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# **COMPASS PERFORMANCE AND IMPACT: 1999/2000**

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Community  
Partnerships for  
Sustainable  
Resource  
Management in  
Malawi

## **COMPASS Performance and Impact: 1999/2000**

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## ACRONYMS

ADS	Automated Directives System
CBNRM	Community-based Natural Resource Management
CBO	Community-based Organization
CARD	Church Aid and Relief Development
CLIN	Contract Line Item Number
COMPASS	Community Partnerships for Sustainable Resource Management
CURE	Coordination Unit for Rehabilitation of the Environment
DANIDA	Danish International Development Agency
DEAP	District Environmental Action Plan
EAD	Environmental Affairs Department
EDO	Environmental District Officer
EOI	Expression of Interest
FY	Fiscal Year
GIS	Geographic Information System
GOM	Government of Malawi
HIV/AIDS	Human Immuno-deficiency Virus/Acquired Immune Deficiency Syndrome
M&E	Monitoring and Evaluation
MAFE	Malawi Agroforestry Extension Project
MEET	Malawi Environmental Endowment Trust
NGO	Non-Governmental Organization
NRM	Natural Resource Management
SO	Strategic Objective
SOER	State of the Environment Report
TR	Targeted Result
UNDP	United Nations Development Program
USAID	United States Agency for International Development





# COMPASS Performance and Impact: 1999/2000

## Introduction

This performance report is based on the performance-monitoring plan approved by USAID/Malawi in early 2000<sup>1</sup>. The period covered by this report is from the start of the first COMPASS workplan (July 1<sup>st</sup> 1999) to the end of USAID's Fiscal Year 2000 (September 30<sup>th</sup> 2000). Future monitoring reports will be prepared annually and cover subsequent fiscal years (2001, 2002 and 2003).

## Background

In 1996, recognizing the importance of addressing environmental problems, the Government of Malawi approved a comprehensive national environmental policy that places emphasis on the management of natural resources by communities. Additionally, the President of Malawi signed into law the nation's first Environmental Management Act that, among other things, provides the requisite architecture for an on-going program of sectoral policy, institutional and legislative reform in favor of the environment.

In March 1997, USAID assisted the Environmental Affairs Department of the Malawi Government by organizing a workshop to facilitate participation in developing a "Results Framework" for a national CBNRM strategy. Building on the National Environmental Action Plan, the framework outlines elements of a strategy for mobilizing communities into effective NRM institutions. This planning was expected to continue under the guidance of a CBNRM National Steering Committee and Secretariat to be established in 1998. However, this was stalled for three years until the National Council on the Environment approved the creation of a CBNRM Working Group and it met for the first time in March 2000. The COMPASS Team will assist the Working Group expand this strategic planning process that will help to strengthen the institutional framework in which CBNRM programs are designed, implemented, monitored and evaluated in Malawi.

COMPASS will address USAID Strategic Objective Number 1 (SO1): Sustainable increases in rural incomes through natural resource-based businesses. This and three other Strategic Objectives are designed to achieve USAID/Malawi's goal of broad-based sustainable economic growth.

USAID/Malawi's Strategic Plan for the period 2001 to 2005 will have a goal of **increasing food security and reducing poverty through broad-based economic growth**. COMPASS will complement two other USAID/Malawi-supported NRM initiatives to address environmental issues, as follows:

*Malawi Environmental Endowment Trust (MEET)* – that will create a Malawian organization capable of funding environmental initiatives on a sustainable basis through management of an investment portfolio initially capitalized by donor organizations and others.

*Malawi Agroforestry Extension Project (MAFE)* – that supports efforts to test, refine and disseminate information about improved agroforestry practices in Malawi that help improve agricultural productivity and reduce depletion of natural resources.

## The COMPASS Approach

The COMPASS team will work toward accomplishing predetermined goals in five discrete areas that are defined as Targeted Results (TR). Each TR has a set of Sub-Results (SR) and for each SR a set of tasks and/or actions that have been identified and will be implemented to achieve the SR and the overall TR. The TRs are as follows:

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<sup>1</sup> COMPASS Document 8 - *Performance Monitoring for COMPASS and CBNRM in Malawi*.

- TR1 Building Malawian Capacity Amongst NGOs and Government to Administer CBNRM Initiatives and Provide the Necessary Technical Support to Practitioners;
- TR2 Establishing Efficient Liaison and Information Exchange Among CBNRM Programs in Malawi and Neighboring Countries;
- TR3 Improving Community Mobilization Skills Within the Public and NGO Sectors;
- TR4 Supporting Policy and Legislative Reform That Assists Improved Resource Management at the Village Level; and
- TR5 Providing Small Grants to CBNRM Practitioners and Promoters.

Included in this workplan there is a series of tables that describe the way in which we intend to measure progress toward achieving our objectives in each of these areas. In addition, we have included annual targets in terms of our performance and the impact we expect to achieve. These targets were refined from an earlier illustrative monitoring plan<sup>2</sup> through a short-term technical assistance assignment in the final quarter of 1999. The first reporting period will end in late 2000. Overall, we anticipate that if COMPASS' approach and basic assumptions are correct, and provided implementation progresses as expected, after five years the capacity to administer and implement CBNRM programs will have improved. Moreover, COMPASS and its partner organizations will have effected a marked improvement in the way natural resources are managed and in the quality and availability of resources. We have identified the following targets for gauging the overarching impact of COMPASS and related CBNRM activities in Malawi:

- ◆ 200 communities adopting CBNRM practices as a result of COMPASS activities;
- ◆ 40% of customary land under improved natural resource management in COMPASS target Districts;
- ◆ 60% of beneficiaries of COMPASS small grants are female;
- ◆ 80% of grant projects are sustained one year after the end of the COMPASS grant period;
- ◆ \$250,000 in supplemental income generated by grants for Income Generating Activities; and
- ◆ 60% of grants demonstrating positive environmental and social impact.

### **Geographical Scope of COMPASS**

COMPASS targets people and institutions engaged in CBNRM initiatives at national, district and local levels. However, during CLIN 0001 (the period up to September 15, 2000) we focussed COMPASS activities in six districts<sup>3</sup>.

This approach has allowed us to test partnership and capacity building models under a range of implementation conditions, while concentrating our efforts within a limited area to facilitate "vertical" linkages between national, district, and local partners. Building on lessons learned in CLIN 0001, COMPASS activities will be modified as needed.

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<sup>2</sup> This was presented in the annual workplans for 1999 and 2000.

<sup>3</sup> Rumphi and Nkhatabay in the Northern Region, Dedza and Ntcheu in the Central Region, and Mangochi and Chikwawa in the Southern Region.

The CLIN 0001 focal point districts represented a mix of natural resource endowments, population pressures, and environmental constraints, as well as two distinct levels of existing institutional capacity.

Type 1 districts already have significant CBNRM activities planned or underway. By working in such districts, COMPASS will be able to test various models for facilitating partnerships and coordinating activities between existing national and local CBNRM promoters. These include some of the pilot districts under the UNDP and DANIDA-sponsored decentralization effort, which support the District Development Committees, District Development Funds, District Executive Committees and the proposed or embryonic Area Development and Village Natural Resource Committees. COMPASS continues to support activities in Dedza and Nkhatabay but we will shift our attention from Mangochi where we have had little demand for support to Machinga where several activities have been implemented through COMPASS. COMPASS is also expanding activities in Nkhota-kota and Zomba where demand for support has been strong and well received.

Type 2 districts have comparatively little donor activity thereby allowing COMPASS to test models for strengthening the provision of CBNRM extension services in areas that are not currently supported, under conditions that will allow project impacts to be more readily isolated from impacts of other natural resource management interventions. We continue to work in Chikwawa, Ntcheu and Rumphu. These districts have basic government extension services, a few NGO activities, Village Natural Resources Committees (albeit often non-functioning), and some active or proposed donor activities. In this category COMPASS is also building on some initial efforts in Mzimba.

Our selection of districts has given special consideration to achieving a broad sample of predominant land uses to facilitate testing models in various NRM sectors. In addition, we have attempted to select districts that are geographically close to each other. This will simplify logistical requirements for the field program and should improve synergy among COMPASS-supported activities in different districts. We recognize that not all of the agro-ecological zones of Malawi can be represented in a sample of just nine of 27 Districts. This notwithstanding, we have selected districts that include lakeshore, upland areas and the Shire valley.

