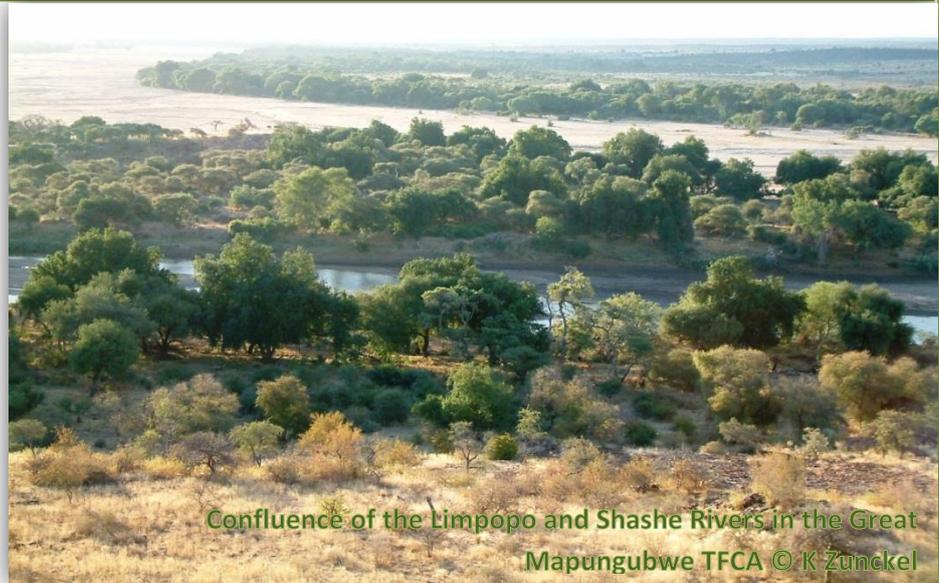


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SOUTHERN AFRICAN DEVELOPMENT  
COMMUNITY TRANSFRONTIER  
CONSERVATION GUIDELINES: The  
establishment and development of TFCA  
initiatives between SADC Member States



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# SOUTHERN AFRICAN DEVELOPMENT COMMUNITY TRANSFRONTIER CONSERVATION GUIDELINES: The establishment and development of TFCA initiatives between SADC Member States

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A wide range of TFCA practitioners at various levels of management throughout the SADC Member States participated and engaged with the process of compiling these guidelines, providing insights gained from local knowledge, experiences and perspectives that helped to ensure that the guidelines remained practical and realistic, while being appropriate to the SADC Region. Specific reference is made to the case studies that have been provided to highlight or emphasise aspects of these guidelines that may be considered as best practice due to the positive outcomes from the relevant activities. There have been captured in boxes integrated into the text of the relevant sections.

Also acknowledged is the work of the IUCN World Commission on Protected Areas Transboundary Conservation Specialist Group in their revision of the global guidelines (Sandwith et al, 2001), a process happening concurrently with the SADC process, and therefore affording the opportunity to ensure synergy and nesting of the regional work within the broader context of the global effort, while recognising the opportunity for greater specificity where possible.

While many SADC TFCA practitioners contributed to the compilation of these Guidelines through providing comment on drafts and/or participating in the series of workshops that were facilitated in the process (see Appendix A), the following are acknowledged here for specific contributions:

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## **Executive Summary and the Over-arching Principles for TFCA Establishment and Development in the SADC Region**

Transfrontier Conservation and the establishment and development of Transfrontier Conservation Areas are recognised as a mechanism that is appropriate for delivery on a number of SADC Protocols that relate to the conservation and sustainable utilisation of natural resources. These Guidelines have been structured to provide substantiating discussion on the principles of sustainability as their point of departure. Thereafter they have been divided into three parts with the 1<sup>st</sup> Part providing background and contextual information; specifically definitions as a frame of reference, the benefits of TFCAs as a tool box for proponents to motivate for their particular initiatives, a brief review of the current situation with SADC TFCAs, and a synopsis of the legal and policy framework that supports TFCA establishment and development. The 2<sup>nd</sup> Part focusses on the processes that are necessary for the initiation of a TFCA process and speak specifically to pre- and feasibility assessments, and what is required to design an implementation process if it is seen to be a feasible opportunity. Lastly the 3<sup>rd</sup> Part is aimed at guiding the processes associated with the establishment and development of TFCAs and which are listed and discussed in a sequential order beginning with the process of obtaining buy-in from stakeholders, putting the appropriate governance model in place, firming up on the spatial aspects of the initiative (mapping), working towards a shared vision and a joint management plan, planning for financial sustainability, and lastly monitoring and evaluation.

The introduction provides two primary principles against which these Guidelines have been compiled namely that need for TFCAs to provide tangible benefits to affected communities and other stakeholders, as well for them to showcase for the principles of sustainability. While the former is an aspect of the latter, the need for the focus on sustainability is seen as critical in the face of trends related to the general over-exploitation and mismanagement of natural resources in SADC Member States, primarily as a result of the disconnect that has developed between people and their natural environment. These Guidelines aim to restore this connection by entrenching the value of the natural environment to people and their livelihoods. As the threats of climate projections become increasingly real, the necessity for SADC to be securing the integrity of the natural resource base becomes increasingly urgent.

Past efforts towards ensuring the sustainable utilisation of the SADC natural resource base are captured in a variety of Protocols such as Wildlife Conservation and Law Enforcement, Shared Watercourses, and Forestry. While these instruments provide sound definitions they are out of date and require revision. As such these Guidelines have recognised a parallel process taking place at the global scale where the IUCN are revising and updating their Best Practice Guidelines on Transboundary Conservation, and the definitions captured in this process have been used as a basis for those relevant to these Guidelines. Definitions for the various types of TFCAs have been included, as well as the various governance instruments and mechanisms, while a Glossary has also been included to provide for explanations for the balance of the terminology used.

Achieving conservation objectives in a developing economy, where poverty and a lack of basic services reflect the dominant socio-economic landscape, is a significant challenge. Under these circumstances it is essential that TFCA proponents are able to identify the full suite of potential benefits that will be secured together with the integrity of the natural resource base within their

area of interest. To this end these Guidelines provides brief discussions and background information on the ecological, socio-economic and cultural benefits of collaboratively managing natural resources across international boundaries. In addition to this there is also a discussion on the fact that TFCAs help to enhance regional integration and the day-to-day challenges of natural resource management such as fire, invasive alien species and poaching. It is also suggested that where collaboration is facilitated there can be a sharing of resources, specifically as this relates to research and the sharing of knowledge and skills, all of which will work towards the enhanced ability of the natural resource base to deliver vitally important life supporting services that help to improve socio-economic resilience.

Given the above theoretical aspects the Guidelines includes a brief review of the status quo of eighteen SADC TFCAs, looking critically at their governance structures and the extent to which feasibility assessments helped to design these as well as set the course for their establishment and development. Information is also provided on the key reasons for their existence, the benefits that have been realised, and any long-term viability plans. Briefly this status quo assessment has revealed that while the overall viability of SADC TFCAs may appear obvious to the proponents and practitioners, it has not been objectively assessed and donor funding is the primary source of the resources necessary for their establishment and development. Together with this is the fact that these initiatives have continued to focus on their intrinsic biodiversity value and eco-tourism potential as the motivation for their existence, leaves much room for improvement in terms of 'packaging' their full socio-economic value. Limited ability to track and measure the extent to which TFCAs have generated tangible benefits for affected communities serves to exacerbate this situation and highlights the need for the implementation of robust monitoring and evaluation mechanisms.

This summary has already alluded to the fact that the relevant SADC Protocols do provide a sound legal and policy framework for the establishment and development of TFCAs, but that this framework requires revision and updating. To this extent the definitions and principles provided in these Guidelines may be used to influence the revision of these protocols. However, at the finer scale of specific TFCA initiatives it is possible that country-specific legal and policy frameworks might present areas of conflict which would require efforts to bring about harmonisation. Where such conflicts in the legal and policy frameworks exist and harmonisation is not possible, TFCA feasibility will need to be questioned. One of the natural resource management aspects that present as potentially having a significant impact on harmonious policies is that of consumptive utilisation. Hunting and the legal trade in wildlife products has long contributed to generating a perceived value for natural resources within SADC Member States, but with some banning hunting and the protracted debate related to the legalising trade in ivory and rhino horn, much work needs to be done in this and other arenas to ensure harmonisation.

It is important to acknowledge that TFCAs are generally initiated by biodiversity conservation practitioners for whom the ecological relevance of working collaboratively across international boundaries makes perfect sense. In addition to this it is also important to acknowledge that while the ecological feasibility of a TFCA requires little investigation, there are many other aspects that require in depth assessment from a feasibility perspective. These Guidelines provide insight into what these aspects are and how proponents need to approach their assessment in order to provide an objective understanding of the extent to which the receiving environment is conducive to the establishment and development of a TFCA. To assist with the process of assessing the feasibility of a

potential TFCA a 'diagnostic tool' developed by the Transboundary Specialist Group of the IUCN's World Commission on Protected Areas, has been included. The tool may also be applied retrospectively where such an assessment did not precede the implementation of a TFCA process as a means to help identify and better understand the dynamics that prevail and the barriers that may be retarding progress. Building on this is then the enhanced ability to either plan for implementation, or to revise implementation plans on the basis of the retrospective assessment.

The crux of these Guidelines lies in the aspects associated with the establishment and development of TFCAs, although these aspects build on and work hand in hand with the aspects of feasibility assessment discussed above. In other words, the more thorough the feasibility aspects, the easier it will be to move into the aspects associated with establishment and development, and the more successful these will be. This discussion begins with recommendations associated with the process of obtaining buy-in from stakeholders and it recognises that there are various groupings of these that occur at different spheres of governance and influence, i.e. political, technical and local. It is recognised that these spheres are all significant in their ability to influence and contribute to the success of TFCA processes and although they are presented and discussed in this order, this does not suggest a sequence of importance and/or process.

In the process of determining an appropriate governance instrument and mechanism it is recommended that the dynamics that prevail within each TFCA process be used to guide this aspect. While a degree of standardisation would make sense at the regional scale, global best practice recommends that flexibility is an important principle to follow and that while one governance structure might work well for some TFCAs, others may be best suited elsewhere. It is also acknowledged that a process of evolution from structures that may be more informal to those that are more formal and legally binding are also relevant and that it is best to allow these evolutionary processes to help build governance instruments and mechanisms that are best suited to specific circumstances.

It may seem out of place to speak of mapping at this point in the process where most TFCA processes begin with the identification of land parcels that may work together across international boundaries, however this aspect is discussed at this point in the process for good reason, but also acknowledges that some lines on a map are necessary to facilitate the initiation processes, as well as those of establishment and development. While it may be true that TFCA proponents and practitioners are able to see the bigger picture at the technical level, there are many other aspects that need to be considered and therefore extreme caution is required when drawing lines on a map that include land in other countries. It is therefore recommended that any mapping associated with the process of initiating, establishing and developing TFCAs also be viewed as an evolutionary process with the boundaries of the initiative becoming firmer as the process evolves. Together with this is the detail associated with the boundaries i.e. that which is included within and is adjacent to the area in question, all of which is critical information that informs all the other aspects discussed in these Guidelines.

Assuming that the processes discussed up until this point have succeeded in securing stakeholder buy-in and that the relevant governance instrument and mechanisms are in place, it will now be possible to work constructively and progressively towards the development of a shared vision and a management framework that will help build a joint management plan. With this process and the

related products reflecting a hierarchy of statements that cascade from a shared long-term vision, through prioritised management objectives that hold to a medium-term time frame, to specific operational goals and action plans that need to be revised and updated annually; they must all focus on that which is relevant to the management of transfrontier dynamics. In theory it is more efficient to manage these dynamics collaboratively, but in reality the processes required to get to the point where this can be achieved and maintained can be costly. Therefore it is essential that this focus be maintained and that the theoretical benefits are realised as soon as possible so that all the effort is substantiated and the initiative is proven viable.

In relation to the viability of TFCA initiatives between SADC Member States it has already been stated in this summary that donor funding is a significant contributor at present. There are also examples within SADC where a number of initiatives have faulted as a result of donor funding not being available beyond their initial implementation phase. As also stated already most of the SADC TFCAs have failed to position themselves within the broader socio-economic landscape within which they are located. In other words they have not yet undertaken a full assessment of the suite of ecosystem goods and services that are produced and delivered as a result of the sustainable management of the natural resource base within their boundaries. As such their existence can easily be brought into question in the light of other development imperatives. So in addition to the need for long-term financial viability plans to be put in place, SADC TFCAs also need to better substantiate their existence by virtue of the contribution they make to the livelihoods of both affected communities and the economies of the host countries.

It is important that the processes that are discussed in this Guideline need to be seen as being cyclic and iterative, each with feedback mechanisms within and between them that help to inform and improve both preceding and subsequent steps. In this regard the aspect of monitoring and evaluation is a critically important aspect in that it is designed to ensure regular reflection on the extent to which the initiative is succeeding in its objectives and in the process of becoming established. There are many processes that have been developed by the conservation fraternity globally that are aimed at helping protected area managers assess the effectiveness of their management, as well as others at the broader scale of TFCAs. The SADC TFCA Network has embarked on a process of developing and implementing a system known as the Performance Appraisal Tool. It is recommended that this tool be applied throughout the SADC TFCAs as its purpose and that through this performance across the SADC Member States will be able to be tracked, and the tool itself will be subjected to review and improvements, ultimately helping to ensure that SADC TFCAs are well managed and deliver on their potential benefits.

Finally these Guidelines present the following over-arching principles against which the initiation, establishment and development of SADC TFCAs may be measured against. This list is not definitive but serves as a basis upon which other relevant principles may be added in time.

- The principles of sustainability must be at their core demonstrating ecological sustainability and the persistence of the biodiversity features related to the ecosystems being conserved, delivering tangible benefits to affected communities and having broad socio-economic relevance in terms of the ecosystem goods and services that are produced and delivered, and being managed efficiently while optimising their economic relevance and income generating opportunities.

- Objective pre- and feasibility assessments must test the viability of potential TFCAs in order to ensure that where initiatives are found to be potentially viable, that their establishment process builds upon and is well informed by the feasibility assessments.
- The process of establishing and developing TFCAs encompasses a series of steps that are essentially sequential, but may overlap substantially, as well as feeding back on each other in an iterative way, with each iteration improving on the next step and the process as a whole. As such the process must not be considered complete but rather evolving in a complex and dynamic environment within which practitioners need to remain vigilant and able to respond adaptively.
- TFCA processes must strive to be fully inclusive of all relevant stakeholders and to build strong trusting relationships through the facilitation of open, transparent and full disclosure processes, taking cognisance of the challenges of communicating across differences in languages, cultures, perceptions, historical backgrounds and political regimes.
- Sovereignty, land rights and access to resources, both natural and cultural, must be respected at all times.
- These Guidelines reflect the current understanding of what best practice is both globally and within the SADC region and will need to be revised and updated after a maximum of ten years of application.

Note that in addition to the above overarching principles, each of the sub-section discussions in Parts 2 and 3 of the Guidelines are concluded with a list of “Summary Guidelines”, i.e. those specifically pertaining to the preceding discussion.

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## Acronyms

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AR4 – Forth Assessment Report
AU – African Union
CAP – Climate Action Partnership
CBD – Convention on Biological Diversity
CITES - Convention on International Trade in Endangered Species of Wild Fauna and Flora
CMS - Convention on Migratory Species
COP – Conference of Parties
DBSA – Development Bank of Southern Africa
DEA – Department of Environmental Affairs
EI - Environment initiative
EU – European Union
FANR - Directorate for Food, Agriculture and Natural Resources
GEF – Global Environment Facility
GIS – Geographical Information System
ICIMOD – International Centre for Integrated Mountain Development
IPCC - Intergovernmental Panel on Climate Change
IUCN – International Union for the Conservation of Nature
KAZA – Kavango Zambezi
KfW - Kreditanstalt für Wiederaufbau
KSLCDI - Kailash Sacred Landscape Conservation and Development Initiative
M&E – monitoring and evaluation
MDG – Millennium Development Goals
MDTFCCA – Maloti Drakensberg Transfrontier Conservation and Development Area
MEA – Millennium Ecosystem Assessment
METT – Management effectiveness tracking tool
MoA – Memorandum of Agreement
MoU – Memorandum of Understanding
NDP - New Delhi Declaration on the Principles of International Law Related to Sustainable
NEPAD - New Partnership for Africa’s Development
NGO – Non-government Organisation
NSSD1 - National Strategy for Sustainable Development

OUTIZ - Okavango/Upper Zambezi International Tourism Initiative  
 PPF – Peace Parks Foundation  
 RAPPAM - Rapid Assessment and Prioritization of Protected Area Management  
 RBAP - Regional Biodiversity Action Plan  
 RBS - Regional Biodiversity Strategy  
 REDD - Reducing Emissions from Deforestation and Forest Degradation  
 RETOSA - Regional Tourism Organisation of Southern Africa  
 RISDP - Regional Indicative Strategic Development Plan  
 SADC – Southern African Development Community  
 SANBI – South African National Biodiversity Institute  
 SANParks - South African National Parks  
 SDG – Sustainable Development Goals  
 SERAC - Social and Economic Rights Action Centre  
 STEC - Transboundary Steering and Evaluation Committee  
 TBC – Transboundary conservation  
 TBC SG – Transboundary Conservation Specialist Group  
 TBCL/S - Transboundary conservation landscape and/or seascape  
 TEEB – The economics of ecosystems and biodiversity  
 TFCA – Transfrontier Conservation Area  
 TFCDA - Transfrontier Conservation and Development Area  
 TFCMA - Transfrontier Conservation Marine Area  
 TFCRA - Transfrontier Conservation and Resource Area  
 TFMC - Transfrontier migratory corridor  
 TFP – Transfrontier Park  
 UNCCD - United Nations Convention to Combat Desertification  
 UNESCO – United Nations Educational, Scientific and Cultural Organization  
 UNEP – United Nations Environment Programme  
 USA – United States of America  
 WCPA – World Commission on Protected Areas  
 WSTCU - Wildlife Sector Technical Coordinating Unit  
 WWF-SA – World Wide Fund for Nature – South Africa  
 ZEES – Zunckel Ecological + Environmental Services Development

## Glossary of Terms

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Considering that these Guidelines are not of a technical nature and are at a relatively generic level the use of jargon has been limited, and therefore also the list of terms explained in this Glossary. In addition to this many of the technical terms that have been used are either defined or explained in the text itself.

**Affected communities:** refers to communities that may be affected, either positively and/or negatively, by any actions associated with the establishment, development and/or management of a TFCA initiative. Such communities may be located within, adjacent to or beyond the boundaries of the TFCA.

**Buffer zone:** Areas designated for additional protection of a conservation area. Buffer zones are areas created to enhance the protection of a conservation area, often peripheral to it, inside or outside. Within Buffer zones, certain legal and/or customary restrictions are placed upon resource use and/or is managed to reduce the negative impacts of restrictions on the neighbouring communities.

**Core area:** within the context of transfrontier conservation options is likely to be the formally protected areas situated within a TFCA, but which will take on the designation given to it through any zoning process applied to the transfrontier conservation initiative, which is generally an area of greater conservation significance and requiring stricter access control and protection.

**Cultural Heritage:** refers to all aspects associated with cultural heritage from archaeological to living heritage, i.e. both past and present.

**Integrated development plan:** is a participatory approach to integrate economic, sectoral, spatial, social, institutional, environmental and fiscal strategies in order to support the optimal allocation of scarce resources between sectors and geographical areas and across the population in a manner that provides sustainable growth, equity and the empowerment of the poor and the marginalised.

**Joint management plan:** is the same as an integrated development plan with the difference being that it is applied to a finer scale such as a TFP.

**Joint management board:** is a governance mechanism established to guide, enable and monitor the establishment, development and management of a transfrontier conservation initiative.

**Management planning framework:** refers to the initial long-term statements upon which the detailed joint management planning may be based, i.e. the shared vision and management objectives for the establishment and development of a TFCA.

**Role players:** refers to government officials and agencies who have legal mandates and responsibilities towards the establishment, development and management of a transfrontier conservation initiative.

**Stakeholders:** refer to community and non-government groups, organisations and individuals who have an interest in and/or are affected by a transfrontier conservation initiative, but do not have a legal mandate related to the initiative.

**Sustainable use:** means the responsible utilisation and management of natural resources in ways and at a rates that do not lead to the long-term decline of these resources and the wildlife species and habitats within them.

**TFCA Practitioner:** refers to any individual, i.e. government official or NGO employee, who has a responsibility to work on any aspect of TFCA establishment and development.

**TFCA Proponent:** may be the same as a practitioner but specifically relates to those involved in the initial stages of TFCA initiation and feasibility assessment.

## 1 Introduction

The Southern African Development Community's (SADC) Secretariat, in collaboration with Member States, developed and presents these Guidelines for the development and establishment of Transfrontier Conservation Areas (TFCA's) for the SADC region.

The SADC fifteen year Regional Indicative Strategic Development Plan (RISDP) developed in 2003, underwent a reviewed progress for its implementation for the period of 2005 to 2010, and published a report in 2011 (SADC, 2011). This report refers to the development of a SADC Framework on Transfrontier Conservation Areas, which was approved by the Integrated Committee of Ministers in 2007. These strategies, together with the SADC Protocol on Wildlife Conservation and Law Enforcement (SADC, 1999), clearly indicate that Transfrontier Conservation Areas hold the potential to deepen regional cooperation, promote peace and stability, ensure the sustainable utilisation of natural resources, as well as providing economic development opportunities through nature-based tourism.

More recently the SADC TFCA Programme identified eighteen (18) existing and potential, terrestrial and marine TFCAs in SADC at different stages of development (see Section 5 for more detail) and recognised that these TFCAs are not developing uniformly across the region. Instead, they differ considerably in spatial parameters, land use categories, level of cooperation between participating countries, and the extent of participation of locally affected communities. Despite the potential benefits of TFCAs, the processes of their establishment between the SADC Nations are limited:

- Through limited capacity of stakeholders including the Governments Departments, private sector and the local communities to take advantage of opportunities offered by TFCAs;
- Because TFCA officials are not fully equipped with the necessary skills to roll out the conservation development concept and reach out to communities;
- Lack of basic infrastructure such as access roads across international boundaries and to specific tourist attractions; and
- Narrow focus on wildlife instead of embracing all transboundary natural resources in TFCAs.

There remains however a commitment within the SADC region to promote the establishment and development of TFCAs but in doing so to ensure that:

- Local communities are actively integrated into the process through direct involvement and participation in the planning and decision making processes of natural resources management actually realise tangible benefits that work towards the alleviation of poverty;
- The consumptive and non-consumptive utilisation of natural resources is managed within thresholds of sustainability;
- The full suite of opportunities inherent within the natural resource base of these TFCAs is realised to the extent that they provide broader economic development platforms for public/private partnerships and investment opportunities; and
- The projected risks and implications of climate change are reduced with substantial contributions to social and economic resilience.

In order to achieve this it is recognised that the enabling environment which has already been created through the various SADC strategies and structures, needs to be enhanced through the

harmonisation of the relevant legal and policy frameworks of the SADC Nations. At a more detailed level it is the shared interpretation and understanding of these mechanisms that also needs to be brought about. It is so often the case that the legal, political, socio-economic, cultural and other differences that exist between countries frustrates cooperation efforts; and therefore Guidelines are required in order to provide a common frame of reference for the development and establishment of TFCAs in the SADC region.

### **1.1 A Brief Historical Perspective on SADC TFCAs**

It has been suggested that the colonial history of southern Africa and the artificial division of land has provided a natural platform from which to launch TFCA initiatives (Ron, 2007). Communities split by political borders have continued to cooperate on the use and management of natural resources and are therefore relatively open to the establishment and development of TFCAs. This coupled with the fact that these political boundaries have invariably ignored natural boundaries and fragmented ecosystems, has provided little resistance to the drive for the establishment of TFCAs within the SADC region. Although the Kgalagadi Transfrontier Park predates this drive, i.e. having been established in 1999 after many years of cross-border cooperation at the ground level, the bulk of the TFCA initiatives within the SADC region were catalysed by a regional approach that began to gain momentum after South Africa's new democracy had been established.

Key figures in this regional approach are the late Drs Anton Rupert and Nelson Mandela, and the Peace Parks Foundation (PPF). Within his capacity as president of WWF-SA, Dr Rupert had a meeting in Maputo with Mozambique's President Joaquim Chissano on 27 May 1990, to discuss the possibilities of establishing a permanent link between some of the protected areas in southern Mozambique and their adjacent counterparts in South Africa, Swaziland and Zimbabwe (PPF, 2014). Despite the political difficulties prevalent in South Africa's transition to a democracy in the early 1990's Dr Rupert persisted and a number of feasibility studies were commissioned which, together with the resurgence of the tourism industry and the first two years of Dr Mandela's leadership of South Africa, led to an agreement between the two countries to work towards achieving the promised economic benefits of cross-border collaboration within the context of potential TFCAs.

In addition to this focus on southern Mozambique and its neighbours were other initiatives which recognised the potential of cross-border collaboration and the link between TFCAs and the potential economic development associated with nature-based tourism. Hall-Martin and Modise (2002) refer to the Okavango/Upper Zambezi International Tourism Initiative (OUZIT), various Spatial Development Initiatives, the Four Corners Project, etc. It was thus becoming more evident that interest in the concept of 'peace parks' or TFCAs was growing and WWF-SA took a decision to establish a separate body to co-ordinate, facilitate and drive the process of TFCA establishment and funding, and to ensure that the concept became a reality (PPF, 2014). This resulted in the establishment of the Peace Parks Foundation on 1 February 1997, with President Nelson Mandela as its Patron.

With the PPF being based in South Africa it is understandable that the first TFCAs in southern Africa were established between South Africa and its neighbouring countries. These were promoted and supported by several donors and NGOs, with the most prominent role undertaken by PPF as

reported by Ron (2007). The broader implementation of the concept within SADC began to gain momentum as a result of the Hall-Martin and Modise (2002) study into the status of existing and potential TFCAs in the SADC region. This study was commissioned by the Steering Committee of the Okavango/Upper Zambezi International Tourism Initiative (OUZIT), as part of the Spatial Development Initiatives Programme of the Development Bank of Southern Africa (DBSA). It was approved by the Regional Tourism Organisation of Southern Africa (RETOSA), and was jointly funded by the PPF and the DBSA. The emphasis of this study was on the potential impact TFCAs could have on the development of SADC with particular reference to the contribution of nature-based tourism. Hall-Martin and Modise (2002) found that there were already 22 existing or potential TFCAs, all at various stages of conception or establishment.

It may thus be generalised that the manifestation of the TFCA concept between SADC countries has evolved from a broad regional approach. While this approach existed within nodes of potential, the emergence of the PPF and the Hall-Martin and Modise (2002) report, provided the platform and resources to catalyse further implementation under the auspicious and support of the SADC Wildlife Sector.

## **1.2 The Aim of these Guidelines**

Collaboration between SADC Member States on issues of wildlife management is not new and has been happening to varying degrees for decades. However, Transfrontier Conservation initiatives may be used to assist in the realisation of stated policies as captured in the various SADC protocols and treaties, particularly the SADC Protocol on Wildlife Conservation and Law Enforcement. These Guidelines aim to integrate the latest global thinking and best practice in terms of the conservation of nature and the role that the natural environment plays in securing societal well-being, economic resilience and disaster risk management, from the perspective of Transfrontier collaboration.

Very importantly, these Guidelines are also a frame of reference which all stakeholders, in addition to TFCA practitioners, will be able to use to assess and measure the progress and effectiveness of Transfrontier Conservation initiatives, at any stage of development. As such they will be able to gauge the extent to which they are able to contribute and participate, as well as manage expectations in terms of potential benefit flows, governance requirements, stakeholder engagement, etc. This is relevant to the many existing TFCA initiatives, as well as new ones.

While these Guidelines have been compiled to reflect and draw on both global and SADC best practice and lessons learnt, they will need to be revised and updated after a period of time, which should not exceed more than ten years. The frequency of review needs to be sensitive to the rate of change in the region and may need to be as frequent as every five years.

As such they aim is to provide a common point of departure and/or source of reference for TFCA proponents and practitioners who:

- a) recognise the potential value of Transfrontier Conservation collaboration and wish to work towards the establishment of a new initiative;
- b) are in the process of establishing an initiative and require a basis upon which to ensure that their approach is following good practice; and/or

- c) are managing an established initiative and require a frame of reference against which they can measure the effectiveness of their work, and enhance their performance.

### 1.3 The Guideline Principles

The development of these Guidelines has been based on the progress made with the initiation, establishment and development of Transfrontier Conservation initiatives between SADC countries, and on the many valuable lessons that have been learnt and the best practice that has been developed, both within the SADC region, as well as globally.

#### 1.3.1 Benefits beyond Boundaries

The thinking that is captured in the various SADC policies largely reflects that which has consistently come out of global conservation forums such as the IUCN World Parks Congress that was held in Durban, South Africa in 2003; and that is:

- the need for there to be tangible benefits beyond the boundaries of protected areas, and more specifically
- that they need to be socially and economically relevant within the broader landscape within which they are located.

However, what has not been captured in these policies is the strongly emerging acceptance that where our natural resource base is sustainably managed, it produces and delivers strategically important ecosystem goods and services that are vital to counteract social and economic vulnerability and to help build resilience. This concept is possibly best captured and illustrated through the work of the Millennium Ecosystem Assessment (MEA, 2005) which has been used extensively in the discussion in Section 4.3 and which relates to the potential socio-economic relevance of TFCAs.

While the intrinsic, ethical and moral values associated with the conservation of biodiversity are upheld as part of the motivation behind TFCAs, it is recognised that, in order for these values and features to persist, they need to have socio-economic relevance. These Guidelines provide TFCA proponents, practitioners and stakeholders with substantial guidance as to how they may be able to demonstrate and realise tangible benefits from transfrontier collaboration in nature conservation for affected communities.

#### 1.3.2 Sustainable Development

The need for solutions to environmental degradation and unsustainable development emerged strongly in the 1960s and 70s and culminated in the “Our Common Future” report from the Brundtland Commission in 1987 which included, what is considered to be the ‘classic’ definition of sustainable development, namely:

**“development which meets the needs of the present without compromising the ability of future generations to meet their own needs.”**

For the purposes of these Guidelines, the components of sustainability may be articulated as follows:

- The persistence of renewable natural resources is dependent upon their levels of utilisation being managed within known thresholds and linkages within broader ecosystem functionality;
- Social well-being and economic resilience are absolutely dependent upon the persistence of healthy functioning ecosystems that are able to host the renewable natural resources upon which all life depends; and
- Strong capacitated governance systems are essential to ensure that social and economic utilisation of the natural resource base remains within the thresholds of sustainability.

On the basis of the above the establishment and development of TFCAs also needs to meet these conditions and as such must meet the criteria of being:

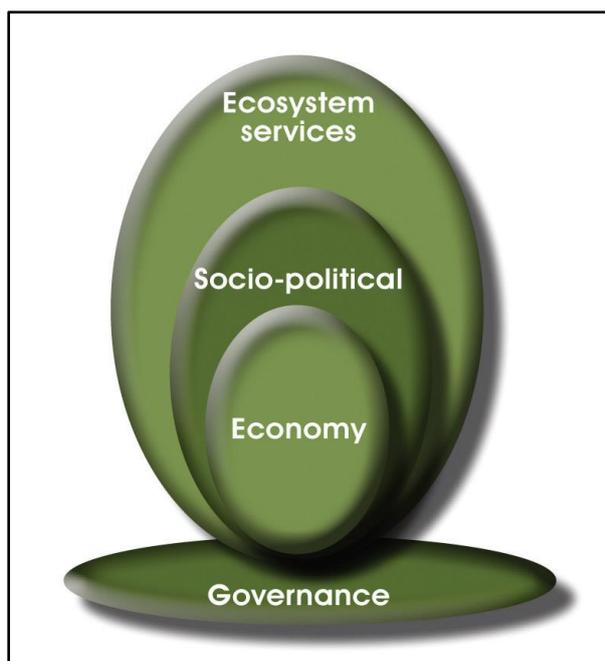
- Managed in a way that ensures the persistence of biodiversity features within healthy and functioning ecosystems;
- Strongly linked to affected communities so that the TFCAs are seen as being of social significance and relevance through the delivery of direct and indirect benefits; and
- Managed to ensure operational efficiencies and income generating opportunities are optimised.

In their perspective on the necessary convergence of Millennium Development Goals (MDG) and Sustainable Development Goals (SDG), Rijnhout et al (2014) underpin these conditions even more by highlighting the need for a fully transformed development agenda where environmental sustainability is put at its core. A comparison between the MDG and SDG is provided in Table 1 and the relevance of the inclusion of this comparison is because of the high expectations placed on SADC TFCAs to contribute to the broader development agenda.

**Table 1: The main differences between the MDG and SDG approaches (© Rijnhout et al, 2014)**

<b>MDGs</b>	<b>SDGs</b>
Development	Sustainable well-being
Focus on developing countries	Focus on all countries
Aid and Trade agenda	Human Rights, Justice and meaningful livelihoods
No recognition of planetary boundaries	Living within the limits of the resources of one planet
Environment is seen as secondary priority, economic development first	Environment (natural resources, healthy ecosystems) is basic for developing well-being

The South African Department of Environment Affairs produced a National Strategy for Sustainable Development (NSSD1) (DEA, 2011) which reflects what has been stated above, but introduces an aspect that is crucial for Transfrontier Conservation, namely governance. The NSSD1 clearly illustrates that society and the economy are nested within the boundaries of the natural resource base, and that where the latter is unsustainably utilised or managed, it will result in increased socio-economic vulnerability. The responsibility of ensuring that the relationships between these three components of sustainability are maintained brings in the need for strong governance, and this is illustrated in Figure 1.



**Figure 1: The components of sustainable development as per the South African National Strategy for Sustainable Development (© DEA, 2011)**

It is worthwhile noting that in this illustration the natural resource component is referred to as “ecosystem services”. In light of the discussion in Section 4.3, it is in the delivery of ecosystem services that much of the value of the natural resource base may be realised.

As a final word to reinforce the relevance of a new sustainable development paradigm to underpin these Guidelines, Rijnhout et al (2014) point out that the conventional development paradigm is that poverty leads to environmental degradation, so international cooperation promotes development models worldwide. By contrast, the sustainability paradigm tells us this push for industrial and export-oriented

development leads to irreversible environmental degradation, which leads to even more structural poverty. In reality, poverty in rural areas and extreme poverty in urban areas leads

to environmental degradation only when the three pillars of sustainability fail to deliver the enabling legal, economic and social environment for people to exit the “poverty trap”.

