations leading to the ratification of the protocol.

The RCSA’s Trade Policy Activity is proving to be an important catalytic tool that supports the region’s efforts to create a SADC Free Trade Area (FTA). Prior to the launching of the Trade Policy Activity, negotiations around the protocol were dominated by one or two countries, including South Africa. Many countries lacked the capacity and technical skills to engage in meaningful discussions and negotiations.

Early in the process, there was a danger of the negotiations being abandoned altogether by some countries. At one point, South Africa threatened to withdraw from the process and negotiate bilateral agreements with Member States, a development that would have defeated the objective of regional integration.

The RCSA assistance through the Trade Policy Activity provides analysis of key policy and technical issues (such as tariff reduction schedules, sensitive products and rules of origin). It also strengthens the negotiating capacity of individual countries through the placement of resident advisors in a number of countries and the provision of advisory support during negotiations. Finally it assists with the formulation of policy options for

the SADC Secretariat. This assistance helped to reverse hitherto unfavorable developments in the negotiation process.

The Trade Policy team has provided a broad range of technical support, responding quickly and flexibly to the dynamic environment in which the negotiations are taking place. Overall, this has resulted in better analysis and understanding of technical issues and options, strengthening of negotiating positions, well structured negotiating positions and tariff reduction offers, and a more informed environment for implementing the FTA. The result is that the SADC Trade Protocol has now been ratified with the required minimum number of countries having been exceeded. The protocol is therefore technically in force, paving the way for the creation of a free trade area in the region.

The RCSA recognizes that private sector awareness of the FTA is critical to both the success and sustainability of the FTA. Thus, the Trade Policy team embarked on a Private Sector Outreach program in 1999 to increase the capacity of the region's private sector to engage in on-going dialogue with their Governments and regional counterparts on trade liberalization issues surrounding the FTA. Working hand-in-hand with regional consultants and business organizations, the Trade Policy team facilitated a series of workshops throughout the region to introduce the private sector to the SADC Free Trade Area.

Ratification of the SADC Trade Protocol is only the first step toward the implementation of the FTA. Beyond this, a major challenge facing the region is to put in place the necessary institutional structures for the effective management of the FTA, including mechanisms for dispute resolution and addressing non-tariff barriers. The RCSA is now designing a comprehensive Trade and Customs Facilitation activity to address on-the-ground, practical non-tariff barriers to increased trade and investment. In the past, the RCSA was not able to work in the area of customs because of restrictions emanating from Section 660 of the Foreign Assistance Act (FAA). Now that the RCSA's long-standing request for authority to work with Customs Officials has been granted, the SO team plans to engage in this area in a significant manner in the next few years.

## INFORMATION ANNEX E: Success Stories

### THE IMPACT OF THE RCSA SUPPORTED NATURAL RESOURCE MANAGEMENT INITIATIVES

This Annex describes four successful interventions supported by the RCSA in the field of natural resource management.

- **The Kgetsi Ya Tsie Rural Women's Microenterprise Development Program**

In early 1997 Women's Finance House Botswana (WFHB), with support from PACT and the RCSA via the Botswana NRM Program, initiated a rural women's natural resources users association through which rural Botswana women in the Tswapong Hills operate a group micro-lending and micro-enterprise development program. The association brings together over 400 active rural women resources users who are making major strides in changing the conditions of production and marketing of their products.

Participants have on average increased incomes derived from natural resources by 500% per year. Over two years, incomes have increased from an average of Botswana Pula 440 per year to Botswana Pula 2, 595 - not by harvesting more, but by working together to pool production and marketing resources, by introducing new product lines, and by making strategic changes in marketing management.

Using new harvesting, processing, marketing and transportation management techniques, by cutting costs through more efficient organization and through the sale of natural resources products, the average participant in Kgetsi ya Tsie has in the first year, increased her annual cash income five-fold.

The extension program consists of four training components and uses a resources user *group* and *center* format to achieve an economy of scale for training. Interested participants form Resource User Groups of five women in order to join. Where more than one group forms in a single village or ward, the groups come together to meet as a "center" for training, planning, and for borrowing and repayment of loans taken under the *micro-lending program*. WFHB also helped Tswapong Hills women to create a micro-lending program to enable members to borrow small amounts of cash with which to capitalize natural resources management enterprises.

Kgetsi ya Tsie was originally designed to begin implementation in four Tswapong villages. However, today, after nearly two years of implementation, the women of Tswapong have organized active Kgetsi ya Tsie centers in fifteen villages.

**BEFORE KGETSI YA TSIE**

**AFTER KGETSI YA TSIE**

**AN AVERAGE MEMBER:**

worked as an individual and frequently missed one of the two annual phane harvests due to lack of funds to pay for inputs and transportation;

harvested an average of two 33 kg sacks of phane per season worked

received an average of BP80 per sack selling to buyers at the harvest site, or local dealers for an average value of BP180 per harvest, or BP320 per year

harvested thatching grass only for personal use owing to transport constraints

harvested morula for brewing beer twice, for total average income of BP120

processed morula nuts only for home consumption – no cash income

harvested other wild fruits such as mompudu, moretlhwa, mogwana, mmilo, only for home consumption

**AVERAGE ANNUAL NATURAL RESOURCES-DERIVED INCOME ESTIMATED AT: P440**

Before, she had very limited cash with which to pay for necessities and provision of household items.

**AN AVERAGE MEMBER:**

works with four close friends and cooperates with other women in her village to share production and transportation costs thereby participating in both phane harvests each year;

harvests an average of two 33 kg sacks of phane per season worked

uses improved harvesting, processing, storage and marketing techniques; obtains an average value of BP400 per sack (BP1,600 per year) from phane alone

harvests thatching grass for market using transport organized through her center, with an average value of BP700 per year,

harvests morula for production of jam and syrup sold under KYT label, with a first year average income of BP120

processes morula for sale, average first-year income is BP75, but expected to increase

harvests and sells a range of wild fruits using improved production and market techniques, at a first year average value of BP100

**AVERAGE NATURAL RESOURCES-DERIVED INCOME: P2,595**

Now, she has the cash income to pay for many household necessities, provision the household, and re-invest a significant portion of her this income in other remunerative micro-enterprises.

- **The Chobe Enclave Conservation Trust (C.E.C.T)**

The Chobe Enclave and the surrounding Chobe National Park are home to Africa's largest herd of elephant as well as an abundance of other wildlife species. Situated on the northern border of Botswana facing Namibia's Caprivi Strip, the Chobe Enclave has for years remained isolated and impoverished, experiencing only the costs of living so close to wildlife without reaping any of the benefits. For these reasons, the Government of Botswana selected this area as the first pilot project site for its new policy of decentralizing wildlife management for the economic improvement of local communities. In 1989, USAID established the Botswana Natural Resources Management Project to assist the Government of Botswana to implement this new policy.