To date, COMPASS' involvement with activities in the selected Districts has been mainly with local NGOs and CBOs in identifying best practices and training needs and promoting innovative CBNRM initiatives through the small-grants program. It should be stressed, however, that COMPASS has to date accepted applications for small grants from qualifying organizations from any District in Malawi - indeed, in 1999 we made a concerted effort to publicize the availability of grants throughout the country. Our field level activities in the year 2000 had added focus on community mobilization and supporting grass-roots advocacy for policy reform. In all of these efforts, we have worked with District authorities to inform them of COMPASS activities and we will support local efforts to ensure coordination of COMPASS efforts with those of other implementing agencies.

### **Monitoring and Evaluation**

We believe that a performance-based approach to promoting CBNRM in Malawi is essential to the success of the program. To measure and evaluate the performance of our partners and CBNRM stakeholders, we will rely on a rigorous monitoring system. This system will allow COMPASS staff to build on winning initiatives and take corrective action when results are less successful than anticipated. This adaptive management strategy will facilitate replication of successes and, thereby, expedite achieving the desired results of the COMPASS activity.

The M&E Plan builds upon the Performance Milestone Plans presented for each Targeted Result below. The M&E Plan is used to assess project impacts. It contains performance indicators and their corresponding targets. An *indicator* is a measurable gauge of the quality and impact of project

activities and outcomes; it helps assess how well activities and outcomes achieve the targeted result. The *target* is the specific measure to be achieved.

An efficient monitoring system must be built around good indicators, cost-effective data collection, rigorous analysis, and efficient reporting procedures. The criteria for selection of good indicators include that they are pertinent and unequivocal; that they are objective and assist in decision making; and that they are readily understandable. Moreover, they should be based on parameters that are quantifiable, and readily measured at a reasonable cost. In most instances, the careful selection of a few pertinent indicators that are easily measured is preferable to having numerous indicators that require complex procedures for data acquisition. Such an approach also fulfills the requirements of USAID/Malawi's annual reporting to USAID/Washington.

COMPASS is committed to providing monitoring information to USAID/Malawi and to our partners that meets the requirements and guidelines outlined in USAID's ADS 200 - particularly ADS 203. As outlined above, we recognize that in attempting to gauge the impact of COMPASS, attribution becomes a complex issue. Numerous organizations including government, NGOs and donors are active throughout the country and many in the same Districts and even the same communities as those in which COMPASS is active. Wherever possible we have identified indicators that we believe will address this issue by focussing on impact that is specific to COMPASS activities.

In preparing this first performance and impact monitoring report we have striven to be both candid and transparent. Wherever appropriate we have discussed issues of data quality and have attempted to account for and explain instances of under-performance relative to our established targets<sup>4</sup>.

### ***Monitoring Critical Assumptions***

The attainment of project goals is usually conditional upon certain external factors remaining unchanged or any expected changes occurring as anticipated. These are regarded as assumptions critical to the timely and successful accomplishment of project goals. They must be monitored in order to ascertain whether any failure to achieve project objectives is the result of internal, manageable factors or uncontrollable, external forces. We have identified six critical assumptions that relate to political, legislative and financial support for CBNRM in Malawi and COMPASS in particular, and two measures of economic and environmental stability (see Table 1). While these are largely qualitative indicators, they provide an overall framework for gauging responsiveness to the CBNRM agenda in Malawi.

We believe that in each of these categories the current situation is conducive to meeting COMPASS objectives. Government support for the Ministry of Natural Resources and Environmental Affairs has strengthened. Legislation supportive of CBNRM is becoming stronger. Owing mainly to greater donor interest, financial support for CBNRM is increasing. Support for COMPASS from USAID<sup>5</sup> and the Government of Malawi has been very strong.

In terms of measures of economic and environmental stability, the current situation is mixed. A decrease in foreign currency earnings from tobacco and other factors have led to a significant fall in the value of the kwacha with concomitant increases in the price of imported goods notably fuel. This in turn is causing production costs to increase on many local goods. It seems likely that while rural incomes may be stable or may even increase, the purchasing power of those incomes

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<sup>4</sup> ADS 203.3.2.2 (c) states: Candor and transparency in reporting involves three interrelated actions: (1) assessing the quality of data we use to report progress and stating known limitations; (2) conveying clearly and accurately the problems that impede progress and our efforts to address them; and (3) avoiding the appearance of claiming those results achieved with or by others as our own.

<sup>5</sup> USAID's Contractor Performance Report on COMPASS dated November 9<sup>th</sup> 2000 provides a composite rating of 84% (excellent to outstanding).

will decrease as the cost of living rises. This will undoubtedly put greater pressure on natural resources as the need to exploit these resources for alternative sources of income increase. To date, however, there are no firm indications that this is happening.

With regard to indicators of environmental stability, climatic conditions have been generally good though local aberrations in rainfall patterns have occurred. The 1999/2000 season saw severe flooding in Karonga and the Lower Shire while the Lake Chilwa basin was significantly drier than usual. The scourge of HIV/AIDS is worsening. Infection rates indicate that close to 40% of the sexually active population may be HIV-positive. The number of AIDS orphans approaches one million: close to 10% of the population. This means that nuclear family sizes are increasing and, thereby, putting greater pressure on natural resources that are essential for poor rural households. Even more significantly, a large percentage of the younger generation are growing up in households that cannot afford to provide children with the basic educational needs that could help them break free of the trap of rural poverty.

While the economic, social and environmental situation does appear to be worsening, it is unclear at this time whether this is having a direct detrimental impact on natural resources or whether it is increasing awareness of the need to improve management of those resources. Presumably both are occurring.

### ***Project-Specific Performance and Impact Monitoring***

For each of the five COMPASS TRs and their respective SRs, we have identified indicators and targets that allow periodic assessments of performance toward achieving project goals and objectives. Performance indicators enable us to gauge our progress in completing proposed project activities. In contrast, impact indicators enable us and our partners to gauge our success in institutional capacity building, information exchange and knowledge transfer, policy reform and income generation from environmentally sustainable practices. The information presented in this report is described in greater detail in COMPASS Document 8 - *Performance Monitoring for COMPASS and for CBNRM in Malawi*.

### **Summary of Land Tenure and NRM Adoption in COMPASS Target Districts**

District	Total Area (ha) (Department of Surveys)	Area of Customary Land		% of customary land under improved NRM	Sources of data
		ha (estimates in parentheses)	% of total (estimates in parentheses)		
<b>Chikwawa</b>	484,551	(340,000)	(70)	(10)	EDO's estimates
<b>Dedza</b>	377,201	(300,000)	80	40	Agriculture reports
<b>Machinga</b>	589,300*	(440,000)*	75	23	Forestry & Agriculture reports
<b>Mzimba</b>	1,048,241	(730,000)	(70)	(40)	COMPASS estimates
<b>Nkhatabay</b>	428,978	295,995	69	(50)	Socio-economic profile and EDO's estimates
<b>Nkhota-kota</b>	435,800	126,693	29.1	7.2	District reports
<b>Ntcheu</b>	322,484	(270,000)	(85)	(15)	EDO's estimates
<b>Rumphi</b>	455,333	(270,000)	(60)	(30)	EDO's estimates
<b>Zomba</b>	248,807	(200,000)	(80)	(30)	Lands' Officer
<b>Total/mean</b>	4,390,695	2,972,688	70 (mean)	30 (mean)	

\* Includes Balaka

In addition to the TR-specific indicators, we have also identified two overarching indicators designed to gauge COMPASS impact (Tables 2 and 3). To ascertain the number of communities that have adopted CBNRM practice as a result of COMPASS activities, we have calculated the number of communities participating in COMPASS small-grant initiatives (149 communities) and the number of groups that have put COMPASS training into practice (95 communities). This latter figure does not include the number of communities that are being served by extension workers and other front-line staff that have been trained through COMPASS' efforts. We will monitor the impact of this training before including the target communities among those "adopting CBNRM practices. For the present, the 95 communities where the impact of COMPASS training has led to adoption of CBNRM practices are those where some community members are putting their training into practice.

In order to determine the percentage of customary land that is under improved management, we have asked the Environmental District Officers (EDOs) in each of the target Districts to provide data and an assessment of its accuracy. We have then determined a mean figure for all the target Districts based on the total area under improved NRM as a percentage of the sum total area of customary land in these Districts. These data have been supplemented with published information such as socio-economic profiles when available. It should be noted that where EDOs have provided rough estimates of the area under improved natural resource management, the figures are generally higher than the figures obtained from Districts where baseline surveys have been completed and published sources are available. We anticipate that these initial estimates are too high and that in future years the estimates of the percentage of customary land under improved management may well fall as District offices have access to better data. For the present reporting period, we have adopted a conservative estimate of 20% of the customary land in the target Districts being under improved management.