## 1.4 The Intended Audience of these Guidelines

Just as Transfrontier Conservation is a complex and dynamic approach to achieving a variety of conservation related objectives at a multi-national scale, so is the list of stakeholders for whom these Guidelines are intended. . In the SADC region there are five recognisable categories of audience namely:

1. Protected area managers: officials responsible for managing conservation areas that share one or more international boundaries and Non-governmental Organisation (NGO), including those who recognise the potential value of a Transfrontier Conservation initiative and wish to know how best to go about assessing its feasibility.
2. High-level decision-makers - Contrary to the ‘bottom-up’ scenario is a more strategic and high-level approach where senior decision-makers follow a systematic process of identifying potential areas for collaboration, and here the Guidelines may be used to empower their processes.
3. Affected communities: In recognition of the principle of “benefits beyond boundaries” that was discussed in Section 1.3.1, affected communities may use these Guidelines as a checklist of what they could expect from the proponents of a Transfrontier Conservation process, and as such be able to manage their expectations and hold decision-makers accountable. Also the Guidelines will assist communities to know where and how they may be actively involved in TFCA processes.

4. Government agencies: Other government agencies that hold responsibilities associated with working across international borders are key to making sure that a Transfrontier Conservation initiative is able to gain traction and ultimately be established. It is therefore essential that they also use these Guidelines as a checklist for what should most likely take place en route to achieving the stated objectives of the initiative and where and how they may be involved.
5. Countries that border SADC countries: While all of the above has been listed with a narrow focus of role players and stakeholders within the SADC region, it is true that Transfrontier Conservation is a globally relevant concept to which these Guidelines may add value. Of greatest relevance are those countries that border SADC countries and who are and/or may be engaging in Transfrontier Conservation negotiations. Otherwise there are academics and researchers, both within and beyond the SADC region, that may use these Guidelines as a benchmark against which to assess the performance of the various SADC Transfrontier Conservation projects.

Further to these are a myriad of related stakeholders who may have both a direct or indirect interest in TFCAs, and their identity will vary with geography and governance contexts. An important example of these stakeholders is the NGO community who have and continue to play a significant role in SADC TFCAs.

It is noted that the above has been kept at a broad level and has not provided detail of who these Guidelines carry relevance for. This is in recognition of the fact that these processes are complex and dynamic, and hence it is not possible to provide a comprehensive list. Each TFCA process will need to identify their relevant stakeholders based on the categories provided.

## **1.5 The Guideline Compilation Process**

A brief commentary on this process and a record of the SADC TFCA practitioners who have been involved and contributed is provided in Appendix A.

## **1.6 The Structure of the Guidelines**

These Guidelines have been deliberately structured into three main parts. The first part, from Section 1 to Section 5, provides background and contextual inputs. The second part, Section 6, addresses the aspects of TFCA initiation, while the third part moves into the aspects relevant to the establishment and development of Transfrontier Conservation initiatives. Both Sections 6 and 7 have been structured to reflect a sequential process, assuming that the processes required to assess the feasibility of and to establish and develop a TFCA will follow these logical steps. It is however acknowledged that there may well be instances where this assumption is inappropriate and that the order of the process may change, although this is not recommended. It may also be that certain steps require a number of iterations before the process may proceed further. Once again the dynamic and complex nature of Transfrontier Conservation is recognised and acknowledged and the simplified structure of these Guidelines must not be seen as an attempt to simplify the process.

It is worthwhile noting that Hall-Martin and Modise (2002) largely reflect this structure in their recommendations on a way forward for SADC TFCAs. They list five sequential steps that have a

regional context, but which include the basic requirements of (i) feasibility assessments, (ii) the development of capacity and governance structures, (iii) joint management planning and resourcing, and (iv), the development of an information management system.

## PART 1:

### BACKGROUND AND CONTEXTUAL INFORMATION

## 2 Definitions

Two primary sources have been used to provide the definitions relevant to these Guidelines:

1. The definitions that have been articulated for the revised IUCN Transboundary Conservation Best Practice Guideline referred to in Section 1.5. These were discussed at length at the “International workshop on defining transboundary conservation principles”, held from 16-18 October 2013 at the Thayatal National Park in Austria.
2. The definitions extracted from the SADC Protocol on Wildlife Conservation and Law Enforcement (SADC, 1999), although it is acknowledged that the Protocol is in the process of being revised and updated, hence it is proposed that the definitions provided in Section 2.3 be used to inform this revision process.

The definitions were then subjected to further review and discussion at the SADC TFCA Practitioner’s workshop in Luanda on 24 and 25 April 2014. The outcome of this process informs the basis for these Guidelines.

### 2.1 IUCN Transboundary Conservation Best Practice Guideline Definitions

It must be noted that while these definitions have been subjected to rigorous discussion and numerous iterations within the Transboundary Conservation Specialist Group (TBC SG) which is compiling the revised IUCN Guidelines, they are still to be subjected to external review and may be amended. However, they were accepted as a robust point of departure by the SADC TFCA Practitioners at the Luanda workshop. Included with these definitions are the explanations provided by the TBC SG (Vasiljević et al, in process).

#### **Transboundary Conservation**

Transboundary conservation is a process to achieve conservation goals through the shared governance and cooperative management of ecosystems and/or species across one or more international boundaries.

#### **Transboundary Protected Area (TBPA)**

A transboundary protected area is a clearly defined geographical space that includes protected areas<sup>1</sup> that are ecologically connected across one or more international boundaries and are cooperatively managed.

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<sup>1</sup> A protected area is “a clearly defined geographical space, recognized, dedicated and managed, through legal or other effective means, to achieve the long-term conservation of nature with associated ecosystem services and cultural values.” (Dudley, 2008)

Phrase	Explanation
Clearly defined geographical space	Comes directly from the IUCN definition of a protected area, which defines this phrase as including <i>“land, inland water, marine and coastal areas or a combination of two or more of these. “Space” has three dimensions, e.g., as when the airspace above a protected area is protected from low-flying aircraft or in marine protected areas when a certain water depth is protected or the seabed is protected but water above is not: conversely subsurface areas sometimes are not protected (e.g., are open for mining). “Clearly defined” implies a spatially defined area with agreed and demarcated borders. These borders can sometimes be defined by physical features that move over time (e.g., river banks) or by management actions (e.g., agreed no-take zones)”</i> (Dudley, 2008).
Protected areas	IUCN defines a protected area as <i>“a clearly defined geographical space, recognized, dedicated and managed, through legal or other effective means, to achieve the long-term conservation of nature with associated ecosystem services and cultural values”</i> (Dudley, 2008).
Ecologically connected	Expresses the notion that the individual protected areas within a Transboundary Protected Area have some type of ecologically important connection. Note that this does not explicitly state that the protected areas are required to straddle the international boundary, but instead that there is an ecological connection in spite of a potential separation, as in the case of protected areas separated by a buffer zone.
International boundaries	Refers to the international boundaries between countries and specifically does not refer to boundaries between sub-national units.
Cooperatively managed	Draws directly on Dudley (2008), which states that this <i>“assumes some active steps to conserve the natural (and possibly other) values for which the protected area was established; note that “managed” can include a decision to leave the area untouched if this is the best conservation strategy.”</i>  Cooperative management assumes existence of formal and/or informal interaction between relevant stakeholders in a transboundary entity in implementing the specific management decisions. It can include elementary levels such as communication or information sharing, or advanced levels such as joint implementation of actions.

### **Transboundary Conservation Landscape and/or Seascape (TBCL/S)**

A transboundary conservation landscape and/or seascape (TBCL/S) is a cooperatively managed ecologically connected area that sustains ecological processes and crosses one or more international boundaries and which includes protected areas as well as multiple resource use areas.

Phrase	Explanation
Sustains ecological processes	Indicates the importance of the specific area for care, protection, and sustainable use of the natural resource base and ecosystem goods and services it produces in a manner analogous to the long-term

	conservation of nature and associated ecosystems in protected areas.
Multiple resource use areas	Assumes areas under governmental, communal, or private control, used for a variety of purposes and sustainably managed. Directly referring to IUCN protected area management category VI, this phrase implies areas of <i>“low-level non-industrial use of natural resources compatible with nature conservation”</i> (Dudley, 2008).

### Transboundary Migratory Corridor

Transboundary migratory corridors are areas of wildlife habitat across one or more international boundaries, which are ecologically connected, are necessary to sustain one or more biological migratory pathways, and are cooperatively and sustainably managed.

Phrase	Explanation
Areas of wildlife habitat	Implies natural areas populated by species of animal, plant and/or other type of organism.
Necessary to sustain	Provides for the maintenance of at least a minimum ecologically acceptable standard of a migratory pathway in perpetuity.
Biological migratory pathways	Builds on the idea of protecting and/or rehabilitating natural connectivity among habitats to allow maintenance of the dispersal of species within and between ecosystems at the landscape and/or seascape level. “Landscape” in this context is addressed as <i>“an area, as perceived by people, whose character is the result of the action and interaction of natural and/or human factors”</i> (Council of Europe, 2004).
Sustainably managed	Indicates management of wildlife habitats in such a way to ensure long-term conservation of biological diversity.

### Park for Peace

A Park for Peace is a special designation that may be applied to any of the three types of transboundary conservation areas that is dedicated to the promotion, celebrations, and/or commemoration of peace and cooperation.

## 2.2 SADC Protocol on Wildlife Conservation and Law Enforcement Definitions

The following definitions relevant to these Guidelines are listed in this Protocol (SADC, 1999):

**Community based wildlife management:** means the management of wildlife by a community or group of communities which has the right to manage the wildlife and to receive the benefits from the management.

**Conservation:** means the protection, maintenance, rehabilitation, restoration and enhancement of wildlife and includes the management of the use of wildlife to ensure the sustainability of such use.

**Sustainable use:** means use in a way and at a rate that does not lead to the long-term decline of wildlife species.

**Transfrontier conservation area:** means the area or the component of a large ecological region that straddles the boundaries of two or more countries encompassing one or more protected areas, as well as multiple resources use areas.

**Taking:** means the hunting, killing, injuring, capturing, harassing, collecting, picking, uprooting, digging up, cutting, destruction and removal of any species of wildlife and include any attempt to engage in such conduct.

**Wildlife:** means animals and plant species occurring within natural ecosystems and habitats.

Note again that it is possible that these definitions may be amended when the Protocol is revised and updated.

### 2.3 Definitions Applicable to this Guideline

The definitions applicable to this Guideline are similar to those being put forward in the revised IUCN Guideline with the exception of the term ‘transboundary’, here is replaced with ‘transfrontier’, and the term ‘cooperation’, here replaced with ‘collaboration’. The former replacement has no significance and is simply a semantic preference of SADC. The latter is also a semantic preference but with the rationale that to ‘collaborate’ implies a stronger commitment than to ‘cooperate’. The explanations provided in Section 2.1, however still remain relevant despite these changes. All other terms requiring explanation are included in the Glossary of Terms in Section 0.

#### **Transfrontier Conservation**

Transfrontier conservation is a process to achieve conservation goals through the shared governance and collaborative management of ecosystems and/or species across one or more international boundaries.

#### **Transfrontier Park (TFP)**

A transfrontier park is a clearly defined geographical space that includes protected areas that are ecologically connected across one or more international boundaries and are collaboratively managed.

#### **Transfrontier Conservation Marine Area (TFCMA)**

A transfrontier conservation marine area is a collaboratively managed ecologically connected marine area that sustains ecological processes and/or cultural values and crosses one or more international boundaries and which includes marine protected areas as well as multiple resource use areas.

#### **Transfrontier Conservation and Development Area (TFCDA)**

A transfrontier conservation and development area is a collaboratively managed ecologically connected terrestrial, freshwater and/or marine area that sustains ecological processes and/or cultural values and crosses one or more international boundaries and which includes protected areas as well as multiple resource use areas, and within which the objectives of conservation and development are strived towards in a symbiotic and mutually inclusive way.

### **Transfrontier Conservation and Resource Area (TFCRA)**

As above.

### **Transfrontier Conservation Area (TFCA)**

It is recommended that the term “TFCA” be used as one that encompasses TFCMA, TFCDAs and TFCRAs and therefore may be defined as follows:

A **transfrontier conservation area** is a collaboratively managed ecologically connected terrestrial, freshwater, and/or marine area that sustains ecological processes and/or cultural values and crosses one or more international boundaries and which includes protected areas as well as multiple resource use areas from which tangible benefits are realised for affected communities.

It is reiterated here that this definition differs from the current Protocol definition and that it is proposed that it be used to inform the revision and updating of the Protocol.

### **Transfrontier Migratory Corridor (TFMC)**

Transfrontier migratory corridors are areas of wildlife habitat across one or more international boundaries, which are ecologically connected, are necessary to sustain one or more biological migratory pathways, and are collaboratively and sustainably managed.

### **Park for Peace**

A Park for Peace is a special designation that may be applied to any of the three types of transboundary conservation areas that is dedicated to the promotion, celebrations, and/or commemoration of peace and cooperation.

### **Transboundary World Heritage Site**

Transboundary World Heritage Sites are UNESCO World Heritage Sites designated on each side of an international boundary and which are collaboratively managed.

### **3 The Legal and Policy Framework**

This Section provides a brief overview of the AU and SADC legal and policy framework enabling the establishment and development of TFCAs. TFCAs need to operate within the confines of such an enabling framework in order to be legally recognised and relevant. This is confirmed by the current IUCN definition of a Transboundary Protected Area (similar to a TFP) in describing that such area needs to be “managed co-operatively through legal or other effective means” (Sandwith *et al*, 2001). The importance of law and policy is again reiterated by article 5(3) of the Treaty on the Establishment of the Great Limpopo Transfrontier Park, 2002, and article 6(3) of the Treaty on the Establishment of the Ai-Ais/Richtersveld Transfrontier Park. These articles indicate that the joint management plans of the TFCAs needs to be drafted according to regional and sub-regional law and policy.

#### **3.1 Status quo of the enabling legal and policy framework**

TFCAs are multi-faceted and diverse mechanisms to further biodiversity conservation (Sandwith and Besançon, 2005). As a consequence, the issues that need to be addressed and catered for by a legal and policy framework present the legislature with a conundrum. Two main goals that are interlinked and interdependent are observed to be central to TFCAs. These are sustainable development and biodiversity conservation (Lubbe, forthcoming 2014). In order to establish the status quo of the existing legal and policy framework, this Section will confine itself to the provisions relevant to the two goals identified above. Before providing the status quo on the legal and policy framework, this Section will briefly discuss the relevant context influencing existing law and policy as well as the influence on new law and policy.

##### **3.1.1 Context of law and policy in Africa**

Colonialism changed the face of governance on the African continent. Much has been written on this subject and the discussion will be limited to its relevance to TFCAs. Colonialism divided Africa into segments confining the conservation and management of biodiversity to man-made boundaries. As colonial rule faded and Africa gained a new found independence, states revelled in their sovereign rights and the result was a hesitant, and sometimes absent, participation in the supra-national legal arena (Abi-Saab, 1962; Anand 1966; Osman 1979; Maluwa 2000; and Maluwa 2002). In sum, colonialism led to fragmented approaches towards natural resource governance and exploitation and a higher regard for sovereignty, with this higher regard for sovereignty leading to a restriction of cooperation across boundaries. Sovereignty poses the aforesaid challenge worldwide and it is not unique to Africa as it is a fundamental principle of statehood. The legacy of colonialism however, provides an accentuated tone to sovereignty in the African context. Bowman and Redgwell (1996) poignantly describe the global challenge presented by sovereign borders and biodiversity in stating that: “[i]t has become common to observe that the natural environment knows no political boundaries and that the traditional regime of resource exploitation, grounded primarily in the notion of national territorial sovereignty, requires to be replaced by more overtly collectivist approaches” (Bowman and Redgwell, 1996). It would seem that TFCAs provide an ideal mechanism to serve as such “overtly collectivist approaches”.

### 3.1.2 African Union Law and Policy

The African Charter on Human and Peoples' Rights, 1981 (African Charter) contains a so-called 'environmental right' in article 24 which states that: "[a]ll peoples shall have the right to a general satisfactory environment favourable to their development." This provision was regarded as a pioneering development in international environmental law at the time (Van der Linde, 2002). Article 24 is interpreted by the African Commission on Human and Peoples' Rights to place a duty on states to "secure ecologically sustainable development and [the] use of natural resources" (SERAC Communication, 2001). The African Charter, as interpreted in the SERAC (Social and Economic Rights Action Centre) Communication, therefore appears to provide the enabling mandate for sustainable development and biodiversity conservation.

The African Convention on the Conservation of Nature and Natural Resources, 1968 (African Convention) provides the AU with an environmental framework convention. The African Convention provides in its preamble that natural resources must be utilised to satisfy the needs of man according to the carrying capacity of nature. The African Convention requires States to adopt principles to conserve water, soil, as well as *fauna* and *flora* in accordance with scientific principles and in the best interest of the people. Hence, the Convention places a duty on contracting parties to develop and adopt policy and legislation to promote and facilitate the principles needed to conserve and manage soil, water, *fauna* and *flora* resources. This potentially gives effect to both biodiversity conservation and sustainable development albeit very vaguely.

Interestingly, a 'higher' responsibility is placed on states where a specific endangered species is regarded as endemic to that state. In theory then, where a State is considered to have a biodiversity hotspot/s, that State may have stricter responsibilities under the Convention due to the high levels of biodiversity endemism found in it, for example. Furthermore a duty is placed on contracting parties to protect existing conservation areas and to establish new ones, taking into account land - use management programs. As a whole, the Convention serves as a guiding instrument as to what measures should be taken by African states and to this effect may serve as an instrument for policy alignment and harmonisation. The Convention touches on aspects of biodiversity conservation and sustainable development but having been drafted in 1968, it is out of pace with the requirements and shifting conservation paradigms encapsulated in TFCAs. Perhaps one of the greatest shortcomings of the current Convention is the lack of institutional arrangements such as a Conference of Parties (COP) and a Secretariat. The revised Convention may improve this situation and by establishing both a COP and Secretariat as mechanisms for the enforcement and implementation of the Convention. As a result of these shortcomings, a more comprehensive and revised version of the African Convention has been tabled in 2003.

The revised Convention is more in pace with contemporary environmental law and challenges. It recognises issues such as sustainable development and the importance of endemic biodiversity and uses these contemporary concepts in provisions serving as guidelines for AU Member States in the adoption of legislation and policy. Of particular importance for transfrontier conservation, are the extensive provisions relating to cooperation, generally. Emphasis is placed on cooperation relating to the harmonization of law and policy in particular, amongst others, where natural resources or ecosystems traverse national borders. It is further provided that parties *shall* cooperate in the management, development and conservation of these transfrontier areas. Hence, a duty is placed on parties to cooperate specifically in transfrontier areas. The revised Convention provides a

potential solid framework for inter-state cooperation through TFCA's by comprehensively covering biodiversity conservation and sustainable development and explicitly recognising a duty of cooperation where sustainable use and conservation of biodiversity is concerned in transfrontier settings. Unfortunately the revised Convention is not yet in force and for all practical purposes remains a policy document. This has long been a challenge for substantive law-making at AU level in post-colonial Africa (Kalima 2011; Murombo 2011; and Maluwa 1999). The revised Convention needs 15 instruments of ratification to enter into force and to date, although 42 African states have signed the revised Convention, only 12 instruments of ratification have been deposited. This is perhaps alarming as the revised Convention has been tabled for more than 10 years and even if it should come into force it will be out of date with current challenges and developments. Notwithstanding, it provides insight as to the intent of the African legislature and the importance of TFCA's on the legal agenda at AU level.

Regarding marine living resources the Convention for the Protection, Management and Development of the Marine and Coastal Environment of the Eastern African Region, 1985 and the Convention for the Protection, Management and Development of the Marine and Coastal Environment of the West African Region may also find peripheral application. The Conventions will only find application insofar they have been ratified by a specific SADC member state.

The Lusaka Agreement on Cooperative Enforcement Operations Directed at Illegal Trade in Wild Fauna and Flora, 1996 (Lusaka agreement) also emphasises the importance of biodiversity conservation and sustainable development. Although the Lusaka agreement is not strictly considered to be AU law, it was developed by eastern and southern African countries and therefore applies to SADC. The main aim of the Lusaka agreement is to eliminate the illegal trade in wild *fauna* and *flora* and in so doing conserve biodiversity leading to sustainable development. The Agreement deals largely with institutional arrangements in order to establish a 'task force' for the elimination of illegal trade and unfortunately does not provide guiding measures for TFCA practitioners as to how to combat illegal trade within these areas. Reliance will have to be made on the task force of the Lusaka agreement.

The Task Force operates from Nairobi and facilitates activities between the National Bureaus established under the agreement (currently these include Lusaka, Congo, Kenya, Tanzania, Uganda, Zambia, Liberia and Lesotho). As can be seen from the foregoing, it is unfortunate that not all SADC countries have designated National Bureaus to partake in the Task Forces' activities.

Notwithstanding, the Lusaka agreement operates well and the Task Force seem to be active in the field ([www.lusakaagreement.org](http://www.lusakaagreement.org)). The agreement and Task Force may provide the ideal platform to tackle current issues of wildlife crime. This potential is shown by their successful operation named 'Operation Cobra' where significant seizures and arrests were made in Asia, Africa and America in February 2014 ([www.lusakaagreement.org](http://www.lusakaagreement.org)).

Turning to policy, the New Partnership for Africa's Development (NEPAD) program aims to achieve sustainable development in the 21<sup>st</sup> century (NEPAD Framework Document, 2001). NEPAD identifies conditions proposed to be conducive to sustainable development as well as sectoral priority areas crucial to the achievement of sustainable development. These are: peace; security; democracy; good governance; human rights; and sound economic management. The point of departure is that, if these conditions are present and in good order, sustainable development is more likely to be

achieved. Accordingly, for TFCAs to be successful, the inference will be that these conditions are a prerequisite. Complimenting the conditions, are the sectoral priority areas. These are:

- bridging the infrastructure gap;
- human resource development initiative, including reversing the brain drain;
- agriculture; culture; science and technology platforms; and
- the environment initiative.

Of specific importance to TFCAs is the environment initiative (EI) as it speaks directly to sustainable development and the environmental component thereof. The premise of the EI is that a healthy and productive environment is a prerequisite for reaching the main goal of NEPAD – sustainable development.

The traditional view being that sustainable development is a concept consisting of three pillars (environment, social and economic) aiming to achieve intra- and intergenerational equity (Feris, 2010; Shrijver, 2008; Voigt, 2009; Field, 2006; Futrell, 2004; and Marong 2003). This traditional view is further refined when adding the concept of governance as the integrating factor between the pillars (South African National Strategy for Sustainable Development and Action Plan 2011). It is here where law and policy plays an extremely important part as it facilitates the governance and thus empowers the integration and ultimately sustainable development. The concept of sustainable development is of extreme importance in TFCAs (see the discussion in Section 1.3.2 and illustration in Figure 1) as the pillars are all present within these areas. It is therefore crucial to use law and policy to guide governance efforts to integrate social, environmental and economic concerns in TFCAs.

One further observes a mutual symbiotic relationship between a healthy environment and social and economic empowerment through the EI as it prescribes that a healthy environment is a prerequisite for social and economic empowerment. As NEPAD provides the framework of conditions and priority areas necessary for sustainable development, it provides a solid policy foundation for governance, guiding TFCAs practitioners as to what is important in order to empower the main goals of TFCAs, i.e. sustainable development and biodiversity conservation.

### **3.1.3 SADC law and policy**

At the SADC level, legal instruments are referred to as protocols. The SADC Protocol on Wildlife Conservation and Law Enforcement of 1999 (Wildlife Protocol) is the only Protocol in the SADC arsenal that explicitly mentions TFCAs. The Protocol describes as one of its objectives: ‘to promote the conservation of shared wildlife resources through the establishment of transfrontier conservation areas.’ Furthermore, the Protocol places a duty on states to cooperate and develop common approaches to the conservation and sustainable use of wildlife, including the harmonisation of law between member states. The elements of sustainable development, ecological integrity and ecosystem services are also mentioned, although no elaboration on these concepts is provided.

The Protocol further places a duty on states to incorporate community based conservation approaches, capacity building, and the sharing of information into conservation measures. These

are welcome inclusions and are in line with modern and emerging approaches to protected area management (Ervin *et al*, 2010). It also provides important guidance for TFCA practitioners as to what is expected in conservation governance from SADC. The Protocol establishes the Wildlife Sector Technical Coordinating Unit (WSTCU) to serve as the secretariat responsible for implementing the protocol at the regional level and as an implementation and monitoring mechanism for the Protocol. It would seem that the WSTCU is currently not in operation, since no record of any activities/decisions could be found at the time of writing. This is unfortunate as the WSTCU is the primary instrument to oversee the joint governance of wildlife resources in SADC. Nonetheless, the most important aspect of the Protocol is that it recognises the need for transfrontier conservation and furthermore, that it encourages the establishment of TFCAs. To this end the Protocol may be considered a relatively successful normative instrument, considering that many TFCAs have been established in SADC. Unfortunately, the success is bitter-sweet as the Protocol fails to provide a detailed normative framework for practitioners to govern the multitude of aspects found in TFCAs. This critique may be tempered by acknowledging that it is almost impossible to cover the diverse range of issues (in detail) found in TFCAs in a single Protocol. Hence, the Protocol may be forgiven for not providing a detailed normative framework and it is acknowledged that it is the intention of these Guidelines to provide this.

The Protocol also overbearingly relies on the wording “wildlife use and conservation” as opposed to the more holistic and inclusive “biodiversity use and conservation”. In fact, the only reference to biodiversity can be found in the preamble stating that the heads of state are: ‘aware that the conservation and sustainable use of wildlife in the SADC Region contribute to sustainable economic development and the conservation of biological resources’. In so doing the Protocol acknowledges a link between sustainable development, biodiversity and conservation and the sustainable use of wildlife, but fails to take a holistic view of environmental governance and the need for connectivity in the context of a holistic consideration of biodiversity as required by TFCAs. The wording and approach in the Protocol thus coincide with classic approaches to PA governance which may be problematic to holistic efforts of biodiversity conservation in TFCAs, especially considering that this is the primary Protocol recognising TFCAs.

Several other Protocols related to environmental law exist in SADC. These include: the SADC Protocol on Forestry (2002); Revised SADC Protocol on Shared Watercourses, (2002); and the SADC Protocol on Fisheries (2001). Although being of peripheral relevance by addressing issues of sustainable development and aspects of biodiversity conservation, TFCAs are not mentioned or addressed in any of these other protocols. TFCAs may inevitably have issues that will fall under the jurisdiction of the aforementioned Protocols. Although the SADC Protocol on Environment for Sustainable Development was approved in October 2013, the sector based legislative approach renders environmental governance in a fragmented state. Consequently practitioners are left without a ‘one-stop shop’ where they may find guidance for the management of TFCAs. This position creates legal uncertainty and will inevitably lead to approaches by practitioners that are not harmonised throughout SADC.

Another aspect worthy of mention is Transfrontier Conservation Marine Areas (TFCMAs), which unfortunately enjoy less attention although they are equally if not of more importance than TFCAs as two-thirds of the earth’s surface is covered by oceans. The first TFCMA in Africa was the Ponta do Ouro - Kosi Bay Marine and Coastal Transfrontier Conservation and Resource Area established in

2007 between Mozambique, South Africa, and Swaziland (Zbicz [www.tbpa.net](http://www.tbpa.net)). Only the SADC Protocol on Fisheries mentioned above provides relevant legal guidance for such areas. The Protocol is however geared towards sustainable use in order to promote food security, the livelihoods of fishing communities, generate economic opportunities, benefits for future generations, and poverty alleviation. The Protocol also emphasises the importance of conservation so as to not over exploit the aquatic resources. The Protocol also binds states to the precautionary principle in utilising their fish stocks and aquatic ecosystems. At grassroots level various projects exist to further the sustainable use of the marine environment. These projects are not run at SADC institutional level but they consist of various countries (some of them SADC members and some not) cooperating to ensure the sustainable use of marine resources.

One such example is the Smart Fish Project established under the Indian Ocean Commission ([www.commissionoceanindien.org](http://www.commissionoceanindien.org)). This project aims specifically to improve sustainable development in the maritime environment. The project provides specific documents related to good governance resulting in a solid governance framework for the marine environment between the parties. Another similar project is the South Indian Ocean Fisheries Project funded by the Global Environmental Facility. The project was originally established partly as the West Indian Ocean is one of the last areas where fishing is largely unregulated. The project proposes to:

- develop close collaboration and partnerships between fishery, academic and other relevant institutions of participating countries;
- generate baseline information on the quantitative and qualitative aspects of resources and fishing;
- investigate the relationship between fisheries and the environment;
- contribute to the effective human and institutional capacity building to assist in the long-term management of resources;
- develop a common resource management strategy to guarantee sustainable use of the region's living marine resources;
- adopt harmonised legislation that will facilitate regional management; and
- develop fishery-linked revenue-generating schemes that will underpin the long-term management of resources ([www.swiofp.net/about/vision](http://www.swiofp.net/about/vision)).

Another inter-state commission worthy of mention, but that will not be discussed here, is The Indian Ocean Tuna Commission that focuses on the sustainable use of Tuna and Tuna-like species (<http://www.iotc.org/about-iotc>).

Although the above projects do not directly relate to TFCAs, they will positively impact on these areas as they have sustainable development as their core business.

On a more generic policy side, SADC uses the Regional Indicative Strategic Development Plan, 2003 (RISDP) to guide policy and development pathways. It emphasises that sustainable development is a main goal of SADC as a whole (RISDP 5). In relation to TFCAs, the RISDP envisages the creation of new TFCAs and linking existing TFCAs. The aforesaid is however only stated as goals and no specific guidance as to how this is to be done is given. In addition to the RISDP, SADC drafted a comprehensive Regional Biodiversity Strategy in 2006 (RBS). Although the RBS is not a legally binding document, it is the only framework policy document in SADC specifically aimed at biodiversity conservation. Broadly, and in line with the purpose of TFCAs, the Strategy supports a

holistic approach towards biodiversity conservation; recognises the value of biodiversity resources in the socio-economic development of the region; confirms that biodiversity resources transcend national boundaries necessitating supra-national conservation measures; and acknowledges that biodiversity is a basic resource for sustainable development in the region. This appraisal of biodiversity conservation by the Strategy in SADC is interpreted against the backdrop of regional challenges/constraints to biodiversity conservation. These include: increased pressure from agriculture and natural resource exploitation to sustain livelihoods; inadequate biodiversity inventory and monitoring; inadequate incentives for biodiversity conservation and sustainable use; low levels of awareness and knowledge about the value of biodiversity; and weak institutional and legal frameworks to carry out biodiversity conservation initiatives. These challenges clearly reflect concerns for economic integration, poverty alleviation, ecosystem services and connectivity. These elements fall within the scope of sustainable development and biodiversity conservation and should be addressed within TFCAs.

The RBS specifically criticises the SADC legal framework (and national legal frameworks) for being weak in relation to biodiversity concerns reflecting the analysis above. Based on the appraisal of the challenges facing biodiversity in SADC, the RBS proposes three strategic areas in need of attention to address the aforementioned challenges. These areas are important for TFCAs. Firstly it prioritises raising the value of biodiversity by the enhancement of the region's economic and business base by the commercialisation of biodiversity. In theory this should contribute to the element of economic integration and poverty alleviation. In this regard, the RBS proposes to facilitate the establishment of a "green" market to guard against unsustainable harvesting of resources. Secondly, resource inventory and monitoring is stated as a strategic goal. The Strategy emphasises the importance of access and benefit sharing principles within such an inventory and monitoring system. In order to achieve this, the Strategy proposes the establishment of *sui generis* legislation (that which is the only one of its kind) as well as a regional biodiversity protocol to protect traditional knowledge as well as genetic diversity. The importance of the establishment of a regional biodiversity protocol cannot be overstated and will be elaborated upon hereunder. Thirdly, biodiversity awareness; information and capacity building programmes; and research and development initiatives are prioritised. All three strategic areas are evidence of improvement in strategic thinking in relation to biodiversity conservation and reflect modern approaches towards conservation.

Although the Strategy does not specifically address biodiversity conservation within TFCAs, TFCAs are identified as one of several focal points to facilitate the sustainable use of biodiversity, and in so doing, the Strategy recognises the ideological ambit of TFCAs. As the only document in SADC giving a holistic view of biodiversity conservation, the Strategy provides a guidepost for decision makers as to the issues that need to be included in management plans and policies for TFCAs. As a strong and well drafted policy document, the RBS should serve to bolster further political activity and achieve consensus with respect to the future conclusion/reform of hard law instruments, such as protocols, specifically aimed at providing the legal framework for establishing new and regulating existing TFCAs.

The RBS is complimented by the new SADC Regional Biodiversity Action Plan, 2013 (RBAP). The RBAP aims to operationalise the RBS and NEPAD, among others. The RBAP focuses, as one of its goals, to improve three key areas:

- sustainable use;
- conservation; and
- equitable access and benefit sharing.

In reaching this multi-faceted goal the RBAP identifies the improvement of the governance framework of TFCAs as a key strategic area. To achieve this, the RBAP emphasises the harmonisation of legal frameworks as a key action. The RBAP further generally comments on where TFCAs may be used and improved but does not provide any concrete measures to implement TFCAs as described in the Wildlife Protocol or RBS. Notwithstanding, the RBAP provides more normative guidance for TFCAs practitioners to frame their management activities and contributes to fill the legal and policy vacuum described by the RBS.

### 3.1.4 Internal Conventions

In addition to the bulk of this discussion that has provided a continental and sub-continental perspective on the issue, there are a number of relevant international conventions which have been ratified by most of the SADC member states. In the interests of space some of the more relevant are simply listed below with brief reference to their intended objectives.

The **Convention on Biological Diversity**, which entered into force on 29 December 1993, was inspired by the world community's growing commitment to sustainable development. It represents a dramatic step forward in the conservation of biological diversity, the sustainable use of its components, and the fair and equitable sharing of benefits arising from the use of genetic resources (CBD, 2014).

The **Convention on Migratory Species**, also known as the **Bonn Convention**, aims to conserve terrestrial, aquatic and avian migratory species throughout their range (CMS, 2014).

The **Convention on Wetlands of International Importance**, called the **Ramsar Convention**, is an intergovernmental treaty that provides the framework for national action and international cooperation for the conservation and wise use of wetlands and their resources. It is the only global environmental treaty that deals with a particular ecosystem and was adopted in the Iranian city of Ramsar in 1971 (Ramsar, 2014).

**CITES** (the **Convention on International Trade in Endangered Species of Wild Fauna and Flora**) is an international agreement between governments aimed at ensuring that international trade in specimens of wild animals and plants does not threaten their survival. The convention came into force on 1 July 1975 (CITES, 2014).