In 1993, the five villages of the Enclave (Mabele, Kayimba, Kachikau, Satau and Parakarungu - with a population of over 6,000 - came together to form a legal Trust in which all community members who have been resident for more than a year, are automatically members. The Chobe Trust applied for and received the right to manage the wildlife quota for the area, and negotiated a joint venture with a private safari operator that generates income as well as jobs for community members.

The economic benefits have risen exponentially from 1993 to 1999. In 1993, the annual concession fee of the first joint venture partnership was Botswana Pula 20, 000. Under a new concession agreement signed with Rann Safaris, the current joint venture partner, in 1999, the communities will realize Botswana Pula 882, 000 each year for the next five years for a total of Botswana Pula 4, 410, 000 , or almost US\$1 million.

Decision-making regarding the distribution and use of the monetary benefits, which includes the development of viable business enterprises and other projects of broad social value is the challenge facing the CECT. In addition to the Joint Venture Agreement with Rann Safaris, the CECT is currently developing the following business enterprises:

**Mabele** - a community store

**Kayimba** - a community campground with a kiosk (selling drinks and food staples) is under construction. The kiosk is open and is a profitable business in itself.

**Kachikau** - a hardware store is under construction.

**Satau** - construction of a hardware store is complete and the community is waiting for the issue of a trading license from the government before stocking the store. A brick-making project is underway which is providing significant employment and earning good income.

Capacity-building interventions led by PACT and DWNP/NRMP and funded by the RCSA have increased the ability of Trust leaders to manage their financial accounts, conduct ongoing Trust business in an orderly and professional manner and monitor and manage their natural resource base.

Employment derived from CBNRM increases each year. Fifteen Community Escort Guides are employed to accompany hunters who come to the area with the joint venture safari operator partner. They also record observations of selected wildlife species as well as the results of the hunt. CECT also employs a Program Coordinator, a CECT driver, an Assistant at the Trust offices and five radio operators. Five Community Action Plan Coordinators have also been hired. The Kavimba Village Trust Committee (VTC) to work in the kiosk and campground hired five employees. Fifteen employees have been hired to work on the Satau brick-making project. The safari operator, in terms of the new joint venture agreement, has promised fifty additional jobs. As additional community projects come on line, further employment opportunities will be created.

- **Sankuyo Tshwaragano Management Trust**

Sankuyu is a small Bayei village of some 380 residents who live in an area now designated as the Kwando/Okavango Wildlife Management Area. Their area abuts the Moremi Game Reserve. Bayei of Sankuyu are riverine agricultural pastoralists, but since 1979, owing to the zoning of their area as a wildlife management area and the construction of a veterinary fence some seventy km to the southwest, they have had to give up cattle rearing. The community has long relied on the Mogogelo River, a tributary of the Okavango system, for its subsistence but since 1979 the Mogogelo has dried up owing to shifts of the flow of water deeper within the swamp. From the early 1980's, villagers of Sankuyu were left to rely for subsistence only on marginal rain-fed agriculture. However, during the rainy season, elephant, zebra, and impala often destroy the fields. The new zoning also led to an increase in the influx of wild animals, but conservation laws left the community without the right to kill animals.

Chemonics and later PACT, funded by USAID under the Botswana Natural Resource Management Program, worked with the Department of Wildlife from 1995 to introduce the community to the opportunities created by new legislation. The legislation gave rural residents the right to apply for leasehold over the controlled hunting area they live in and to acquire the right to manage the recommended off-take of wild life.

After six months of intensive community organizing interventions, the Sankuyu community had developed a constitution and registered as a legal entity. They had established a common vision and a management plan for their controlled hunting area. They had established a plan for managing, conserving and developing the area and its wild resources. Finally, they had established an action plan. In early December 1995 the Sankuyo Tshwaragano Management Trust (STMT) acquired a head lease for their area, and approval by the Department of Wildlife and National Parks to manage the recommended wildlife off-take.

The Trust then advertised an offer of a one-year concession lease of exclusive photo-tourism rights in the area, and half of the hunting quota for the area. In January 1996 the community had made its decision to lease the area to Game Safaris. The Game Safaris offer involved a concession fee of Botswana Pula 284, 000, a promise that at least 50% of all employees in the concession would be residents of Sankuyu and that the company

would train and transfer tourism/safari management skills to the STMT employees.

Since the first tender STMT contracted with Game Safaris in 1997 for a fee of Botswana Pula 334, 000 and fifty per cent of all employment. In 1998 they tendered again, and awarded the tender to Crocodile Camp Safaris for three years at Botswana Pula 457, 000 per year and fifty per cent of all employment.

In 1997 and 1998 Crocodile Camp Safaris employed over 50 members of the community and as a result nearly every homestead in the village has someone employed in the concession. This is in addition to the eight members of the community employed in the service of the Trust. The Trust has trained and employed six residents to serve as community escort guides, a book keeper, and a community animator to enable the Trust to carry out its responsibilities to ensure representative, accountable, and equitable management.

Fifteen per cent of all income is used to pay its operating costs. The remaining 85% are deposited in the Trust Resource Governance Fund as benefits to the community. All expenditures of benefits are controlled by the General Membership.

Benefits have been spent as follows: construction of sanitary facilities for each homestead; payment of a nominal annual dividend of Botswana Pula 200 to each homestead; purchase of a pick-up truck and hire of a driver to provide for Trust transportation needs and a community transport service for hire.

More recently benefits have been used to fund start-up costs for community-based business enterprises. These include:

- A camping ground with bedded tents, reed and thatch huts, ablutions, and small restaurant for travelers along the main road to Moremi Game Reserve;
- A Traditional Village for Living Culture at which aspects of traditional Bayei culture, will be depicted. A handicraft shop will sell cultural objects such as baskets, carvings, and traditional leather clothing made by residents of the village and sold on commission;
- A reeds and grass harvesting enterprise group, to harvest and sell these construction materials locally and in the tourist center of Maun, for the many camps and lodges there;
- A commercial vegetable garden to produce vegetables for village consumption and for the safari/tourism sector.

If effectively implemented, the estimated net income from these new enterprises, will amount to approximately Botswana Pula 500,000 per year. Half of the profit will go to the benefit fund of the Trust, and half of the profit to be divided directly among the men and women who manage and work in the enterprises.