### ***Overarching CBNRM Impact Monitoring***

Overarching impact indicators allow monitoring of COMPASS and CBNRM initiatives' impact on fundamental environmental and socioeconomic conditions. Indicators that are closely linked to annual performance goals may be too narrowly focused to provide an assessment of these broader objectives. We have selected two overarching indicators that will help gauge the impact of CBNRM on rural incomes and natural resource management. In addition, COMPASS will be collaborating with the CBNRM Working Group to develop a system for monitoring the impact of CBNRM in Malawi. A provisional framework for this and some illustrative indicators are presented in COMPASS Document 8 - *Performance Monitoring for COMPASS and for CBNRM in Malawi*

COMPASS' focus on leveraging existing resources and facilitating partnerships to increase the impact of other CBNRM initiatives in Malawi presents a special challenge in monitoring. In many cases, it is not possible to isolate (single out) our impacts from those of our partners. We note that the desire to demonstrate project impacts may, in some instances, create a disincentive for partnerships. We have addressed this, in part, by focusing our activities in two distinct implementation settings – one in which there are many different partners implementing complementary CBNRM initiatives and one in which there are fewer existing partners. This represents a technically sound model and should assist in isolating the impact of COMPASS.

### ***Monitoring Small Grant Financial Initiatives***

Given that the COMPASS Small Grants Program was established to finance innovative CBNRM models, it is particularly important that grant recipients participate in the development and implementation of an appropriate M&E plan to be able to assess objectively their performance and impact.

It is essential that procedures are neither complex nor time-consuming. For example, if the number or area of new tree plantings is to be reported, this can be recorded once a year at the end of the planting season. At another time of year, the completion of other on-farm activities such as measures for controlling soil erosion or improvements in infrastructure can be recorded. COMPASS has established guidelines for participatory monitoring by recipients of COMPASS grants and these have been translated into Chichewa. In 2000, COMPASS organized a 10-day training course for all grantees and several prospective grantees on how to develop and implement monitoring systems that meet the requirements of grant recipients.

The role of COMPASS staff is one of initially training of partners and community groups followed by periodic collection of data from grantee reports, synthesis and analysis of data, and reporting to end-users such as USAID and the CBNRM Working Group. COMPASS staff would also have a role in ensuring the completeness and accuracy of data collected by grantees and other program beneficiaries.

Community-based approaches can be established for collecting data pertaining to gender-specific indicators. These include women's participation in decision-making, access to land, participation in training programs, and so on. This is critical because women are often most affected when natural resources are depleted: it is women that have to spend more time and expend more energy fetching clean water and collecting firewood and thatching grass. All indicators on participation will disaggregate data on the basis of gender and age. Where possible, staff may also obtain information on households by relevant social characteristics, such as women-headed households. By monitoring participation indicators in a disaggregated manner, it will be easier to assess the positive and negative impacts of project activities on women and children, such as their participation rates, amount of time devoted to project activities, and impacts on other uses of their time. Community members will be aware of how the project affects different target groups in different ways and can seek ways to mitigate negative impacts.

COMPASS staff will be available to work with grant recipients to design, implement and review the monitoring systems. We acknowledge that one of the main reasons for insisting that each grantee implements a performance and impact monitoring system is to enable COMPASS draw lessons from grantee experience and then disseminate this information to our partners and other grantees. This notwithstanding, the monitoring systems play a dual role: they are also intended to improve management of the grants and grant-funded activities by the recipients. To ensure that this objective is met, the COMPASS team will be available to assist grantees undertake participatory reviews based on the monitoring systems. Through these reviews, we hope to instill many of the principles and techniques of adaptive management into the organizations that we work with and support.

**TABLE 1 - MONITORING AND EVALUATION: CRITICAL ASSUMPTIONS**

<b>Critical assumptions</b>						
<b>Indicator</b>	Government support for environmental management initiatives	Legislative support for CBNRM	Financial support for CBNRM	Support for COMPASS	Economic stability	Environmental stability
<b>Indicator Definition</b>	Government of Malawi support for MoNREA remains strong: stable funding, staffing levels, and mandate	Government of Malawi implements laws and develops policies that are supportive of CBNRM	Financial support from the Government of Malawi and donors for CBNRM initiatives remains adequate	Government of Malawi and USAID support for COMPASS is maintained over the duration of the activity	Economic conditions in Malawi remain conducive to CBNRM with no significant deterioration in rural incomes	Environmental conditions in Malawi remain conducive to CBNRM with no significant deterioration in climatic trends, population patterns
<b>Unit of Measurement</b>	Various	Qualitative	Malawi Kwacha	Qualitative	Qualitative	Qualitative
<b>Data Source</b>	EAD	EAD	CBNRM coordinating body and Secretariat, donors	USAID and CBNRM coordinating body	Various	Various
<b>Method/Approach of Data Collection</b>	Review	Review	Review	Review	Review	Review
<b>Schedule/Frequency</b>	Annual	Annual	Annual	Annual	Annual	Annual
<b>Data Collection: Responsible Office</b>	COMPASS	COMPASS	COMPASS	COMPASS	COMPASS	COMPASS
<b>Data Regularly Available?</b>	Yes	Yes	Yes	Yes	Yes	Yes
<b>Reporting</b>	Annually by COMPASS	Annually by COMPASS	Annually by COMPASS	Annually by COMPASS	Annually by COMPASS	Annually by COMPASS
<b>End-users</b>	Government, USAID and other donors, resource users	Government, USAID and other donors, resource users	Government, USAID and other donors, resource users	Government, USAID and other donors, resource users	Government, USAID and other donors, resource users	Government, USAID and other donors, resource users



**TABLE 2: MONITORING AND EVALUATION: IMPACT INDICATORS**

<b>ACTIVITY OBJECTIVE: INCREASED ADOPTION OF CBNRM PRACTICES</b>		
	<b>Overall Impact</b>	<b>Overall Impact</b>
<b>Indicator</b>	Number of communities adopting CBNRM practices as a result of COMPASS activities	Percentage of customary land under improved natural resource management in COMPASS target Districts
<b>Indicator Definition</b>	CBNRM practices may include adoption and/or implementation of a CBNRM action plan, best practice in forest management, wildlife conservation, soil management, sustainable agriculture, etc.	Proportion of customary land upon which community-based management of natural resources is practiced relative to the total area of customary land in the District(s).
<b>Unit of Measurement</b>	Number of communities	Percent
<b>Data Source</b>	District authorities/EAD/COMPASS grantees	District authorities/EAD/COMPASS sub-grantees
<b>Method of Data Collection</b>	Review of records, survey	Review of records, survey
<b>Frequency</b>	Annually	Annually
<b>Reporting</b>	Annually	Annually
<b>End-users</b>	USAID and other donors, CBNRM coordinating body	USAID and other donors, CBNRM coordinating body

**TABLE 3: MONITORING AND EVALUATION: IMPACT TARGETS**

<b>COMPASS RESULT</b>	<b>Overall Impact</b>	<b>Overall Impact</b>
<b>Increased Adoption of CBNRM Practices</b>	Number of communities adopting CBNRM practices as a result of COMPASS activities	Percentage of customary land under improved natural resource management in COMPASS target Districts
<b>Target*</b>	200	40%
<b>Baseline Data</b>	0	<3%
<b>FY2000 Target</b>	20	5%
<b>FY2000 Actual</b>	244	20%
<b>FY2001 Target</b>	50	10%
<b>FY2001 Actual</b>		
<b>FY2002 Target</b>	90	20%
<b>FY2002 Actual</b>		
<b>FY2003 Target</b>	140	30%
<b>FY2003 Actual</b>		
<b>FY2004 Target</b>	200	40%
<b>FY2004 Actual</b>		

\* Targets for the entire PMP are cumulative unless noted otherwise.

## **TR1: Effective CBNRM Administration and Technical Services Capacity Established**

### ***Overall Impact***

As of September 2000, no Districts had completed their District Environmental Action Plans (DEAP) (EAD, pers. com.) although several have completed a State of the Environment Report (SOER), which is the precursor to the DEAP. DEAPs are well-advanced in 6 of the 11 DANIDA focal Districts and the DEAP process will be launched in the remaining 5 Districts in early 2001 (John Balarin, DANIDA, pers. com.). CBNRM issues and approaches will be thoroughly integrated into all these DEAPs. In the 16 other Districts of Malawi, UNDP is supporting the development of the State of the Environment Reports. 11 of these are underway and 5 are lagging. The SOERs deal with different environmental themes and it is certain that the CBNRM approach will be addressed in each natural resource sector of the SOER and will, therefore, also be incorporated in the DEAPs when they are prepared. The DEAPs will identify environmental "hotspots" and make recommendations for addressing the problems that have been identified. We are hopeful that in the case of NRM issues, CBNRM will be seen as a viable approach to addressing the environmental and development challenges in the Districts.