The **United Nations Convention to Combat Desertification** (UNCCD) recognises that desertification, along with climate change and the loss of biodiversity were identified as the greatest challenges to sustainable development during the 1992 Rio Earth Summit. Established in 1994, UNCCD is the sole legally binding international agreement linking environment and development to sustainable land management. The Convention addresses specifically the arid, semi-arid and dry sub-humid areas, known as the drylands, where some of the most vulnerable ecosystems and peoples can be found (UNCCD, 2014).

## **4 The Value of Transfrontier Conservation for SADC Member States**

This section has been provided as a point of reference for any stakeholder or stakeholder grouping (proponent/s and/or practitioners) who sees the potential for the initiation, establishment and development of a Transfrontier Conservation initiative, and needs to better understand the full value and be able to package this for the further promotion and development of the idea. The South African National Biodiversity Institute has embarked on a process of doing this to promote the need for the conservation of biodiversity in general in South Africa and their process is known as “Making the case for Biodiversity” (SANBI, 2013). This has been borne out of the recognition that the traditional arguments for conservation based on the intrinsic value of threatened species and/or ecosystems does not find traction within socio-political systems with a predominant development agenda, and that ecosystems that are maintained in their natural condition are able to deliver ecosystem goods and services that are of significant value to both societies and economies. These are thus packaged as ‘natural capital’ and the persistence of the biodiversity features within them may be seen as indicators of this assets ability to support socio-economic systems.

Six broad categories of values are listed and discussed below, while a more comprehensive list of potential benefits is provided in Appendix B together with an indication of associated actions that are required to realise the benefits and potential challenges that proponents and practitioners may encounter.

### **4.1 Enhanced Ecosystem Functionality**

Perhaps the most obvious argument that could be put forward as motivation for the establishment of transfrontier conservation initiatives is that political boundaries and the processes that put them in place are infamous for ignoring the natural boundaries of and processes within ecosystems (WWF and ICIMOD, 2001). This is particularly evident when viewing a map of Southern Africa where many of the international borders are straight lines, their positions in the landscape being determined by colonial powers. This is evident in the borders between Angola, Zambia, Zimbabwe, Botswana and Namibia where the KAZA TFCA is being developed; as well as between Mozambique, Swaziland and South Africa where the Lubombo TFCA work is being focussed.

As a result, ecosystems of various scales throughout the world are divided by international boundaries with the implication being that the various portions of these systems within the respective countries are subjected to different management regimes within different policy and legal frameworks and socio-economic contexts. The outcome of this political imposition on and fragmentation of ecosystems is often that their ability to function optimally and retain their natural species assemblages is highly compromised. The ability of both government agencies and non-government organisations to achieve biodiversity conservation targets independently under these circumstances is also compromised (WWF and ICIMOD, 2001).

The realisation of the ecological implications of political and institutional boundaries has been well documented and discussed and is arguably the reason for the emergence of the concept of “ecosystem management”. Grumbine (1994) provides an account of the evolution of this concept and traces the history of its application in the USA. What is evident from this publication is that the concept is not new and that the science and philosophy behind it were put forward by conservation

pioneers such as Aldo Leopold in the late 1940s, and even before that by the Ecological Society of America's Committee for the Study of Plant and Animal Communities in the early 1930s. More recently and appropriately to transfrontier conservation the concept is recognised by Sandwith et al. (2001) who state that where a natural system or water catchment straddles one or more boundaries and, consistently with the ecosystem approach, it should be managed as a single ecological unit to maintain essential ecological processes and life-support systems. Also Vasilijević (2012a) states that although the objectives of transboundary conservation can range from the accomplishment of social, economic, and political targets, Transboundary Conservation Areas are primarily underpinned by ecological reasoning. This sentiment is clearly reflected in the definitions provided in Section 0 where the term “ecologically connected” is repeatedly used, and implied within this is that transboundary conservation will for example work towards the better achievement of the reconnecting of seasonal migrations, allowing for genetic drift, climate change adaptation and the reduced risk of local extinctions, i.e. embracing the principles of island biogeographics.

A number of southern African examples of established Transfrontier Conservation Areas illustrate the value of ecosystem connectivity, even where the political boundary may seem ecologically appropriate. The example that illustrates the latter is the Maloti Drakensberg Park World Heritage Site whose international boundary between Lesotho and South Africa is the watershed on the summit of the Drakensberg escarpment. While there are ecosystem functions that are understandably divided along this uniquely coincidental political and natural boundary; there are also endemic, keystone and flagship species such as the Cape vulture (*Gyps coprotheres*) and the bearded vulture (*Gypaetus barbatus*) that range across and are dependent on the Maloti Drakensberg bioregion thus linking apparently separate ecosystems. In addition to this are the examples of the Kgalagadi Transfrontier Park between Botswana and South Africa where the international boundary is the Nosob River; and the Mapungubwe Cultural Landscape at the confluence of the Limpopo and Shashe Rivers which are the boundaries between the countries of South Africa and Botswana, and Botswana and Zimbabwe respectively.

## **4.2 Climate Change Resilience**

From a climate change resilience perspective it can be acknowledged that where an ecosystem management approach is taken and much larger areas are brought under sustainable management regimes, that this will enhance ecosystem functionality and the persistence of the biodiversity features within them. As such, these areas will be more resilient to the projected impacts of climate change. While it is recommended that TFCA practitioners and proponents need to better understand what these projections are for their areas of interest and/or jurisdiction, it is sufficient to know that changes will occur and that these will most likely manifest in the movement of biomes and habitats, with associated species moving and adapting accordingly.

In SADC's Biodiversity Action Plan (SADC, 2013) the Fourth Assessment Report (AR4) of the Intergovernmental Panel on Climate Change (IPCC) is quoted as stating that Africa is particularly vulnerable to the influence of climate change, with Southern Africa already experiencing increased climate variability through floods and droughts which are projected to increase in intensity. The Biodiversity Action Plan continues to confirm that the biodiversity ramifications will be shifts in

species ranges, loss, expansion and relocation of habitats and changes in phenology and physiology (Parmesan and Yohe, 2003), as well as the loss of ecosystem services (Kanji et al, 2006).

One of the “Robust findings” listed in the IPCC’s AR4 which has direct relevance to these Guidelines and the ecological value of TFCAs is that “making development more sustainable by changing development paths can make a major contribution to climate change mitigation and adaptation and to reducing vulnerability.”. In their work on Climate Adaptation Corridors, the Climate Action Partnership (CAP) confirm that the best that can be done now is to enhance the ability of ecosystems and species to adapt to change in the long-term; using a network of corridors (CAP, 2011). Needless to say, the establishment and development of TFCAs are of strategic importance to achieve this objective.

### 4.3 Improved Social Well-being and Economic Resilience

Although some of the SADC member states include nodes that may be considered as representing developed economies, the bulk of the SADC region is characterised by developing economies, which themselves are characterised by impoverished communities that lack access to basic services and infrastructure. Within this context conservation as a land use is generally not well supported as it is perceived as being in the way of development. As a result, conservation has been promoted on the basis of the revenue generation and related opportunities associated with nature-based tourism. While there are many examples of where this is working and tangible benefits are being realised, particularly where much larger and ecologically viable areas are made accessible through TFCAs, there is a bigger picture that needs to be embraced as it holds much greater promise for TFCAs to be supported by affected communities and decision-makers.

In the previous two Sections the ability of TFCAs to enhance ecosystem functionality was discussed and in Section 1.3 the concept of natural resources and their related ecosystems underpinning societies and economies was alluded to and illustrated. It is becoming increasingly evident that the ‘business as usual’ approach to socio-economic development is eroding the natural resource base leading to increasing vulnerability, which is exacerbated by the impacts of climate change. TFCAs offer a solution to this dilemma through the promotion of sustainable land use practices and enhanced ecosystem functionality referred to above.

Following on from the discussion introduced at the start of this Section related to SANBI’s “making the case for biodiversity”, is the work of the Millennium Ecosystem Assessment (MEA) which has brought forward the concept of nature’s ability to produce and deliver ecosystem goods and services that contribute significantly to societal well-being and economic resilience (MEA, 2005). In this publication the MEA package ecosystem goods and services into four categories which are explained in more detail below. What they also do is to provide an illustration of the significance of these values for societal well-being (see **Error! Reference source not found.**). The crux of this argument is that TFCAs proponents and practitioners need to step back from the traditional nature-based tourism approach to promote the socio-economic relevance of their endeavours, and take stock of the full value of their areas of interest and responsibility. The discussion below will assist in this process but the recent publication by Kettunen and ten Brink (2013), “Social and Economic Benefits of Protected

Areas: An Assessment Guide”, not only recognises the value of this approach, but provides practical guidance as to how to go about such a ‘stocktake’.

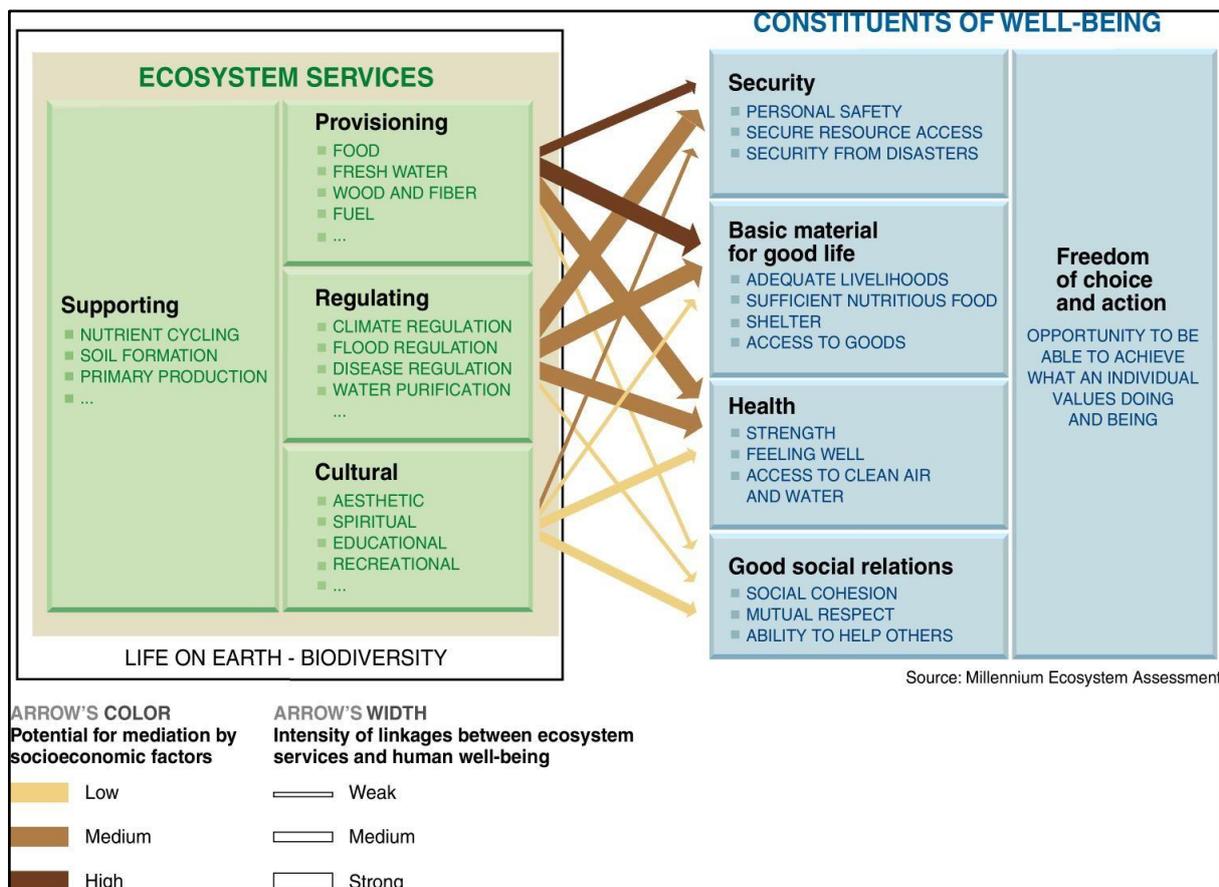


Figure 2: An illustration of the linkages between ecosystem services (including goods) and the constituents of well-being (© MEA, 2005)

In consideration of the relatively recent emergence of these concepts and their significance in terms of the socio-economic relevance of TFCAs, additional background information extracted from MEA (2005) is provided in Appendix C. It is included in order to provide the reader with a better understanding of the variety of ecosystem goods and services that may be produced and delivered by nature.

As part of the ‘stocktake’ that is recommended above, TFCa proponents and practitioners also need to track the linkages of these values to the beneficiaries. In many cases the latter may not even be aware that they are benefiting from nature. In recent work undertaken to assess the contribution of nature to the economy of the KwaZulu Natal province in South Africa, as part of the provincial growth and development strategy, the vast majority of respondents to a questionnaire aimed at the economic sector, showed no recognition of their vulnerability to the scarcity of water (ZEES, 2012); while the national Department of Water Affairs clearly illustrates that the natural freshwater system upon which the province’s economy is dependent is significantly stressed (DWA, 2009). Subsequent work in this field has generated a significant amount of support for the need to invest in the restoration and sustainable management of the remaining natural areas in the catchment, all on the basis of nature’s capacity to deliver ecosystem services (SANBI, 2013). Once these linkages are well known and even quantified, the ability to better position TFCAs within the broader socio-economic landscape will be significantly enhanced.

#### 4.4 Reconnecting Cultural Linkages

According to the IUCN WCPA's Specialist Group on Cultural and Spiritual Values of Protected Areas (CSVPA) cultural values of protected areas refer to the values that different cultures place on those natural features of the environment that have great meaning and importance for them and on which their survival as cultures depends. Spiritual values of protected areas refer to the transcendent or immanent significance of specific features of nature, which have put people in touch with a deeper reality greater than themselves that gives meaning and vitality to their lives and motivates them to revere and care for the environment. In the case of protect areas that are or include sacred sites, these values are intimately related to the beliefs and practices of indigenous traditions and mainstream religions. But protected areas also have cultural and spiritual significance for people who do not consider themselves religious - as places of inspiration, symbols of identify, etc.

([http://www.iucn.org/about/work/programmes/gpap\\_home/gpap\\_people/gpap\\_tilcepa/gpap\\_spiritual/](http://www.iucn.org/about/work/programmes/gpap_home/gpap_people/gpap_tilcepa/gpap_spiritual/)) (See also the discussion on 'cultural services' in Section 4.3).

The cultural relevance of TFCAs takes the very necessary principle of integrating indigenous and traditional local communities into protected area establishment, planning and management much further (Beltrán, 2000 and Borrini-Feyerabend et al, 2004). It builds on the knowledge that traditional communities often have strong cultural links with their natural environment (GDF, CEESP and WCPA, 2010; and Papayannis and Mallarach, 2009) and that by recognising and building on these linkages, it is possible to enhance the motivation for and credibility of TFC initiatives, especially where cultural heritage features have been divided by political boundaries.

It is important that proponents of TFC initiatives challenge themselves to think beyond the traditional biodiversity and ecological arguments for working across boundaries, and explore the extent to which cultural heritage features exist within and adjacent to their focus area. Not only will this provide an added layer of significance to their initiative, but will serve to provide a robust point of departure to enhance engagements with affected indigenous and traditional local communities. In many instances the latter may have begun to loose or have already lost their link with the natural environment and their cultural roots, and by actively seeking out these linkages, it is possible that they may be rekindled and/or resurrected.

While there are many facets of cultural heritage that are relevant to this discussion, such as history and archaeology, it is the living heritage facets that embody the linkages between traditional communities and nature that are possibly of the greatest relevance for TFCA initiatives. Such linkages are strongly manifest within hunter-gatherer communities such as the #Khomani San in the Kgalagadi Transfrontier Park between South Africa and Botswana. Yet the most powerful regional initiative is the Mapungubwe Cultural Landscape, Another example of where significant cultural heritage has enhanced a TFC initiative is that of the Mapungubwe Cultural Landscape situated in an ancient valley at the confluence of the Limpopo and Shashe Rivers, which serve as the borders between South Africa and Botswana, and Botswana and Zimbabwe respectively. The area has great ecological relevance, hosting the largest population of African Elephant on private land in Africa, and has great potential as a big game area. However, possibly it's most relevant feature is that it was the centre of one of the first powerful indigenous kingdoms in southern Africa. It was established by cultural ancestors of the present-day Shona and Venda people, between AD 900 and 1300, as evident in over 400 archaeological sites in the area (UNESCO, 2010). This site of outstanding cultural heritage value should serve to secure transfrontier collaborative management of ecosystems and

related biodiversity, which may not have been possible without the discovery of the archaeological sites that are evidence of the cultural heritage linkages.

#### **4.5 Enhancing Regional Integration**

It would appear from a number of SADC sources that the integration value is already well recognised, as alluded to in the Introduction to these Guidelines. Primarily SADC developed a fifteen year Regional Indicative Strategic Development Plan (RISDP) in 2003, reviewed progress with its implementation for the period of 2005 to 2010 and published a report in 2011 (SADC, 2011). This report refers to the development of a SADC Framework on Transfrontier Conservation Areas (Ron, 2007) which was approved by the Integrated Committee of Ministers in 2007. These strategies, together with the SADC Protocol on Wildlife Conservation and Law Enforcement (SADC, 1999), clearly indicate that Transfrontier Conservation Areas hold the potential to deepen regional cooperation, promote peace and stability, ensure the sustainable utilisation of natural resources, as well as provide economic development opportunities through nature-based tourism.

The idea that transfrontier conservation could promote regional integration was captured in the IUCN Best Practice Protected Area Guideline No. 7 compiled by Sandwith et al (2001) and entitled “Transboundary Protected Areas for Peace and Co-operation”. This publication includes a list of potential benefits that may be generated through transfrontier conservation efforts and amongst these, the following are directly related to the enhancement of regional integration and the promotion of peace and stability, namely:

- Building trust, understanding, reconciliation and co-operation between and among countries, communities, agencies and other stakeholders;
- Preventing and/or resolving tension, including over access to natural resources; and
- Promoting the resolution of armed conflict and/or reconciliation following armed conflict.

In the revised IUCN Guideline this aspect has been expanded upon quite significantly and includes a statement that the establishment of dialogue between protected area managers, local communities, NGOs, scientists, local governments and politicians in times of political instability, encourages regional security and peace building. Parks for Peace seem a preferable option in transfrontier conservation initiatives where there is a significant deficit of trust and understanding between key players, or a territorial conflict. Transfrontier conservation opens new negotiation and communication channels, thus reinforces and enhances diplomatic relations between countries (Westing, 1998; McNeely, 2003; Ali, 2010).

Considering the possibility that TFCA processes often occur in areas that are remote and peripheral to country priorities, their proponents and practitioners bring attention, institutional capacity and development opportunities that may not have happened otherwise. In the absence of such attention these peripheral border areas are potential breeding grounds for social marginalisation and discontent, within which unrest and instability could fester. It is therefore in the interests of participating countries to promote the establishment and development of TFCAs.

In the process of establishing the Maloti Drakensberg Transfrontier Conservation and Development Area (MDTFCDA), it became evident that the biodiversity conservation and socio-economic

development strategies being formulated were significantly threatened by the prevalence of cross-border criminal activities, i.e. stock theft and drug and weapon smuggling. In response to this realisation the Bi-lateral Steering Committee agreed to utilise project resources and support a process to compile a Transfrontier Security Strategy. This process entailed a series of workshops including representatives from the conservation, policing, defence and customs agencies from both countries. As such it provided a platform from which these groupings were able to dialogue and share ideas, concerns, perceptions, expectations, etc., and to collectively come up with strategies and actions aimed at addressing the transfrontier crime. While this helped towards the achievement of enhance regional integration and the promotion of stability between Lesotho and South Africa, it also enhanced the enabling environment within which the MDTFCDA was being established.

Note that the above example, although sectoral and potentially appropriate to the following Section, provided opportunity to work at a strategic level and is therefore not relevant as an example of day-to-day management.

#### **4.6 Enhanced Efficiency of Day to Day Management and Law Enforcement**

There is no denying that the processes required to initiate, establish and develop TFCAs require transaction costs, which in most cases, exceed the financial resources available to the respective participating countries' conservation agencies. In fact if TFCA proponents and practitioners adhere to the principles of and follow these Guidelines, they will certainly require additional financial resources. And yet the enhanced efficiency of day-to-day management and law enforcement is being put forward here as a motivating value for TFCA? While it is unlikely that this value will be sufficient on its own to balance out the additional transaction costs, enhanced operational efficiency is a meaningful start in working towards the legitimacy of conservation as a land use.

Section 4.1 discusses the merits of TFCAs from the perspective of ecosystem management, so it should follow that if processes are put in place to facilitate the management of ecosystems across international borders, the pooling of the human, financial, logistical and infrastructural resources available for such management must be beneficial. It is acknowledged that it is likely that agencies and stakeholders from participating countries may not be equally resourced, and that such pooling of resources may deplete one resource base to the benefit of another, but if strategically done under the guidance of a joint management plan, the chances of these benefits materialising are good.

Detailed examples of what these efficiencies may entail are provided in the table of potential benefits provided in Appendix B, but it is worthwhile noting that Africa's oldest TFP, the Kgalagadi TFP, owes its existence to park managers from the Gemsbok National Park in Botswana (proclaimed in 1971) and the Kalahari Gemsbok National Park in South Africa (proclaimed in 1931) reaching a verbal agreement in 1948 to collaborate on day-to-day management issues, even though the Park in Botswana was not yet in existence. Today this TFP continues to grow from strength to strength, now with linkages to Namibia. A more recent example is that of enhanced law enforcement operations in the Malawi / Zambia TFCA where it is reported that wildlife populations are on the increase as a result of this collaboration (PPF, 2012) (See case study below for further details.)

## Case study: Joint Law Enforcement Operation in the Nyika TFCA

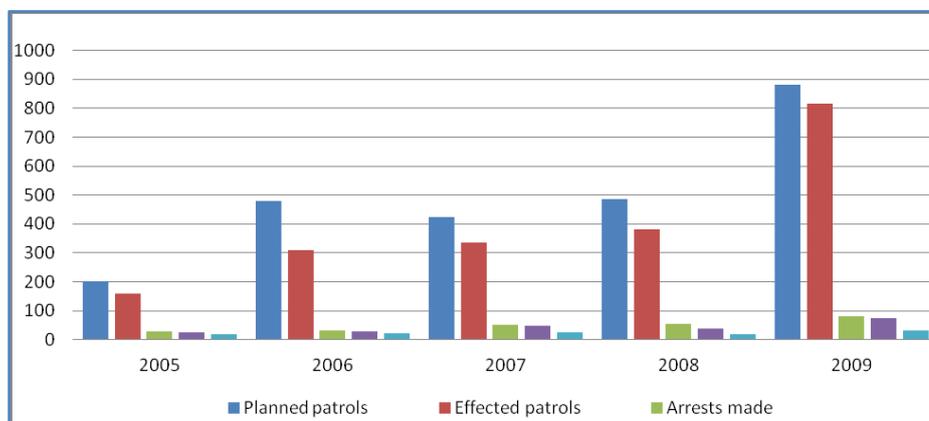
Summary of submission made by Humphrey Nzima

On 13 August 2004, a Memorandum of Understanding was signed between the Governments of Malawi and Zambia to commence with the establishment of the Malawi-Zambia Transfrontier Conservation Areas (TFCA), incorporating Malawi's Nyika National Park, Vwaza Marsh Wildlife Reserve, Kasungu National Park and Zambia's Nyika National Park, Lundazi- Mitengi- and Mikuti Forest Reserves, Musalangu Game Management Area, Lukusuzi National Park and North Luangwa National Park, bringing its size to 32,788 km<sup>2</sup>. The Nyika-North Luangwa component of the Malawi-Zambia TFCA has been prioritized as an initial area of development, and the Joint Management Plan has identified the improvement of wildlife law enforcement in the Nyika area as the highest priority action. In response a Joint Law Enforcement Support project was launched in 2005 and with funding support from the Peace Parks Foundation, it ran up until 2009.

The Joint Law Enforcement Support project focussed on the following aspects:

- The establishment of a joint command structure with rotational leadership;
- A standard rations support system to ensure disparities in this regard were equalised and that rangers were equally supplied;
- A common system of communication within the focus area;
- The sharing of intelligence information; and
- Joint training and mentoring through a joint Law Enforcement Advisor, also responsible for providing logistical support and incentives for good performance

The results of this joint effort are reflected in the figure below which illustrates the extent to which planned and effected patrols brought about an increase in the numbers of arrests made.



Sadly the gains made through this project came to an end in 2009 when the funding was terminated. Fortunately this situation was restored in 2012 with renewed funding and the reintroduction of the Law Enforcement Advisor.

This project has realised a number of important lessons as follows:

- High-level support is crucial to provide the enabling environment for joint law enforcement and an MoU is insufficient to provide this with calls for a TFCA Treaty to be signed;
- Harmony between law enforcement structures is required on the ground in order to enhance the enabling environment for joint operations; and
- The continuous presence of "a broker and mentor" is key to a successful a joint law enforcement operation.

## 4.7 Coordinated Research

The potential ecological, social and economic value of a TFCA remains an unsubstantiated assumptions until verified through scientific research and/or monitoring and evaluation. Coordinated research is thus a prerequisite for the establishment and development of TFCA initiatives. The management of the elephant populations in the Kruger National Park, specifically the maintenance of their population numbers at a level that was previously considered to be sustainable, is a case in point. It was assumed that the pressure of elephant on Kruger's biodiversity would be alleviated through the opening up of the boundary between Kruger and the Limpopo National Park in Mozambique. However, the first relocation effort failed as a result of territorial animals returning to their original home ranges within Kruger. Since then it is reported that more than 1000 elephant have crossed into the Limpopo National Park of their own accord (PPF, 2012). The research capacity within Kruger is substantial with internationally recognised work being produced, and in particular in relation to the elephant management challenge. As the trend in elephant movement from Kruger into the Limpopo National Park continues, this research capacity is going to have to be shared.

From a SADC perspective it is likely that the coordination of research can occur beyond the boundaries of specific TFCAs, as there are ecosystem and species management issues that are common to many of the SADC countries and their TFCA initiatives. Research into the population dynamics of elephant is again a good example as they occur in most of the SADC TFCAs, and the same pressures that were brought to bear that stopped the culling of elephant in Kruger, and also prevalent throughout the SADC region. It is therefore possible that through the SADC TFCA Network, much can be done to coordinate research into issues that are common, and it is recommended that a SADC TFCA research forum be established in order to work towards this coordination.

## 4.8 Knowledge and Skills Sharing

Knowledge sharing and the transfer of skills involve the exchange of technical, scientific and legal information for the joint management of the ecosystem, including sharing bio-diversity and cultural resource management skills and experience, co-operative research and information management. There are also opportunities around sharing information on, and duplicating workable governance and alternative livelihood models developed in, a specific country or region of a TFCA. Other themes relevant / suitable for knowledge sharing and skills transfer initiatives / programmes include:

- Scientific research / applied research
- Governance & institutional reform
- Conservation & cultural resource management practices
- Legal & policy reform
- Protection & law enforcement
- Development of appropriate alternative / sustainable livelihoods & benefit sharing models
- Sustainable financing mechanisms
- Joint training & capacity building
- Information management systems

## 5 The Status Quo of Transfrontier Conservation Areas in the SADC Region

The purpose of including this Section in the Guidelines is to provide a baseline from which progress may be tracked through their implementation and up to their revision. It is recognised though that a more robust performance appraisal system is in place for tracking progress in individual SADC TFCAs, but this Status Quo provides the opportunity of gaining an overall sense of how implementation of this concept is progressing in SADC as a whole. The Section provides a summary of the status quo of SADC TFCAs (Table 2) and a critical assessment based on the information presented in Appendix D. Figure 3 provides an illustration of the location and extent of these TFCAs while finer scale maps are provided in the detailed discussions in Appendix D. The information has been presented to address a set list of topics for each of the SADC TFC initiatives, and much of the information included here has been obtained from the Peace Parks Foundation who gathered this for their 2013 Annual Review. Although the PPF Annual Review for 2013 was still in the process of being completed at the time of writing, the information was obtained from their website ([www.peaceparks.co.za](http://www.peaceparks.co.za)) with the assurance that it was the most up to date available and that it had been verified by each of the respective TFCA practitioners. Where information was not available through this source, it was obtained through other sources and where possible, directly from the TFCA practitioners involved.

The aspects covered in this Section provide insight into the following:

- The type of TFCA and the countries involved;
- If any feasibility studies were undertaken as part of the process leading up to the establishment of the initiative;
- The status and type of agreements in place;
- The type of governance structure/s in place;
- Key reasons for the establishment of the TFCA;
- An indication of benefits that have been realised;
- Any key issues that need to be taken note of, e.g. barriers to progress, or best practice examples; and
- If there is a long-term viability plan in place, specifically one that addresses financial viability?

From the information gathered it can be seen that there are currently ten TFCAs that are established with four of these having signed Treaties in place, and the other six having Memorandums of Understanding. Otherwise there are a further eight TFCAs in a concept phase, although some have been in operation for some time already, but lack formal recognition. These figures are a little misleading as one of the established TFCAs; the Lubombo TFCA has five TFCAs nested within the broader initiative and for which 'Protocols' have been signed. This raises the issue of interpretation as the definition of a 'Protocol' suggests that it may refer to an international agreement that supplements or amends a treaty. Therefore more work is required to better categorise SADC TFCAs and Section 7.2, which provides information on governance, may assist with this.

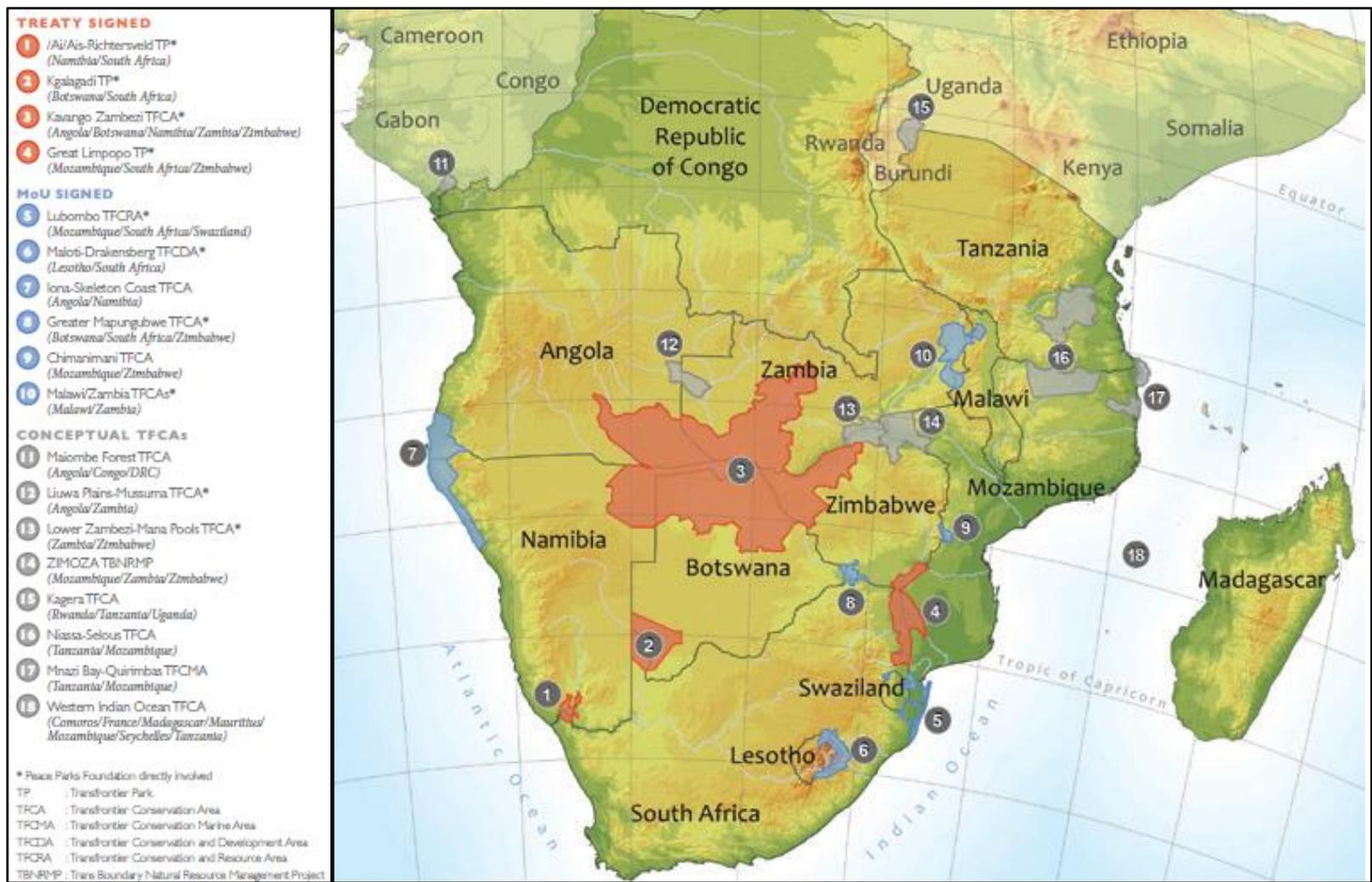


Figure 3: The location and current status of Transfrontier Conservation initiatives within and between SADC member states (© www.peaceparks.co.za).