- **The Impacts of Community Based Natural Resource Management (CBNRM)**

Community Based Natural Resource Management has resulted in the following benefits:

1. The establishment of democratic institutions at the community level which foster accountable and representative management decisions.
2. The Government of Botswana policies and legislation related to CBNRM have:
  - Provided communities with access to natural resources for sustainable utilization;
  - Encouraged private sector/community partnerships in management of natural resources;
  - Resulted in improved sustainability of the environment.
3. Communities now have:
  - Learned that long term leases can be negotiated to provide "tenure" over the resource;
  - The authority to control access to the land and resources;
  - The authority to manage the resource.
4. The evolution of private sector partnerships has:
  - Resulted in "joint ventures" between communities and the private sector, not between government and the private sector as in the past;
  - Ensured that the Joint Venture Guidelines developed under the USAID project are now the "rule of law" in Botswana.
5. Local people have been empowered in the following ways:
  - Communities are legal bodies
  - They have transparent and accountable financial management systems;
  - Their accounts are audited according to international standards;
  - They have democratically elected representatives on their legal bodies;
  - They have the right to negotiate with government bodies;
  - They have created an umbrella advocacy organization in Botswana, the Botswana Community-Based Organization Network (BOCOBONET).
6. Improved sustainability of Natural Resources
  - There is an increased interest in maintaining the natural resource base by broadening the group of people who benefit from the resource as well as participate in its management;
  - There is an increased awareness of the value of the natural resource base.

- **Botanists work together on Regional Issues**

The Southern Africa Botanical Network (SABONET) is a vibrant group of botanists from the region. SABONET now organizes training courses in data collection and publishes a quarterly newsletter. The newsletter has improved communication and networking among individuals and institutions working on southern African plants in herbaria, botanical gardens and in *in-situ* conservation. The newsletter currently has a circulation of around 200. The initial support provided by the RCSA via the NETCAB activity helped leverage a US\$4.7 million grant from the Global Environment Facility (GEF).

## INFORMATION ANNEX F: Gender

Cognizant of the importance of addressing gender in all aspects of its work, the RCSA Program Office and the Mission's monitoring and evaluation contractor, IMPACT, organized a workshop for the RCSA staff, the staff of USAID bilateral missions in the Southern African region, as well as selected partners and contractors of all missions on gender-sensitive monitoring and impact reporting.

The RCSA interest in the issue of gender-sensitive monitoring and reporting is as a result of two reasons. One concerns the much greater difficulty of adequately monitoring gender under the new "Managing for Results" framework for performance monitoring than was the case before when reporting on outputs and activities sufficed. The other reason is that gender lacks a distinct programmatic focus, being a crosscutting issue in all the strategic frameworks, with the result that reporting on the impact of the RCSA interventions on gender is sometimes overlooked.

The workshop took place November 9-10, 1999 in Johannesburg, South Africa. Seven participants attended the Workshop from four bilateral missions, eight participants from partner and contractor organizations and six RCSA staff members. Staff and consultants on the WIDTECH and IMPACT Projects conducted the Workshop. Trainers were sourced via the WIDTECH activity to ensure that the most recent thinking in respect of gender-sensitive monitoring and reporting was conveyed at the Workshop.

The focus of the workshop was on how to integrate gender into the performance monitoring frameworks of USAID programs in a practical way by unpacking the gender implications of existing frameworks and how to report effectively on gender.

The objectives of the workshop were as follows:

- Identify sources of gender policy and delineate the expectations from Washington (G/WID, AFR BUREAU, PPC) relating to gender integration in performance monitoring and reporting.
- Demonstrate how gender monitoring is necessary in terms of achieving results, rather than simply being a reporting requirement to comply with the WID mandate.
- Share specific examples of how paying attention to gender-issues may contribute to achieving objectives and results.
- Examine existing performance monitoring plans in a gender-sensitive manner.
- Share knowledge about sources of regionally -available data relevant to gender sensitive

After reviewing the most recent and relevant policies, plans and other official USAID documentation dealing with gender, participants were led through training and practical sessions that critically reviewed and then appropriately modified typical strategic objective and intermediate result statements in a variety of sectors. It was stressed that gender integration within programs not only reduces imbalances in reporting but also the costs of performance monitoring. It was also acknowledged that integrating gender

considerations at the conceptualization phase of program development is an ideal rarely achieved in practice. The premise of the working sessions was therefore the cost-effective and time-efficient *post-hoc* integration of gender into SO statements, activity design and Results Frameworks. Participants were also alerted to the need to integrate gender in Scopes of Work and Grants and Cooperative Agreements in order to give substance to program design. A methodology for systematically seeking out the gender impacts of development programs was outlined. It was pointed out to participants that any assessment of potential gender impact should bear in mind that gender is crosscutting by nature and that it is pervasive. The process of gender impact assessment should take into account the concealed gender dimensions that may be compromised or be improved by program implementation. Impacts may sometimes be explicit in the design but they may also be unintended. Impacts can also be either negative or positive. These categories can be used to examine Strategic Results Frameworks for explicit or implicit positive and negative gender impacts. Detailed and convincing presentations were then given on gender impacts in the fields of economic growth and democracy and good governance. Participants had the opportunity to analyze the gender impacts of their own SO Results Frameworks in small group sessions.

Participants were provided with guidelines for unpacking the language that is used in SO statements. This was demonstrated using examples of words in SO statements and showing how they can be used to indicate opportunities for gender integration. Representatives of USAID/REDSO and the Southern African Research and Documentation Center made presentations on regional sources of data relevant to gender issues. Finally, the Workshop dealt with the Why?, When?, What?, and Where? of reflecting gender in the annual R4 reports.

It was acknowledged that there were considerable bureaucratic hurdles facing Missions in changing SO statements as these have to go through an approval process by USAID/Washington acknowledged. It was suggested that one way to simplify this would be to make modifications at the Performance Monitoring Plan level to include collection of the relevant gender data. Over time, this could be rolled up to change the Results Statements into more gender-sensitive statements. With respect to gender integration at Strategic Objective level, it was suggested that the language should remain unchanged and that the emphasis be placed rather on modifications to the IRs. One or two gender-inclusive activities would also help shift the emphasis in the IR. These activities would illustrate the importance of gender, build awareness and hopefully lead to changes in the IR at a future date.

One of the recommendations made for follow-up action was to establish a network to share experiences and activities with respect to the integration of gender into USAID activities. As a first step toward implementation of this recommendation, the RCSA will conduct a workshop in late May 2000 for all USAID Missions in the SADC region and selected partners to integrate gender into democracy and governance Strategic Objectives Results Frameworks.