### ***Sub-Result 1A***

While the CBNRM Working Group is now operational (having met three times in 2000), it has not yet finalized the monitoring plan outlined in the draft Strategic Plan that has been prepared. Until this is done, there cannot be an objective assessment of CBNRM performance and impact.

### ***Sub-Result 1B***

Using the COMPASS ListServ, which currently comprises over 100 organizations in Malawi and the region, we asked our partners to respond to a brief questionnaire intended to solicit information about the technical expertise and interest of each organization and the geographical scope of its activities. To date 31 partners have responded and we take this as a measure of "active" participation. Their responses will be compiled in a Partner Directory to be circulated electronically to the ListServ members and in hardcopy to other potential partners that do not have access to the Internet.

### ***Sub-Result 1C***

The CBNRM Working Group that reports to the National Council on the Environment has approved a draft Strategic Plan for CBNRM in Malawi. This document will be reviewed, discussed and expanded upon early in 2001 when it will be presented to a broader forum of stakeholders and other interested parties.

**TABLE 4: TR1 INDICATORS**

<b>TARGETED RESULT 1: Effective CBNRM administrative and technical services capacity established</b>				
	<b>Overall Impact</b>	<b>Sub-Result 1A: CBNRM coordinating body and Secretariat operational</b>	<b>Sub-Result 1B: Relationships among CBNRM Programs strengthened</b>	<b>Sub-Result 1C: National CBNRM Strategic Plan implemented</b>
<b>Indicator</b>	Number of Districts with CBNRM action plans incorporated into the District Environmental Action Plans	Production of annual assessment of CBNRM	Number of active members in COMPASS Partnership Association	Establishment of national CBNRM strategic planning process
<b>Indicator Definition</b>	Number of administrative Districts that have incorporated specific CBNRM approaches for achieving objectives within their Environmental Action Plan	Production and dissemination of an annual CBNRM assessment by the CBNRM Working Group	Active members are defined by organizations that participate in at least one of the following: <ul style="list-style-type: none"> <li>• COMPASS meetings and workshops,</li> <li>• training courses,</li> <li>• posting notices on COMPASS ListServ,</li> <li>• publishing lessons learned.</li> </ul>	Progress as defined by the following criteria: <p>CBNRM monitoring procedures developed and implemented.</p> <ul style="list-style-type: none"> <li>• Guidance on pursuing equitable geographical and socio-economic scope for CBNRM practices designed.</li> <li>• Inter-sectoral collaboration achieved.</li> <li>• Effective stakeholder input.</li> </ul>
<b>Unit of Measurement</b>	Number of Districts	Annual CBNRM assessment	Number of organizations	Percent of criteria achieved
<b>Data Source</b>	District authorities/EAD	CBNRM Working Group	COMPASS	CBNRM Working Group
<b>Method of Data Collection</b>	Review of Action Plans	Review of records	Review of records	Audit
<b>Frequency</b>	Annually	Annually	Annually	Annually
<b>Reporting</b>	Annually	Annually	Annually	Annually
<b>End-users</b>	USAID and other donors, CBNRM coordinating body	USAID and other donors, CBNRM coordinating body	USAID, CBNRM coordinating body	USAID and other donors, CBNRM coordinating body

**TABLE 5: TR1 TARGETS**

TARGETED RESULT	Overall Impact	Sub-Result 1A: CBNRM coordinating body and Secretariat operational	Sub-Result 1B: Relationships among CBNRM Programs established	Sub-Result 1C: National CBNRM Strategic Plan implemented
<b>TR 1: Effective administrative and technical services capacity established</b>	Number of Districts with CBNRM components incorporated into the District Environmental Action Plans	Annual assessment of CBNRM produced.	Number of active members in COMPASS Partnership Association	Establishment of Strategic Plan
<b>Target</b>	27	Production of annual CBNRM assessment	100	100% of criteria
<b>Baseline Data</b>	0	0	0	0
<b>FY2000 Target</b>	9	Production of annual CBNRM assessment	40	100% of criteria
<b>FY2000 Actual</b>	<b>6 well advanced</b>	<b>No</b>	<b>31</b>	<b>Draft approved by CBNRM Working Group</b>
<b>FY2001 Target</b>	15	Production of annual CBNRM assessment	60	100% of criteria
<b>FY2001 Actual</b>				
<b>FY2002 Target</b>	21	Production of annual CBNRM assessment	80	100% of criteria
<b>FY2002 Actual</b>				
<b>FY2003 Target</b>	27	Production of annual CBNRM assessment	100	100% of criteria
<b>FY2003 Actual</b>				
<b>FY2004 Target</b>	27	Production of annual CBNRM assessment	100	100% of criteria
<b>FY2004 Actual</b>				



## **TR2: Efficient Liaison, Communication and Information Exchange Mechanisms among CBNRM Programs Established**

### ***Overall Impact (1)***

10 partners who responded to COMPASS Customer Survey, out of 150 who were sent the questionnaire, 100 per cent rate COMPASS information exchange and liaison as good to excellent.

### ***Overall Impact (2)***

7 per cent of COMPASS Partners responded to the Survey. 100 per cent were able to name CBNRM best practices and approaches.

### ***Sub-Result 2A***

COMPASS maintains monthly update record of COMPASS Website Traffic Analysis.

### ***Sub-Result 2B (1)***

COMPASS maintains audit of daily newspaper articles.

### ***Sub-Result 2B (2)***

Record of radio programs aired by Malawi Broadcasting Corporation.

### ***Sub-Result 2B (3)***

*Nantchengwa* magazine publication is now supported through a COMPASS small grant. The first COMPASS-supported issue will be distributed in December 2000 to 3,500 –4000 schools. Records of distribution are maintained by Wildlife Society of Malawi.

### ***Sub-Result 2C (1)***

The CBNRM Working Group has created a sub-committee that is charged with organizing the conference in early 2001. The conference will provide a forum for review of the draft Strategic Plan for CBNRM that was approved by the Working Group in November 2000.

### ***Sub-Result 2C (2)***

COMPASS maintains record of library visits.

**TABLE 6: TR2 INDICATORS**

<b>TARGETED RESULT 2: Efficient liaison, communication and information exchange mechanisms among CBNRM Programs established</b>				
	<b>Overall Impact</b>	<b>Sub-Result 2A: CBNRM computer information network expanded</b>	<b>Sub-Result 2B: Public awareness campaign intensified</b>	<b>Sub-Result 2C: Relationship among CBNRM programs strengthened</b>
<b>Performance Indicator</b>	<ol style="list-style-type: none"> <li>Percent of CBNRM service providers and practitioners that rate COMPASS information exchange and liaison as good to excellent.</li> <li>Percent of CBNRM service providers and practitioners that can name CBNRM best practices and approaches.</li> </ol>	Number of "hits" on COMPASS website	<ol style="list-style-type: none"> <li>Number of articles on CBNRM appearing in key newspapers.</li> <li>Number of radio and television programs on the environment.</li> <li>Number of wildlife clubs with environmental education materials.</li> </ol>	<ol style="list-style-type: none"> <li>Number of participants at annual CBNRM conference.</li> <li>Number of users of COMPASS library</li> </ol>
<b>Indicator Definition</b>	<ol style="list-style-type: none"> <li>Service providers to include NGOs, CBOs, and government.</li> <li>Best practices to include forest management, wildlife, water conservation, fisheries, and soil management.</li> </ol>	Continuous count of the number of times an internet user enters the COMPASS website	<ol style="list-style-type: none"> <li>The Daily Times, Nation, Malawi News, and Saturday Nation.</li> <li>Malawi Broadcasting Corp., and Television Malawi</li> <li>Wildlife Clubs</li> </ol>	<ol style="list-style-type: none"> <li>Number of participants at annual CBNRM conference, disaggregated by gender.</li> <li>Number of users per month</li> </ol>
<b>Unit of Measurement</b>	Percent	Number	Number	Number
<b>Data Source</b>	COMPASS	COMPASS	COMPASS and Partners	COMPASS and CBNRM Secretariat
<b>Method/Approach of Data Collection</b>	Survey	Review of records	Audit	<ol style="list-style-type: none"> <li>Conference proceedings.</li> <li>User logs for library</li> </ol>
<b>Schedule/Frequency</b>	Annually	Monthly	Monthly	<ol style="list-style-type: none"> <li>Annually</li> <li>Monthly</li> </ol>
<b>Reporting</b>	Annually	Quarterly	Quarterly	<ol style="list-style-type: none"> <li>Annually</li> <li>Quarterly</li> </ol>
<b>End-users</b>	USAID and other donors, CBNRM coordinating body, COMPASS partners	USAID	USAID and other donors, CBNRM coordinating body, COMPASS partners	USAID