**Table 2: A summary of the status quo of SADC TFCA (blank cells reflect the unavailability of information at the time of writing).**

<b>TFCA</b>	<b>COUNTRIES INVOLVED</b>	<b>TYPE OF AGREEMENT</b>	<b>GOVERNANCE STRUCTURES</b>	<b>PRE- and/or FEASIBILITY ASSESSMENTS</b>	<b>RECORD OF M&amp;E and or METT</b>	<b>LONG-TERM VIABILITY PLAN</b>
/Ai /Ais-Richtersveld Transfrontier Park	South Africa and Namibia	MoU signed in 2001	Bi-lateral ministerial and technical committees	Extensive community consultation	At the SANParks level, but not the TFP.	Donor funding
Kgalagadi Transfrontier Park	Botswana and South Africa	Bi-lateral agreement signed in 1999	Joint management committee	Formal agreements based on evidence from on-the-ground management collaboration.	At the SANParks level, but not the TFP.	Donor funding
Kavango Zambezi (KAZA) Transfrontier Conservation Area	Angola, Botswana, Namibia, Zambia and Zimbabwe	Multi-national treaty signed in 2011	Secretariat and implementing agency	There is a pre-feasibility report dated 2006 which is a subjective strategy to take the initiative forward rather than an objective assessment of feasibility. The fact that it concludes by recommending a 'donor conference' high lights the perpetuation of donor dependency.	Too early in establishment	Donor funding
Great Limpopo Transfrontier Park	Mozambique, South Africa and Zimbabwe	Tri-lateral agreement signed in 2000 and Joint Operational Plan in place	Ministerial committee, Joint management board and management committees	GEF funded studies in 1991 and 1996.	At the SANParks level, but not the TFP.	Donor funding
Lubombo Transfrontier Conservation and	Mozambique, Swaziland and South Africa	Tri-lateral General Protocol signed in 2000	Ministerial committee, Commission and task	The Lubombo Strategic Development	None	Donor funding

<b>TFCA</b>	<b>COUNTRIES INVOLVED</b>	<b>TYPE OF AGREEMENT</b>	<b>GOVERNANCE STRUCTURES</b>	<b>PRE- and/or FEASIBILITY ASSESSMENTS</b>	<b>RECORD OF M&amp;E and or METT</b>	<b>LONG-TERM VIABILITY PLAN</b>
Resource Area			groups	Initiative is seen as the precursor to the TFCA.		
Maloti-Drakensberg Transfrontier Conservation and Development Area	Lesotho and South Africa	Bi-lateral MoU signed in 2000	Bi-lateral committee and project implementation units	A three year project was commissioned to prepare the GEF funding application and included in this were numerous studies into the various aspects related to the project.	None	The respective governments are continuing to support the governance structures with a small project implementation unit being maintained in South Africa. Donor funding has been secured to support implementation in Lesotho.
Iona-Skeleton Coast TFCA	Angola and Namibia	MoU signed in 2003				
Greater Mapungubwe Transfrontier Conservation Area	Botswana, South Africa and Zimbabwe	MoU signed in 2006		CESVI (2003) report on land use and resource management options	Only in terms of income generated and distributed to beneficiaries.	Donor funding
Chimanimani TFCA	Mozambique and Zimbabwe	No data available but Mozambique is in the process of pursuing the establishment and development of this TFCA with GEF funding, although there are significant threats related to artisanal gold mining.				
Malawi-Zambia	Malawi and Zambia	MoU in place and	Bi-lateral committee	A PPF study preceded		Donor funding

<b>TFCA</b>	<b>COUNTRIES INVOLVED</b>	<b>TYPE OF AGREEMENT</b>	<b>GOVERNANCE STRUCTURES</b>	<b>PRE- and/or FEASIBILITY ASSESSMENTS</b>	<b>RECORD OF M&amp;E and or METT</b>	<b>LONG-TERM VIABILITY PLAN</b>
Transfrontier Conservation Area		project management teams established subsequent to bi-lateral meetings in 2003	and an implementation unit.	government agreement to explore the possibility of the TFCA.		
Maiombe Forest Transfrontier Conservation Area	Angola, Congo and Democratic Republic of Congo	In process		Studies have been recommended.	N/A	
Liuwa Plains – Mussuma Transfrontier Conservation Area	Angola and Zambia	In process	None at present	None	N/A	Not known at present
Lower Zambezi - Mana Pools Transfrontier Conservation Area	Zambia and Zimbabwe	In process	None at present	None	N/A	Not known at present
ZIMOZA Transboundary Natural Resource Management Project	Mozambique, Zambia and Zimbabwe	In concept stage				
Kagera Transfrontier Conservation Area	Ruwanda, Tanzania and Uganda	In concept stage				
Selous and Niassa Wildlife Protection Corridor	Mozambique and Tanzania	MoU on cross-border cooperation signed in 2007	Community based organisations managing Wildlife Management Areas	GTZ and GEF projects	None	Donor funding
Mnazi Bay-Quirimbas Transfrontier Conservation Marine Area	Mozambique and Tanzania	In concept stage				
Western Indian Ocean Transfrontier Conservation Area	Comoros, France, Madagascar, Mauritius,	In concept stage				

TFCA	COUNTRIES INVOLVED	TYPE OF AGREEMENT	GOVERNANCE STRUCTURES	PRE- and/or FEASIBILITY ASSESSMENTS	RECORD OF M&E and or METT	LONG-TERM VIABILITY PLAN
	Mozambique, Seychelles and Tanzania					

## 5.1 Observations from the Status Quo Information and Summary Overview

In the introduction to this Section it was stated that one of its primary purposes was to provide a baseline from which progress could be measured over the medium to long-term. In addition to this it also helps to identify where there are gaps in the processes that have been followed with the initiation, establishment and development of the SADC TFC initiative, which can then be used to inform these Guidelines. Also it helps to identify where lessons are being learnt so that these can be presented as case studies and examples to other TFCA proponents and practitioners.

The over-arching issues that stand out from the status quo discussion presented above and which these Guidelines can assist in addressing are the following:

- A number of different names are given to these TFC initiatives and there is room for standardisation. This may be achieved through the acceptance and application of the definitions put forward in Section 2.3.
- A degree of standardisation might be worked towards in terms of governance models, but it is recognised that these need to be flexible and that they move on a continuum from being relatively informal to formal and legally binding (as is discussed in Section 0).
- There is little evidence of the systematic implementation of feasibility assessments prior to the initiation and establishment of TFC initiatives, although there are some good examples where this has been done. However, it is also recognised that TFC processes are by their very nature, protracted and organic and therefore do tend to evolve. While this may be seen as an acceptable alternative to feasibility assessments, these Guidelines recommend that the proactive implementation of the diagnostic tools discussed in Section 6.3 will assist to ensure that an implementation process may be designed to ensure that it is as effective as possible within the given circumstances.
- The rationale provided for the establishment of TFCA initiatives continues to focus on the intrinsic value of biodiversity and at times, cultural heritage, with little reference to their broader socio-economic significance. This leaves proponents and practitioners on the back foot and relying on the traditional tourism arguments to substantiate the possibility of any benefits. These Guidelines provide a broader perspective as to how TFCAs can be better 'packaged' to make more socio-economic sense.
- The extent to which TFCA initiatives generate both direct and indirect benefits for affected communities and beyond need to be more accurately identified, quantified and tracked. This aspect links with the previous one, but even under current circumstances with a focus on tourism as the generator of benefits, it is generally the case that these are not clearly quantified. In addition to this is the need to ensure that the flow of benefits to the beneficiaries also needs to be clearly tracked to ensure that they are equitably distributed and result in positive socio-economic impacts. This aspect falls within the context of the discussion on Monitoring and Evaluation in Section 7.7.
- Almost all of the existing TFCA initiatives, irrespective of where they are in the process of being established and/or developed include a percentage of their budget requirements as coming from donor funding. This appears to be more relevant to the TFCA model as opposed to the TFP, but never-the-less, donor funding is still present. Section 7.6 discusses planning for financial sustainability as a crucially important aspect of TFCA establishment and development, but it also needs to be an important part of the feasibility assessment.

## **5.2 Recommendations for TFCA Proponents and Practitioners**

It is necessary at this point in these Guidelines to emphasise the tension between the task of compiling Guidelines within the context of much effort already expended on the establishment and development of TFCAs within the SADC region. These Guidelines have been compiled within the context of global best practice with reference to SADC examples wherever possible. An alternative approach would have been to undertake a critical review of the SADC TFCA processes and present guidelines in the guise of 'lessons learned'. As this was not the method selected for the compilation of these Guidelines, it does leave a tension in terms of their relevance within the context of the work already done. As a primary recommendation therefore to SADC TFCA proponents and practitioners is to recognise that when their particular initiatives are superimposed on these Guidelines, there will be areas of compatibility and areas of conflict. The areas of compatibility will highlight what works and needs to be enhanced, while the areas of conflict will highlight areas where improvements can be made in their approach to TFCAs. Often times the latter will require retrospective application, while pro-active application will be possible where new TFCA initiatives are identified.

## PART 2:

### INITIATION PROCESSES

#### 6 The Initiation of Transfrontier Conservation Areas

In preceding discussions a distinction has been made between TFCA proponents and practitioners. This Section is aimed at the proponents, i.e. those parties who recognise the need for transfrontier collaboration in some form or another with a view to achieving conservation objectives, and who need to develop and test the idea more. This Section should be read in conjunction with Section 4 which provides theoretical substance and rationale for pursuing the possibility of a TFCA initiative. It is structured specifically to present three consecutive steps that may be taken in the process of initiating a TFCA. However, it is also acknowledged that the strict application of these steps may not suit every situation and that specific circumstances may dictate or require variations to what is recommended here. While these steps are based on principles which are an essential basis for a Guideline, an over-arching consideration is that unique circumstances will require adaptations of these recommendations.

Here again the work of the Transboundary Conservation Specialist Group of the IUCN WCPA in revising the Best Practice Guidelines of Sandwith et al (2001) has been used as a point of reference for this Section. More specifically this work has relied on that of Erg et al (2012) and their IUCN publication "Initiating Effective Transboundary Conservation". The principles and processes presented in this publication serve as the basis for this Section, but where possible examples that are relevant to SADC TFCAs are included.

The necessity of an initiation process as outlined in this Section is highlighted by the fact that the majority of the SADC TFCA processes are being largely supported by donor funding and that where this support comes to an end, the initiatives falter. Much damage can be caused to the credibility of a TFCA initiative when this happens as the expectations of many stakeholders may be dashed and gains that have been made towards the achievement of both conservation and development objectives may be lost. By carefully and objectively assessing the enabling environment and undertaking feasibility studies, these potential pitfalls may be avoided.

To a large extent much of what is recommended in this Part has not been applied within a SADC context to date. As has been alluded to already in Section 1.1, many of the SADC TFCAs have been initiated on the basis of the broad regional study by Hall-Martin and Modise (2002). Even this study found that there were a number of TFCA initiatives which were in various stages of development, with only some of which being subjected to some form of feasibility study, such as the Great Limpopo TFP. It was thus difficult to identify SADC TFCA case studies that reflect the application of the recommendations made in this Part. The relevance of this Part then within the SADC context should either be the retrospective application of these guidelines to existing initiatives with a view to improving their establishment and development processes, or the pro-active application to new initiatives.

## 6.1 Stakeholders and Role Players Relevant to the SADC Context

Rationale for this Section is based on the need to recognise the various parties and the roles that they can play, accepting that a TFCA may be initiated at any level by any role player. This Section also provides a precursor to the rest of the discussion in this Part, as it briefly outlines the primary grouping of parties that are relevant in the assessment of a TFCA's enabling environment and feasibility. While this discussion is not comprehensive, it provides a check list from which proponents may begin. It is also at a relatively generic level and may differ with specifics at a finer scale. In the interests of space and brevity, this discussion has been captured in Table 3 below. Note also that this preliminary discussion precedes a more detailed discussion in Part 3 and specifically Section 7.1

**Table 3: The broad groupings of stakeholders and role players relevant to the assessment of the enabling environment and feasibility of SADC TFCAs**

PARTY	ROLE
SADC	Hall-Martin and Modise (2002) state that SADC is clearly the appropriate institution to oversee the establishment and development of the TFCA initiatives in the region, and more specifically the Directorate for Food, Agriculture and Natural Resources. Ron (2007) confirms that the SADC Secretariat is well placed to facilitate, coordinate, support and guide these processes, and to encourage enabling conditions, for the establishment and implementation of TFCAs in the region.
National conservation agencies	It is assumed that it is the national conservation agencies, in their various forms, that will identify the need for a TFCA initiative, but where this is not the case, they will have the legal mandate to do so. Therefore where the potential for a TFCA is identified by another party, it is recommended that they link up with the national conservation agencies in order to position the initiative with the appropriate government agency.
Other relevant national government agencies	Section 7.1.2 and Table 4 provide more detail on this grouping, but suffice to say that a TFCA initiative will trigger the need for multiple government agencies to become involved and play a role. The willingness and capacity of these agencies to become constructively involved will influence the feasibility of a potential TFCA.
Affected communities	Hall-Martin and Modise (2002) report that on the basis lessons learned from a number of CBNRM programmes within some SADC member states, affected communities must be equal partners and not just passive beneficiaries.
Private land owners	Hall-Martin and Modise (2002) also identify the important role that private land owners are playing and can play in making TFCAs viable.
NGOs and donor agencies	It is clear from the Status Quo (see Section 5) that the NGO sector has and continues to play a significant role in SADC TFCAs, particularly from the perspective of leveraging and providing financial resources, but also by augmenting human capacity in the form of training, security and planning. Hall-Martin and Modise (2002) report on the important role of this group and recommend that the relevant government agencies ensure that they hold the lead role and facilitate cooperation between these players.

### 6.1.1 Summary Guidelines

- TFCA proponents need to use the above broad categories to identify the relevant role players and stakeholders as a point of departure that may be built on in subsequent steps.

## 6.2 Assessing the Enabling Environment

The purpose of this step in the initiation process is to provide TFCA proponents with the tools and understanding of what is required to test the extent to which the dynamics inherent within and

related to the area of interest are conducive to the idea of a TFCA initiative. An alternative way of couching this process could be to see it as a pre-feasibility assessment or a scoping exercise.

### **6.2.1 Aspects Relevant to a Pre-feasibility Assessment**

According to McKinney et al (2012) there are ten distinct elements that are present in all successful TFCA initiatives. In reading and considering these elements, proponents would need to assess the extent to which they exist and therefore gauge the extent to which the area in question is within an enabling environment, i.e. both geographically and institutionally. The first five of these elements are absolutely appropriate to the pre-feasibility stage of an initiative, while the other five are aspects that are more relevant to the establishment phase and will be discussed in greater detail in Part 3.

#### **Element #1: The catalyst**

What is it that is significant enough to pull people out of their comfort zones, institutional silos, and/or the safety of sovereignty? Collaborating across international borders becomes compelling when people recognize that they are more likely to achieve their interests by working together than by acting independently, in response to what is a common crisis, threat or opportunity.

#### **Element #2: Leadership**

The type of leadership that is required to initiate, drive and sustain a TFCA initiative could be described as an apolitical diplomat. One who is able to:

- invite people to take ownership of a shared vision and values;
- work hard to bridge differences;
- nourish networks of relationships;
- share power, mobilize people, synthesize ideas, and assemble resources;
- provide integrity and credibility and advocate for the integrity of regional partnerships;
- show a high tolerance for complexity, uncertainty and change, and who emphasizes dialogue and relationship building by respecting a diversity of ideas and viewpoints; and who
- builds trust, fosters communication, understanding and agreement.

#### **Element #3: Representation**

Depending on what is to be achieved through the TFCA initiative it is essential to ensure that all stakeholders associated with the desired outcome are able to be represented in the process. It is important to assess the level of interest in the issue at hand and determine whether people are ready to begin working together.

#### **Element #4: Regional fit**

In the words of McKinney et al (2012) the way in which people define a region naturally flows from their interests and concerns. Regions are most often defined in one of two ways: either rooted in a sense of place, or based on the 'territory' of the problem. Natural ecological boundaries—such as watersheds, ecosystems, and wildlife habitats—can help inform the appropriate definition of a region, but in the final analysis the region must engage the hearts and minds of people and appeal to

their shared interests. Recognizing the precise physical boundaries of a region is often less important than clarifying the core area of interest. Boundaries can be soft and flexible, adaptable to changing needs and interests. In sum, the region needs to be large enough to capture the problem, and small enough to get traction among people whose interests are at stake.

#### **Element #5: Governance**

This speaks to the degree of decision-making authority, along with mechanisms for funding and dispute resolution that exist within and associated with the area of interest, and the potential to assemble these resources and organise them in a way that will ensure collaborative effort is achieved. From a long-term perspective it also speaks to the extent to which this collaborative governance mechanism and process will be able to measure, assess and stand accountable for progress and performance.

The other five elements are:

- Knowledge and experience-sharing (see Section 4.8);
- Strategy: the formulation of a vision, goals and aspirations (see Section 7.4);
- Implementation: a plan to move from vision to action (see Section 7.5);
- Outcomes: agreements, policies, programs and on-the ground accomplishments; and
- Adaptation: the ongoing process of monitoring, evaluating and adapting as needed (see Section 7.7).

To further entrench this thinking and the relevance of these elements within a successful TFCA initiative, McKinney et al (2012) provide a diagnostic framework which is also presented within the context of the need for a pre-feasibility assessment. It is likely that the idea of establishing a TFCA seems perfectly logical to the proponents, however, an objective process that assesses the extent to which the receiving environment is and will be enabling, is a strategically important step. Not only will such a process help to determine the feasibility of launching a TFCA process, but will also identify opportunities and threats to the process which may be pro-actively addressed to ensure that they are enhanced and managed respectively. As such this process will ensure optimum efficiency of implementation.

This diagnostic framework also helps to illustrate the successive steps or stages from the initiation aspects discussed in this Part, to those that are relevant to establishment and development discussed in Part 3. The first step in their diagnostic framework (see Figure 4**Error! Reference source not found.**) speaks to the five elements that have been listed and discussed above.

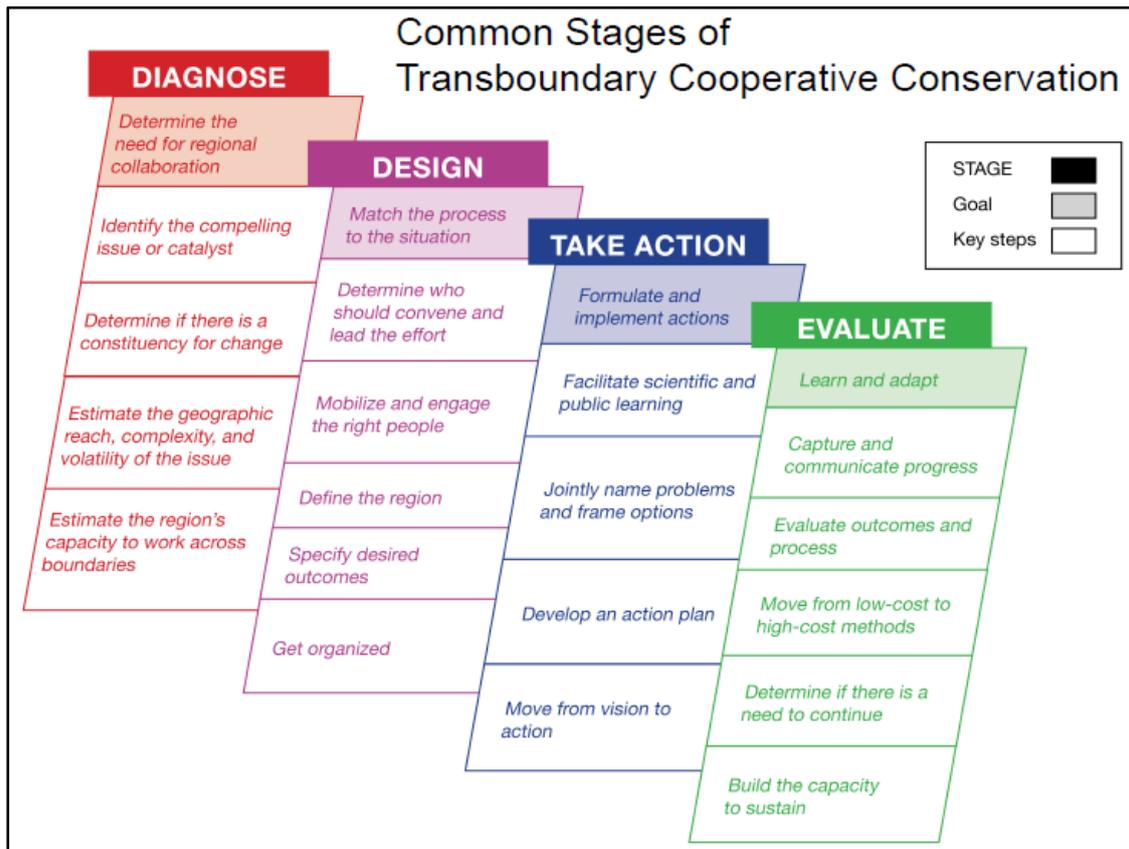


Figure 4: The diagnostic framework of McKinney et al (2012) illustrating the stages, with their goals and key steps which are characteristic of successful TFC initiatives (© University for Natural Resources & Environmental Policy, University of Montana).

#### 6.2.1.1 The Legal and Policy Framework

In addition to the elements discussed above is that of the need to assess the legal and policy framework for implementation. As stated in the discussion on this aspect in Section 3, TFCAs are multi-faceted entities consisting of a multitude of issues to be considered in a multi-national collaborative management framework. Critique has been given on the legal and policy framework in Section 3 in that it lacks substantive content and detail relevant to TFCAs. Again, one should remember that law and policy in the AU and SADC exist, and continues to be made within a specific post-colonial political climate. This creates a situation where common consensus is extremely difficult to reach and the product is a situation where supra-national law-making becomes a challenge (Lubbe and Barnard, 2012).

TFCAs practitioners are faced with the challenge of a fragmented and disjointed legal framework. The legal and policy framework does not clearly indicate which issues need to be covered in collaborative governance frameworks creating a lack of legal certainty, and this in turn leads to potential situations where approaches to TFCAs are not harmonised. For all practical purposes, practitioners need to rely on national legislation to draw up governance frameworks and this defies their purpose: traversing borders and holistic governance. In essence, borders that have been dropped can be re-erected as national legislation is limited to sovereign borders and, by implication, the management plans drawn up in accordance thereto. This challenge emphasises the need for a holistic supra-national approach, such as the SADC biodiversity protocol as called for by the RBS.

The question will then be: what should such a protocol contain, but also recognising the need for protocol revision and development to work towards greater synergy and less fragmentation. Ironically, the answer is not a detailed set of rules and/or regulations stipulating every aspect of biodiversity conservation but rather a principle-based approach should rather be followed; with principles giving effect to the main goals of TFCAs - biodiversity conservation and sustainable development.

Why principles? It is important to note that the nature of supra-national law-making more than often results in soft law as common consensus is difficult to reach. This is especially true in SADC where development is high on the agenda and hard law approaches will be shunned with a defence based on permanent sovereignty (Lubbe and Barnard, 2012 and Lubbe, 2012). For this reason, principles may be received better in the African (and specifically SADC) context as it is *perceived* to be less intrusive on sovereignty as they may be seen as a form of soft law. However, it remains certain that soft law may over time develop into hard law (Shelton, 2000; Abbott and Snidal, 2000; and Verschuuren, 2003). Soft law serves as an important benchmarking and harmonising mechanism against which hard law systems may be analysed and tested. Principles, in the guise of soft law, offer the advantage of being more flexible, open-ended, and adaptable while at the same time still giving a substantive direction for TFCA practitioners. The question then turns to what the principles should entail in order to provide a normative framework for TFCA practitioners. The solution would be not to reinvent the wheel but rather to use principles that have already been applied in the African context and that are relevant to TFCAs. These can be found in the New Delhi Declaration on the Principles of International Law Related to Sustainable Development, 2002 (NDP) as confirmed by the Sofia Declaration of 2012 and the UNEP Principles of Conduct in the Field of Environment for the Guidance of States in the Conservation and Harmonious Utilization of Natural Resources Shared by Two or More States, 1978 (UNEP Principles). The guiding principles for a biodiversity protocol using these documents should include:

- The duty to ensure conservation and sustainable use of natural resources;
- The principles of equity and the eradication of poverty;
- The principle of common but differentiated responsibilities;
- The principle of the precautionary approach to human health, natural resources and ecosystems;
- The principle of public participation and access to information and justice (“Openness”);
- The principle of good governance; and
- The principles of integration and interrelationship, in particular in relation to human rights and social, economic and environmental objectives.

It should be noted that this is a broad legal framework in which TFCAs may operate. These principles should serve as a normative guidepost and specific challenges should be addressed within a contextual interpretation of the relevant principle/s. In so doing, these principles should address the future development of TFCAs and align current shared practice.

In summary the AU and SADC legal policy framework does not adequately address the regulation of TFCAs. Fortunately, TFCAs are not over-regulated and the legal and policy framework is still in a developmental phase. This creates the opportunity for legislators to act with the luxury of hindsight and in light of current challenges which should, in theory, result in comprehensive law and policy. In this regard cognisance needs to be taken of the concurrent call for the development of a biodiversity

protocol and the revision of the Wildlife Management and Law Enforcement Protocol, and that these processes need to converge in order to work towards more synergy, rather than increased fragmentation.

### **6.2.2 Pre-feasibility Assessment Method**

As a preamble to their discussion on the above, McKinney et al (2012) make the valid observation that in some cases proponents may have access to all the necessary information required to undertake a pre-feasibility assessment. However, while this might be the case, it is often a good idea to crosscheck their understanding of the issues and drivers against a larger group of stakeholders as this helps to ensure the legitimacy, credibility, and transparency of any subsequent work. Irrespective of whether proponents have a full understanding of the all the issues relevant to a potential TFCA initiative, or they need to undertake a body of work to generate this understanding, McKinney et al (2012) put forward a thorough stakeholder assessment process that will produce a robust outcome that will contribute significantly to a proponents ability to assess the elements discussed above, and/or undertake the feasibility assessment process discussed below. This process will also be extremely useful in the initiation of the management planning framework discussed in Section 7.4.

It is worthwhile noting at this point that there is a strategic difference between the stakeholder engagement that takes place in the assessment being promoted here, and that which takes place in the process of deriving the management planning framework. In the process that is being promoted here, as part of the pre-feasibility, stakeholders are engaged individually or within their respective groupings. However, when it comes to the management planning framework, stakeholders are brought together for collective engagement, hence the point that has been made in the paragraph above about the usefulness of this stakeholder assessment to the overall process.

According to McKinney et al (2012) there are a number of benefits that emanate from this process, namely that it allows both the proponents and the stakeholders to begin developing a common understanding of the substantive issues; to begin to understand the diversity of viewpoints and interests; and if there are alternatives to address the issues pointing to the need for a TFCA initiative. It helps people understand the history and dynamics of a particular issue or situation and clarifies the incentives of the various parties to engage in TFCA collaboration. It can help to understand the opportunity costs of maintaining the status quo of independence rather than interdependence.

While it is possible for TFCA proponents to undertake a stakeholder assessment, it is recommended by McKinney et al (2012) that it is preferable that this be facilitated by third parties not directly interested in the particular TBCA that is being assessed (e.g. facilitator or consultant), who can report to and advise the proponents based on the outcome of the assessment. A very detailed outline of the recommended stakeholder assessment process is presented in Figure 5 and in brief the process would include the following:

- Proponents identify and appoint a credible impartial assessor who has some understanding of the issues at stake and the institutional context of these, as well as a proven track record of being an impartial and discerning interviewer.

- Proponents and assessor identify the stakeholders to be engaged and ensure as full an understanding as possible of the issues at hand, and formulate an interview protocol and questionnaire. Here the experience of the assessor is critical as the way in which questions are formulated and asked plays a significant role in the interviewee's ability to respond appropriately.
- Assessor analyses the responses to the interviews and prepares a report that provides insight as to the relevance of the potential TFCA initiative, as well as indications as to how to take the initiative forward if it is found to be an appropriate and acceptable intervention.

### 6.2.3 Summary Guidelines

- A pre-feasibility assessment is necessary to test the extent to which the receiving environment may be receptive of TFCA initiative and capable of driving it forward.
- The ten elements relevant to a TFCA pre-feasibility must be used as a check list for proponents to guide this process and ensure that it is as objective as possible.
- An assessment of the legal and policy framework within which the potential TFCA will need to fit is required, with particular reference to where there may be conflicting laws and policies between participating countries, and where harmonisation of laws are required, as well as the domestication of TFCAs into national legal and policy frameworks.
- A thorough stakeholder analysis is required to build on the work recommended in Section 6.1 and to provide a credible platform from which to launch further work towards assessing TFCA feasibility.

## 6.3 Assessing TFCA Feasibility

Through the implementation of the recommended approaches in the preceding Section, proponents would have been able to gain greater insight into the prevailing dynamics within and associated with the area in question and the potential suitability of a TFCA approach. In this Section the application of a diagnostic tool developed by Vasilijević (2012b) is proposed, and the insights gained from the pre-feasibility are crucial for the application of this tool. While there are other approaches that may be taken to assess the feasibility of a potential TFCA intervention, this diagnostic tool has been developed specifically with TFCA feasibility assessments in mind. This Section provides a brief description of the tool and proponents are encouraged to download it off the internet via the following link: <http://www.tbpa.net/page.php?ndx=22>, although a hard copy is provided as Appendix E.

The diagnostic tool was developed by the IUCN WCPA Transboundary Conservation Specialist Group for the IUCN WCPA publication "Initiating effective transboundary conservation: A practitioner's guideline based on the experience from the Dinaric Arc" (Erg et al, 2012) and helps to answer questions such as:

- Is there a need for a TFCA approach in your region?
- Are the key stakeholders ready to support and engage in a TFCA initiative?
- What capacities are needed to successfully implement the TFCA initiative?
- Are there any risks that might hold back the process?

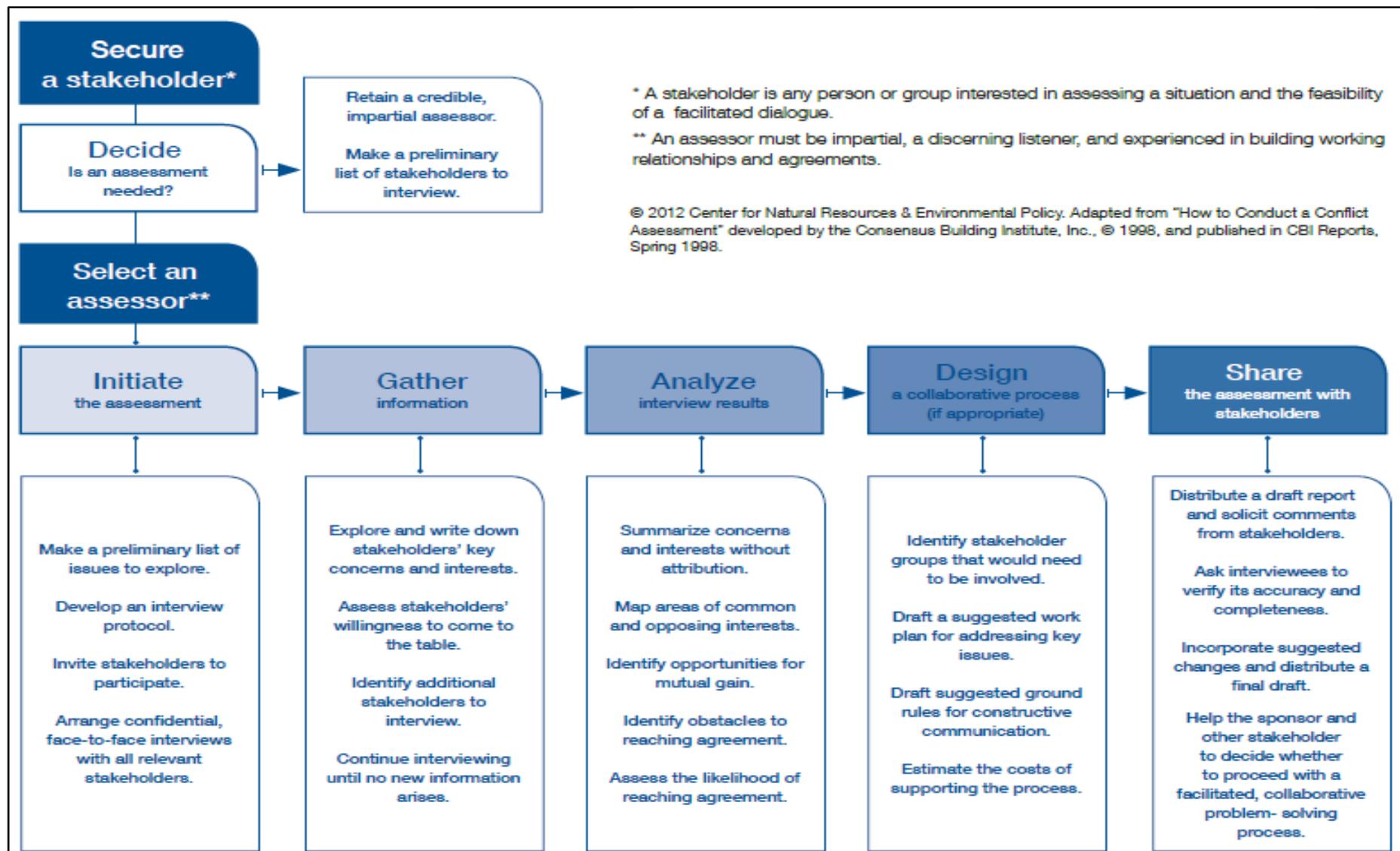


Figure 5: The detailed steps and activities of the Stakeholder Assessment process recommended by McKinney et al (2012)

- Which elements could potentially help to facilitate the process?
- What opportunities can be generated by a potential TFCA initiative?

The essential elements of the tool, which is in an Excel spreadsheet format; are a title page, a page that provides an introduction and detailed instructions, a questionnaire including 91 questions, a report template, and an annexure that provides an indication of potential benefits that may be derived from the envisaged TFCA initiative. While it is possible to complete the questionnaire in hardcopy format, it is recommended that the electronic version be used as it is designed to generate the report as the questionnaire is being completed.

McKinney et al (2012) provide relevant commentary on the diagnostic tool as follows (the original terminology of this extract has been maintained hence the reference to TBC and not TFCA):

[This is] a qualitative framework best used by third parties not directly interested in the particular TBC that is being assessed (e.g. facilitator or consultant), who can report to and advise the initiators of TBC based on the surveyed questions. The questionnaire presented in this publication is designed to offer conclusions based on the quantitative methodology, and we see it as one of the key advantages. We are aware of the risk by offering such an approach and possible criticism in that TBC is too complex and depends on many factors that the statements resulting from quantitative assessment might be too 'simple'. That said, 91 questions were designed in such a way to attempt to assess best possibly the issues that reflect feasibility for TBC. The number of questions might seem overwhelming to someone, but the questionnaire is most likely incomplete. Many more questions could have been added that would undoubtedly bring added value to the assessment, but keeping the purpose of the tool in mind, the questionnaire was designed in such a way as to offer straightforward responses and the best possible guidance for those using it.

Considering that the objective of this tool is to provide guidance on the feasibility for TBC, the questions primarily assess the compelling reason(s), i.e. the need for TBC, and the readiness of parties to undertake the effort. The questionnaire also clarifies opportunities that could be generated by engaging in TBC, including those opportunities that could accelerate the process, as well as risks that could hinder the process. Opportunities and risks are assessed separately in each part of the questionnaire: i.e. for the compelling reason for transboundary conservation, stakeholders, geographic reach, regional stability and complexity, and capacity.

The majority of questions are evaluated by scoring, and thus the questionnaire can easily be used by TBC stakeholders and initiators, providing them a self-assessment opportunity. For example, if protected area manager or responsible ministry or any other interested party wishes to examine the potential for TBC, by using this questionnaire they can do it on their own. The process is relatively fast, and one does not necessarily have to be a TB expert to reach conclusions about feasibility for TBC and interpret the results. Some TBC developers though wish to hire a consultant or someone neutral to advise them on the feasibility for TBC. For this particular possibility, the questionnaire contains also several 'informative' questions that are not scored. Their purpose is to fill in the consultant's potential knowledge gaps related to the region.