## **ANNEX G: Regional Data Collection Complexities and Issues**

The final report of the 1999 General Accounting Office (GAO) Audit of the challenges USAID faces in implementing a regional program in Southern Africa, as well as last year's R4, highlight the problems that the RCSA has been facing in obtaining reliable regional data. These data are essential to measure the RCSA program impact. The main challenges are:

- (1) The RCSA's regional strategy encompasses 12 countries, with different political and economic systems and vastly different levels of economic development;
- (2) Regional data frequently do not exist, and national level data are generally of inadequate detail or quality to develop reliable baselines and performance indicators suited to the RCSA's needs;
- (3) The southern African region is still in an early phase of economic integration and the few regional organizations that exist are generally weak. These organizations are only just starting to develop the human and institutional capacity required to analyze and address problems from a regional perspective.

Securing and working with comparable data from several countries is complex. For management purposes, the RCSA frequently uses national level data, acknowledging that the data were compiled within the constraints of the individual country's data system and that they may be affected by the country's political system or level of development or both. Although not ideal, this approach nevertheless provides the RCSA with both the background information and the analytical basis it needs to develop and implement its regional initiatives.

Despite the RCSA's success in using existing national databases as a programmatic basis for its activities, this information cannot be used for R4 reporting purposes. Since the R4 process was originally tailored to the reporting needs of the bilateral mission, the format and design limitations of the R4 process provide insufficient scope for reporting and interpreting data from 12 different countries. Furthermore, disparate national data series are not ideal as core data used to compile regional indicators as the reliability, methodologies used, timing, and availability for the same data items vary. This compromises the comparability of the data and complicates the process of monitoring and obtaining a regional overview.

Regional data compiled as an aggregate of national level data series, therefore, can be misleading as it depends on how the data were aggregated and the assumptions used in its compilation. Even at the national level, basic macroeconomic data often has to be treated with caution. A key example is that of Angola, where the country data reports show changes in magnitude that most informed observers seriously question. Angola is the second largest economy in the region in terms of GDP, after South Africa. However, including raw data from Angola in a regional aggregation can seriously distort the regional picture for even the most basic macro-economic data. At the same time,

however, excluding the second largest economy in the region from an aggregation of regional data also misrepresents the region's overall performance.

As it is not always prudent or feasible to use national level data for R4 reporting, the RCSA sometimes has to collect additional primary data. Such data constraints sometimes also have the effect of limiting the range of indicators that can be used to report on the RCSA performance. Because of this, efforts have to be made to guard against indicator choices becoming data driven. The inclination in some cases, may be to choose indicators because the data can be reliably collected rather than because of the suitability of the data-series for demonstrating performance. Where the RCSA has attempted to collect primary data or to properly aggregate available national data from all twelve countries that are monitored in the SADC region, this has proved to be time-consuming, logistically difficult and expensive.

An example is the experience with measuring regional price convergence trends as the region becomes more integrated. Ideally, the RCSA would like to use wholesale price data as these exclude price changes which are not market driven, such as indirect taxes on goods. They also exclude the prices of goods and services that are not traded as these prices would not be influenced by increased trade as the region becomes more integrated. However, wholesale price baskets are not regularly compiled in many countries and significant primary data collection by the RCSA would be necessary to compile a regional wholesale price index. The RCSA has also investigated the use of consumer price index data from each country, which are more readily available. However, this also has complications because of the inclusion of non-traded items and services such as housing and utility costs. A full disaggregation of each national basket would be required, followed by a re-compilation of baskets including only appropriate traded items common to all countries in the region, with appropriate weights for each item in each country. Indirect tax effects no matter how distortive, would have to be estimated or left in as an in-built distortion. Price control effects would also have to be estimated. As an annual exercise, this is likely to prove quite time-consuming.

It is recognized that as the region starts to take more concrete steps toward regional integration the need for reliable regional data-series will increase. Lack of reliable data not only constrains the RCSA's ability to report progress but also limits SADC's effectiveness and the ability of the private sector to participate in planning and lobbying for regional integration. Addressing the data problem therefore remains a major concern for the RCSA.

Performance data to measure regional trends in democracy and governance are also unavailable. Where secondary data exist, as in the measurement of organizational capacity, the RCSA is unable to use this data to compile a regional indicator as the reliability, methodologies used, timing, availability and comparability is too disparate to be of use in monitoring performance.

**INFORMATION ANNEX H: Southern Africa Regional Democracy Fund  
Awards Summary 1995-2000**

**Grants under the Southern Africa Regional Democracy Fund (SARDF)**

**1995**

**Women in Law and Development in Africa (WILDAF) (Harare)**

Amount: \$200,000 (cooperative agreement).  
Signed: October 1995.  
Term: Three years; extended seven months through June 1999.  
Activities: Provided training to enhance women's participation in politics.

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**1996**

**Co-Operative for Research and Education (CORE)/Cooperation for Research, Development and Education (CORDE) (Johannesburg/Gaborone)**

Amount: \$239,257  
Signed: September 1996.  
Term: Sixteen months, extended six months through May 1998.  
Activities: Provided advocacy training for NGO personnel in four countries. Convened a regional advocacy forum and developed a group of advocacy trainers. A press clipping service now provides up to twenty NGOs in each country in the region with up-to-date commentary on development and aid issues and available information sources.

**Development Resources Center (DRC) (Johannesburg)**

Amount: \$25,000  
Signed: September 1996.  
Term: One year.  
Activities: Partial support for MWENGO- and DRC-organized regional conference about the enabling environment (laws, statutes, and practices) for NGO activities.

**Ditshwanelo/The Botswana Center for Human Rights (Gaborone)**

Amount: \$25,000 (purchase order).  
Signed: April 1996.  
Term: One year.  
Activities: Supported a regional conference of the human rights caucus of the SADC Council for NGOs. The conference explored how human rights NGOs in the region can network effectively and developed a plan to implement such networking.

**Independent Mediation Service for South Africa (IMSSA) (Johannesburg)**

Amount: \$44,490  
Signed: October 1996 (obligated September 1996).  
Term: Twenty months.  
Activities: Provided training about conflict resolution in labor issues for Mozambican participants from LINK, an NGO umbrella organization, and for Malawians involved in the labor movement.

**Institute for Multi-Party Democracy (MPD) (Durban)**

Amount: \$86,788  
Signed: September 1996.  
Term: One year, extended seven months through April 1998.  
Activities: Compiled in hard copy and electronic form a regional NGO and civil society inventories and established a database to facilitate regional civil society DG cooperation.