**TABLE 7: TR2 TARGETS**

TARGETED RESULT	Overall Impact	Sub-Result 2A: CBNRM computer information network expanded	Sub-Result 2B: Public awareness campaign intensified	Sub-Result 2C: Relationship among CBNRM programs strengthened
<b>TR 2: Efficient liaison, communication and information exchange mechanisms among CBNRM Programs established</b>	<p>1. Percent of CBNRM service providers and practitioners that rate COMPASS information exchange and liaison as good to excellent.</p> <p>2. Percent of CBNRM service providers and practitioners that can name CBNRM best practices and approaches for forest management, wildlife, water conservation, fisheries, and soil management.</p>	Number of "hits" on COMPASS website.	<p>1. Number of articles on CBNRM appearing in key newspapers and magazines.</p> <p>2. Number of radio and television programs on the environment.</p> <p>3. Number of schools reached through COMPASS environmental education materials.</p>	<p>1. Number of participants at Annual CBNRM Conference.</p> <p>2. Number of users of COMPASS library per month</p>
<b>Target</b>	<p>1. 90%</p> <p>2. 90%</p>	60 hits/month	<p>1. 9 news articles/week</p> <p>2. 8</p> <p>3. 2000</p>	<p>1. 120 participants</p> <p>2. 15 users/month</p>
<b>Baseline Data</b>	<p>1. 0</p> <p>2. 0</p>	0	<p>1. &lt;.5 news articles/week,</p> <p>2. 2</p> <p>3. 0</p>	<p>1. 0</p> <p>2. 0</p>
<b>FY2000 Target</b>	<p>1. 50%</p> <p>2. 30%</p>	20 hits/month	<p>1. 2 news articles/week,</p> <p>2. 3</p> <p>3. 200</p>	<p>1. 40 participants</p> <p>2. 0 users</p>
<b>FY2000 Actual</b>	<p>1. TBD</p> <p>2. TBD</p>	<b>60 hits/month</b>	<p>1. <b>1 news article/week</b></p> <p>2. <b>2 radio programs/week</b></p> <p>3. <b>3,500-4,000</b></p>	<p>1. <b>0</b></p> <p>2. <b>2 users/month</b></p>
<b>FY2001 Target</b>	<p>1. 60%</p> <p>2. 50%</p>	30 hits/month	<p>1. 4 news articles/week,</p> <p>2. 5</p> <p>3. 1000</p>	<p>1. 60 participants</p> <p>2. 5 users/month</p>
<b>FY2001 Actual</b>				

<b>FY2002 Target</b>	1. 70% 2. 70%	40 hits/month	1. 6 news articles/week, 2. 6 3. 1500	1. 80 participants 2. 8 users/month
<b>FY2002 Actual</b>				
<b>FY2003 Target</b>	1. 80% 2. 80%	50 hits/month	1. 8 news articles/week, 2. 7 3. 1800	1. 100 participants 2. 12 users/month
<b>FY2003 Actual</b>				
<b>FY2004 Target</b>	1. 90% 2. 90%	60 hits/month	1. 9 news articles/week, 2. 8 3. 2000	1. 120 participants 2. 15 users/month
<b>FY2004 Actual</b>				

### **TR 3: Community Mobilization Skills within Government, NGOs and Community Groups Improved**

#### ***Overall Impact***

This figure includes all institutions (NGOs, CBOs and government) that have received support from COMPASS towards improving community mobilization skills. The level of improvement in skills demonstrated as a result of COMPASS assistance continues to be assessed.

#### ***Sub-Result 3A***

In two of the ten courses, partners contributed stationery and transport towards the running of the course while the other 8 training programs had contributions mostly in kind such as organizational and logistical arrangements. This was mainly the case with government partners whose budgets are usually limited.

#### ***Sub-Result 3B (1)***

The target was exceeded because of the improved partnership and interaction with partners. The gender target was not achieved because the initial target trainees been frontline staff from partner organizations and the current situation is that there are still more men than there are women. There are still few women taking up field-based careers in Malawi.

#### ***Sub-Result 3B (2)***

Almost all COMPASS CBNRM training programs were rated 4 and above (very good to excellent) by participants giving an indication that they are taken as useful to them. This data was captured from the training evaluations which participants filled at the end of each training event.

#### ***Sub-Result 3C***

The best practices have been documented and copies distributed to partners for comments. There have been few comments to date.

#### ***Sub-Result 3D (1)***

A reasonable percentage of women have been reached during exchange visits because in most CBNRM groups it is the women who are most active. There has also been a deliberate attempt by COMPASS to encourage partners to include women in the exchange tours.

#### ***Sub-Result 3D (2)***

This was expressed by participants during wrap-up discussions at the end of the exchange visits.

#### ***Sub-Result 3D (3)***

The data was obtained through follow-up visits and personal communication with the extension workers concerned.

**TABLE 8: TR3 INDICATORS**

<b>TARGETED RESULT 3: Community mobilization skills within government, NGOs and community groups improved</b>					
	<b>Overall Impact</b>	<b>Sub-Result 3A: CBNRM training program designed for all interested parties</b>	<b>Sub-Result 3B: Training delivered</b>	<b>Sub-Result 3C: CBNRM best-practices identified</b>	<b>Sub-Result 3D: National CBNRM exchange program developed</b>
<b>Performance Indicator</b>	COMPASS collaborators, (particularly NGOs, CBOs, and government) demonstrating improved community mobilization skills through COMPASS support	Number of co-sponsored training programs.	<ol style="list-style-type: none"> <li>1. Number of COMPASS trainees</li> <li>2. Level of satisfaction of COMPASS training.</li> </ol>	Number of best practices identified in key CBNRM sectors.	<ol style="list-style-type: none"> <li>1. Number of participants in exchange programs.</li> <li>2. Level of satisfaction of COMPASS exchange program.</li> <li>3. Result from exchange program.</li> </ol>
<b>Indicator Definition</b>	<p>Improvements to include the following:</p> <ul style="list-style-type: none"> <li>• Basic skills in training, extension, community mobilization;</li> <li>• Technical skills in natural resources management;</li> <li>• Business skills for natural resource enterprises.</li> </ul>	Number of CBNRM training programs that have attracted funding from more than one source or have promoted cost sharing. Cost sharing may include co-financial of training with other donors or the government, or in-kind contributions from communities, NGOs, or government.	<ol style="list-style-type: none"> <li>1. Number of individuals trained in CBNRM techniques directly through COMPASS programs, disaggregated by gender.</li> <li>2. Percent of trainees who rate COMPASS training as useful for CBNRM in course evaluation.</li> </ol>	Best practices to be developed in forest management, wildlife conservation, sustainable agriculture and soil erosion, water conservation, fisheries, etc.	<ol style="list-style-type: none"> <li>1. Number of participants in exchange programs, disaggregated by gender</li> <li>2. Percent of participants who rate exchange visits as useful for CBNRM in course evaluation</li> <li>3. Percent of participants reporting adoption of new CBNRM practice as a result of exchange visit.</li> </ol>
<b>Unit of Measurement</b>	Number	Number	<ol style="list-style-type: none"> <li>1. Number</li> <li>2. Percent</li> </ol>	Number	<ol style="list-style-type: none"> <li>1. Number</li> <li>2. Percent</li> <li>3. Percent</li> </ol>
<b>Data Source</b>	COMPASS partners	COMPASS	COMPASS, NGOs	COMPASS, CBNRM Secretariat	COMPASS
<b>Method/Approach of</b>	Assessment	Review of reports	Review of reports, course	Review of records	Review of reports, course

<b>Data Collection</b>			evaluation		evaluation, surveys
<b>Schedule/Frequency</b>	Annually	Annually	Quarterly	Quarterly	Quarterly and annually
<b>Reporting</b>	Annually	Annually	Quarterly	Quarterly	Quarterly
<b>End-users</b>	USAID and other donors, CBNRM coordinating body, COMPASS partners	USAID	USAID, CBNRM coordinating body, COMPASS partners	USAID, CBNRM coordinating body, COMPASS partners	USAID, CBNRM coordinating body, COMPASS partners