An essential aspect which has not been addressed in the diagnostic tool, although there are questions that relate to financial resources, is the extent to which the target area does and can contribute to the socio-economic resilience of the broader landscape in which it is located. Sections 4.3 and 7.6 provide specific reference to this concept, and it is recommended here that at this stage in the process it is appropriate to carry out such an assessment. Note especially that the discussion in Section 4 relates to the suite of potential benefits that may result from TFCA initiatives, and the extent to which these benefits may be realised from the area in question needs to emerge from a feasibility assessment.

It is possible that the diagnostic tool may be up dated to include this aspect as it is recognised as a work in progress, but until such time as this happens, proponents are encouraged to apply the categories and examples from the Millennium Ecosystem Assessment as discussed in Section 4.3 and Appendix C when considering the broader socio-economic relevance of their TFCA initiative. In addition to this there are a number of tools that are available such as the mapping software InVEST (Tallis and Polasky, 2009) and other decision support tools (TEEB, 2009; Goldman and Tallis, 2009; Tallis *et al*, 2010; Vogl and Tallis, 2014). Reference has also been made to the recent publication by Kettunen and ten Brink (2013), “Social and Economic Benefits of Protected Areas: An Assessment Guide”, which has specifically been compiled to assist with such an assessment.

### 6.3.1 Summary Guidelines

- On the basis of the findings of the pre-feasibility assessment, or the assessment of the enabling environment, a feasibility assessment process must be designed and undertaken.
- There are examples of feasibility assessments undertaken for some of the SADC TFCAs, e.g. Great Limpopo TFP, but the diagnostic tool discussed above may be applied either directly for a feasibility assessment, or to guide in the formulation of terms of reference where an external service provider is to be selected to run the process.
- The full value of the potential TFCA must be assessed on the basis of the MEA (2005) categories and examples of ecosystem goods and services. Additional investment will be required to obtain the services of a resource ecologist familiar with the concept and relevant tools, to assist with this process.
- The above assessment must include a mapping exercise where the linkages between the production and consumption of ecosystem goods and services are identified.

## 6.4 Designing the Implementation Process

Assuming that the pre-feasibility and feasibility processes discussed above indicate that pursuing a TFCA approach is the right thing to do, it is then recommended that the outcomes of these processes and the insights gained be applied to the careful design and planning for implementation. Reference is again made to McKinney *et al* (2012) and the process illustrated in Figure 4**Error! eference source not found.** They caution that enthusiastic proponents are often willing to simply dive into implementation without careful consideration of the aspects discussed in the pre-feasibility and feasibility processes, and they recommend that it is well worth taking the time [at this point] to design a thoughtful, efficient process for [TFCA collaboration]. A well-designed process is far more

likely to draw people into the effort, help them stay focused on the region and issues at hand and achieve desired outcomes.

From the illustration provided in Figure 4 it can be seen that there are four important steps that are recommended in the process of designing the way forward and to ensuring that the process matches the situation. These steps are listed and discussed briefly below:

### **Design step 1: Determine who should convene and lead the effort**

This aspect has already been touched on in Section 6.2.1 in the discussion on the requirements for leadership in a TFCA initiative. Again it is reiterated that these leadership qualities need to be prevalent in whoever will be selected to lead the process. However, it is also recognised that due to the long-term, complex and dynamic nature of TFCA processes, different leaders may step forward at different times to fulfil different roles. At the beginning there may be more of an emphasis on the requirement for one with entrepreneurial skills, where the ability to see problems or opportunities and/or have a vision and the ability to make it compelling to others are essential. Also one or more who can help create credibility and legitimacy for an initiative would be desirable.

An important consideration is the potential for the leader to remain involved with the process in the long-term. It is often the case that the departure of a champion from a process leads to it slowing down, or even going backwards. As such it may be that the leader needs to be a representative of an official agency who has a key stake in the success of the process, and therefore has a good chance of staying with it. And again in consideration of the complex and dynamic nature of these processes, good project management skills are essential.

### **Design step 2: Mobilize and engage the right people**

It is a fact that as soon as one begins to look at collaborating across one or more international boundaries simplicity is immediately escalated to complexity, no matter how one may want to avoid it. Conservation agencies are not necessarily mandated to work across international boundaries and therefore need to engage other organs of state in order for them to assist with the process, while others may have unrelated mandates that may benefit from cross border collaboration. In this regard and depending on how pro-active and open-minded these other agency representatives might be, they could either enhance the enabling environment, or make things even more complicated. A natural response to this might be to rather work with those who are positive and helpful in the process, but it is essential that every effort is made to get all the relevant people on board. McKinney et al (2012) couch this as being inclusive and suggest that there are three categories of people who must be engaged for a process to be legitimate, credible and effective, namely:

- those people and groups who are interested in and directly affected by the issue;
- those needed to implement any potential recommendation (that is, those with authority); and
- those who might undermine the process or the outcome if not included.

This works towards building a “constituency for change” in which the stakeholders become actively involved in the process from as early as possible. In this way it is likely that buy-in will be an assured outcome as the stakeholders will contribute to the long-term vision (see Section 7.4) and the short-term actions required to get there (see Section 7.5).

### **Design step 3: Define the region**

This aspect is discussed in detail in Section 7.3 and these Guidelines do advocate for a thorough and robust mapping exercise to be a crucial part of the establishment and development of a TFCA initiative. However, it is acknowledged that in order for the establishment process to be well designed, there needs to be at least a preliminary indication of the geographic scope with which the proponents are proposing collaboration. In this regard it is essential that every effort is made to provide stakeholders with the assurance that the area delineated at this point in the process is there to serve the purpose of initiating dialogue and that as the process evolves, so will the delineation and definition of the area.

It may also be argued that this step needs to precede that of or be part of the stakeholder identification. While much of the latter is driven by jurisdictional linkages to the initiative, geographic linkages are also necessary to help identify stakeholders, particularly those in the first group listed in design step 2 above. Therefore it may be necessary for these steps to be implemented for a number of iterations.

While it might be tempting for proponents to produce glossy hardcopy maps depicting the proposed TFCA as they envisage it at this point in the process, it may be better to rather keep these as low key as possible and just sufficient enough to be used in communicating the vision for the initiative and the potential outcomes. The maps produced by the Peace Parks Foundation play a prominent role in these Guidelines, especially in Section 5. However, in the early days of this organisation, their use of hardcopy glossy maps served to alienate them from some TFCA processes, even where feasibility studies had been undertaken. The lesson learnt from this experience was that potential TFCA partner countries coming in to a process at this stage may be easily intimidated and perceive a potential takeover of land by a neighbouring country. This is particularly true if the country from which the initiative originates is socio-economically and institutionally stronger.

### **Design step 4: Specify desired outcomes**

In keeping with the principles of being open and transparent from the outset, it is essential that the desired outcomes are clearly articulated. It must however be recognised that while these may remain relatively unaltered, as the process evolves and stakeholders are brought on board to participate, other potential outcomes may emerge. Therefore proponents need to be willing to let go of their original perceptions of what the outcome might be and allow the realities of broader perspectives to help fashion outcomes that are possibly more relevant and achievable. The idea of specifying the desired outcomes at this point in the process then is to help launch the idea and to initiate dialogue.

### **Design step 5: Get organised**

So much about the initiation, establishment and development of TFCA initiatives revolves around being organised and maintaining processes within the context of an organisation. This design step may be seen as the first step in this direction and assumes that up until this point much of what has happened has almost been spontaneous and now that spontaneous energy needs to be channelled in order to ensure that it can move forward in a meaningful way. It is at this point that the proponents need to rally themselves, take stock of what the pre-feasibility and feasibility processes

have revealed, and assuming that these provide the green light to take the initiative forward into the establishment phase, they now need to plan carefully how best to go about launching the initiative.

As with the delineation of the area and the articulation of desired outcomes, proponents need to acknowledge that as they launch the TFCA initiative into the establishment phase, they may well have to 'hand it over' to a broader more representative structure. It may still take a number of years of preliminary work to get to this point, but it is a goal towards which proponents should strive as it will be indicative of the extent to which they have succeeded to get buy-in for their vision and to have it embedded in a bigger picture. It is the work of taking the initiative into the establishment phase for which this design step is intended.

Some of the aspects associated with this step and which need to be taken note of are:

- Proponents may need to secure a mandate from the agency for which they work in order to pursue the initiative as it may extend beyond existing job descriptions.
- It is likely that this work will extend beyond the scope of existing budget allocations and therefore financial resources might need to be secured from elsewhere.
- The stakeholder assessment undertaken as part of the pre-feasibility will have revealed stakeholders who are sympathetic to the initiative and who may have resources and skills they can contribute to the process. It will be useful to engage with these stakeholders and bring them into what may be considered a core organising group.
- If not already done, implement design step 1 and select a leader for the process.
- Formalise this core group and develop an operational protocol and communication strategy, and allocate roles and responsibilities relevant to the mandates, skills and resources available to the various core group members.

Again it needs to be emphasised here that while the processes and steps set out in this and the following Part suggest a logical sequential flow of process, the reality on the ground might well dictate otherwise. Therefore it is recommended that in the application of these Guidelines, TFCA proponents and practitioners must allow for flexibility, adaptability, and an evolutionary growth process within their respective initiatives. Central to the evolution of TFCA initiatives is the iterative application of these steps; and at times, the reversal of the sequences, all dictated by the circumstances on the ground. It may also be that where the pre-feasibility and feasibility assessments are thorough, they may negate the need for some of the steps listed and discussed in the following Part.

#### **6.4.1 Summary Guidelines**

- Prior to spending more time and resources on this process it is essential that proponent objectively reflect on the outcomes of the pre-feasibility and feasibility assessments and allow these to guide them further. Where these assessments clearly show that it is not feasible to take the potential TFCA forward, the initiative must be 'parked' until circumstances become more conducive. However, if they show that it is feasible, then the findings from these processes must be used to inform the design of an implementation process.
- Use the four steps listed and discussed above to guide the design of an implementation process.

- Acknowledge that while the steps outlined in both this and the following Part do follow a logical sequence with subsequent steps building on the outcomes of preceding ones, circumstances and on-the-ground realities may dictate otherwise. Flexibility is key to the approach, while using these steps as a checklist to ensure that important aspects are still addressed, even though this might be at a later stage.

## **PART 3:**

### **ESTABLISHMENT AND DEVELOPMENT PROCESSES**

#### **7 The Establishment and Development of TFCAs**

At this point in the complex, dynamic, evolutionary and iterative process of identifying the need for a TFCA initiative, initiating the process, and then moving on to begin with the establishment and development; it is acknowledged that much ground will have already been covered, important insights and understandings would have been generated, as well as a level of awareness amongst stakeholders. However, as will be seen from the discussion in this Part, there is still a significant body of work to be done before proponents and practitioners will be able to step back from the process and consider the TFCA initiative to be established. Following on from the concluding paragraph of the previous Section, the amount of work that will be required in this part of the process will depend directly on the amount of progress that was made leading up to this point.

From an implementation perspective it may be assumed that on the basis of the progress made during the initiation stage, proponents and practitioners will have been able to secure sufficient resources, support and mandates to launch into the establishment and development process. If this is not the case, then serious consideration must be made as to the feasibility of taking the initiative forward and it may well be necessary to revisit some of the pre-feasibility, feasibility and planning aspects.

In this Part, establishment and development are seen as being synonymous and therefore no distinction is made between them. However, from a strictly sequential perspective it may be argued that it is necessary to make a distinction and that one cannot develop an initiative that has not been established. As will be seen from the discussions below, these stages can overlap substantially and therefore in the interests of not being pedantic, they are addressed as one and the same thing.

What has not been included in this Part is any reference to the management of TFCA initiatives as these aspects need to be reserved for discussion within the context of each particular initiative. Also it is recognised that it is an ambitious task to address the management of TFCA initiatives at the generic level of a regional guideline. Although there are management issues that may be common to some TFCAs that fall within one of the nine biomes listed by Hall-Martin and Modise (2002), the fact that this diversity exists, to the exclusion of the marine environment, illustrates the futility of trying to address management issues at the regional level of these Guidelines. The assumption is that detailed guidance on management issues is available in a plethora of relevant publications.

The topics covered in this Part have been structured to follow a relatively logical flow of process assuming that it would be necessary to obtain buy-in from stakeholders before embarking on any further investment of time and effort. Thereafter it would be necessary to put an appropriate governance structure in place before embarking on and to lead subsequent processes. With buy-in secured and governance in place, it would be possible to better define the area in question and to do this in an open and transparent manner that includes all relevant stakeholders. Thereafter it would be possible to begin the process of developing a joint management plan, starting from the

broad perspective of a shared vision and working towards the more refined management actions that would be undertaken in a collaborative manner. Following on from this planning process would be the derivation of a monitoring and evaluation framework with which to track the effectiveness of the implementation of the joint management plan, but an important and over-arching aspect would be the question of how this is all funded and how funding is sustained in the long-term.

## **7.1 Securing Buy-in and Building Legitimacy**

As their careers progress conservationists become increasingly aware of the fact that in order for them to achieve their conservation targets, no matter what these may be, they have to engage stakeholders to garner support for their efforts. Primarily this is associated with the need to secure funding and a mandate for their work, but it also has much to do with making sure that interested and affected parties are included in the process of designing their conservation strategies, and even participating in their implementation. Section 6.2 speaks to the issue of assessing the enabling environment, while this Section speaks to the processes of making sure that an important component of an enabling environment is established. It also speaks to the reality that conservation cannot happen in isolation but that in order to succeed it needs to make sense socially, economically and politically.

Although this Section has been structured in what appears to be a hierarchy of levels of stakeholders who need to be engaged, it must be noted that this does not reflect any level of importance or priority. Each of the sectors discussed here are equally important as they have a variety of roles that they can play, as well as a variety of ways in which they can influence the processes required to establish and develop a TFCA initiative, and the rate at which progress is made. In this regard logic will dictate the sequencing of stakeholder engagement, as will the extent to which financial resources and capacity are available to undertake these tasks. It is therefore essential that TFCA practitioners be very strategic about approaching this important aspect and build on the stakeholder assessment discussed in Section 6.2.2. Also it is important that the engagements suggested in the following discussions happen on the basis of a carefully and strategically compiled stakeholder engagement strategy. This in itself is a discipline that enjoys much attention in terms of published best practice, techniques and tools. These have not been included in this Guideline, but practitioners are encouraged to spend time reviewing the relevant literature before embarking on the process of compiling a comprehensive stakeholder engagement strategy.

A very real tension that needs to be managed by practitioners is that between the short-term nature of political engagement and influence, and the long-term nature of these processes related to interested and affected communities. This tension was felt acutely in the early stages of the Great Limpopo TFP where substantial political pressure was brought to bear on the process resulting in the premature implementation of a number of significant actions, such as the dropping of fences and the relocation of wildlife. While these actions may have served to secure buy-in at the political level, they may well have resulted in the loss of legitimacy at the local level. Perhaps if more time had been taken to ensure local community buy-in, greater cooperation would be evident today in the fight against rhino poaching. This is reflected by Hall-Martin and Modise (2002) who state that the involvement of all stakeholders in the development of TFCAs is likely to result in political buy-in, credibility, legitimacy and social acceptance of TFCAs.

### 7.1.1 At the Political Level

Conservation practitioners have become increasingly familiar with the need to influence stakeholders at the political level as this is the primary source of their financial resources, as well as where they obtain the legal and policy framework required to legitimise their work. However, as soon as this work begins to move across one or more international boundary, not only are additional financial resources required, but multi-national mandates based on carefully crafted agreements. It is acknowledged that the processes required to work towards obtaining these agreements are protracted and involve diplomatic and bureaucratic dynamics that most practitioners are unfamiliar with. However, without these agreements in place, or at least the mandates to work towards them, efforts on the ground could be frustrated and even stopped, resulting in preliminary advances losing valuable ground. It is therefore recommended that TFC practitioners ensure that every effort is made to bring the relevant political stakeholders on board as early in the process as possible.

The steps that are needed to secure buy-in at the political level will differ from case to case and country to country, but if it can be assumed that most TFCA initiatives are initiated within a natural resource management (conservation) agency at a relatively high level where these types of strategic directions emerge and are taken, then the following steps should be appropriate:

- The leadership selected according to **Design Step 1** in Section 6.4 collates all the information generated through the pre-feasibility and feasibility processes and compiles a concise but comprehensive proposal motivating for the establishment and development of the TFCA initiative in line with the report template provided in Appendix E. Note that the broader socio-economic relevance of the initiative is currently not in this template and needs to be integrated into the report as discussed in Section 6.3.
- Appropriate channels of communication must be used to ensure that the proposal reaches the relevant minister with the clear request that they will then ensure that the necessary diplomatic processes are initiated in order to move the motivation both across to relevant ministries within country, as well as across the international boundary/ies.
- The driver of this process should attempt as far as possible to accompany and/or track the proposal along the channels of communication in order to be able to provide support through presentations and discussions, but also to be able to respond to requests for additional information and/or amendments as soon as possible.
- Wherever possible opportunities for direct or indirect lobbying should be identified and used to maximum advantage. Such opportunities may need to be created such as an invitation to senior officials and politicians to visit core areas that may clearly demonstrate the need for and benefits from the proposed initiative.

The timing of the above steps needs to be carefully considered as politicians have limited terms in office and therefore it would be best if these steps are timed to begin as early in the relevant minister's term as possible. Where this is not possible cognisance must be taken of the risk that a new minister may be appointed somewhere in the middle of the process, and that it may therefore be necessary to start the process again, or at least work to bring them up to date.

### 7.1.2 With Peers and Related Organs of State

The concept of working in silos is a reality both within and between organs of state. Another reality is that within the context of a TFCA initiative, there are many of these silos that have interests and/or responsibilities that impact directly on the processes required for their establishment and development. It is therefore essential that every effort be made to ensure that the relevant peers within the initiating agency and related organs of state are identified and engaged as early as possible in the process. In addition to this, the aim of the engagement should be to ensure their continued participation and contributions where relevant. This is particularly relevant to the establishment of the appropriate governance structure as discussed in Section 7.2.

In order to illustrate this necessity the portfolios generally reflected in governments are listed below in Table 4 together with the potential contribution that could be made to the establishment and development of a TFCA. The primary assumption in this is that these various agencies will all contribute to liaison with their peers across the international borders and thus facilitate collaboration related to the aspects listed below. Also that within countries, these various portfolios will take cognisance of the TFCA initiative and ensure that it is integrated into their particular plans and strategies and that potential conflict is detected as early as possible and dealt with pro-actively. Note that the portfolios have not been listed in order of priority as the particular circumstances of each TFCA initiative will dictate which plays a more important role. It is however likely that their contributions will all be significant.

**Table 4: The relevant government portfolios and their potential contributions to TFC initiatives**

<b>PORTFOLIO</b>	<b>POTENTIAL CONTRIBUTION</b>
Trade and Investment	Assist with identifying investment opportunities and to market these within the context of the TFCA objectives. Also to recognise the broader contribution that the TFCA initiative may make and to ensure the relevant support is provided.
Tourism	To assist with the tourism development planning within and related to the TFCA, with marketing for and securing tourism investors, as well as marketing the TFCA as a destination.
Environment	Conservation agencies are often nested within the environment portfolio and therefore play a critical role in providing mandates and resources. However, they also have broader environmental management agendas within which the potential benefits of the TFCA could make a contribution
Agriculture	As TFCA initiative often include multiple use areas, the Agricultural portfolio could play a significant role in helping to ensure that these areas are managed sustainably and compatibly to the objectives of the TFCA. As with Trade and Investment, it would also be essential to ensure that development planning is coordinated to enhance compatibilities. The control of animal disease is often a function of this portfolio and the potential opening up of international borders could pose a threat to the spread of animal diseases.
Water	The SADC Protocol on Shared Watercourses is testimony of the relevance of this portfolio, and it is likely that TFCAs will contribute to the achievement of better management of both the shared watercourses, as well as their catchments.
Foreign Affairs	Depending on the extent to which the mandate to work across international

PORTFOLIO	POTENTIAL CONTRIBUTION
	boundaries is given to other organs of state, this portfolio will be an essential contributor to facilitating cross-border linkages. Also the function of customs and excise generally resides within this portfolio and as TFCAs aim to enhance the movement of people between countries within the TFCA, they are essential contributors to the process.
Security	The function of security is generally divided between the defence and police portfolios, and considering the relative importance of this aspect, a more detailed discussion has been provided below.
Culture	As the linking of cultures is a distinct benefit that may emerge from TFCAs, it is essential that this portfolio is recognised and encouraged to play a role in strengthening the TFCA efforts.
Utilities	Included within this category of portfolios are those related to infrastructural development and maintenance, such as transport, power and communications. Of these, transport is possibly the most important as access needs to be ensured and maintained in order to facilitate most of the activities that will be associated with the TFCA.

Considering the relative importance of the security portfolio, additional discussion has been provided here on the basis of Braack et al (2005) and the experience of Col. David Peddle, a co-author of this publication, previously with the South African Defence Force, and with significant experience in regard to integrating security considerations into TFCAs from a South African perspective. With the content of the discussion below having being compiled independently, it includes a number of duplications with other discussions in these Guidelines. These duplications have been left in this discussion as they serve to emphasise the importance of these aspects and their interrelatedness.

Getting acceptance from the politicians is one issue along the road to a TFCA, but the security sector represents a distinct challenge. The problem of security in a TFCA is that firstly, few conservationists attempt to comprehend what the nature of the security problem is or indeed what its scope encompasses, and secondly most park officials tend to write security off to the tender mercies of whatever cheapest security company they can find to look after the ‘security problem’. By this they understand the problem really to be one of minor crime in the camps and a greater or lesser degree of poaching which they will handle using rangers. If the security company is unable to deal with the problem, whatever that may be, they are fired, if the park management are able to do so. As the scale of the criminal onslaught slowly becomes apparent and as the implications thereof are made visible on a national scale and on park balance sheets, the role of ‘Security’ will slowly undergo a metamorphosis. Governments and park authorities have slowly begun to realize that when a tourist is unhappy, he goes elsewhere, taking with him his dollars, pounds and Euros. This will gradually translate into socio economic effects, as donor countries begin to react to their citizen’s complaints and this will inevitably start to impact on the target country’s social or otherwise spending plans. Lack of security will have this effect as tourists are very fickle and they will move to other countries at the drop of a hat.

Strategically, security in a TFCA even more so than in a national park, involves not only the question of petty pilfering in your overnight hut or the break into your vehicle parked outside, but also the question of control into and inside the park. A TFCA allows for the free movement of tourists inside

such a park and some measure of control and a response system is vital for both the park and the tourist. The Departments controlling Immigration, Customs, Police and Military plus the many other State and Provincial/Regional Departments involved in the movement of goods and animals such as Transport and Health, have an intense interest in the establishment and development of TFCAs. Each national park within a TFCA has a massive interest in intelligence regarding the possibility of poaching and other forms of criminality that could be imported into their segment of the park. It can therefore readily be understood that effective and efficient security has wide implications and vast potential for the prevention of criminality, loss of revenue and animals within a TFCA and ultimately security planners must be able to identify criminal trends as they begin to take shape.

The establishment and development of a TFCA should not be dominated by a particular state department. This often happens inadvertently in the sense that the other non-conservation minded state departments either don't come to the party or are not invited at an earlier enough stage for them to be able to take part in a meaningful way. The implication of this is that they then either can't or won't become involved. It is these ramifications that are of particular importance, as conservation staff are sometimes not aware of certain consequences such as the activities of drugs and arms smuggling cartels in the region and opportunities such cartels may find in the potentially relaxed conditions of an inappropriately planned TFCA. This means that the process becomes slowed down and could even founder. All state organizations have to budget and this means generally speaking at least one year in advance but more normally two to three years in advance. That which is not on the budget will not be done unless the minister involved can be persuaded to reprioritise his departmental budget to the benefit of another department.

If no proper study or scoping exercise has been done at the outset of a TFCA process, one can easily fail to grasp who and what department or organisation should become involved in the process and this will also result in a crippled or retarded process. One must remember that for most governments, the security of the state and a secure border are of paramount importance and require critical consideration. Ministers responsible for matters affecting security, the borderline, customs and immigration have the ability to effectively make or break any TFCA process if they are not engaged and requested to contribute.

Of critical importance is the realisation that the TFCA governance structures, at both the national and international levels, must be so constituted as to include the interests of the security departments as well. The TFCA Programme leader must ensure that his working committees include a security committee which is reflected on all sides of the TFCA boundaries. He should also ensure that the security committee at the international level is made up of the chairs of the various national security committees and that the international security committee chair is able to be heard on the TFCA governance structure when this is constituted. At national level the security committee must represent all the security related departments and organisations, and include non-governmental security interests if relevant and not divisive. There should be a very clear understanding between all security elements as to who has responsibility for what so that each agency, unit or component knows exactly what its role and functions and responsibilities are, and that each of the other agencies, units or components has a full understanding of how the different role-players complement each other or fit together. The security committee must be constituted with a constitution to resolve such potential issues. The chair must represent the Department with the primary responsibility for border security. The Security Chair to be effective must have the status to

be able to interact meaningfully with the various state security organs and so ensure planning relevance amongst his nation's security departments. It should be the responsibility of the Security Committee, or Working Group, to identify all the elements affecting Security in the proposed TFCA, and to address all these issues, by means of a national and ultimately international security plan, and to contribute to a cohesive workable and integrated Joint Management Plan.

Security role players can be divided up into two main components or elements, namely primary, secondary and tertiary. Primary security elements, can comprises the Police, Military (Army mainly), Intelligence, conservation Rangers, Game Scouts (see Figure 6), etc. Secondary security elements, comprise the following; Immigration, Customs & Excise, Veterinary (disease control), Agriculture (alien plant control etc.). Tertiary security elements are made up of private or local security agents employed to safeguard gates, buildings etc. General conservation staff are trained in fire-fighting, first aid, and are increasingly also trained to engage in combat situations due to the increasingly militarisation of the poachers tactics.



**Figure 6: Conservation security personnel from South Africa and Mozambique at the international border between the two countries in the Great Limpopo Transfrontier Park (© Thomas Petermann)**

TFCA practitioners must realise that the success of a TFCA, or indeed any protected area, must rest on broadly three legs; financial management, wildlife management and the management of the security threat to the park. Without a healthy security environment capable of dealing with criminals and the management of emergencies, few tourists will be willing to visit such a place.

During the initial negotiations, both national and international, the legal implications of the movement of people, goods and animals across international borders are of vital concern to security departments of the countries involved. Clearly the development of a TFCA does not do away with the existing borderlines, but seeks to work across these within the confines of the TFCA. The role of the organs of state with respect to these borders must be clarified to their satisfaction. This means of course that these departments must be closely engaged along the entire process of TFCA development to ensure no surprises to them or the TFCA at a later stage. It is better to spend days discussing an aspect to ensure acceptance and understanding than later to have to revisit building blocks because they are out of alignment due to misunderstandings. Aspects that must enjoy a healthy debate amongst the role players are the following:

- International **border fence**. The actual fence – if it indeed exists must be either removed in its entirety, or partially, in so much as do the border fence posts remain, or should stretches of the fence be left in situ.
- The question of **passports** arises and where they must be presented to immigration, along with any goods on the tourist or official to be inspected by a customs official, who must extract customs dues.
- The principle of **Hot Pursuit** must be clarified and indeed will lead to the question of the carriage of weapons by officials in a neighbouring country's jurisdiction. Critical here is the right to self-defence in another country while carrying a weapon.
- The **right of movement** by officials across the de facto borderline must be clarified in terms of occasions and periods. Should they carry passports or agreed identification?
- The **harmonisation of laws** is critical as each country will interpret offences differently and thus punishment will differ, for example for poachers. South Africa will for example refuse to hand over a suspected murderer without guarantees.
- The question of **TFCA funding** will remain a critical aspect as this will entail the clear delineation of fees and monies due to each park in respect of the other TFCA partners who may legitimately lay claim to a portion of, for example entrance fees to the park, and curiously also speeding fines within the TFCA!
- The question of **legal jurisdiction** or not, of police officials as well as other government office bearers outside of their countries' must be conclusively agreed upon.

Security departments tasked to minimize criminal activity or threats will always attempt to have as much control over the movement of people and goods and to have as much information as possible about what these people are doing and where they are. The control of people and goods within a park is critical to maintaining good order and reducing criminality within the TFCA. Effective control at an entrance gate will, when connected to a park wide communication system, allow officials to identify missing tourists and or deliberate 'loss' by way of illegal activities (e.g. poaching, or smuggling vehicles across border patrol road). The ability or otherwise of security officials to identify tourist vehicles inside a park as a result of the control measures at the park entrance, will also need to be reflected in the degree of access allowed a foreign official to police and passport information on a county's police/immigration database.

Other specific aspects that require consideration are as follows:

- **Training:** An effective level of training for the rangers, who patrol the parks, must be ensured by all parties and indeed a joint training curriculum must be developed and acted upon. This will ensure a common approach to all incidents and raise the standard of efficiency and hopefully reduce corruption. This will also ensure that cross border operations in respect of poaching and hot pursuit will occur within the laws of the TFCA countries and be carried out efficiently and effectively.
- **Infrastructure:** The infrastructure of the TFCA, that is to say all roads, bridges, fences, joint communication systems and relevant buildings may be maintained out of a jointly managed fund based on a jointly agreed infrastructural sub-plan of the TFCA Security Plan.
- **Emergencies and disasters:** The possibility of some form of disaster affecting the TFCA, be it natural or man-made, must be foreseen and planned for by the TFCA Security committee. This may range from aircraft crashes to fires and the possibility of armed incursions where relevant.

- **Neighbouring communities:** The role of the population surrounding the parks is one that needs great thought and careful planning from all sides including the security committees. There will be some expectations with respect to the TFCA and the TFCA may be seen as a source of vital revenue and some of the following implications for management can be identified as follows:
  - There will be an expectation of employment within the TFCA.
  - There may be an expectation to be able to compete for the delivery of goods and services at a preferential rate.
  - There may be an expectation to sell local crafts to the tourists both inside and outside the TFCA.
  - There may be an expectation to be consulted about all matters that affect the profitability of the region and the TFCA, special forums will need to be set up to meet with local community representatives.
  - There may be an expectation to be involved with decisions affecting the location of big game near their areas.
  - There may be an expectation to be part of any game ranching or hunting developments around the periphery of the park.

A further implication related to neighbouring communities on is the potential for an increase in international poaching activities. The inclusion of representatives of the neighbouring communities onto the security committee is a decision that should not be taken lightly, as it will affect all parties to the TFCA agreement, some of whom may be against the idea for security reasons.

The final portions of the above discussion related to neighbouring communities, highlights the need for a dedicated section on this subject. The discussion in the following Section provides for this and the overlap is deliberate as it helps to emphasise the importance of the need to build lasting and trusting relationships with neighbours.

### **7.1.3 With Interested and Affected Communities**

This sub-title distinguishes between communities who may be ‘interested’ and those who may be ‘affected’ by the establishment of a TFCA. Note that in these two groupings, the latter may also include the former and is potentially more influential. Primarily interested and affected communities are civil society groupings who do not have a legal mandate related to the establishment and development of a TFCA, but who are either interested in the initiative, such as environmental and social NGOs; or who stand to be directly affected by it by virtue of the fact that they are geographically located within or directly adjacent to the area in question, or are linked through the flow of one or more ecosystem services. In some instances affected communities may not be aware that they are and/or will be affected, while in others this may be well known and understood. It is thus critical that these distinctions are made in the designing of a process to engage with interested and affected communities.

The title of this Section, namely “Securing buy-in and building legitimacy” has particular relevance to interested and affected communities, especially the aspect of building legitimacy. It is theoretically a simple task to obtain buy-in as this can be achieved through the promise of a variety of benefits, but it is the delivery of these promised benefits that will secure legitimacy. It is therefore essential that any and all processes that are designed and embarked on by TFCA practitioners to secure buy-in and

build legitimacy with interested and affected communities are founded on the principles of honesty, openness, transparency, democracy, equity and full disclosure. Hall-Martin and Modise (2002) add to this by stating that communities need to be involved in TFCA processes as equal partners and not just passive beneficiaries.

One of the greatest stumbling blocks for engagement processes with interested and affected communities is the danger of generating unrealistic expectations. It is likely that this may occur, even where the principles listed above are followed religiously. Therefore TFCA practitioners who are involved with these engagement processes need to ensure a high level of objectivity, even downplaying potential benefits that may emerge as a result of transfrontier collaboration. This is particularly risky at the start of the process where the practitioners have invested much time in developing the concept from their perspectives and have not yet engaged fully with interested and affected communities. This understandably biased perspective is what can cause the generation of unrealistic expectations, and therefore needs to be greatly tempered by this understanding and objectivity.

Another danger associated with this aspect of establishing a TFCA initiative is related to the fact that the majority of these stakeholders are located in rural areas with limited logistical support and infrastructure. They are often remote and speak in different languages and dialects, and are scattered throughout the area of influence. As such a thorough engagement process will be a costly and time consuming exercise and any limitations in available financial resources will lead to this process being compromised. Such compromise will detract from the legitimacy of the process and the initiative as a whole, and therefore every effort must be made to ensure that it is well supported and thoroughly implemented.

In the development of a community engagement strategy much attention needs to be paid to the best method/s of communication, noting that this needs to be a two-way process from the outset, i.e. practitioners do not engage with communities in order to tell them about the TFCA initiative, but rather to share the concept with them and to very carefully listen to their responses. At times the responses may not be what the practitioners want to hear, but all viewpoints must be acknowledged, respected and carefully responded to. The language used must also be free of jargon and cognisant of the remoteness of the communities. Experience from the Maloti Drakensberg Transfrontier Project in this regard was that the practitioners engaged with communities stating that the project was funded by the World Bank. This was a completely foreign concept for the communities as their 'world' was the valley in which they live, and their 'bank' was their livestock. A simple term for the practitioners, but which meant something completely different to the communities.

In summary then when practitioners move to secure buy-in and build legitimacy with interested and affected communities they need to:

- Carefully craft a community engagement strategy;
- Ensure that there are adequate financial resources to implement the strategy thoroughly;
- Identify engagement techniques that are appropriate to the context of the various community groupings;

- Develop communication material that uses appropriate language, both in terms of direct communication, and also in terms of the terminology and concepts that are used (keep it simple);
- Ensure that all practitioners who are going to implement the engagement strategy are appropriately skilled to be objective, open, transparent and honest and are willing and able to listen;
- Acknowledge that this will not be a once-off process, but rather one that is on-going, and therefore is crucial to the process of building long-term meaningful and trusting relationships; and
- To reiterate what has already been stated in the introduction to this discussion on securing buy-in and legitimacy, ensure that the timing of the processes aimed at the three levels reflected in this discussion, is well managed and that they work in harmony with each other.