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**1997****Inter-African Network for Human Rights and Development (AFRONET) (Lusaka)**

Amount: \$249,996  
Signed: April 1997.  
Term: One year, extended six months through October 1998.  
Activities: Published an electronic and hard-copy regional human rights newsletter and created an electronic database aimed at increasing the access of human rights NGOs to human rights information and resources in the region.

**Inter Press Service (IPS) (Harare)**

Amount: \$135,500  
Signed: April 1997.  
Term: One year, extended eight months through December 1998.  
Activities: Provided funding to the Southern Africa Broadcasters Association (SABA), a grouping of public broadcasting stations in the region, to increase the capacity of its SABANews news bulletin, which is distributed electronically twice-daily to member stations, newspapers and other interested organizations. The funding also supported on-the-job training for journalists on attachment to IPS.

**Media Institute of Southern Africa (MISA)(Windhoek)**

Amount: \$420,000  
Signed: April 1997.  
Term: Two years.  
Activities: Support for strengthening the institutional capacity of MISA national chapters and the regional secretariat and MISA's regional legal defense fund.

**University of Botswana/Southern African Universities Social Science Conference (SAUSSC) (Gaborone)**

Amount: \$35,000  
Signed: November 1997.  
Term: One month.  
Activities: Funded a regional conference on corruption, democratic governance, and ethical behavior.

**University of Cape Town Labor Law Unit (UCTLLU) (Cape Town)**

Amount: \$234,899  
Signed: April 1997.  
Term: 21 months.  
Activities: The Women in the Workplace component trained working women in leadership skills to cope with the changing political and economic environment in the region and to become effective players in democratic political processes. The Conflict and Dispute Resolution Management component provided dispute and conflict resolution skills training to labor movements and employers' organizations in five SADC countries.

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**1998****Africa Information Afrique (AIA) (Harare)**

Amount: \$49,700  
Signed: April 1998.  
Term: One year.  
Activities: Provided for increased access to information by Lusophone SADC countries with the aim of improving integration among SADC states. The project involved translating AIA DG feature articles into Portuguese for distribution to organizations in Angola and Mozambique.

**Botswana Council of NGOs/ Southern African Development Community Council of NGOs (BOCONGO/SADC CNGO) (Gaborone)**

Amount: \$20,670

Signed: January 1998.

Term: One month.

Activities: Supported a workshop to explore reactivating the SADC Council for NGOs that was nominally launched in 1994 in order to coordinate NGO interaction with SADC. The workshop explored issues surrounding the Council's mission, organization, and sustainability.

**Co-Operative for Research and Education (CORE) (Johannesburg)**

Amount: \$390,102

Signed: April 1998.

Term: Two years.

Activities: The project aims to develop a set of regional norms with regard to the role of civil society in monitoring elections. The project advocates for the acceptance of the norms by national electoral authorities and other regional structures. The project produced a manual for civil society election monitor, trained 160 monitors in four countries in election monitoring skills, and developed a database of trained monitors in the region.

**Institute for Democracy in South Africa (IDASA) (Cape Town)**

Amount: \$249,999

Signed: October 1998.

Term: One year.

Activities: To initiate a sustainable regional survey of public attitudes about democracy, governance and economic performance. The data and the analysis from these surveys will be disseminated through an array of mechanisms in order to provide the information to democracy advocates across the region.

**Organization for Rehabilitation and Training World Union (ORT) (Johannesburg)**

Amount: \$249,491

Signed: January 1998.

Term: Two years.

Activities: The project primarily aims to expand NGOs' capacity to network electronically across the region and to promote awareness among national-level NGOs of the potential benefits from such cooperation by providing computer hardware to national NGO umbrella bodies and by funding a technology officer within those bodies.

**Southern African Development Community Parliamentary Forum (SADC PF)  
(Windhoek)**

Amount: \$54,667

Signed: March 1998 (purchase order).

Term: One month.

Activities: Funded the SADC Parliamentary Forum's March 1998 Plenary. The plenary formally launched the Forum, defined parameters for its program, and made the decision to enter into a long-term partnership with USAID.

**Southern Africa Federation of the Disabled (SAFOD) (Bulawayo)**

Amount: \$180,483

Signed: April 1998.

Term: 28 months.

Activities: This regional advocacy program aims to increase the participation in government by people with disabilities.

**Southern Africa Media Development Fund (SAMDEF) (Gaborone)**

Amount: \$229,360

Signed: June 1998.

Term: Sixteen months.

Activities: SAMDEF is an independent MISA affiliate that is incorporated as a not-for-profit company in Botswana. SARDF funding was specifically earmarked for the Grant Support Facility to provide technical support including conducting market feasibility studies and developing business plans to qualified borrowers. Recurrent support was also provided for the SAMDEF office.

**Southern African Regional Institute for Policy Studies (SARIPS) (Harare)**

Amount: \$262,135

Signed: March 1998.

Term: Two years.

Activities: Provides training for parliamentarians in six countries about their role as lawmakers with the overall aim of helping parliaments to play an effective role in government accountability.

**Southern Africa Research and Documentation Center (SARDC) (Harare)**

Amount: \$239,200

Signed: April 1998.

Term: Two years.

Activities: To support democracy and development in Southern Africa through improved information access and by building communication linkages among DG stakeholders. Activities include database development, information outreach, and capacity building.

**Southern African Trade Union Coordination Council (SATUCC) (Johannesburg)**

Amount: \$90,920  
 Signed: June 1998.  
 Term: Two years.  
 Activities: The grant provides training to information officers from the regional trade union body's eleven affiliated unions in order to develop an efficient regional network for monitoring trade union rights in the region.

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**1999****Africa Information Afrique (AIA II) (Harare)**

Amount: \$64,350  
 Term: One year.  
 Signed: June 1999.  
 Activities: Producing and translating DG feature articles for the Lusophone SADC countries (Angola and Mozambique), thereby helping to promote regional integration.

**Amuja (Association of Angolan Women Journalists) (Luanda)**

Amount: \$249,000  
 Term: One year.  
 Signed: July 1999.  
 Activities: Training for women journalists from Angola, Mozambique and Swaziland to improve their use of information technology and their reporting skills.

**Electoral Institute of South Africa/ Southern African Development Community Electoral Commissioners' Forum (EISA/SADC ECF) (Johannesburg)**

Amount: \$20,243  
 Term: One month.  
 Signed: November 1999.  
 Activities: An EISA/SADC ECF delegation observed the 1999 national elections in Namibia. The delegation findings will be used as a basis for deliberation about regional election norms during a regional forum that will be funded by the RCSA.