**TABLE 9: TR3 TARGETS**

TARGETED RESULT	Overall Impact	Sub-Result 3A: CBNRM training program designed for all interested parties	Sub-Result 3B: Training delivered	Sub-Result 3C: CBNRM best-practices identified	Sub-Result 3D: National and regional CBNRM exchange program developed
<b>TR 3: Community mobilization skills within government, NGOs and community groups improved</b>	COMPASS collaborators, (particularly NGOs, CBOs, and government) demonstrating improved community mobilization skills through COMPASS support	Number of CBNRM training programs that have attracted funding from more than one source or have promoted cost-sharing	<ol style="list-style-type: none"> <li>1. Number of individuals trained in CBNRM techniques directly through COMPASS programs, disaggregated by gender</li> <li>2. Percent of trainees who rate COMPASS training as useful for CBNRM in course evaluation</li> </ol>	Number of best practices identified in key CBNRM sectors.	<ol style="list-style-type: none"> <li>1. Number of participants in exchange programs, disaggregated by gender</li> <li>2. Percent of participants who rate exchange visits as useful for CBNRM in course evaluation</li> <li>3. Percent of participants reporting adoption of new CBNRM practice as a result of exchange visit.</li> </ol>
<b>Target</b>	55	40	<ol style="list-style-type: none"> <li>1. 600 (50% M, 50% F)</li> <li>2. 80%</li> </ol>	42 best practices	<ol style="list-style-type: none"> <li>1. 300 (50% M, 50% F)</li> <li>2. 80%</li> <li>3. 25%</li> </ol>
<b>Baseline Data</b>	0	0	<ol style="list-style-type: none"> <li>1. 0</li> <li>2. 0</li> </ol>	0	<ol style="list-style-type: none"> <li>1. 0</li> <li>2. 0%</li> <li>3. 0%</li> </ol>
<b>FY2000 Target</b>	10	8	<ol style="list-style-type: none"> <li>1. 120 (50% M, 50% F)</li> <li>2. 80%</li> </ol>	10 best practices	<ol style="list-style-type: none"> <li>1. 30 (50% M, 50% F)</li> <li>2. 80%</li> <li>3. 25%</li> </ol>
<b>FY2000 Actual</b>	11	<b>10</b>	<ol style="list-style-type: none"> <li>1. <b>344 (72% M, 28% F)</b></li> <li>2. <b>95%</b></li> </ol>	<b>13 best practices</b>	<ol style="list-style-type: none"> <li>1. <b>101 (64% M, 36% F)</b></li> <li>2. <b>100%</b></li> <li>3. <b>40%</b></li> </ol>
<b>FY2001 Target</b>	20	18	<ol style="list-style-type: none"> <li>1. 270 (50% M, 50% F)</li> <li>2. 80%</li> </ol>	20 best practices	<ol style="list-style-type: none"> <li>1. 90 (50% M, 50% F)</li> <li>2. 80%</li> <li>3. 25%</li> </ol>
<b>FY2001 Actual</b>					

<b>FY2002 Target</b>	40	28	1. 420 (50% M, 50% F) 2. 80%	30 best practices	1. 180 (50% M, 50% F) 2. 80% 3. 25%
<b>FY2002 Actual</b>					
<b>FY2003 Target</b>	50	38	1. 570 (50% M, 50% F) 2. 80%	40 best practices	1. 270 (50% M, 50% F) 2. 80% 3. 25%
<b>FY2003 Actual</b>					
<b>FY2004 Target</b>	55	40	1. 600 (50% M, 50% F) 2. 80%	42 best practices	1. 300 (50% M, 50% F) 2. 80% 3. 25%
<b>FY2004 Actual</b>					





## **TR4: Process of Policy and Legislative Reform in Favor of CBNRM Supported**

### ***Overall Impact***

To date, the Advocacy Task Force created under the auspices of CURE has not presented in agenda items to the Government of Malawi. In its early meetings, a shortlist of advocacy topics was developed but events have overtaken the work of the Task Force (Robert Kafakoma, pers. com.). Land Policy was adopted as the priority advocacy issue but the Task Force's activities have lagged behind the GOM's response to the work of the Presidential Commission on Lands and subsequent reviews and preparation of draft policy.

### ***Sub-Result 4A***

The Advocacy Task Force has met three times in 2000 and is due to meet again on December 4<sup>th</sup> 2000 to establish new priorities and develop an strategy for improved advocacy.

### ***Sub-Result 4B***

Four Malawian NGOs have been recipients of training in environmental advocacy in 2000: CURE, Christian Services Committee, the National Initiative for Civic Education and the Wildlife Society of Malawi. All of these organizations have integrated advocacy into their mission statements and their annual workplans. In addition, Nkhomano Centre for Development and CARD (Church Aid and Relief Development) have participated in advocacy meetings and in the work of an ad hoc coalition of NGOs that is currently preparing an advocacy campaign that supports promotion of fuel efficient stoves.

**TABLE 10: TR4 INDICATORS**

<b>TARGETED RESULT 4: Process of policy and legislative reform in favor of CBNRM supported</b>			
	<b>Overall Impact</b>	<b>Sub-Result 4A Participation in the development of CBNRM guiding principles strengthened</b>	<b>Sub-Result 4B: Capacity to evaluate and revise existing policies strengthened</b>
<b>Performance Indicator</b>	Effectiveness of Advocacy Task Force	CBNRM policy reform agenda proposed to government Advocacy Task Force annually.	Number of NGOs able to effectively participate in the policy advocacy process.
<b>Indicator Definition</b>	Success rate for achieving key procedures and agenda items drafted by the Advocacy Task Force for CBNRM policy reform	Advocacy Task Force meets annually (during the CBNRM Conference), prepares a policy reform agenda, and presents it to representatives of the Government of Malawi	NGOs ability to participate in policy advocacy as defined by the following parameters: <ul style="list-style-type: none"> <li>• research issues,</li> <li>• consult with constituency,</li> <li>• deliver cogent message to key decision makers, and</li> <li>• monitor follow-up.</li> </ul>
<b>Unit of Measurement</b>	Percent	Production and presentation of annual policy agenda	Number of NGOs
<b>Data Source</b>	Advocacy Task Force	Advocacy Task Force	NGOs
<b>Method/Approach of Data Collection</b>	Review of records	Review of records	Audit
<b>Schedule/Frequency</b>	Annually	Annually	Annually
<b>Reporting</b>	Annually	Annually	Annually
<b>End-users</b>	USAID, CBNRM coordinating body, COMPASS partners	USAID, CBNRM coordinating body, COMPASS partners	USAID, CBNRM coordinating body, COMPASS partners

**TABLE 12: TR4 TARGETS**

TARGETED RESULT	Overall Impact	Sub-Result 4A Participation in the development of CBNRM guiding principles strengthened	Sub-Result 4B: Capacity to evaluate and revise existing policies strengthened
<b>TR 4: Process of policy and legislative reform in favor of CBNRM supported</b>	Success rate for achieving major procedures and agenda items drafted by the Advocacy Task Force	Advocacy Task Force meets regularly, prepares a policy reform agenda, and presents it to representatives of the Government of Malawi	Number of NGOs able to effectively participate in the policy advocacy process: <ul style="list-style-type: none"> <li>• research issues,</li> <li>• consult with constituency,</li> <li>• deliver cogent message to key decision makers, and</li> <li>• monitor follow-up.</li> </ul>
<b>Target</b>	75%	Annual policy agenda produced	4
<b>Baseline Data</b>	0%	0	0
<b>FY2000 Target</b>	40%	Annual policy agenda produced	1
<b>FY2000 Actual</b>	<b>0</b>	<b>Draft under review</b>	<b>4</b>
<b>FY2001 Target</b>	50%	Annual policy agenda produced	2
<b>FY2001 Actual</b>			
<b>FY2002 Target</b>	60%	Annual policy agenda produced	3
<b>FY2002 Actual</b>			
<b>FY2003 Target</b>	70%	Annual policy agenda produced	4
<b>FY2003 Actual</b>			
<b>FY2004 Target</b>	75%	Annual policy agenda produced	4
<b>FY2004 Actual</b>			



## **TR 5: CBNRM Small Grant Management Services to Finance Special CBNRM Opportunities Established**

### ***Overall Impact (1)***

The first COMPASS small-grants were awarded in January 2000. By September 2000 COMPASS had approved and awarded 23 grants. None had been completed as of September 30<sup>th</sup> 2000.

### ***Overall Impact (2)***

Based on grantees' performance reports and field assessments by COMPASS staff we have determined that the percentage of grants that performed successfully was almost 70%.