Note that the discussion in Section 7.4 provides detailed guidance on one of the stages of stakeholder engagement related to the development of a framework for joint management. In this discussion it is recommended that preliminary engagements with interested and affected communities need to be considered. The engagements referred to in the discussion above, as well as those in Section 6.2.2 and 7.4 reflect a continuum of engagement that serves to establish the linkages required to ensure that buy-in and legitimacy are sustained.

#### **7.1.4 Summary Guidelines**

- Considering the high transaction costs associated with stakeholder engagement, this process must be carefully designed and sufficiently resourced to ensure that buy-in to and legitimacy for the TFCA initiative is secured.
- Different engagement strategies are required for the various stakeholder groupings but each grouping is equally important in terms of the role they can play, the influence they can bring to the process and their potential contribution and benefits.
- The primary stakeholder groupings are at the political, institutional and community levels and all are essential to the success of the initiative.
- Outside of these three directly affected groupings are the NGOs and donor agencies who can have significant influence on the initiative, but whose influence must be carefully managed so as to prevent it being perceived that they are leading the process.
- In all stakeholder engagement processes, the TFCA practitioners and proponents must hold strongly to the principles of honesty, transparency and objectivity; at all times demonstrating a willingness to listen and to acknowledge the value of inputs received as these come in the form of fears, perceptions, expectations, and even aggression.

## **7.2 Selecting an Appropriate Governance Model**

A number of recent publications exist that relate to this topic and which are recommended for further reference such as the IUCN's Best Practice Protected Area Guidelines Series No. 20 "Governance of Protected Areas: From understanding to action" (Borrini-Feyerabend et al, 2013). The revised IUCN Guideline on Transboundary Conservation (Vasilijević et al, in process and due to

be launched at the 2014 World Parks Conference) draws heavily in this publication, as well as the work of McKinney and Johnson (2009) “Working Across Boundaries: People, Nature, and Regions”. These publications are referenced in this Guideline and are accessible to TFCA practitioners in order to obtain greater theoretical background to this topic, as well as a more global perspective. For the sake of this Guideline it is the definition of Transboundary (Transfrontier) Conservation governance and key lessons that have been extracted from these works, otherwise the discussion below is based on a critical review of the governance models currently in place for SADC TFCAs.

Transboundary conservation governance is defined as the interactions among structures, processes and traditions that determine how power, authority and responsibility are exercised and how decisions are taken among actors from two or more countries in a Transboundary Conservation Area (Vasilijević et al, in process). Based on the review of the SADC TFCAs it is possible to refine this definition by recognising that in order to govern TFCAs, governance instruments and mechanisms need to be put in place.

### **7.2.1 Governance Instruments**

From the information presented on the existing SADC TFCAs in Section 5 and Appendix D, it is evident that most have begun with a Memorandum of Understanding as a governance instrument, and in two cases this has evolved into a Treaty. Both of these cases, i.e. the /Ai /Ais-Richtersveld and Great Limpopo are Transfrontier Parks involving two and three countries respectively. From this it could be assumed that these relatively simple configurations lend themselves to instruments of greater commitment. However, one of the youngest and most complex of the SADC TFCAs, i.e. the KAZA TFCA, is based on a Treaty signed in 2011, even prior to the commissioning of a feasibility study in 2013. As encouraging as this sign of political buy-in and political will may be, a cautionary flag must be raised in the light of the recommendations included in these Guidelines. Having said this though, a more detailed review of the content of this Treaty would be required in order to qualify this caution.

In order to make sense of this discussion on governance mechanisms some relevant definitions are included here with the aim of assisting TFCA practitioners to identify that option which best fits the particular circumstances of the initiative/s that may be involved with.

#### **Memorandum of Agreement** (derived from

[http://en.wikipedia.org/wiki/Memorandum\\_of\\_agreement](http://en.wikipedia.org/wiki/Memorandum_of_agreement) - accessed on 13 May 2014)

A memorandum of agreement (MoA) or cooperative agreement is a document written between parties to cooperate on an agreed upon project or meet an agreed objective. The purpose of a MoA is to have a written understanding of the agreement between parties. It can be used between agencies, the public and the federal or state governments, communities, and individuals. It lays out the ground rules of a positive cooperative effort.

#### **Memorandum of Understanding** (derived from

[http://en.wikipedia.org/wiki/Memorandum\\_of\\_understanding](http://en.wikipedia.org/wiki/Memorandum_of_understanding) - accessed on 13 May 2014)

A memorandum of understanding (MoU) is describing a bilateral or multilateral agreement between two or more parties. It expresses a convergence of will between the parties, indicating an intended

common line of action. It is often used in cases where parties either do not imply a legal commitment or in situations where the parties cannot create a legally enforceable agreement, [but may intend to do so and are using a MoU as a step towards a more legally binding agreement].

**Treaty** (derived from <http://en.wikipedia.org/wiki/Treaty> - accessed on 13 May 2014)

A treaty is an agreement under international law entered into by actors in international law, namely sovereign states and international organizations. It is an official, express written agreement that states use to legally bind themselves. It is also the objective outcome of a ceremonial occasion which acknowledges the parties and their defined relationships.

**Protocol** (derived from [http://en.wikipedia.org/wiki/Protocol\\_\(diplomacy\)](http://en.wikipedia.org/wiki/Protocol_(diplomacy)) – accessed on 20 May 2014)

In international politics, a protocol is the etiquette of diplomacy and affairs of state. It may also refer to an international agreement that supplements or amends a treaty.

These definitions have been listed in the above order for the purpose of illustrating a key principle in the establishment of TFCA governance instruments, namely that the trend and recommendation is that they be allowed to evolve from initially being informal to becoming more formal as greater certainty develops in relation to the feasibility of a TFCA initiative, as well as the extent to which buy-in from all stakeholders is secured.

### **7.2.2 Governance Mechanisms**

The suite of SADC TFCA demonstrate a variety of governance mechanisms with a general trend being that the level of complexity associated with the mechanisms is directly related to the age of the initiative. Using the same examples as in the preceding discussion it can be seen that the /Ai /Ais-Richtersveld and Great Limpopo are Transfrontier Parks include a number of spheres of governance, while the KAZA TFCA currently has a Secretariat and an Implementing Agency. It is however likely that the governance structure for the KAZA TFCA will evolve to become more like those in the two older examples.

Judging from the established SADC TFCA it can be seen that the governance mechanisms selected include the following:

- a high level multi-national political structure;
- a high-level multi-national technical structure; and
- a number of discipline-specific or sectoral multi-national structures.

The identities given to these are generally:

- a Ministerial Committee;
- a Joint Management Board or Committee; and
- Management Committees or Task Groups relevant to the variety of aspects that require specific management focus.

In addition to these mechanisms, or structures, some of the TFCAs have established a supporting mechanism in the form of a Secretariat, an International Coordinator, and/or an Implementation Unit.

Going hand in hand with these mechanisms are various options that will assist with their functioning and implementation of the TFCA. Sections 7.4 and 7.5 deal with this in greater detail, but it is necessary to raise this now in order to provide some insight as to the various options. Here again the review of existing SADC TFCA initiatives provides this insight. In addition to the Memorandums of Understanding, Treaties and Protocols already discussed as governance instruments are the finer scale instruments such as the Joint Management and Integrated Development Plans. While there is no dictate as to which of these finer scale instruments are appropriate to particular TFCA circumstances, the SADC TFCA experience suggests that a Joint Management Plan is appropriate for the more simple Transfrontier Park scenario, while an Integrated Development Plan is required for the more complex Transfrontier Conservation Area

### **7.2.3 Summary Guidelines**

In order to select an appropriate governance model it is recommended that TFCA practitioners allow the processes of initiation (as discussed in Part 2) and establishment (as discusses in this Part) to dictate that which will be best suited to the specific circumstances and prevailing socio-political dynamics within and associated with their initiative. In other words best practice dictates that there is no single model that will fit all situations, and the best model will be that which is allowed to evolve.

Irrespective of the exact nature of the governance instrument/s and mechanisms or structures that are ultimately put in place, it is essential that they are sufficiently robust to:

- ensure strong collaboration between all relevant stakeholders in terms of all aspects of implementation at all spheres of governance;
- provide for feedback mechanisms necessary for the flow of information between the various spheres of governance;
- allow for adaptability and flexibility to respond to new information, threats and/or opportunities;
- measure and track performance and put strategies in place to ensure improvements;
- measure, monitor and ensure that benefits flow to the appropriate beneficiaries transparently and equitably;
- maintain open channels of communication above and beyond the governance mechanisms; and
- secure the resources necessary to ensure that the TFCA is able to continue functioning optimally.

A final comment regarding the governance of SADC TFCA initiatives relates to the titles that are ascribed. As can be seen from the discussion in Section 5, there is a variety of titles that are used and that it is often the case that similar configurations are ascribed different titles. This is an aspect where a greater degree of standardisation is possible and it is recommended that titles be ascribed according to the definitions presented in Section 2.3.

### 7.3 Defining the Geographic Extent

In the process of identifying the geographic reach of transfrontier conservation initiatives the distinction between delineation and mapping is important as the former allows for the identification of the distinct geographic entity that is being put forward, i.e. a line on a map; while the latter provides for the detail within and related to the delineated area. Perhaps the most important guideline related to this aspect of transfrontier conservation is the need for this process to be consultative, flexible, adaptive and iterative; and to recognise that the delineation and mapping processes need to inform each other, and be agreed to by the participating countries and stakeholders.

The rationale behind the need to invest time and resources into these processes is based on the need to, amongst others:

- **Communicate**

In order for transfrontier conservation initiatives to find traction with stakeholders and decision-makers it is essential that they are presented with a clear indication of what the initiatives entail from a spatial perspective, i.e. what portions of each participating country are being proposed as constituent parts of the TFCA. The ability to visualise this and to be able to understand the implications in terms of how the initiative will relate to other features within and adjacent to it is made possible with a good map.

- **Identify and engage stakeholders**

Once the target area has been clearly identified it becomes easier to objectively identify and select the stakeholders who are directly related to the area and who will be influential in its establishment and management. Again the inter-changeability of the steps presented in Sections 7.1 and 7.3 is emphasised and it is acknowledged that Section 6.2.2 has already provided a list of stakeholders and a process to engage with them one-on-one. Also in the processes outlined in Sections 7.1 and 7.4, it is possible that the geographic extent and definition of the TFCA may change, as may the list of stakeholders.

- **Plan for establishment and management**

The process of planning for the establishment and management of a TFCA is more meaningful and purpose driven with clear spatial data. When the Greater Limpopo Transfrontier Park was first conceptualised it was put forward as a Transboundary Conservation Area, which included vast tracts of communal and private land between disjunct protected areas. Through a series of iterations with decision-makers the area was significantly reduced to a Transboundary Protected Area including only those protected areas that are immediately adjacent to each other (although one of the protected areas has had to be included through the establishment of a linking corridor). Once this delineation process was completed it was possible for the planning processes to proceed with clarity and definition.

- **Formalize agreements**

It is possible for transboundary conservation agreements to be concluded in the absence of distinct spatial descriptions, but these would be precursors to subsequent agreements that have a geographic focus and identity. While the former are important building blocks, even they

would need some indication of the potential areas of collaboration. Thereafter, as these areas are more clearly delineated, the resultant map/s will need to be included as crucial parts of agreements at all levels of implementation, i.e. from the political to the on-the-ground management.

- **Analyse, monitor and evaluate**

A clear understanding of the geographic extent of a TFCA provides a sound foundation from which a variety of analyses may be launched, as well as providing a frame of reference for the development and implementation of a monitoring and evaluation framework.

There are a variety of methods that may be used to delineate and map a TFCA and these vary from being highly technical to more low-tech methods. The selection of method/s to be used will depend on the resources and capacity available to the objectives of the mapping exercise. As can be seen from the case of the Maloti Drakensberg Transfrontier Conservation and Development Area (MDTFCA), a more low-tech method was used in the beginning of the process where a line on a map was essentially drawn to ensure political buy-in. Thereafter a lengthy and highly technical process involving the most up to date systematic conservation planning software identified a significantly expanded area of focus which is illustrated in Figure 7. This process was completed during the first five year implementation phase which was well funded through a GEF grant and it is possible that as a result of there no longer been donor funding available, the area has again 'shrunk' to the original extent as represented in Figure 14 which is the most current spatial depiction of the MDTFCA.

The development and refinement of systematic conservation planning as a discipline and a tool may be ascribed to two Australian scientists C. R. Margules and R. L. Pressey who have produced a number of relevant publications such as Margules and Pressey (2000). Their work is referenced substantially together with that of others in the very useful work of Watson et al. (2011) who review the discipline of systematic conservation planning and provide an indication of its usefulness into the future. Considering that there often tends to be a bias towards the terrestrial environment it is good to see that Ban et al. (2014) promote the use of systematic conservation planning as a tool relevant to helping achieve the "required ecosystem-based, integrated and science-based management that world leaders at [the UN Conference on Sustainable Development in] Rio [2012] acknowledged should underpin ocean management."

A valuable lesson that emerged from the high tech systematic conservation planning process of the MDTFCA was that the outcome was recognised for its scientific integrity and was integrated into the South African National Protected Area Expansion Strategy (DEA, 2010). The South African National Parks (SANParks) responded to this by commissioning a study to identify the most feasible areas within the southern extent of the Maloti Drakensberg bioregion that could be targeted for protected area expansion. The service providers who took on this task used the traditional approach to systematic conservation planning as a point of departure, but included social, economic and political layers of consideration to identify what the study referred to as "areas of greatest opportunity", i.e. to achieve biodiversity conservation targets while generating the greatest opportunities for socio-economic benefits (Golder Associates, 2010). It is recommended that this approach be emulated for SADC TFCA processes.

### 7.3.1 Summary Guidelines

- The process of defining the geographic extent of a TFCA and mapping the associated detailed spatial information within and adjacent to it must be seen as an ongoing evolutionary process. As such the maps that are produced along the way have different roles to play and need to be compiled in accordance with these.
- Caution must be applied in the presentation of maps to stakeholders, particularly in the early stages of a TFCA process, and TFCA practitioners need to acknowledge that it may be necessary to adjust boundaries and spatial information as the process evolves.
- The techniques used to develop the TFCA maps must match the financial resources and human capacity available. Where possible high tech GIS and conservation planning processes must be applied, and if necessary, external donor funding must be acquired to assist with this and to build mapping capacity.

## 7.4 Developing the Framework for Joint Management

Reaching a shared understanding and developing a common vision and framework for the joint management of any transfrontier conservation initiative are essentially the initial stages required for the development of a joint management plan. Best practice as far as the latter is concerned has been well covered in many publications with Sandwith et al. (2001), Phillips (2002), Thomas and Middleton (2003), IUCN (2008), McKinney and Johnson (2009), Stolton et al. (2012), Erg et al. (2012), and Borrini-Feyerabend et al. (2013), all providing relevant and comprehensive guidance. This chapter therefore provides a broad summary of what these publications put forward and what has come to be recognised as global best practice in the form of sequential steps that should be taken in the development of a framework for joint management.

These steps are put forward with the assumption that the necessary mandates have been secured from the relevant decision-making authorities within each of the participating countries and that preliminary feasibility work has shown that the establishment of a transfrontier conservation initiative will be a viable endeavour and worthy of the transaction costs that will be associated with its establishment and management. It also assumes that other key elements of the planning phase have been completed, i.e. mutually acceptable proponent/leader is elected, and all relevant stakeholders are identified and engaged in the process.

For the development of a framework for joint management and negotiating a common vision, it is recommended that a management planning workshop be convened and facilitated by an external non-partisan service provider recognised as such by the stakeholders. Such a workshop may take up to three days of intensive engagement, and possibly longer if field trips are included. However, it may also be deemed more appropriate to arrange this process as a series of workshops of shorter duration, each building on the progress of the preceding event, and also being hosted in turn by the various participating countries. Whichever format is selected the primary objective is to develop a shared understanding and produce a common vision as a basis for a joint management framework. This workshop, or series of workshops, and its facilitation are crucial to the success of the process as it is here where stakeholders will be able to develop the relationships and trust that are essential to the long-term viability of the initiative.

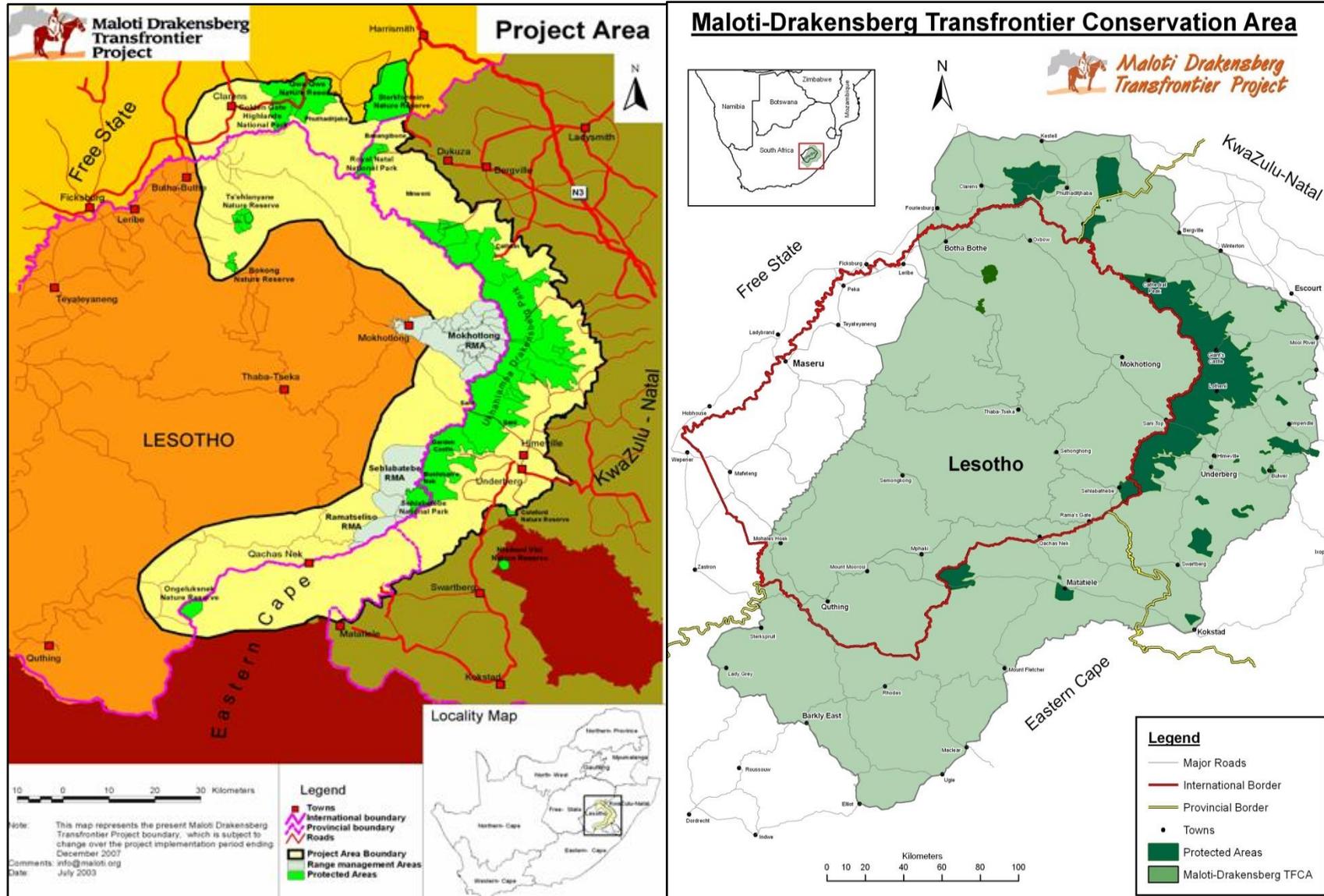


Figure 7: The Maloti Drakensberg Transfrontier Conservation and Development Area as depicted at the initiation of the project in 2001 and the full extent of the initiative as agreed to by the Bi-lateral Steering Committee in 2007

Prior to convening this process stakeholders will need to receive invitations which include as much relevant information as possible, as well as a clear indication of what will be expected from them. An open invitation to contribute to the workshop/s, as well as targeted requests for specific relevant contributions is a recommended approach. Stakeholders may be requested to indicate if they intend to address the workshop and if so, what their topic will be, for planning purposes. It is also recommended that certain stakeholders may require assistance with understanding the purpose of the workshop and the process to be followed, as well as with how best they will be able to contribute. Preliminary meetings with such stakeholder groupings are recommended.

Assuming that preliminary processes are completed successfully and there is a good response from stakeholders to attend and participate in the workshop, the following is a recommended process or 6agenda which has been designed to work towards the achievement of all of the above desired outcomes.

- Considering that this may be the first such gathering in the process of establishing and developing a TFCA initiative, it is recommended that senior officials be invited to open the event and even to attend and contribute.
- After all diplomatic processes have been observed and participants have been introduced a series of formal presentations on the objectives of the workshop with information on rationale for the establishment of the TFCA initiative, as well as detail on the workshop process, need to be tabled. Included in these presentations needs to be reference to the relevant national and international legal and policy frameworks within which the initiative can be nested (see Sections 3 and 6.2.1.1). Reference may also be made of where work needs to be done to bring about enhanced legal and policy compatibilities between the participating countries.
- This may be followed by a series of formal presentations from various stakeholders allowing them the opportunity to provide information as to who they are, where they are located in relation to the area in question, what their perspectives are on the possible establishment of the TFCA in terms of their fears, hopes, aspirations, expectations, etc.
- Next, an open facilitated discussion, allowing participants to add to what has been presented and to ask questions for clarity, noting that this process may raise controversial and potentially inflammatory aspects, which are essential to understand and to respect. It is common that in a process such as this each of the stakeholder groupings will enter with a biased perspective of their interests, and this process allows participants to begin to challenge their blinkered views and to develop an appreciation for a bigger picture and the other stakeholders.
- During these preceding steps the facilitator needs to be identifying the dynamics and aspects that are relevant to and will influence the process of establishing and managing the TFCA and categorising these according to the principles of sustainability, i.e. natural and cultural, social, economic and governance; as well as distinguishing between those that are either internal or external to the target area. This encapsulation of the presented, expanded and clarified information may then be presented back to the stakeholders by the facilitator for review, correction and augmentation. The outcome of this should be a relatively accurate and up to date picture of the broader context, within which the target area is located, as well as the opportunities for and constraints to the establishment and development of the initiative.
- In addition to the above may be the application of the process of scenario planning where known facts about the future are combined with key driving forces identified by considering

social, technical, economic, environmental, and political (STEEP) trends. Application of this approach may serve to complicate an already complex process and must therefore be used with caution, although if applied it will enhance the quality of the outcomes.

- Having achieved the above it will then be possible to begin moving towards the development of a shared vision for the target area and this may be achieved through a plenary brain-storming session or through break-away groups where representatives from the various stakeholder groupings are requested to work together to ensure that the various perspectives are represented. A series of draft vision statements may be produced from which the facilitator can help the plenary to derive one that reflects the commonalities as well as ensuring the inclusion of other aspects for which there is consensus and understanding.
- Using the outcomes of this visioning process as well as the preceding discussions the facilitator may draw out from the stakeholders an indication of the various aspects that can be used to develop a series of common/joint management objectives. It is recommended to categorise these again according to the principles of sustainability as a way of ensuring that all relevant aspects are considered and that the process derives outcomes that are realistic and relevant to the socio-economic context of the target area, as well as being defensible from a sustainability perspective. Depending on the number of stakeholders participating in this process this may be done either in plenary or through smaller break-away groups. The list of management objectives derived from this process should be carefully reviewed and rationalised to ensure that the final list is as short and concise as possible with the aim to be no greater than ten. Note that these are broad management statements which will still need to be unpacked into more detail as the management planning process continues and as is discussed in Section 7.5.
- An important aspect of this process should be the clear identification of objectives that relate to issues that are of a transfrontier nature, i.e. common or joint issues as stated above. In many cases, initial talks may see transfrontier conservation as an all or nothing proposal, but quickly stakeholders realize that they may have very different visions of what “counts” for inclusion in the partnership. This will help to confirm which stakeholders should continue to participate in the more detailed planning process discussed in Section 7.5.
- A final step in this process may be included if time and resources allow and that is to prioritise the management objectives. This may be achieved through a highly complex pair-wise comparison which does require skilled facilitation and more time, and it also requires that the participants have a sound understanding of all the preceding steps and outcomes. While the latter is a robust and defensible method, a more low-tech process of allowing participants to individually place a mark against half of the objectives which they feel are the most important, provides a collective indication of the priorities. In other words if there are ten objectives in the final rationalised list, each participant is given five markers and asked to select the five most important objectives from their understanding of the bigger picture. The total number of marks allocated to each objective provides an immediate and graphic illustration of how the stakeholder group feels about the prioritisation of the objectives. Such graphic illustrations may then be photographed for easy inclusion in workshop proceedings and for later reference.

The primary outcomes of such a workshop or series of workshops, are a vision statement and a prioritised list of common or joint management objectives, and the secondary but equally important outcomes are a shared understanding of the bigger picture and the relationships and trust that are initiated and necessary to take the process forward. This must be a joint process among partners

and stakeholders in a transboundary area. While all the hard work and difficult discussions may now be captured on a few pages, there will be a high degree of certainty that those who participated in capturing these outcomes will have begun to take ownership of the initiative.

The terms used here to describe the components of the cooperative management framework, i.e. “vision” and “management objectives” reflect a hierarchy of thinking that is required in any management planning process. Alternatives such as “mission”, “aim” and “goals” may be used, as long as the hierarchy of thought is retained, i.e. begin with a broad and long-term statement of intent that may be worked towards and used to keep stakeholders focussed, moving down towards statements that become increasingly refined and specific, as discussed in Section 7.5. Also this process may be used to develop relatively simple Joint Management Plans for transfrontier parks, or more complex Integrated Development Plans for TFCAs. The principles and the process are the same, but the situation they are applied to will bring forth a product that is appropriate to the scale of the initiative.

#### **7.4.1 Summary Guidelines**

- The process followed to derive a framework for a joint management plan must be as inclusive as possible.
- Stakeholders invited to participate in the process must be given every opportunity to be fully prepared, and in certain cases, a series of preparatory workshops may be required in order to build the understanding and capacity of stakeholders for the process.
- The services of an external and objective facilitator are needed to drive the process and to provide stakeholders with the assurance that their inputs will be taken seriously and integrated into the final outcomes.
- As much information must as possible must be brought into the process with all stakeholders being given the opportunity to make formal presentations as well as to feed into the process wherever necessary.
- The components of sustainability, i.e. natural, social, economic, and governance, must be used to categorise the information being gathered and to assist with its analysis and packaging.
- The final outcomes, i.e. a shared vision and list of prioritised joint management objectives, will be testimony to a process that will serve to begin the process of building trusting relationships between the stakeholders, which is an important requirement for a successful TFCA.

### **7.5 Refining the Joint Management Framework**

While the framework for joint management provides the basis for establishing the over-arching agreements, buy-in and ownership for TFCA initiatives, as well as generating a shared vision and understanding for what is hoped to be achieved in the long-term, it is necessary to further unpack the framework into the detail that will inform planning at a finer scale and for shorter-term implementation, such as an annual plan of operations. This refinement also provides the detail that will show who is accountable for the implementation of specific tasks, the resource requirements, time frames for implementation, and the basis from which a monitoring and evaluation framework may be derived.

Another distinguishing feature of this refinement process is that it introduces the difficult and yet critically important dynamic of needing to be realistic in terms of what can be done and what needs to be done, and achieving an acceptable balance between the two. This dynamic is often most keenly felt where joint management interventions are required to deal with negative impacts such as commercial poaching threats and where the resources required are limited and unequally distributed. So while it is necessary to limit commitment to joint management actions based on the availability of resources, it is also necessary to be critically aware of the extent to which these actions will actually be effective. Such understanding may then be used to either seek more innovative and cost-effective alternative, and/or to motivate for additional resources.

To expand upon this limiting commitment to joint management, it is imperative that the joint management of a TFCA effort clearly thinks through where and when they intend to collaborate. The managers and decision-makers at national and sub-national levels—whether governmental officials, NGO representatives or local people—need to delineate where each party will work together and to what extent (collective decision-making, sharing of resources, sharing of information, etc.). Equally important, all parties should be clear where they intend to act independently and unilaterally. This is important because the benefits and costs of collaboration change depending on the issue. Many discussions of transfrontier conservation emphasize the clear benefits of collaboration—greater buy-in, improved legitimacy in governance, shared costs and economies of scale, collaborative monitoring and enforcement, and many of the ecological, economic, and social benefits that come from managing at a land or seascape scale (see Appendix B); and these need to be kept in mind where limitations are encountered in the short-term.

However, rather than viewing transfrontier conservation as a single endeavour, we can unpack any project into a number of aspects common to all conservation projects, for example wildlife conservation, controlling invasive species, managing and promoting tourism, educational outreach, and coordinating with local communities. Of course, this entails just a small sub-set of aspects in any given project and may not be at the appropriate level of detail. Varying degrees of collaboration among stakeholders across these issues may allow for appropriately responding to particular aspects at a more accurately tuned scale of governance and management. Beyond more closely mapping the scale of the response with the scale of the problem, it allows for the closer assessment of the costs of collaboration, which are often not clearly delineated. These include a rapid expansion in transaction costs as the number of people involved in decision-making increase. Moving from unilateral decisions to consensus requires a great deal of time, negotiation, travel, and information costs. On top of that, the results may or may not be satisfactory to all parties. In other cases, disagreements may lead to no or poor decisions and delays sufficiently long to lead to the compounding of current problems and the occurrence of new ones. In any event, taking the time to assess the perceived costs and benefits—even informally and without calculation—can help evaluate the extent to which transfrontier conservation partners collaborate, answering the questions of where, when and how much collaboration is required.

Within the context of these introductory principles it is recommended that the following broad steps be pursued in the process of refining the joint management framework.

**a) Identification/establishment of the planning team**

The planning team should include senior officials from the relevant agencies of the participating countries who have the authority to make decisions and stand accountable for implementation. The identification of this team should ideally be an outcome of the stakeholder assessment process described in Section 6.2.2 and to ensure that all relevant stakeholders are aware of the team composition. It is likely that the team will be comprised mostly of those who have relevant legal mandates, but a wider membership should be allowed based on the unique circumstance of each TFCA initiative.

**b) The development of operational goals**

Up until this point the framework has broad long-term management statements that include a vision subdivided into prioritised objectives. The challenge of this process now is to break these into more specific short-term statements that are practically implementable on a day to day basis. The first step in this process is to systematically unpack each of the objectives into a series of operational goals which need to be specific, measureable, achievable, realistic and time-bound, i.e. SMART. The complexity of the objectives will dictate the number of operational goals that are required to work towards the achievement of the objectives.

**c) The development of action plans**

Thereafter, each of the operational goals should be further broken down into actions and again the number of actions will be determined by the complexity of the operational goals. In the derivation of the actions it is necessary to answer the following questions for each of the operational goals:

- What needs to be done?
- Who will be held accountable to see that it is done?
- Who needs to be part of the implementation of this action?
- What resources are required?
- What are the time frames for completion (note that this could be an action that needs to be done repeatedly, e.g. once a month; or one that needs to be completed by a certain date)?
- What will the measurable outcome be?

This process may be captured in a series of templates as per the example below (Table 5), which together may form an annual plan of action, or a five year action plan, depending on the implementation time frame that is appropriate. Also the number of actions required to achieve an operational goal will differ depending on the complexity of each goal.

**Table 5: A template for capturing the contents of an action plan**

<b>OBJECTIVE:</b>					
<b>Operational Goal:</b>					
<b>Action</b>					
What	Who	With whom	With what	By when/how often	Measure of achievement

It is important to acknowledge that management plans, both at the high long-term level and at the short-term implementation level, must be subjected to regular review and updating. The frequency of revision is directly related to the time frame relevant to each component. The broader components, i.e. the vision and objectives, may be subjected to a fifteen- to twenty-year iteration of revision; while the operational goals and actions need to be revised and updated at least every five

years, but preferably at an annual frequency. It is also essential that the joint management framework is used to guide all that is done in the name of joint management. It thus needs to be the basis upon which performance and progress are monitored and measured, as discussed in more detail in Section 7.7.

### **7.5.1 Summary Guidelines**

- A planning team that is mutually acceptable to all the stakeholders must be selected to take this process forward.
- The joint management objectives serve as the basis from which the more refined joint management planning is achieved.
- The refinement of the objectives further develops the hierarchy of management statements by cascading them down into more specific and shorter-term statements that include SMART operational goals and actions.
- While these need to be realistic in terms of being formulated within the limits of available resources and capacity, they also need to demonstrate an ability to actually achieve the set objectives. Where there is a gap between reality and what is required, this process can help to quantify the gap and provide the basis from which additional funding may be sourced.
- The refined joint management plan provides the basis from which implementation and performance can be tracked, monitored and evaluated.
- The refined joint management plan must be subjected to frequent revision and updating with a minimum frequency of five years with the optimal frequency being annual.

## **7.6 Planning for Financial Sustainability**

This and the following Section on Monitoring and Evaluation are again an indication of the interchangeability of these establishment and development steps. Monitoring and evaluation are directly related to the management planning process and are a natural outcome. However, so is the need to answer the question of how to finance the implementation of the joint management plan? As such it may prove logical to swap these two steps around but this will depend entirely upon the discretion of those leading/guiding the establishment and development of the various TFCA initiatives. Alternatively these steps may be applied concurrently.

What is abundantly clear from the information presented in Section 5 in the discussion on the Status Quo of SADC TFCAs is that the role of donor funding is prominent in sustaining most initiatives. It could thus be said that the majority of the SADC TFCAs, be they established, developing or in concept; are not financially viable at this point in time and that much needs to be done to work towards financial sustainability. This situation was already prevalent at the time of the Hall-Martin and Modise (2002) study where they reported that SADC countries face significant limitations in terms of funding conservation and tourism projects on the basis of other more pressing socio-economic development needs. Also very relevant from this study are the financial projections that were made on the basis of the various stages of the establishment and development of SADC TFCAs.

While the figures presented in the Hall-Martin and Modise (2002) study were determined at the broad SADC level and are now out of date, they included a relatively comprehensive list of relevant actions and serve to illustrate the fact that there are substantial costs associated with TFCA

establishment and development, i.e. “The provisional cost of developing the 22 TFCA’s and boosting the ZIMOZA project, subject to all the caveats mentioned above is estimated to be US\$ 227,038,000.”. This roughly translates into a figure of close to US\$ 2 million per TFCA per annum for a five year period. What was acknowledged in this study though is that the returns on this type of investment were not calculated, so while these costs are substantial, the realisation of the full value of a TFCA’s natural resource base (see the discussion in this regard in Section 4.3) may well show that these investments are a viable option.