**Human Rights Research and Documentation Trust of Southern Africa (The Trust) (Harare)**

Amount: \$371,000  
 Term: One year.  
 Signed: July 1999.  
 Activities: Strengthening anti-corruption initiatives through roundtables on ethics and governance attended by attorneys' general, relevant ministers and

chairpersons of anti-corruption commissions. Facilitating the establishment of a regional network of anti-corruption institutions. Providing support for the process leading to the adoption of a SADC Anti-Corruption Protocol. Working with civil society groups such as national chapters of Transparency International to help develop regional anti-corruption standards.

**Inter Press Service (IPS II) (Harare)**

Amount: \$250,000  
Term: One year.  
Signed: May 1999.  
Activities: A seminar for community broadcast media in the region; six-week training sessions targeted at young female journalists; a training seminar about how to integrate a gender perspective into information gathering; training for information technology specialists in the region; and training for member stations about how to use the Internet as an independent source of information.

**Media Institute of Southern Africa (MISA II) (Windhoek)**

Amount: \$363,000  
Term: One year.  
Signed: June 1999.  
Activities: Evaluating MISA national chapters in order to identify technical assistance needs for improved effectiveness; promoting regional advocacy on media freedom by producing an annual state of the media report; training media personnel to improve their advocacy skills, and institutional support for the MISA regional secretariat.

**Organization for Rehabilitation and Training World Union (ORT II) (Johannesburg)**

Amount: \$285,862  
Term: One year.  
Signed: April 1999.  
Activities: Phase two (Angola, Lesotho, Malawi, Mozambique, Swaziland and Tanzania) of the regional electronic networking program for NGO umbrella organizations. The training program is implemented in two-week blocks at the ORT training center. ORT provides computer hardware and software to each partner organization.

**Southern African Development Community Parliamentary Forum/National Democratic Institute for International Affairs (SADC PF/NDI) (Windhoek/Johannesburg)**

Amount: \$271,047 (3 purchase orders)  
Term: Six months.  
Signed: November 1999.

Activities: SADC PF delegations conducted pre-election assessment missions and observed the 1999 national elections in Namibia and Mozambique and presented the findings to a SADC PF plenary session. The pilot project is aimed to develop the SADC PF's capacity for election observation and election-related dispute mediation.

**Southern Africa Research and Documentation Center (SARDC II) (Harare)**

Amount: \$266,000

Term: One year.

Signed: July 1999.

Activities: Training journalists in order to improve the quality of election coverage across the region, with an emphasis on cross-border election coverage. Developing a media handbook and information kits for election coverage. Coordinating journalists to report on elections in the region.

**Talent Consortium/Southern African Broadcasters Association (Talent/SABA) (Harare)**

Amount: \$281,000

Term: One year.

Signed: July 1999.

Activities: Production of TV programs on regional DG issue for broadcast by the Southern Africa Broadcasters Association's member stations. The project aims to generate debate and information about such relevant regional DG issues as elections, corruption, and human rights, thus contributing to the development of regional DG standards.

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**2000**

**University of Namibia/University of Western Cape/National Democratic Institute for International Affairs (UNAM/UWC/NDI) (Windhoek/Cape Town & Johannesburg)**

Amount: \$79,715

Term: Five Months.

Signed: March 2000.

Activities: To convene a regional forum for governing and opposition political parties across the region to discuss and develop regional standards for the role of political parties in a democracy. The project aims to improve political competition and pluralism and to contribute to the development of standards relating to election administration and reporting about elections.

**Grants under the Strengthening Regional Economies through NGOs (STRENGTH)  
Activity**

**1999**

**Media Institute of Southern Africa (MISA) (Windhoek)**

Amount: \$510,278

Term: Two years.

Signed: December 1999.

Activities: Advocacy to implement regional media freedom standards by liberalizing the airwaves; convening a conference on the occasion of the 10<sup>th</sup> anniversary of the Windhoek Declaration on media freedom to evaluate progress in attaining its goals and to recommend steps for the future; support for the legal defense fund aimed at promoting laws that protect media freedom; institutional support for the MISA regional secretariat.

**Southern Africa Media Development Fund (SAMDEF) (Gaborone)**

Amount: \$500,000

Term: One year.

Signed: December 1999.

Activities: To provide financial and technical assistance to independent media primarily in Lesotho, Swaziland and Botswana. The project aims to provide affordable capital to independent media outlets to help them to develop as a viable business.

**Summary data on SARDF awards**

**1995:** 1 cooperative agreement

Total Amount: \$200,000

**1996:** 5 awards (4 grants, 1 purchase order)

Total Amount: \$420,535

**1997:** 5 grants

Total Amount: \$1,075,395

**1998:** 11 awards (10 grants, 1 purchase order)

Total Amount: \$2,016,727

**1999:** 12 awards (9 grants, 3 purchase orders)

Total Amount: \$2,421,502

**2000:** 1 award (1 purchase order)

Total Amount: \$79,715

**GRAND TOTAL: \$6,213,874**

**35 awards made from 1995 through March 2000**

1 cooperative agreement

6 purchase orders

28 grants

**Summary Data on STRENGTH awards****1999:** 2 awards (2 grants)

Total Amount: \$1,010,278

**GRAND TOTAL: \$1,010,278**

**INFORMATION ANNEX I: Acronyms of the RCSA SO-001 Grantees and Partners**

<u>Acronym</u>	<u>Name</u>	<u>Location</u>
AIA	Africa Information Afrique	Zimbabwe
AMUJA	Angola Media Women's Association	Angola
AMUJA	Angola Media Women's Association	Angola
BOCONGO	Botswana Council of NGOs/SADC Council Of NGOs	Botswana
CORE	Cooperative for Research and Education	South Africa
DRC	Development Resources Center	South Africa
EISA/ECF	Electoral Institute of South Africa/SADC Electoral Commissioners' Forum	South Africa
The Trust Of Southern Africa	Human Rights Research and Documentation Trust	Zimbabwe
IDASA	Institute for Democracy in South Africa	South Africa
IPS/SABA	Inter Press Service Africa/Southern Africa Broadcasters Association	Zimbabwe
MISA	Media Institute of Southern Africa	Namibia
ORT	Organization for Rehabilitation and Training	South Africa
SADC PF	SADC Parliamentary Forum	Namibia
SAFOD	Southern Africa Federation of the Disabled	Zimbabwe
SAMDEF	Southern Africa Media Development Fund	Botswana
SARDC	Southern Africa Research and Documentation Center	Zimbabwe
SARIPS	Southern Africa Regional Institute for Policy Studies	Zimbabwe
SATUCC	Southern African Trade Union Coordination Council	Botswana
Talent	Talent Consortium Tee Vee	Zimbabwe
UCTLLU	University of Cape Town Labor Law Unit	South Africa
UNAM/UWC/NDI	University of Namibia/University of Western Cape National Democratic Institute	Namibia/ South Africa
WILDAF	Women in Law and Development in Africa	Zimbabwe