### ***Overall Impact (3)***

19 of the established grant activities have direct impact on beneficiaries: others are capacity building activities with only indirect impact in CBNRM practitioners. Data available for 12 of these initiatives shows that the average percentage of women who are beneficiaries is 57%. Data for the other initiatives are being collected since several are new awards. These data will be presented in a separate report.

### ***Overall Impact (4)***

Based on grantees' performance reports and field assessments by COMPASS staff we have determined that 60% of grants demonstrate positive impacts.

### ***Overall Impact (5)***

None of the grant activities have been completed as of September 30<sup>th</sup> 2000.

### ***Overall Impact (6)***

9 months after award of the first five COMPASS grants, grantee performance reports show that about US\$2,000 in supplemental income has been generated. We expect this figure to rise as other grantees start selling tree seedlings from nurseries and fish from ponds.

### ***Sub Result 5A***

While manuals in English, ChiChewa and ChiTumbuka have been produced and distributed extensively, there is little data to show that these manuals are being used when they should. Low literacy levels and inadequate orientation contribute to this effect.

### ***Sub Result 5B (3)***

Disbursements are made quarterly upon receipt of satisfactory performance and financial reports. As of September 30<sup>th</sup> 2000, no grantees had received their final grant disbursements since most activities extend over a period of 12 months or more.

### ***Sub Result 5C***

Based on feedback from grantees, their quarterly performance reports and field visits by COMPASS staff, we have determined that 50% of grantees are managing their grant activities in an acceptable fashion.

**TABLE 12: TR5 INDICATORS**

<b>TARGETED RESULT 5: CBNRM small grant management services to finance special CBNRM opportunities established</b>				
	<b>Overall Impact</b>	<b>Sub-Result 5A: Manual of grant application and management procedures developed</b>	<b>Sub-Result 5B: Clear selection criteria for awards established</b>	<b>Sub-Result 5C: Technical assistance provided to applicants and recipients</b>
<b>Performance Indicator</b>	Percent of successful grants	Number of applications	Number of grants and funds awarded	Effectiveness of field-based technical assistance provided to grantees
<b>Indicator Definition</b>	<ol style="list-style-type: none"> <li>1. Percent of grants completed.</li> <li>2. Percent of grants achieving targets.</li> <li>3. Percent of female beneficiaries.</li> <li>4. Percent of grants demonstrating positive environmental and socio-economic impact.</li> <li>5. Percent of grant projects sustained one year after COMPASS grant period.</li> <li>6. Value of supplemental income generated by grants</li> </ol>	<ol style="list-style-type: none"> <li>1. Number of expressions of interests received.</li> <li>2. Number of project proposals received</li> </ol>	<ol style="list-style-type: none"> <li>1. Number of small grants awarded.</li> <li>2. Amount of money obligated for grants.</li> <li>3. Amount of money disbursed.</li> </ol>	<p>Percentage of grantees demonstrating acceptable grant management skills, as defined by the following functions:</p> <ul style="list-style-type: none"> <li>• Meaningful consultation with beneficiaries for decision making,</li> <li>• Adequate financial management mechanisms.</li> <li>• Operational monitor performance system for adaptive management.</li> </ul>
<b>Unit of Measurement</b>	<ol style="list-style-type: none"> <li>1 to 5. Percent</li> <li>6. U.S. dollars</li> </ol>	Number	<ol style="list-style-type: none"> <li>1. Number</li> <li>2. U.S. dollars</li> <li>3. U.S. dollars</li> </ol>	Percent
<b>Data Source</b>	COMPASS grantees	COMPASS	COMPASS	COMPASS grantees and partners
<b>Method/Approach of Data Collection</b>	Review of records and survey	Review of records	Review of records	Audit
<b>Schedule/Frequency</b>	Annually	Quarterly	Quarterly	Annually
<b>Reporting</b>	Annually	Quarterly	Quarterly	Annually

<b>End-users</b>	USAID, CBNRM coordinating body, grantees, COMPASS partners	USAID	USAID	USAID, CBNRM coordinating body, grantees, COMPASS partners
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**TABLE 13: TR 5 TARGETS**

TARGETED RESULT	Overall Impact	Sub-Result 5A: Manual of grant application and management procedures developed	Sub-Result 5B: Clear selection criteria for awards established	Sub-Result 5C: Technical assistance provided to applicants and recipients
<b>TR 5: CBNRM small grant management services to finance special CBNRM opportunities established</b>	<ol style="list-style-type: none"> <li>1. Percent of grants completed.</li> <li>2. Percent of grants achieving targets.</li> <li>3. Percent of female beneficiaries.</li> <li>4. Percent of grants demonstrating positive environmental and socio-economic impact.</li> <li>5. Percent of grant projects sustained one year after COMPASS grant period.</li> <li>6. Value of supplemental income generated by grants</li> </ol>	<ol style="list-style-type: none"> <li>1. Number of expressions of interests received</li> <li>2. Number of project proposals received</li> </ol>	<ol style="list-style-type: none"> <li>1. Number of small grants awarded.</li> <li>2. Amount of money obligated for grants.</li> <li>3. Amount of money disbursed.</li> </ol>	<p>Percentage of grantees demonstrating acceptable grant management skills, as defined by the following functions:</p> <ul style="list-style-type: none"> <li>• Meaningful consultation with beneficiaries for decision making,</li> <li>• Adequate financial management mechanisms.</li> <li>• Operational monitor performance system for adaptive management.</li> </ul>
<b>Target</b>	<ol style="list-style-type: none"> <li>1. 90%</li> <li>2. 60%</li> <li>3. 60%</li> <li>4. 60%</li> <li>5. 80%</li> <li>6. \$250,000</li> </ol>	<ol style="list-style-type: none"> <li>1. 187 EOIs</li> <li>2. 76 proposals</li> </ol>	<ol style="list-style-type: none"> <li>1. 55 grants</li> <li>2. \$550,000</li> <li>3. \$550,000</li> </ol>	60%
<b>Baseline Data</b>	<ol style="list-style-type: none"> <li>1. 0%</li> <li>2. 0%</li> <li>3. 0%</li> <li>4. 0%</li> <li>5. 0%</li> <li>6. 0</li> </ol>	<ol style="list-style-type: none"> <li>1. 0 EOIs</li> <li>2. 0 proposals</li> </ol>	<ol style="list-style-type: none"> <li>1. 0 grants</li> <li>2. 0</li> <li>3. 0</li> </ol>	0%
<b>FY2000 Target</b>	<ol style="list-style-type: none"> <li>1. 80%</li> <li>2. 40%</li> <li>3. 60%</li> </ol>	<ol style="list-style-type: none"> <li>1. 55 EOIs</li> <li>2. 22 proposals</li> </ol>	<ol style="list-style-type: none"> <li>1. 15 grants</li> <li>2. \$180,000</li> <li>3. \$180,000</li> </ol>	40%



	<ul style="list-style-type: none"> <li>4. 40%</li> <li>5. 70%</li> <li>6. \$25,000</li> </ul>			
<b>FY2000 Actual</b>	<ul style="list-style-type: none"> <li>1. 0%</li> <li>2. 70%</li> <li>3. 57%</li> <li>4. 60%</li> <li>5. not applicable</li> <li>6. \$2,000</li> </ul>	<ul style="list-style-type: none"> <li>1. 98 EOIs</li> <li>2. 128 proposals</li> </ul>	<ul style="list-style-type: none"> <li>1. 23</li> <li>2. \$249,000</li> <li>3. \$135,000</li> </ul>	50%
<b>FY2001 Target</b>	<ul style="list-style-type: none"> <li>1. 85%</li> <li>2. 50%</li> <li>3. 60%</li> <li>4. 50%</li> <li>5. 75%</li> <li>6. \$50,000</li> </ul>	<ul style="list-style-type: none"> <li>1. 127 EOIs</li> <li>2. 52 proposals</li> </ul>	<ul style="list-style-type: none"> <li>1. 30 grants</li> <li>2. \$172,500</li> <li>3. \$352,500</li> </ul>	50%
<b>FY2001 Actual</b>				
<b>FY2002 Target</b>	<ul style="list-style-type: none"> <li>1. 90%</li> <li>2. 55%</li> <li>3. 60%</li> <li>4. 55%</li> <li>5. 80%</li> <li>6. \$100,000</li> </ul>	<ul style="list-style-type: none"> <li>1. 187 EOIs</li> <li>2. 76 proposals</li> </ul>	<ul style="list-style-type: none"> <li>1. 40 grants</li> <li>2. \$110,000</li> <li>3. \$462,400</li> </ul>	55%
<b>FY2002 Actual</b>				
<b>FY2003 Target</b>	<ul style="list-style-type: none"> <li>1. 90%</li> <li>2. 60%</li> <li>3. 60%</li> <li>4. 60%</li> <li>5. 80%</li> <li>6. \$200,000</li> </ul>	<ul style="list-style-type: none"> <li>1. 187 EOIs</li> <li>2. 76 proposals</li> </ul>	<ul style="list-style-type: none"> <li>1. 45 grants</li> <li>2. \$87,500</li> <li>3. \$550,000</li> </ul>	60%
<b>FY2003 Actual</b>				
<b>FY2004 Target</b>	<ul style="list-style-type: none"> <li>1, 2, 3, 4 - small grants program completed</li> <li>5, 80% still operating one year</li> </ul>	<ul style="list-style-type: none"> <li>1. 187 EOIs</li> <li>2. 76 proposals</li> </ul>	<ul style="list-style-type: none"> <li>1. 45 grants</li> <li>2. 0</li> <li>3. \$550,000</li> </ul>	60%