It is important at this point to clarify that ‘financial sustainability’ does not imply ‘financial independence’. While it is essential that TFCA initiatives be managed as efficiently as possible and on the basis of sound business principles, it is also essential that they be seen as contributing to the broader socio-economic landscape within which they are located, and as such deserve sustained financial support from the national treasuries of the participating countries. The extent of the support required needs to be determined through the process of understanding the deficit between what is required to support efficient management and that which can be generated through a variety of income generating opportunities.

It is recommended that as TFCA initiatives work towards closing the gap between what they require for operational budgets and the income they can generate, that they also work towards becoming increasingly independent of donor funding. It may well be necessary to secure donor funding support in the initial establishment phase/s, but there must be a medium to long-term plan to reduce this dependence as far as possible. If this is not achieved then SADC TFCA’s will remain dependent on donor funding, who has a limited term that is often not longer than five years, and they will thus remain vulnerable to limited resource allocations. The ultimate outcome will be failure and a loss of credibility as a viable land use option leaving a trail of disappointed stakeholders in their wake.

In the process of compiling the revision to the IUCN Best Practice Guideline for transboundary conservation (Vasilijević et al, in process), Prof Matt McKinney of the Montana University undertook a survey of transboundary conservation practitioners through the IUCN WCPA Transboundary Conservation Specialist Group in regard to this question of sustainable financing. The outcome of this survey is presented below as per Prof McKinney’s write up in Vasilijević et al (in process).

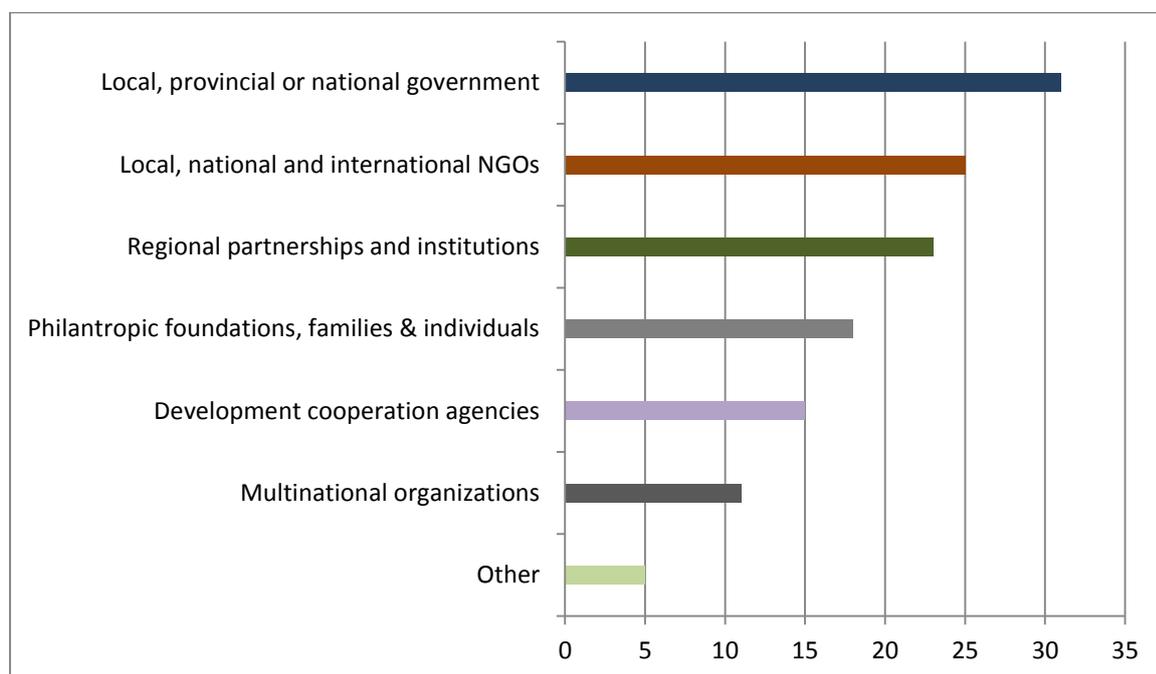
According to a recent survey *Transboundary Conservation Financing* by the IUCN WCPA Transboundary Conservation Specialist Group, 53 initiatives represented (including cases from Asia, Africa, Europe, North America, and South America) have secured funding to implement their transboundary conservation initiatives (IUCN WCPA Transboundary Conservation Specialist Group, 2014).

According to the survey, the **three most common sources of funding** are:

- (1) GOVERNMENTS: local, provincial, or national;
- (2) NGOs: local, national, and international; and
- (3) REGIONAL PARTNERSHIPS AND INSTITUTIONS (e.g. EU).

The next most common sources of funding include philanthropic foundations, families, and individuals; and development cooperation agencies. The least common sources of funding

are multinational organizations (e.g. UN and GEF) and “other creative funding approaches” (e.g. private sector tourism, user fees, ecosystem service revenues, carbon sequestration and REDD revenues, and trust funds) (see Figure 8).



**Figure 8: Financing options for transboundary conservation initiatives as per the IUCN WCPA TB SG survey expressed as a percentage of responses received.**

The same survey identified **ten most common obstacles or barriers to funding** including (not listed in any order of priority):

- Lack of government support, often because of tension among economic and environmental interests as well as concerns about conflict and security at the borders;
- Lack of trust among governments and other stakeholders, thereby limiting opportunities to pool limited resources;
- Lack of local capacity and civil society experience, and thus an absence of any social and political infrastructure to raise external funds;
- Lack of public awareness about the value and need for transboundary conservation, and thus a lack of civic and political will;
- Lack of a basic understanding about the cultural, ecological, and other values associated with transboundary areas, thus making it hard to frame a compelling message;
- Incoherent and uncoordinated (often conflicting) funding strategies; people and organizations within the same region competing for the same limited resources;
- Funding tends to be dedicated to particular issues, problems, or disciplines, which limits the need to invest in multi-objective, multi-disciplinary solutions;
- Incompatible legal and policy arrangements across adjacent jurisdictions, making it difficult to achieve common goals and aspirations;
- Lack of capacity to fully understand and package transboundary conservation initiatives according to their full socio-economic value based on the role they play in delivering ecosystem goods and services that are strategically important for society; and
- The development of a “donor-dependency” amongst transboundary conservation practitioners which impacts on the ability to undertake work on a sustainable basis.

When asked about the most promising “new” strategies or sources of revenue to support transboundary conservation initiatives, the respondents to the survey overwhelmingly identified “public capital” (including government conservation programmes, local ballot initiatives; local taxes, fees, and incentives, and local improvement districts) and “philanthropic capital” (including individual donors; foundations; businesses and corporations; institutional and nongovernmental collaborations; conservation buyers; voluntary surcharges; voluntary private transfer fees; and trade lands). Forty per cent of the respondents identified “private capital” as a promising new strategy, including payments for ecosystem services; tradable land use rights; conservation development; agriculture, timber, and other income from conservation land; fees for services; and social impact conservation investors.

The results of this survey, including the responses to a question on “what resources are needed” to enhance funding for transboundary conservation, suggest a number of recommendations presented in Table 6.

**Table 6: Recommendations to improve funding for transboundary conservation initiatives**

RECOMMENDATIONS	EXPLANATION
Create training opportunities	E.g. a “Transboundary Conservation Finance training”—including opportunities for peer exchange and networking; using case studies to highlight innovative tools, programmes, and partnerships; and focusing on real-world problem solving and action planning, including how to build community-based collaborative capacity
Aggregate and disseminate resources	E.g. case studies, an information clearinghouse, “Ask the Expert” webinars
Build and support a “Transboundary Conservation Finance Network”	To exchange information, build capacity, and inspire each other
Foster new and innovative ideas	Work with funders, whomever they may be, to take some calculated risks, and invest in some pilot projects

This survey demonstrates that there are a plethora of transboundary conservation practitioners around the world who are wrestling with the same issue of sustainable funding and who are finding solutions. As proposed above, it is essential that one or more communication networks are established to transfer and share lessons, build capacity, and encourage all practitioners. Such a network/s can also be used for practitioners to post their particular funding challenges and to receive focused input and advice from colleagues around the world.

In response to the above and from a ‘best practice’ perspective, the following is recommended as being appropriate to the SADC TFCA context. Recognizing that conservation remains a discipline that is poorly resourced in both developed and developing economies, the work by Emerton et al. (2006) remains a sound resource from which transboundary conservation practitioners may draw valuable insight into this issue of sustainable financing, while the steps provided here may be seen as a generic approach or checklist that may be applied as a point of departure.

- Undertake a **review of all costs** associated with implementation of the joint management plan with a view to ensure that it is as efficient as possible. Note that Hall-Martin and Modise (2002) provide detailed indications of the potential costs associated with the establishment and development of SADC TFCAs, including the transaction costs associated with feasibility assessments and stakeholder engagement. While the items reflected in their detailed budgets are relevant and provide a good checklist, these Guidelines recognise that each TFCA initiative and process is unique and therefore needs to be guided by the specific sets of circumstances and the aspects that require joint management.
- Using the categories and examples of ecosystem goods and services as provided by the Millennium Ecosystem Assessment (Millennium Ecosystem Assessment, 2005) carefully **assess the full potential** of the Transboundary Conservation Area to produce and deliver ecosystem goods and services; and then using mapping software such as InVEST (Tallis and Polasky, 2009) and other decision support tools (TEEB, 2000; Goldman and Tallis, 2009; Tallis *et al*, 2010; Vogl and Tallis, 2014) **identify the beneficiaries and their linkages** to the area.
- Using the comprehensive picture of the full socio-economic value of the area developed above, **identify strategies** relevant to each of the beneficiaries that may be used **to secure long-term ‘investments’** required to manage the TFCA in a way that will guarantee production and delivery of the associated ecosystem goods and services. Note that these ‘investments’ may come in a variety of forms from direct and commercially related payment for ecosystem services, through to government grants for the restoration of ecosystems and the establishment of green economic business opportunities.
- Over and above and inclusive of the latter, compile a **long-term business plan** from which it is possible to see the **costs of jointly and efficiently managing** the TFCA, together with the **potential income generating opportunities**, from which it is possible to determine the magnitude of the profit or loss that will be made or incurred.
- In the event of a loss, or a shortfall in operational budget, it will then be possible to look to **alternative funding sources** such as those put forward by the respondents to the survey discussed above, and/or those discussed by Emerton *et al.* (2006).

Another valuable emerging resource is the Conservation Finance Network, which provides conservation finance tools and training to people working to protect, restore, and steward natural areas ([www.conservationfinancenetwork.org](http://www.conservationfinancenetwork.org)). The goal is to help people accelerate the pace of land and resource conservation through the use of innovative funding and financing strategies.

It is important to note that in putting the above recommendations forward the privatization of nature is not being promoted. From a comprehensive review of the income generation opportunities there may well be some that hold the potential for direct financial agreements in the shape of ‘payments for ecosystem services’. However, what is being put forward here is the notion that TFCAs will inevitably hold great value and contributions to the broader socio-economic landscape within which they are located. It is this value that needs to be identified and optimally capitalized on, using as many of the potential ecosystem trading models that are relevant to the specific circumstances that are presented by the producer–consumer relationships that are identified. In addition to the relevant references provided above, the recent publication by Kettunen and ten Brink (2013), “Social and Economic Benefits of Protected Areas: An Assessment Guide”, is a necessary addition to the transboundary conservation practitioners tool box.

It is also essential that in the undertaking of a full inventory of the opportunities present in a TFCA, practitioners need to look at both the present and the future state of the area. Prevailing circumstances may foreclose on options that are theoretically obvious such as a water catchment

delivering watershed services. However, if the integrity of the water catchment has been compromised in any way, it will not be possible to realize the theoretical benefits until such time as the catchment has been restored. In other words it is necessary to consider both the present and desired state of the TFCA and put strategies in place that will work towards ensuring that it reaches its optimum potential to produce and deliver the promised ecosystem services. It may be necessary to secure government funding to support restoration work before more long-term agreements may be entered into on the basis of well managed natural resources functioning optimally (SANBI, 2012), but it has been shown that such restoration investments generally realize the theoretical benefits (de Groot et al., 2013).

Finally, it is acknowledged that in order to apply the steps recommended above it is assumed that interim financial support has been secured through the various mechanisms available and the mandates given to the TFCA practitioners by their respective principals. However, the statistics provided by Emerton et al. (2006) clearly show that unless every effort is made to work towards financial sustainability, it is likely that budget shortfalls will begin to emerge in increasing measure with the result that credibility, ecosystem functionality, key biodiversity features, etc., will be lost.

#### **7.6.1 Summary Guidelines**

- TFCAs are an attractive option for donor funding, but this is not sustainable and every effort is required to work towards funding streams that are sustainable.
- Financial planning and management must aim for optimum operational efficiencies in order to provide 'investor' confidence, as well as to help reduce the gap between budget requirements and income generating opportunities.
- Careful assessment of a TFCAs full value within the broader socio-economic land/seascape must be carried out in order to identify every opportunity for income generation and financial support.
- TFCA practitioners must link in to the global and SADC TFCA Networks where financing tools can be accessed, requests for specific solutions posted and lessons shared.

### **7.7 Monitoring and Evaluation**

A common approach for monitoring the progress and evaluating the effectiveness of protected areas emerged in 2000 (Hockings et al., 2000) and was refined in 2006, providing a basis for designing assessment systems, guidance and criteria on how to assess, and key guidelines for good practice in management effectiveness tracking (Hockings et al., 2006). Since then much work has been done towards synergizing monitoring and evaluation methods for protected areas at a global scale (Leverington et al., 2010), but little has been done to address this important aspect at the transfrontier scale. The following discussion relates to protected area management effectiveness tracking as essential background and context to application at the transfrontier scale, and specific input related to this is provided thereafter.

Evaluation of management effectiveness, recognized as a critical step for measuring the success of protected area management, is also now a high priority for global conventions like the CBD, as well as for donor agencies including the World Bank and the GEF. TFCAs, with collaborative, participatory

and equitable governance, are said to yield significant benefits far beyond their boundaries, and contribute to poverty reduction and sustainable development including the achievement of the Millennium Development Goals (Phuntsho et al., 2012). In order to ensure these benefits are realised, and that all other aspects of transfrontier conservation management are implemented effectively, monitoring and evaluation is essential.

In their study into management effectiveness evaluation in protected areas at a global scale, Leverington et al. (2010) reported that the most widely used methodologies across the world, amidst the more than 70 different tools encountered, are the Rapid Assessment and Prioritization of Protected Area Management (RAPPAM) (Ervin, 2003) and the Management Effectiveness Tracking Tool (Hockings et al., 2006). Irrespective of the tool selected, or if these are modified to accommodate specific circumstances, they encourage assessors to maintain consistency of application in order to ensure that results are comparable over time. In the selection of a methodology to track management effectiveness, Leverington et al. (2010) suggest a series of principles that may be used to consider its applicability, and they are as follows:

- The methodology is useful and relevant in improving protected area management; yielding explanations and showing patterns, improving communication, relationships and awareness.
- The methodology is logical and systematic, working in a logical and accepted framework with balanced approach.
- The methodology is based on good indicators, which are holistic, balanced, and useful. The indicators and the scoring systems are designed to enable robust analysis.
- The methodology is accurate, providing true, objective, consistent and up-to-date information.
- The methodology is practical to implement, giving a good balance between measuring, reporting and managing.
- The methodology is part of an effective management cycle, linked to defined values, objectives and policies.

While these principles are listed here for ease of reference, it is recommended that both this publication and that of Hockings et al. (2006) be used as an essential point of departure for the selection of an appropriate methodology and to ensure a thorough understanding of the need for and benefits from the assessment of management effectiveness. An additional publication which provides a thorough commentary on the value of monitoring and evaluation for transboundary conservation, as well as guidance on techniques, is that of McKinney and Johnson (2009). Here they confirm that evaluating progress is a key element for the success of transfrontier initiatives and that it is the basis for learning through implementation and adapting to ensure the achievement of the long term vision.

Just as a protected area management agency goes about the process of selecting an appropriate management effectiveness tracking methodology for the protected areas under their jurisdiction, so is it also possible for a transfrontier conservation collaborative management structure to continue working from the joint management planning processes outlined in Sections 7.4 and 7.5 to derive a monitoring and evaluation framework that is tailor-made for their specific circumstances. Working specifically off the action plans captured according to the template provided in Table 5, it is possible to derive such a framework.

In conjunction with this approach, the monitoring and evaluation of protected area management effectiveness, individual or transfrontier, is the assessment of a series of criteria (represented by indicators/questions) against agreed objectives, which may be generic and/or adapted to the specific circumstance and joint management frameworks of particular protected areas or TFCAs. Monitoring and evaluation needs to be an integral component of the joint management framework and should not be seen in isolation or as an 'add-on'. It not only helps improve overall performance and results, measured from robust baselines, but also ensures accountability and compliance with agreements with partners and relevant stakeholders.

### **7.7.1 Existing M&E Systems for TFCAs**

Globally there are three regional efforts to develop monitoring and evaluation, or management effectiveness tracking processes for transfrontier conservation and these are listed and discussed briefly below.

#### **7.7.1.1 Transboundary Parks–Following Nature’s Design**

The oldest and most established is that of the EUROPARC Federation and which is a certification programme known as “Transboundary Parks–Following Nature’s Design” (EUROPARC Federation, 2014). This certification process was launched at the 5<sup>th</sup> World Parks Congress in Durban in 2003. In this process Transboundary Protected Areas undertake a self-assessment which is reviewed by EUROPARC’s Transboundary Steering and Evaluation Committee (STEC). If successful, external experts are appointed to conduct a verification of the self-assessment and to provide feedback to the STEC who take a decision on certification and provide recommendations for improvement of the TBPA’s partnership. Certificates of excellence for transboundary cooperation are awarded at EUROPARC’s annual conference, and are reevaluated every five years.

The Basic Standard Criteria upon which the programme is based include nine quality criteria and five fields of work which are divided into four groups as follows:

- Primary Criteria: common vision, official agreement, staff cooperation, and fields of work for the TBPA;
- Secondary Criteria: guidelines for cooperation, data exchange, foreign language communication, joint ecological monitoring, and financing;
- Primary Fields of Work: indicators related to nature conservation and major objectives of the TBPA; and
- Secondary Fields of Work: indicators related to education and communication, recreation and sustainable tourism, research and monitoring, mutual understanding, and the promotion of peace.

To date, 23 protected areas have been certified as 10 EUROPARC Transboundary Areas.

### **7.7.1.2 ICIMOD M&E Framework**

Secondly is the work of the International Centre for Integrated Mountain Development (ICIMOD) who is developing and testing a monitoring and evaluation framework in the Kailash Sacred Landscape Conservation and Development Initiative (KSLCDI), a collaborative transboundary programme between China, India and Nepal. The KSLCDI monitoring and evaluation framework is a result based monitoring and evaluation mechanism, which focuses on Impact Pathways and the Theory of Change (ICIMOD, 2013). These aspects, which are seen as essential parts of monitoring and evaluation, help to outline the expected positive changes resulting from the initiative and to provide opportunities for learning and innovations at intermediate stages to achieve desired outcomes. These tools help to measure the effectiveness of benefit flows to the communities affected by the transboundary initiative, as well as to measure the extent to which they have achieved their desired outcomes.

Under the monitoring and evaluation framework, objective hierarchy levels are set up, i.e., Inputs, Outputs, Outcomes, and Impacts. At each of the objective hierarchy levels, indicator based key performance questions are set up to monitor and evaluate programme activities for each country. Data collection methods and a matrix are also in place to collect information based on key performance questions. A Monitoring and Evaluation Unit at ICIMOD and in each country are responsible for annual performance assessment at the regional and country level. As outlined above, the Theory of Change and Impact Pathways guide the connections between different objectives and hierarchy levels of the monitoring and evaluation framework by identifying shortcomings or changes, and providing opportunities for interventions to be put in place if required to achieve the desired outcomes (ICIMOD, 2013).

### **7.7.1.3 Peace Parks Foundation Performance Appraisal Tool**

Thirdly and of greatest relevance to SADC TFCA practitioners and these Guidelines is the work of the Peace Parks Foundation, in collaboration with the SADC TFCA Network, in the development of the Performance Appraisal Tool for SADC TFCAs. The tool is built on the foundation of the constituents of sustainability, i.e. ecological, social, financial, and governance; from which eight Key Performance Areas (KPA) are derived within which are a series of four Key Performance Indicators (KPI). A much finer scale and level of detail is applied within the KPIs and which is used to derive scores for each KPA, and an overall score for the TFCA being assessed as described and discussed in their write up on the tool (PPF, 2013). The objectives of the tool are to:

- Assess the progress in the establishment and development of TFCAs;
- Establish best practices from TFCAs that have progressed;
- Share experiences with other TFCAs; and
- Identify factors that have retarded progress in establishing and developing TFCAs.

PPF (2013) states that the Performance Appraisal Tool provides a framework for affected communities, public authorities, resource managers and development partners to assess the effective delivery of interventions aimed at achieving the objectives set for a TFCA. In this manner an accountability instrument is provided for all stakeholders to robustly assess policy outcomes and ensure optimal allocation of resources. In addition to this the tool has been developed as a basis

upon which SADC TFCA practitioners may use common indicators to compare initiatives within and between the various TFCAs. The Performance Appraisal Tool is included in these Guidelines as Appendix F or is downloadable from [www.peaceparks.co.za](http://www.peaceparks.co.za).

### **7.7.2 Summary Guidelines**

- Monitoring and evaluation and/or management effectiveness tracking are essential aspects of TFCA management and implementation and need to be derived from and integrated into the joint management plan and processes.
- The action planning derived from the refined joint management planning framework must be used as the point of departure for the development and implementation of a monitoring and evaluation process.
- The PPF Performance Appraisal Tool should be adopted by the SADC TFCA Network and applied by all the SADC TFCA practitioners, unless their specific circumstances call for the development and implementation of one that is unique.
- In the case of the above, the principles provided by Leverington et al (2010) must be followed.

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## Appendix A: The Guideline Compilation Process

The process that was followed to compile these Guidelines after a professional service provider was appointed was as follows:

- A concept note was compiled and circulated to Member States inviting them to engage with and participate in the process.
- A Table of Content was drafted and presented to a meeting of SADC Transfrontier Conservation Area (TFCA) Network members at a meeting in Johannesburg on 30 March 2014. At this point the TFCA Network members were provided with an opportunity to critically review the draft Table of Content, and to provide comment for amendments.
- The project was uploaded on to the experimental SADC TFCA Network Portal ([www.tfcaportal.org](http://www.tfcaportal.org)) together with supporting documentation to which the members were invited to engage.
- A two day workshop attended by the TFCA practitioners of the SADC Member States was held on 24 and 25 April, in Luanda (Angola), where the opportunity was provided for practitioners to engage actively with the substance of the Guidelines. Small group discussions tackled the question of the Guideline content, as well as which of the existing TFCAs could be included as relevant case studies.
- On the basis of the inputs gained from this workshop and further technical research a draft Guideline was compiled which was subjected to critical review by the practitioners at a two day workshop held in Lesotho from 25 to 26 June 2014. The drafting process included review inputs from a reference group of practitioners selected at the Luanda workshop.
- A final draft was then compiled on the basis of the critical review and this was translated into French and Portuguese and subjected to one final review by the SADC TFCA practitioners.
- Thereafter the Guidelines were finalised on the basis of the inputs received from the practitioners and submitted to the SADC TFCA Secretariat.

At the same time that these Guidelines were being compiled, the International Union for the Conservation of Nature's (IUCN) World Commission on Protected Areas (WCPA) had embarked on a process, through their Transboundary Conservation Specialist Group, to revise their Global Guidelines, i.e. Best Practice Protected Areas Guideline Series No. 7: Transboundary Protected Areas for Peace and Co-operation (Sandwith et al, 2001). Consequently it was possible for these processes to inform each other and for the SADC TFCA Guidelines to be enriched with current international thinking.

In addition to the acknowledgements listed in the front of this report, a record of the SADC TFCA practitioners who attended the various workshops referred to above has been provided below. A substantial amount of value was added to this process and the final product through these workshops and the participation and contributions of these listed practitioners.

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## Appendix B: The potential benefits of TFCA initiatives

Areas of cooperation	Potential benefits	Actions required to realize the benefits	Challenges to be aware of
Legal and policy frameworks	<ul style="list-style-type: none"> <li>• Achievement of the targets as set out by international conservation conventions and agreements.</li> <li>• Achievement of conservation aims and objectives common to participating countries.</li> <li>• Enhanced understanding of the legal and policy environment to support implementation.</li> </ul>	<ul style="list-style-type: none"> <li>• Collective review of existing legal and policy instruments.</li> <li>• Identification of commonalities and the development of cooperation instruments to capitalize on these.</li> <li>• Identification of conflicting laws and policies and the establishment of processes to bring about relevant amendments.</li> </ul>	<ul style="list-style-type: none"> <li>• Limited resources with legal and policy capacity.</li> <li>• Long protracted processes associated with amendments of legal and policy instruments.</li> <li>• Different interpretations of and institutional responses to legal and policy implementation requirements.</li> </ul>
Ecosystem management and climate change responses	<ul style="list-style-type: none"> <li>• Increased potential for ecosystem-based management approach to be accommodated.</li> <li>• Enhanced ecosystem functionality through the improved ability to accommodate ecosystem processes and reduce the requirements for the simulation of these through management actions.</li> <li>• Increased resilience to external threats such as invasive alien species, pollution, diseases, etc.</li> <li>• Enhanced capacity for the persistence of threatened and migratory species.</li> <li>• The ability to reintroduce species that may require access to larger areas, such as top predators.</li> <li>• Decreased pressures associated with animal population management.</li> </ul>	<ul style="list-style-type: none"> <li>• Ensure that the delineation of the area is as ecologically inclusive as possible.</li> <li>• Cooperatively apply systematic conservation planning processes to guide the setting of biodiversity conservation targets and related management strategies.</li> <li>• Review and align ecosystem and species management plans.</li> <li>• Assess climate change projections and related implications to habitats and species and ensure that these are accommodated in ecosystem and species management strategies and plans.</li> <li>• Derive and implement appropriate monitoring and evaluation protocols to track management effectiveness towards to achievement of ecosystem and species management objectives and targets.</li> </ul>	<ul style="list-style-type: none"> <li>• Limitations and disparities in ecosystem and species management capacities, as well as in the capacities required to implement systematic conservation planning.</li> <li>• External social, economic and/or political dynamics, both immediately adjacent to and far removed from the area, which add layers of complexity which can frustrate pure natural science approaches, unless they are fully understood and integrated into management plans.</li> <li>• External biological dynamics, such as persistent invasive species infestations which compromise ecological integrity, processes and functionality.</li> </ul>

Areas of cooperation	Potential benefits	Actions required to realize the benefits	Challenges to be aware of
	<ul style="list-style-type: none"> <li>• Increased capacity to accommodate the consequences of climate change impacts and to allow for ecological adaptation and habitat and species movements/migrations.</li> <li>• Better understanding of climate change processes.</li> <li>• Address problems associated with animal population management.</li> </ul>		
Socio-economics	<ul style="list-style-type: none"> <li>• Enhanced ecosystem functionality increases capacity to produce and deliver a full suite of ecosystem goods and services which contribute to social well-being and economic resilience within, adjacent to and beyond the boundaries of the transboundary conservation area.</li> <li>• Thresholds of sustainable utilisation may increase or become more robust as ecosystem functionality and species population dynamics improve.</li> <li>• Enhanced movement of people across international boundaries opens up and/or increases trading opportunities.</li> <li>• The opening of borders or the relaxing of border control processes allows for increased tourism opportunities.</li> <li>• Poverty alleviation through economic activities brought about by various TFCA interventions.</li> <li>• Active participation of local communities</li> </ul>	<ul style="list-style-type: none"> <li>• A full natural capital assessment will reveal the capacity of the area to produce and deliver ecosystem goods and services, as well as the linkages to the beneficiaries.</li> <li>• An assessment of the extent to which ecosystem processes have been enhanced and will may allow for increased levels of sustainable utilisation, i.e. both consumptive and non-consumptive.</li> <li>• Stakeholder engagement to ensure meaningful linkages with beneficiaries.</li> <li>• Engagement with the private sector and relevant organs of state to ensure that tourism planning and developments are within market needs and broader development strategies.</li> </ul>	<ul style="list-style-type: none"> <li>• Capacity to undertake natural capital assessments is limited and needs to be built.</li> <li>• Unrealistic expectations are easily created and all stakeholder engagement processes need to be handled very carefully to guard against this.</li> <li>• The ability to ensure that benefits are equitably distributed to beneficiaries can be challenging, particularly where the necessary structures and processes are either not in place or are questionable.</li> <li>• Conflicting socio-economic demands such as the exploitation of non-renewable resources can be difficult to compete with as traditional perspectives of economic growth are allowed to perpetuate.</li> </ul>

Areas of cooperation	Potential benefits	Actions required to realize the benefits	Challenges to be aware of
	<p>in day to day management of natural resources.</p> <ul style="list-style-type: none"> <li>• Food security through various livelihood programmes.</li> <li>• Promotion of conservation as livelihood option.</li> </ul>		
Cultural linkages	<ul style="list-style-type: none"> <li>• The reinstatement of both past and living cultural linkages: <ul style="list-style-type: none"> <li>○ may enhance the social acceptance of a transboundary conservation initiative, while</li> <li>○ enhancing social linkages with nature through the cultural significance of natural features.</li> </ul> </li> <li>• Work towards reducing socio-political tension through improved social cohesion.</li> <li>• Allow for prominent cultural features to contribute to enhancing the feasibility of the area as a tourism destination.</li> <li>• Enhanced ability to develop and promote a regional identity.</li> </ul>	<ul style="list-style-type: none"> <li>• Undertake an assessment of all cultural features both within and adjacent to the area.</li> <li>• Engage with relevant stakeholders to increase the depth of an assessment as well as ensure their contributions and buy-in to its findings.</li> <li>• Develop a cultural heritage management plan that ensures that the features are preserved and the social linkages are well managed.</li> <li>• Where relevant integrate the cultural heritage management into the management of related ecological and biodiversity features.</li> </ul>	<ul style="list-style-type: none"> <li>• Cultural heritage management capacity is usually lacking within conservation agencies and therefore needs to be built or brought in.</li> <li>• Varying degrees of sacredness are attached to cultural heritage features, which need to be carefully considered in all management decisions.</li> <li>• The integration of cultural heritage into a management plan adds a layer of complexity.</li> <li>• Living heritage aspects may conflict with contemporary management practices and perceptions, such as consumptive use of natural resources by a hunter-gatherer culture in an area where this is not permitted.</li> </ul>
Regional integration	<ul style="list-style-type: none"> <li>• The promotion and maintenance of peace and harmony.</li> <li>• The establishment of synergies between growth and development strategies, particularly as far as the role that transboundary conservation can play.</li> <li>• The creation of a common</li> </ul>	<ul style="list-style-type: none"> <li>• Ensure all relevant stakeholders are included in all consultation and negotiation processes, particularly other organs of state that have a role to play in cross border cooperation, e.g. customs and excise, animal health, trade and investment, tourism, etc.</li> </ul>	<ul style="list-style-type: none"> <li>• Language differences/barriers.</li> <li>• Cultural, historical and political differences.</li> <li>• Development disparities, particularly as this relates to the access to resources and capacity for implementation.</li> <li>• Political tensions.</li> </ul>

Areas of cooperation	Potential benefits	Actions required to realize the benefits	Challenges to be aware of
	<p>brand/identity/logo to enhance the marketing of and trade in related goods and services, such as tourism opportunities.</p> <ul style="list-style-type: none"> <li>• Improved viability to attract funding either through direct investments or through donors.</li> <li>• The development of joint conservation management plans for both the natural and cultural heritage.</li> <li>• Synergised interpretation of responsibilities to and implementation of international conventions.</li> </ul>	<ul style="list-style-type: none"> <li>• Establish and maintain a communication strategy that ensures all relevant stakeholders are kept updated with progress and developments related to the transboundary conservation initiative.</li> <li>• Ensure that all related organs of state secure mandates and resources to support their involvement in the initiative.</li> <li>• Establish and maintain joint management structure/s.</li> </ul>	<ul style="list-style-type: none"> <li>• A lack of leadership at appropriate levels of governance.</li> <li>• The complexities of sharing governance responsibilities and/or appointing an objective non-partisan representative to coordinate implementation.</li> <li>• Significant differences in terms of land uses and plans for adjacent areas.</li> </ul>
Day to day management and law enforcement	<ul style="list-style-type: none"> <li>• Management efficiencies may be enhanced through the pooling of resources, i.e. financial, human and equipment.</li> <li>• Improved communication linkages may enable more rapid responses to the management of crisis such as vegetation fires, pollution threats, poaching, etc.</li> <li>• Improved communication and surveillance may also allow for more proactive responses to potential threats.</li> <li>• Shared capacity for managing visitor access and activities.</li> <li>• Joint patrols may contribute to enhanced law enforcement and search and rescue efforts.</li> <li>• Joint management actions can lead to</li> </ul>	<ul style="list-style-type: none"> <li>• The joint management planning process must be used to specifically identify the management aspects that will be enhanced through transboundary cooperation.</li> <li>• Protocols and processes must be put in place to allow for the pooling/sharing of resources.</li> <li>• Communication strategies must be derived to capitalize on the transboundary cooperation opportunities.</li> <li>• Responsibilities for transboundary cooperation must be delegated as far down as possible to mandate and empower field staff to be able to work together across international borders</li> </ul>	<ul style="list-style-type: none"> <li>• Topographical limitations such as inaccessible terrain and/or remoteness.</li> <li>• Separate/independent communication networks.</li> <li>• Language differences.</li> <li>• Conflicting resource management policies such as adjacent areas that may or may not allow trophy hunting.</li> <li>• Disparate resource availability.</li> </ul>

Areas of cooperation	Potential benefits	Actions required to realize the benefits	Challenges to be aware of
	<p>improved staff morale and enhanced appreciation for the various differences that exist between the field staff of the participating countries.</p> <ul style="list-style-type: none"> <li>• Increased capacity to procure and deploy expensive equipment such as aircraft.</li> </ul>	<p>with the minimum of bureaucratic requirements</p>	
Research	<ul style="list-style-type: none"> <li>• Improved access to expertise and enhanced ability to implement applied research and find solutions to common challenges.</li> <li>• Ensure that research methods are standardised to ensure comparable results.</li> <li>• Shared access to expensive research equipment, resource centres, herbariums, etc.</li> <li>• Joint design and implementation of long-term research projects.</li> <li>• Improved ability to ‘package’ research to secure financial support.</li> <li>• Enhanced research efficiency through the avoidance of duplicated effort.</li> </ul>	<ul style="list-style-type: none"> <li>• Scientific staff to participate actively in the joint management planning processes to provide support and to ensure scientific credibility is provided to the process.</li> <li>• The joint management plan must be carefully interrogated to extract all joint research/scientific responsibilities for implementation.</li> <li>• Shared resource allocations must form an integral part of the above.</li> <li>• Research staff to take responsibility for deriving and implementing the M&amp;E framework from the joint management plan, as well as determining and facilitating the most appropriate management effectiveness tracking tool to be applied to the transboundary conservation area.</li> </ul>	<ul style="list-style-type: none"> <li>• Language differences.</li> <li>• Disparate access to resources and expertise.</li> <li>• Remoteness of transboundary conservation areas may make tertiary institutions and related resource centres difficult to access.</li> <li>• It is a challenge for many ecologists and biologists to work in an integrated way and it is essential that the need for the integration of social, economic and political aspects is recognised and understood by the researchers.</li> <li>• Ecological processes and species population dynamics require long-term research programmes while management requires answers and support in the short-term.</li> <li>• Socio-economic dynamics and/or needs can take precedence over and compromise natural resource research projects.</li> </ul>
Knowledge sharing and	<ul style="list-style-type: none"> <li>• Skills/capacity development through the utilisation of existing expertise or the</li> </ul>	<ul style="list-style-type: none"> <li>• Establish strategies for joint staff training, staff exchange and secondment</li> </ul>	<ul style="list-style-type: none"> <li>• This aspect could be perceived as a luxury item and be lost to other more</li> </ul>

Areas of cooperation	Potential benefits	Actions required to realize the benefits	Challenges to be aware of
skills transfer	<p>joint procurement of training opportunities.</p> <ul style="list-style-type: none"> <li>• Broadening of perspectives that may have become narrowed through isolation or exposure to one national way of thinking and doing.</li> <li>• Improved knowledge of all aspects associated with the management of the transboundary area.</li> <li>• Improved understanding between the partners.</li> <li>• Transboundary agreements may allow for staff exchange programmes</li> </ul>	<p>programmes.</p> <ul style="list-style-type: none"> <li>• Establish protocols for the gathering, storage and sharing of data and information.</li> <li>• Establishing a common GIS database for the entire transboundary area.</li> <li>• Ensure that joint management meetings are extended into events specifically aimed at drawing in as much of the staff as possible through focus groups and mini-seminars aimed at addressing pressing issues.</li> </ul>	<p>pressing issues.</p> <ul style="list-style-type: none"> <li>• Strong visionary leadership is required to ensure that knowledge sharing and skills transfers do take place.</li> <li>• Language differences may impede the flow of knowledge and rate of skills transfer.</li> <li>• Resource disparities may cause a perception to develop that the more advanced partners are imposing themselves, their knowledge and skills on those that are less resourced and developed.</li> </ul>

## Appendix C: Examples of Ecosystem Goods and Services as per the Categories of the Millennium Ecosystem Assessment (2005)

**Provisioning Services** which are the products obtained from ecosystems, including:

- **Food and fibre:** This includes the vast range of food products derived from plants, animals, and microbes, as well as materials such as wood, jute, hemp, silk, and many other products derived from ecosystems.
- **Fuel:** Wood, dung, and other biological materials serve as sources of energy.
- **Genetic resources:** This includes the genes and genetic information used for animal and plant breeding and biotechnology.
- **Bio-chemicals:** natural medicines, and pharmaceuticals. Many medicines, biocides, food additives such as alginates, and biological materials are derived from ecosystems.
- **Ornamental resources:** Animal products, such as skins and shells, and flowers are used as ornaments, although the value of these resources is often culturally determined. This is an example of linkages between the categories of ecosystem services.
- **Fresh water:** Fresh water is another example of linkages between categories — in this case, between provisioning and regulating services.