**Other Acronyms**

AWEPA	Association of European Parliamentarians for Africa
DG	Democracy and Governance
HIVOS	Humanistic Institute for Co-Operation with Developing Countries
IT	Information Technology
NGOs	Non-Governmental Organizations
SARDF	Southern Africa Regional Democracy Fund
STRENGTH	Strengthening Regional Economies through NGOs
OSISA	Open Society Initiative for Southern Africa

## INFORMATION ANNEX J: Analytical Agenda

**This annex presents an analytical agenda dealing with trade, investment, growth and economic convergence issues, compiled from discussions at the 1999 Southern Africa Policy Makers' Round Table in Johannesburg, South Africa.**

The annex focuses on those aspects of the economic analytical agenda discussed at the Round Table, that are relevant to the RCSA's program. Pertinent sections of the discussions can be divided into three themes:

1. Trade
2. Investment and Growth
3. Economic convergence (both policy convergence and its manifestation in price convergence)

The agenda identified under each of the above headings is given below.

### 1. The Trade Agenda

#### Beyond Tariff Reductions

Given the prevalence of subsidies and non-tariff barriers which are allowed to replace tariffs and which will continue to hamper free and efficient trade in the region, even after countries have effected significant tariff reductions, more analysis of the potential negating impact of non-tariff barriers and subsidies is needed. The process of documentation of these barriers and subsidies needs to start – and should be done with a view to facilitating the formulation of substantive appeals to the WTO against WTO contravention within the region.

*Studies done on other regions have shown that tariff reduction alone is not enough to boost trade and so increase growth and provide resources to help reduce poverty. A recent World Bank study on non-discrimination in trade (B. Hoekman and D. Konan, May 1999) argues that it is important that preferential trade agreements go beyond tariff and quota elimination, to minimizing regulatory red-tape and opening up trade in services. They find that when this does not happen, the beneficial impact of trade liberalization is reduced substantially and in some scenarios, may be the difference between zero net benefit and about 10% benefit in terms of GDP growth.*

*The studies review the European Union experience where it is now evident that, if not properly structured, health and safety regulations, competition laws, licensing and certification regimes, customs clearance procedures and other administrative procedures, can all affect trade negatively in the same way that standard non-tariff barriers do. This is despite the fact that the underlying intent may not be to discriminate against trade. An assessment along these lines, for the Southern African region is necessary.*

### Trade and Poverty Reduction

- The adjustment costs, in terms of job losses due to downsizing as industries try to become more competitive, are typically short term – because they end when workers subsequently find new jobs. Typically, unemployment doesn't last long – particularly for lower paying jobs. On the other hand, the benefits derived from the creation of new jobs are sustained over time helping to generate more growth. Often the increase in manufacturing jobs as a result of trade liberalization occurs as soon as a year after liberalization. The reason given for this outcome is that typically, developing countries tend to have a comparative advantage in labor intensive industries, being relatively less hampered by costs imposed by a higher cost of living and by relatively high minimum wage requirements. Trade liberalization favors labor-intensive industries in both the goods and service sectors, so inter-industry shifts will occur, which minimize dislocation.

A study along these lines to help generate parallels in the Southern African experience as trade liberalization occurs in the region is required.

*A recent survey of over 50 empirical studies confirms that the adjustment costs of trade liberalization are small, relative to the benefits. In addition to this, typically, manufacturing employment increases with trade liberalization, and this in turn helps to reduce poverty (S. Matusz and D. Tarr, World Bank, July 1999).*

- Documentation of experiences and best practices – both external to the region and internal to the region – with respect to sustainable poverty reduction and employment creation strategies involving trade in goods and services, is also required. Likewise, a poverty reduction plan following research / analysis in this area may, in addition, put in place systems that will ensure that funds recouped from the highly indebted poor countries (HIPC) initiative and from debt cancellation, will go into poverty reduction and the type of human capital development that complements the trade liberalization drive.
- Documentation of best practices in the region and beyond, with regards to human capital development and empowerment of those in poverty – to produce and undertake trade related productive activities, is also required. Social safety nets should only be an interim measure to prevent further deterioration and loss of human capital while capacity in such areas is developed.

### Enhancing Production for Trade (improving output of tradable goods and services)

- Studies on production and trade restructuring in the region are required. This could take the form of assessments of the ability of firms in different sectors to cope with competitive pressures, as well as of which industries become more profitable under the new trade regime and which ones do not. *A recent study*

*carried out an ex-post assessment along these lines for Hungary's integration with the European Union (B. Kaminski, July 1999). SADC countries would want an ex-ante analysis along similar lines.*

- Conversely, for countries which are slow to liberalize and integrate with the rest of SADC, studies of the impact on excluded countries or “slow integrators”, in terms of considerations such as the effect on their price competitiveness, would be useful. *A study on such effects arising from integration in MERCOSUR (Chang and Winters, August 1999), showed that that preferential trade agreement influenced the terms of trade faced by countries in the agreement, in a positive manner, while those outside MERCOSUR were negatively affected.*
- Africa is not producing to capacity (1% of world GDP). Trade liberalization, if properly managed, is an opportunity to change this. Studies guided by and documenting private sector experience, are required, that will investigate possibilities to exploit new opportunities and to use potential linkages within the region to enhance production. The research agenda should include a sector by sector analysis (covering tourism, different manufacturing industries and agriculture) of the different linkages and up-streaming or down-streaming opportunities possible within the region.
- Quantitative research to measure actual elasticities and coefficients for trade, and sectoral output, are required. Currently, a lot of trade and production or macro-analysis done by policy makers in the region uses general developing country estimates and assumptions for these parameters – many of which are not accurate. It is more desirable to measure and utilize actual coefficients specific to the country in question.
- Intra-regional marketing systems also need to be designed and established. A study and proposal for a private sector system would be useful, with such information readily accessible to both businessmen and trade and investment promotion agencies. Producers and traders in the region don't know enough about what can be sourced within the region. The same types of goods supplied to Europe, USA and occasionally Asia, by the region, are sometimes sourced by producers and traders elsewhere in the region, from outside the region.
- Studies investigating the scope for government to facilitate and enhance the ability of private sectors in different SADC countries to interact with each other would be useful. This implies, among other things, facilitating businessmen's access to pertinent information on business in the region including where to source inputs in the region, where the market is for their products in the region, where to access support services etc. in the region, and other information as guided by private sector needs. Governments should not supply the information – they should merely be made aware of how they can facilitate the process for the private sector, and what constraints they currently impose which hamper the