	after grant 6. \$250,000			
<b>FY2004 Actual</b>				

## Summary

The COMPASS activity was initiated in April 1999 with the arrival of the team of long-term staff in Blantyre and the establishment of the COMPASS Offices. Following USAID/Malawi's approval of the 1999 and 2000 workplans, the first 15 months of full implementation (July 1999 to September 2000) saw progress in several areas:

- ◆ Assessing institutional arrangements for coordinating CBNRM in Malawi (TR1);
- ◆ Reviewing draft recommendations for improved coordination of CBNRM in Malawi and presentation of the revised recommendations to the National Council on the Environment (TR1);
- ◆ Creation of the COMPASS Partners' Association and compilation of a ListServ to facilitate communication with those members that have access to the Internet (TR1);
- ◆ Facilitating the first two meetings of the CBNRM Working Group at which terms of reference were finalized and a strategic plan for CBNRM in Malawi was commissioned (TR1);
- ◆ Completing the COMPASS monitoring and performance milestone plan and drafting of a CBNRM results framework (TR1);
- ◆ Publishing a directory of CBNRM organizations in Malawi and neighboring countries (TR1);
- ◆ Customizing the COMPASS Technical and Administrative Management Information system (TAMIS) and linking key partners to the system over the Internet (TR2);
- ◆ Establishing Geographic Information System capability at the COMPASS offices (TR2);
- ◆ Creating the COMPASS site on the World-Wide Web to provide up to date information to all partners and other parties that have access to the Web (TR2);
- ◆ Preparation of a framework CBNRM communications strategy (TR2);
- ◆ Launching a best practices database (TR3);
- ◆ Completing a CBNRM Training Needs Assessment (TR3);
- ◆ Organizing study tours and exchange visits (TR3);
- ◆ Developing an information package that informs potential partners about training opportunities available through COMPASS and explains application procedures (TR3);
- ◆ Organizing demand-driven training workshops (TR2 and TR3);
- ◆ Developing provisional guidelines for cost-sharing for training activities (TR3);
- ◆ Completing a comprehensive review of the policy framework for CBNRM (TR4);
- ◆ Establishing a partnership with National Democratic Institute to collaborate on advocacy training that will facilitate the involvement of grassroots organizations in the debate on policy reforms supportive of CBNRM (TR4);
- ◆ Providing advocacy training to two Malawian NGOs through a cost-sharing arrangement with IUCN (TR4);
- ◆ Completing an assessment of grassroots advocacy for CBNRM (TR4);
- ◆ Disseminating information nationwide on the availability of COMPASS small grants (TR5);
- ◆ Developing a manual of tools and guidelines for participatory monitoring and preliminary training of partner organizations and potential grant recipients (TR5);
- ◆ Establishing a small-grant review process that accomplished the review of 80 proposals up to September 2000 (TR5).
- ◆ Awarding the first COMPASS small grants in January 2000 and a total of 20 grants by September 2000 (TR5);
- ◆ Distributing the COMPASS small-grants manual and participatory monitoring guidelines in Chichewa (TR5);
- ◆ Completing the first biannual assessment of grantee performance (TR5); and
- ◆ Providing in-depth training on participatory monitoring to 28 representatives of current and prospective grantees (TR5).

In addition to monitoring COMPASS performance relative to our workplan objectives, the COMPASS Team has developed a monitoring plan that gauges progress toward achieving our long-term goals based on intermediate performance targets and measures of impact. It is this monitoring

plan that is presented in this document with reporting against our first year's targets. We have been careful to explain sources of the data we have used, to provide assessments of the quality of these data wherever this may be in doubt and to provide explanations in cases where there has been under-performance relative to our stated targets. Overall, we believe that COMPASS has met most of our initial performance and impact goals. Performance shortcomings in several areas reflect circumstances beyond the immediate manageable interest of COMPASS. This notwithstanding, we feel that these targets will be met over the coming months and are hopeful that we will meet out FY2001 goals. In several areas we are well ahead of our initial targets and we look forward to building on these successes.

### COMPASS Publications

Document Number	Title	Author(s)	Date
Document 1	COMPASS Year 1 Work Plan	COMPASS	Jul-99
Document 2	COMPASS Small Grants Management Manual	Umphawi, A., Clausen, R., Watson, A.	Sep-99
Document 3	Year 2 Annual Work Plan	COMPASS	Dec-99
Document 4	July 1-September 30, 1999: Quarterly Report	COMPASS	Oct-99
Document 5	Training Needs Assessment: Responsive Modules & Training Approach	Mwakanema, G.	Nov-99
Document 6	Guidelines and Tools for Community-Based Monitoring	Svendsen, D.	Nov-99
Document 7	Policy Framework for CBNRM in Malawi: A Review of Laws, Policies and Practices	Trick, P.	Dec-99
Document 8	Performance Monitoring for COMPASS and for CBNRM in Malawi	Zador, M.	Feb-00
Document 9	October 1 - December 31, 1999: Quarterly Report	COMPASS	Jan-00
Document 10	Workshop on Principles and Approaches for CBNRM in Malawi: An assessment of needs for effective implementation of CBNRM	Watson, A.	Mar-00
Document 11	January 1 - March 31, 2000: Quarterly Report	COMPASS	Apr-00
Document 12	Thandizo la Ndalama za Kasamalidwe ka Zachilengedwe (Small Grants Manual in Chichewa)	Mphaka, P.	Apr-00
Document 13	Njira Zomwe Gulu Lingatsate Powunikira Limodzi Momwe Ntchito Ikuyendera (Guidelines and Tools for Community-based Monitoring in Chichewa)	Svendsen, D. - Translated by Mphaka, P. and Umphawi, A.	May-00
Document 14	Grass-roots Advocacy for Policy Reform: The Institutional Mechanisms, Sectoral Issues and Key Agenda Items	Lowore, J. and Wilson, J.	Jun-00
Document 15	A Strategic Framework for CBNRM Media Campaigns in Malawi	Sneed, T.	Jul-00
Document 16	Training Activities for Community-based Monitoring	Svendsen, D.	Jul-00
Document 17	April 1 - June 30, 2000: Quarterly Report	COMPASS	Jul-00
Document 18	Crocodile and Hippopotamus Management in the Lower Shire	Kaloweckamo, F.	Sep-00

Document 19	Cost-Sharing Principles and Guidelines for CBNRM Activities	Nobel Moyo	Sep-00
Document 20	Workplan: Year 2001	COMPASS	Sep-00
Document 21	July 1 - September 30: Quarterly Report	COMPASS	Oct-00
Document 22	Opportunities for Sustainable Financing of CBNRM in Malawi	Watson, A.	Oct-00
Document 23	Draft Strategic Plan for CBNRM in Malawi	Simons, G.	Nov-00
Internal Report 1	Building GIS Capabilities for the COMPASS Information System	Craven, D.	Nov-99
Internal Report 2	Reference Catalogue	COMPASS	Feb-00
Internal Report 3	Workshop on Strategic Planning for the Wildlife Society of Malawi	Quinlan, K.	Apr-00
Internal Report 4	Directory of CBNRM Organizations	COMPASS	Jun-00
Internal Report 5	Proceedings of Water Hyacinth Workshop for Mthunzi wa Malawi	Kapila, M. (editor)	Jun-00
Internal Report 6	COMPASS Grantee Performance Report	Umphawi, A.	Jun-00
Internal Report 7	Examples of CBNRM Best-Practices in Malawi	Moyo, N. and Epulani, F.	Jul-00
Internal Report 8	Software Application Training for COMPASS	Di Lorenzo, N.A.	Sep-00