ability of the private sector to document and disseminate such information

#### Acting Regionally in Trade

- It was felt that if positions adopted by international bodies such as the World Trade Organization were to benefit countries in the region, a more organized regional approach to participation in such global forums was needed. SADC ministers have started organizing themselves along these lines, their first group submission to the WTO having been presented at the latest round in November 1999. It is now clear that countries in the region must develop strategies for their participation in the WTO Millennium Round especially with regards issues such as tariffs on industrial products, trade related aspects of intellectual property rights and protection in agriculture. Research into areas such as this is required to back the negotiating positions of the region in global forums. They also need to have common positions on the need for technical assistance in addressing institutional capacity constraints to liberalization.
- More research is also required that investigates and develops effective systems to improve complementarity between sectoral policies, production policies, and trade policies in the region. This is required to enhance real sector performance in a mutually beneficial manner.
- Research is further required to identify and document inter-industry linkages within the region in manufacturing etc; possibilities for co-operation in international input sourcing, adding value in one SADC country to inputs sourced from another SADC country, etc. An example where this approach has worked is found in the Nordic countries.
- Another area for research is in the development of systems to create synergies in the region. An example is synergy in the region's approach to tourism. Complementary tourism packages should be encouraged between countries in the region and some countries need to be convinced that this can be a mutually beneficial arrangement if properly structured. The drive to sell the region as a package – as a tourism center, needs the support of such analysis.

#### An Appropriate, Enabling Infrastructure System to Properly Support Trade

- Now that many countries recognize that government's comparative advantage is in a facilitative and supportive role – and the private sector's is in actual production, what is required is for researchers and analysts to document best practices in this regard in the infrastructural development area – based on experience across the world. Following from this, minimum standards can be set for the region for expected performance of infrastructure. There is also a need to

document best practices in designing and developing systems to address performance in the area of infrastructural development. This includes the development of regional level benchmarks.

- Studies are also required which identify for governments, where, in the view of the private sector, the provision of supportive infrastructure is inadequate in the region. Such information would help to tailor regional projects to help address such inadequacies where they hamper business interactions across the region. Government's role is to address such constraints, which hamper business sector activity, without itself getting involved financially in private sector business. Periodic SADC assessment reports should be able to show where infrastructural inadequacies continue to hamper regional business – and where countries have not been able to address these issues – so that if necessary the possibility of addressing the issue at the regional level can be considered.
- The Zambian experience has shown that infrastructural development (including financial and commercial infrastructure) is very important to trade and general development. There is a need to properly document such experiences so that they serve as lessons for the region as a whole.

#### Data Issues

- Development of more effective data collection systems is required. There is inadequacy in the timely supply of actual (not generated) data, which is required to effectively analyze, model and compile forecasts for trade and regional policy purposes. The challenge facing regional policy makers is how to properly assess the impact of trade and integration programs being adopted, in the absence of timely and adequate data reflecting the actual outcome on the ground. More efficient and timely data collection, compilation and publication is required of central statistics offices and customs departments in the region.

Implementable, well-researched proposals for the development of data collection capacity in the region would be useful. Strategies need to be designed to develop sustainable data collection processes at the national level, while addressing current, ongoing constraints, which hamper progress in this area.

A model national-level data collection system should be designed for the SADC region and minimum data collection standards established alongside a national-level timetable for upgrading existing systems.

National-level data should be consistent across countries and readily feed into a SADC regional database.

- Implementation of effective systems for the collection, compilation and checking of regional trade and investment data is required. The limited availability and

reliability of statistical data has not been treated with due urgency in the past: it must be given priority – otherwise many economic decisions will be based on erroneous premises.

There is need for a reliable regional database. In Zambia's experience, the development of a good database makes a large difference to effective policy analysis and action.

## **2. The Investment and Growth Agenda**

### Privatization

- If properly structured, privatization can be a useful vehicle for drawing in substantial foreign direct investment to the region. Zambia's privatization program had a lot of successes, but there were also negative experiences. Proper documentation of such experience is required, to serve as lessons for the region in the future.
- Analysis of world experience with privatization and commercialization in both developed and developing countries – and the identification of best practices with regards the process of privatization and prior preparation for privatization in the region would be useful.

### **Domestic Resource Mobilization**

- Studies to document the extent, to which domestic resource mobilization (domestic savings – both private and public) is constrained in the region, are required. Documentation of experiences and best practices in domestic resource mobilization in the region should be included. Concerns still revolve around macro economic policies that are unsustainable. The documentation of best practices in the region, in this regard, is still necessary – as is economic planning which takes into account the domestic resource requirements needed to meet targeted investment and growth rates.
- Documentation of experience and best practices in domestic resource mobilization in the region, and analysis of the same, must reflect the fact that much higher savings are needed to finance domestic investment and growth – but this will not happen in an environment of high inflation and high fiscal expenditure crowding out private sector activity. The bulk of investment is financed from domestic resources – so it is necessary to investigate measures needed to generate the requisite domestic savings, if investment is to grow.

### **3. The Economic Convergence Agenda**

#### Ground Rules

- Though national level strategies may differ somewhat initially, it is important to have ground rules, which apply across the region, such as the need to remove policy inconsistencies. This study would therefore assess current national level policies for consistency and complementarity, and then develop paths for securing greater policy consistency and convergence at the regional level. This in turn would help secure greater price convergence and interest rate and exchange rate complementarity.

Experience in the region shows that though many countries have some sort of strategy, in many cases the strategy is inconsistent with the monetary, fiscal, exchange rate policies etc in place. This is a problem – since it creates potential for conflict between sectoral policy and macroeconomic policy. Documentation and analysis is required with regards the region's current status with policy inconsistencies at the national level; and policy complementarity at the regional level, and of best national level practices in the region where policy consistency is attained and maintained, and where national policies complement regional policies.

#### Recording Experiences

- Documentation of new effective strategies to formulate and implement macroeconomic policy at the national level would be valuable in helping to encourage policy convergence at the regional level. Experiences with new approaches such as the tri-partite and smart partnership approaches to policy formulation and implementation (i.e. including private sector and unions, alongside government, in the policy design, formulation, and negotiation process) should be assessed. The benefits recognized and the value of this approach should be documented – alongside recommended best practices.