**Regulating Services** are the benefits obtained from the regulation of ecosystem processes, including:

- **Air quality maintenance:** Ecosystems both contribute chemicals to and extract chemicals from the atmosphere, influencing many aspects of air quality.
- **Climate regulation:** Ecosystems influence climate both locally and globally. For example, at a local scale, changes in land cover can affect both temperature and precipitation. At the global scale, ecosystems play an important role in climate by either sequestering or emitting greenhouse gases.
- **Water regulation:** The timing and magnitude of runoff, flooding, and aquifer recharge can be strongly influenced by changes in land cover, including, in particular, alterations that change the water storage potential of the system, such as the conversion of wetlands or the replacement of forests with croplands or croplands with urban areas.
- **Erosion control:** Vegetative cover plays an important role in soil retention and the prevention of landslides.
- **Water purification and waste treatment:** Ecosystems can be a source of impurities in fresh water but also can help to filter out and decompose organic wastes introduced into inland waters and coastal and marine ecosystems.
- **Regulation of human diseases:** Changes in ecosystems can directly change the abundance of human pathogens, such as cholera, and can alter the abundance of disease vectors, such as mosquitoes.
- **Biological control:** Ecosystem changes affect the prevalence of crop and livestock pests and diseases.
- **Pollination:** Ecosystem changes affect the distribution, abundance, and effectiveness of pollinators.
- **Storm protection:** The presence of coastal ecosystems such as mangroves and coral reefs can dramatically reduce the damage caused by hurricanes or large waves.

**Cultural Services** are the nonmaterial benefits people obtain from ecosystems through spiritual enrichment, cognitive development, reflection, recreation, and aesthetic experiences, including:

- **Cultural diversity:** The diversity of ecosystems is one factor influencing the diversity of cultures.
- **Spiritual and religious values:** Many religions attach spiritual and religious values to ecosystems or their components.
- **Knowledge systems (traditional and formal):** Ecosystems influence the types of knowledge systems developed by different cultures.
- **Educational values:** Ecosystems and their components and processes provide the basis for both formal and informal education in many societies.
- **Inspiration:** Ecosystems provide a rich source of inspiration for art, folklore, national symbols, architecture, and advertising.
- **Aesthetic values:** Many people find beauty or aesthetic value in various aspects of ecosystems, as reflected in the support for parks, “scenic drives,” and the selection of housing locations.
- **Social relations:** Ecosystems influence the types of social relations that are established in particular cultures. Fishing societies, for example, differ in many respects in their social relations from nomadic herding or agricultural societies.
- **Sense of place:** Many people value the “sense of place” that is associated with recognized features of their environment, including aspects of the ecosystem.
- **Cultural heritage values:** Many societies place high value on the maintenance of either historically important landscapes (“cultural landscapes”) or culturally significant species.
- **Recreation and ecotourism:** People often choose where to spend their leisure time based in part on the characteristics of the natural or cultivated landscapes in a particular area.

Cultural services are tightly bound to human values and behaviour, as well as to human institutions and patterns of social, economic, and political organization. Thus perceptions of cultural services are more likely to differ among individuals and communities than, say, perceptions of the importance of food production.

**Supporting Services** are those that are necessary for the production of all other ecosystem services. They differ from provisioning, regulating, and cultural services in that their impacts on people are either indirect or occur over a very long time, whereas changes in the other categories have relatively direct and short-term impacts on people. (Some services, like erosion control, can be categorized as both a supporting and a regulating service, depending on the time scale and immediacy of their impact on people.) For example, humans do not directly use soil formation services, although changes in this would indirectly affect people through the impact on the provisioning service of food production. Similarly, climate regulation is categorized as a regulating service since ecosystem changes can have an impact on local or global climate over time scales relevant to human decision-making (decades or centuries), whereas the production of oxygen gas (through photosynthesis) is categorized as a supporting service since any impacts on the concentration of oxygen in the atmosphere would only occur over an extremely long time. Some other examples of supporting services are **primary production, production of atmospheric oxygen, soil formation and retention, nutrient cycling, water cycling, and provisioning of habitat.**

## Appendix D: Background information on existing SADC TFCA

### /Ai /Ais-Richtersveld Transfrontier Park

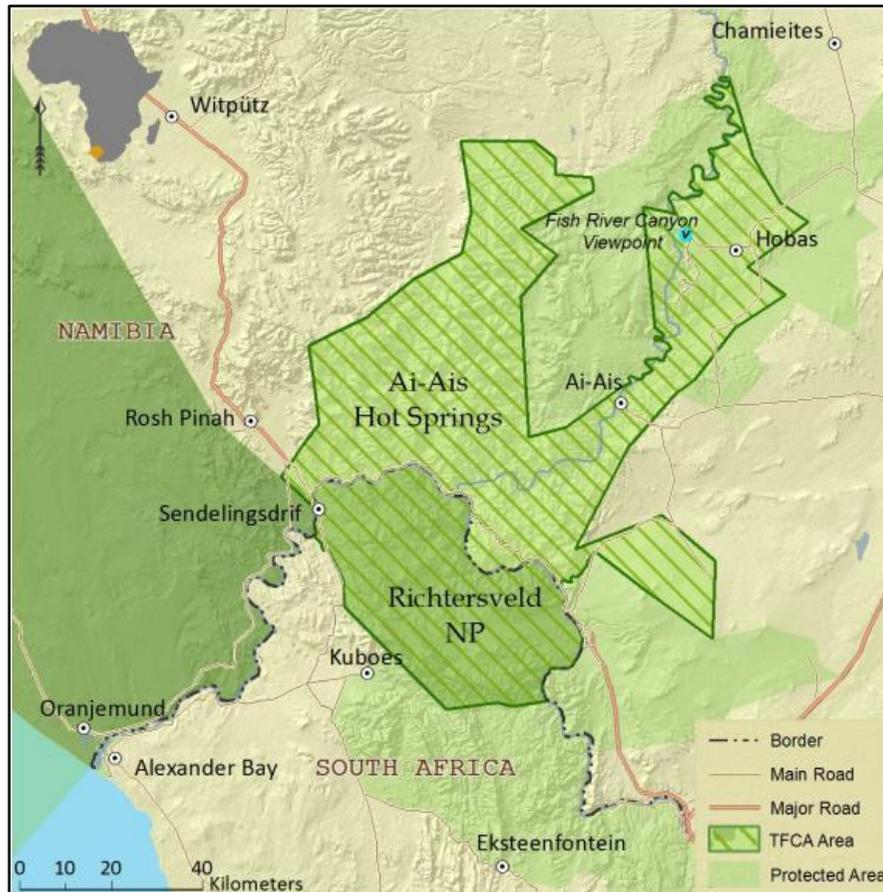


Figure 9: The locality, composition and extent of the /Ai /Ais-Richtersveld Transfrontier Park (© www.peaceparks.co.za).

**Countries involved:** Namibia and South Africa.

#### Were any feasibility studies undertaken prior to establishment?

Extensive community consultations were conducted beforehand, as the Richtersveld National Park in South Africa is owned by the Richtersveld communities and jointly managed in association with South African National Parks (SANParks), as the first Contractual Park in the country. This management structure allows the full participation not only of local communities through elected members representing the four towns in the area (Kuboes, Sanddrift, Lekkering and Eksteenfontein), but also of local pastoralists. These communities were keen to see the Transfrontier Park established, as they would all benefit from increased tourism to the area, while at the same time conserving its unique biodiversity. The Transfrontier Park would also help maintain the cultural heritage and traditional lifestyle of the Nama people.

#### Type and status of agreements

A **MOU** was signed by Ministers Philemon Malima of Namibia and Valli Moosa of South Africa on 17 August 2001. On the South African side, a management plan was signed into being at Sendelingsdrif on 26 October 2002. On 1 August 2003 President Sam Nujoma of Namibia and President Thabo Mbeki of South Africa signed an **international treaty** establishing the /Ai /Ais-Richtersveld Transfrontier Park.

#### Governance structures

Various bilateral committees, both ministerial and technical, as well as national **working groups** on community development, planning and management, security and customs, and finance were constituted to formalise the establishment of the Transfrontier Park. The signing of the international treaty effectively transformed the technical committee into a **joint management board** and the working groups into **management committees**. In April 2011, the **park management committee**, comprising park managers supported by an **inter-sectoral management and development task group**, was also established. This committee has since successfully jointly managed daily operations and is using joint management board meetings as strategic work sessions for decision making at policy level.

#### **Key reasons for establishment**

The Succulent Karoo biome has the richest succulent flora in the world, harbouring about one-third of the world's approximately 10 000 succulent species. It is one of only two entirely arid ecosystems to earn hotspot status, the other being the Horn of Africa. The TFP features the Fish River Canyon, which is the second largest canyon in the world and the largest in Africa. The Orange River mouth is a Ramsar site and the 350 million year old and erosion-rich Orange River gorge abounds with history, folklore and grandeur. The Richtersveld is one of the last regions where the Nama people's traditional lifestyle, based on nomadic pastoralism, has been preserved.

#### **Benefits realised**

Benefit have been realised from increased tourism to the area, while at the same time conserving its unique biodiversity with the cultural heritage and traditional lifestyle of the Nama people.

The inaugural 5-day 300 km Desert Knights Mountain Biking Tour was launched in 2012, the aim of which is to contribute towards the tourism development of the Transfrontier Park by showcasing the unique landscape characteristics and cultural heritage of the region. Desert Knights 2012 was a good preparation for the larger event planned for 2013, when the tour was to serve as a precursor to the Adventure Travel World Summit hosted by Namibia during October 2013.

Thanks to funding from GIZ and Peace Parks Foundation, during February 2014, local communities were trained to do the catering and assisting with camp attendant duties and river guiding of the Desert Kayak Trails on the stretch of river between Gamkab and Sendelingsdrift, which will be the second joint tourism product. The African Paddling Association was approached to assist with the selection and training of river guides.

Park staff underwent GIS training, conducted by Peace Parks Foundation and the Southern African Wildlife College, to enable them to create management maps of the area, as well as the monitoring tools needed in conservation processes. There was also joint mountain rescue training of park staff in September 2013.

#### **Key issues for consideration**

The /Ai/Ais-Richtersveld Transfrontier Park has become a model for joint planning, operations, training and cross-border events.

In 2013 a joint radio network, which will ease communications between the Namibian and South African components of the park, was established.

A heritage survey found that the heritage assets of the transfrontier park enhance the tourism value of the area and are worthy of nominating the transfrontier park for World Heritage Site status.

### **Long-term viability plan**

Donors supporting this TFP are the Dutch Postcode Lottery and the Swedish Postcode Lottery, while the GIZ “Income Generating Opportunities for Communities” programme has provided funding for kayak trail guiding in February 2014.

Peace Parks Foundation funded skipper training for the operation of the Sendelingsdrift pontoon.

Desert Knights 2012 was a collaborative endeavour between the Namibian Ministry of Environment, Namibia Wildlife Resorts and SANParks, supported by the South African Department of Environmental Affairs, Boundless Southern Africa and Peace Parks Foundation.

## **Kgalagadi Transfrontier Park**

**Countries involved:** Botswana and South Africa

### **Were any feasibility studies undertaken prior to establishment?**

A verbal agreement reached in 1948 is the basis of the de facto existence of the Kgalagadi Transfrontier Park. In recognition of the arrangement no barrier exists along the international border separating the Kalahari

Gemsbok National Park in South Africa, and the Gemsbok National Park in Botswana. In June 1992 representatives from the South African National Parks (then South African National Parks Board) and the Department of Wildlife and National Parks of Botswana set up a joint management committee (Transfrontier Management Committee). This addressed the formalisation of the verbal agreement, and produced a management plan that set out the framework for the joint management of the area as a single ecological unit. The Kgalagadi Transfrontier Park management plan was reviewed and approved by the two conservation agencies early in 1997.



Figure 10: The locality, composition and extent of the Kgalagadi Transfrontier Park (© www.peaceparks.co.za).

### Type and status of agreements

A bilateral agreement recognising the new Kgalagadi Transfrontier Park was signed on 7 April 1999 between Botswana's Department of Wildlife and National Parks and South African National Parks. This agreement

established the first formally recognised Transfrontier Park in Southern Africa. The Kgalagadi Transfrontier Park was officially opened by President Festus Mogae of Botswana and President Thabo Mbeki of South Africa on 12 May 2000.

### Governance structures

The cross-border access facility at Two Rivers / Twee Rivieren is jointly manned by customs officials from Botswana and South Africa. Access to Kgalagadi can thus be gained through four access facilities in three different countries: from Botswana through Two Rivers / Twee Rivieren, Mabuasehube and Kaa; from Namibia through Mata-Mata, and from South Africa through Two Rivers / Twee Rivieren. Passports are not required for entry, unless departure is planned through a different gate into another country, in which case a two-day stay in the park is compulsory.

The !Ae!Hai Kalahari Heritage Park is managed by a **joint management board**, which comprises of representatives from the †Khomani San and Mier communities and SA National Parks (SANParks).

In 2013 a draft **integrated development plan**, a **joint operational strategy** and a **standard operating procedure** for the movement of people, goods and services in the park were finalised. A **joint management committee** was also established to oversee and undertake joint initiatives and activities.

### Key reasons for establishment

Arid regions are very sensitive and increasing desertification has led to a global recognition of the importance of plants and animals which are

adapted to withstand desert conditions. This area is a very valuable storehouse of plants and animals adapted to withstand harsh environmental extremes. The vastness of the Kgalagadi Transfrontier Park allows the nomadic ungulate populations and their predators to stay in balance with their environment, consequently there is little need for extensive management intervention.

Kgalagadi has become a popular destination for tourists and lovers of its 4x4 wilderness trails wishing to experience the Kalahari's tranquillity.

The !Ae!Hai Kalahari Heritage Park aims to preserve the cultural and traditional knowledge of these indigenous communities, while improving their livelihood opportunities. One of the key objectives is to expose Bushman children to the traditional lifestyles of their ancestors. This is realised through the implementation of the Imbewu programme and traditional veld school, held at Imbewu Camp.

### **Benefits realised**

In May 2002 the #Khomani San and Mier communities reached an historic land settlement agreement with the government of South Africa and South African National Parks (SANParks) which restored a large tract of land to the communities that had once roamed or farmed this area. Named the !Ae!Hai Kalahari Heritage Park Agreement, its outcome resulted in the transfer of ownership of 50 000 hectares of land within the boundaries of Kgalagadi Transfrontier Park from SANParks to the two communities, who then leased the land back to SANParks. A fully catered luxury lodge, owned by the #Khomani San and Mier communities, opened its doors in 2007, shortly before the Mata-Mata Tourist Access Facility between Namibia and South Africa was opened by the heads of state of

Botswana, Namibia and South Africa. This historic access point on the border of the Kgalagadi Transfrontier Park and Namibia has boosted cross-border tourism, reunite local communities and enhance job creation. It has also been contributing to socio-economic development, especially in the tourism sectors of the three countries.

The Ta Shebube desert circuit is a new and exciting tourist destination on the Botswana side of Kgalagadi. It features two lodges, at Polentswa and Rooiputs, both promoting high-quality, low-density tourism.

### **Key issues for consideration**

Kgalagadi is Africa's first peace park and is still the only open peace park where tourists can move freely across the international border within the boundaries of the park. The vastness of the Kgalagadi Transfrontier Park allows the nomadic ungulate populations and their predators to stay in balance with their environment, consequently there is little need for extensive management intervention.

The Twee Rivieren / Two Rivers **joint access facility** has removed the last vestiges of two separate national parks, and tourists now enter at a single facility to visit the entire park spanning the border between Botswana and South Africa. The Mata-Mata tourist access facility allows access via Namibia. Landowners on the Namibian side of the border have expressed an interest in joining their land to Kgalagadi and becoming part of this ecotourism attraction.

### **Long-term viability plan**

Donors supporting this TFP are the Dutch Postcode Lottery and Swedish Postcode Lottery. In November 2009 South Africa's National Lottery

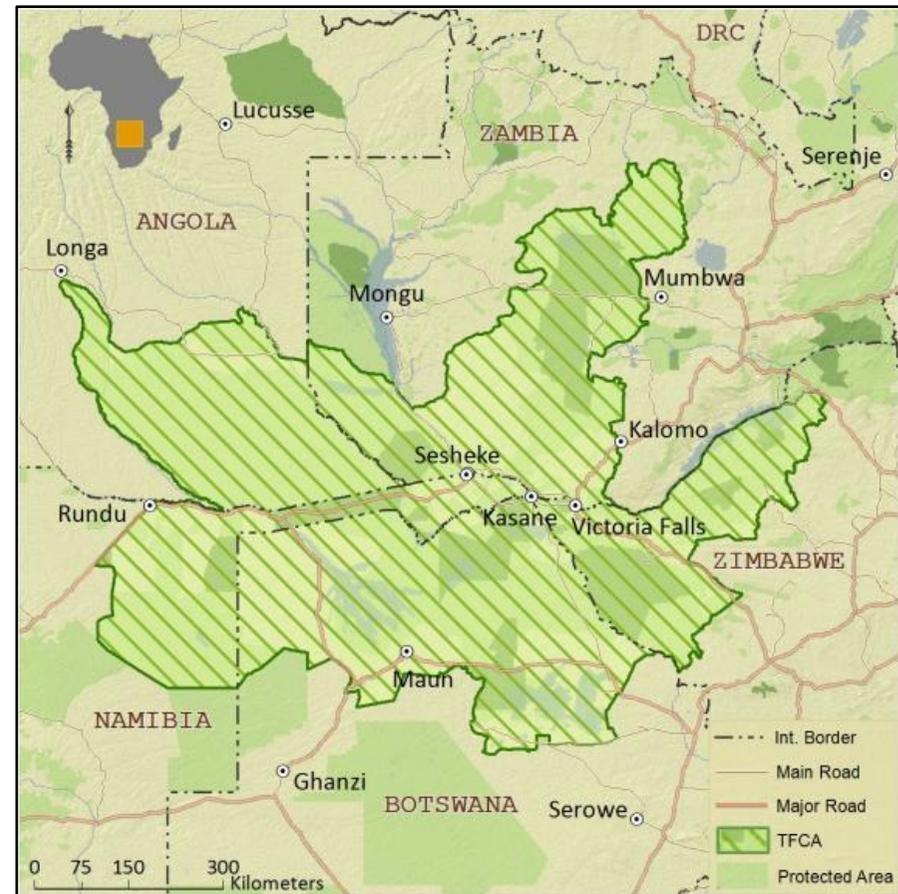
Distribution Trust Fund donated R4.8 million to support the development of the !Ae!Hai Kalahari Heritage Park. Thanks to a major donations by South Africa’s National Lottery Distribution Trust Fund, Rotary Clubs and the German Federal Ministry of Economic Cooperation and Development, the !Ae!Hai Kalahari Heritage Park is being developed further.

### **Kavango Zambezi (KAZA) Transfrontier Conservation Area**

**Countries involved:** The Kavango Zambezi (KAZA) Transfrontier Conservation Area is situated in the Kavango and Zambezi river basins where the borders of Angola, Botswana, Namibia, Zambia and Zimbabwe converge.

#### **Were any feasibility studies undertaken prior to establishment?**

The five governments commissioned a pre-feasibility study to guide the development of the TFCA, facilitated by the Peace Parks Foundation, which was completed in 2006. During 2013, various wildlife corridors in KAZA were identified and conservation strategies for specific species such as wild dog were finalised. With the completion of the integrated development plans (IDPs) for Botswana and Namibia, IDPs for all five partner countries are now being implemented. Good progress was made with the development of the KAZA TFCA master IDP, with the appointment of a project team by the KAZA TFCA secretariat to undertake this task. Various joint projects, aimed at improving natural resource management, land-use planning, tourism, infrastructure and alternative livelihood



**Figure 11: The locality, composition and extent of the KAZA Transfrontier Conservation Area (© www.peaceparks.co.za).**

development, are being investigated and will inform key actions of the plan. The Peace Parks Foundation is assisting with the preparation of the master IDP and its GIS section is providing mapping and planning support to the technical experts developing the IDP. The IDP process is a

comprehensive and participatory planning process that aligns the planning and development of the different tiers of government with those of the private sector and communities. It also informs the national development strategy of that particular area. The five separate IDPs, with the master IDP for KAZA TFCA as a whole, will promote the sustainable and equitable development, utilisation and management of the KAZA TFCA.

The consultants appointed by the World Bank to develop the pilot KAZA visa have been visiting the region to undertake stakeholder consultation meetings to gather information on what is needed from the various stakeholders, i.e. customs, immigration, security and finance. A report on a financial sustainability strategy for KAZA was subsequently finalised. It proposes a suite of short-, medium- and long-term strategies for sustainable financing, such as minimising the operational costs of the secretariat, developing a fundraising programme, establishing an endowment fund, acquiring and leasing out property and concessions, eliciting annual government contributions, and creating other innovative income-generating streams. This strategy must still be approved by the partner countries.

To harmonise existing policies and legal frameworks, the appointed project managers identified a number of disparities among the conservation areas that constitute the KAZA TFCA, including their conservation status, level of development, management regime and in the legislation and policies governing them. The main recommendations are that an effort should be made to harmonise the policies and practices in:

- **natural resource management**, with a focus on wildlife corridors, shared watercourses and strategies for conserving and managing species of economic and ecological relevance;
- **tourism**, specifically by developing economic linkages between the partner countries, committing to responsible tourism and introducing a system of collecting park entry fees at a single pay point; and
- **legislation**, specifically by recognising the TFCA in national legislation and relevant policy documents.

These recommendations must still be accepted by the partner countries.

#### **Type and status of agreements**

On 18 August 2011 the presidents of the republics of Angola, Botswana, Namibia, Zambia and Zimbabwe signed a **treaty** that formally and legally established the Kavango Zambezi TFCA.

The KAZA TFCA was officially launched on 15 March 2012 when the ministers responsible for the environment, wildlife, natural resources, hotels and tourism of the five partner countries hosted various stakeholders in the town of Katima Mulilo, Namibia, and unveiled the KAZA TFCA treaty.

#### **Governance structures**

A **Secretariat** was appointed to steer the development of the KAZA TFCA. The Peace Parks Foundation was appointed as **implementing agent** by the partner countries to provide financial management and technical and co-financing support to the KAZA secretariat.

#### **Key reasons for establishment**

The KAZA TFCA is the world's largest transfrontier conservation area, spanning approximately 520 000 km<sup>2</sup> (similar in size to France).

It includes 36 national parks, game reserves, community conservancies and game management areas. Most notably, the area will include the Caprivi Strip, Chobe National Park, the Okavango Delta (the largest Ramsar Site in the World) and the Victoria Falls (a World Heritage Site and one of the Seven Natural Wonders of the World). The KAZA TFCA promises to be southern Africa's premier tourist destination with the largest contiguous population of the African elephant (approximately 250 000) on the continent. Conservation and tourism will be the vehicle for socio-economic development in this area.

### **Benefits realised**

The KAZA TFCA abounds with magnificent tourist sites and attractions, ranging from Botswana's Okavango Delta, and Zimbabwe and Zambia's Victoria Falls, to the unexplored splendours of the Angolan woodlands and Namibia's Caprivi Strip. Harmonisation of policies and cross-border regulations, as well as the development of infrastructure between these destinations, will allow tourists from the regional and international markets to explore southern Africa's cultural and natural diversity as never before.

The establishment and development of this TFCA will offer opportunities for the local populations to form meaningful partnerships with the private and government sectors, leading to conservation becoming a more locally viable land-use option. Through these partnerships, the region will cater for budget and luxury tourists, identify and develop diverse tourist

activities such as cultural and heritage tourism, and seek out new and exciting tourist destinations such as the Ngonye Falls in Zambia.

It is still too early to specifically identify and quantify the extent of the benefits that may be realised through this initiative.

### **Key issues for consideration**

KAZA TFCA is home to approximately two million people who will not be required to resettle outside the TFCA boundaries. Rather, the KAZA TFCA authorities hope to improve the socio-economic conditions of the people residing within the TFCA by routing development, tourism and conservation projects to them in line with the KAZA TFCA objectives. Through cultural tourism, the TFCA authorities aim to celebrate and nourish the rich cultural diversity within the area, allowing communities across borders to share their age-old knowledge and symbolic traditions with each other and the world at large.

### **Long-term viability plan**

In June 2010 the German Federal Ministry for Economic Cooperation and Development (BMZ) through KfW committed US\$ 27.6 million for KAZA TFCA's development. On 8 March 2013, State Secretary Hans-Jürgen Beerfeltz of the German Federal Ministry for Economic Cooperation and Development handed a cheque to the amount of US\$ 21.3 million to the SADC Deputy Executive Secretary, Mr João Caholo and the government ministers of the five countries partnering in the KAZA TFCA, in addition to the US\$ 27.6 million previously donated.

The Netherlands Directorate-General for International Cooperation supported various projects to the amount of US\$ 690 000.

The Dutch Postcode Lottery and Swedish Postcode Lottery also support this TFCA.

## Great Limpopo Transfrontier Park

**Countries involved:** Mozambique, South Africa and Zimbabwe

### Were any feasibility studies undertaken prior to establishment?

The Great Limpopo TFP began with a meeting between President Joaquim Chissano of Mozambique and the president of the World Wide Fund For Nature (South Africa) in 1990. In 1991 the Mozambican government used Global Environment Facility funds for feasibility studies toward the implementation of a TFCA pilot project. The 1992 Peace Accord in Mozambique and the South African democratic elections of 1994 paved the way for the political processes to transform the initial idea into a reality. Feasibility studies initiated by the World Bank culminated in a pilot project that was launched with Global Environment Facility (GEF) funding in 1996.

### Type and status of agreements

Minister Helder Muteia (Minister of Agriculture and Rural Development in Mozambique), Minister Valli Moosa (Minister of Environmental Affairs and Tourism in South Africa), and Minister Francisco Nhema (Minister of Environment and Tourism in Zimbabwe) signing a Trilateral Agreement in Skukuza, South Africa on 10 November 2000. The Skukuza Agreement signaled the three nations' intent to establish and develop a transfrontier

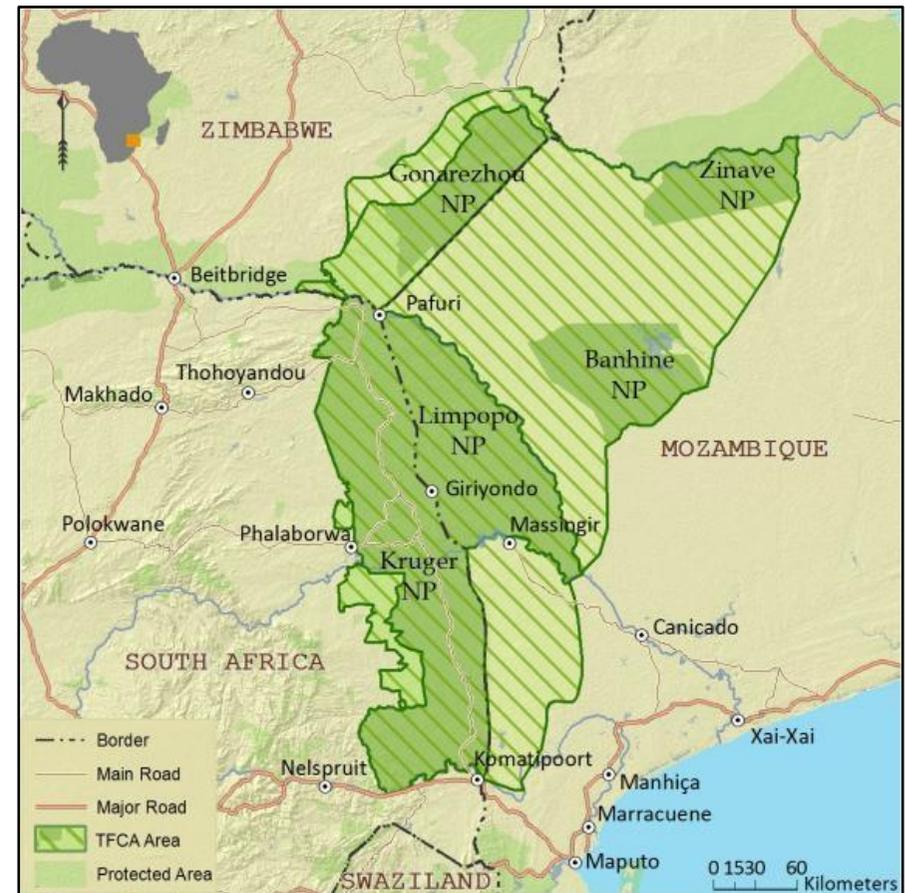


Figure 12: The locality, composition and extent of the Great Limpopo Transfrontier Park (© [www.peaceparks.co.za](http://www.peaceparks.co.za)).

park and surrounding conservation area that, at that time, was still called Gaza-Kruger-Gonarezhou TFCA.

The Heads of State of the three partner countries signed a **International Treaty** at Xai-Xai, Mozambique establishing the Great Limpopo Transfrontier Park on 9 December 2002.

The Mozambican Minister of Tourism, Mr Carvalho Muária, and the South African Minister of Water and Environmental Affairs, Mrs BEE Molewa, signed a Memorandum of Understanding in the field of Biodiversity Conservation and Management at Skukuza in the Kruger National Park on 17 April 2014. This follows the outcome of a bilateral Ministerial meeting that took place on 14 June 2013 in Maputo, Mozambique, during which the requirement of a government-to-government MOU on Cooperation in the field of Biodiversity, Conservation and Management was acknowledged.

Mozambique and South Africa recognise the need for engaging on a bilateral level on issues relating to wildlife management. This is particularly with respect to addressing the scourge of rhino poaching within the Great Limpopo Transfrontier Park (GLTP), as escalating incidences of poaching have become a major challenge within the GLTP to rhino populations.

A bilateral Ministerial event to launch the tourism season was held by the tourism ministries of Mozambique and South Africa in October 2013. This included a ministerial function at the Giryondo tourist access facility between the Limpopo and Kruger National Parks and a live television broadcast from Mopani Rest Camp in Kruger. The emphasis was on celebrating the 10-year anniversary of the Great Limpopo treaty signing event and on introducing future joint tourism products and activities, such as the TFCA adventure trails, mountain-bike tours and 4x4 trails involving all the core areas in the park.

### **Governance structures**

Since the signing of the MoU in 2000 **working groups** were operational under a **technical committee** which, in turn, was operational under the **ministerial committee**. In 2001 a **project implementation unit** was set up to develop the GLTP. The signing of the Great Limpopo Treaty in 2002 effectively transformed the technical committee into a **joint management board** and the working groups into **management committees** which deal with conservation; safety and security; finance, human resources, legislation, and tourism. However, the joint management board has initiated an institutional reform process which aims to focus more on both park level implementation and the development of the transfrontier conservation areas component of the project.

Facilitating the process and driving the development of the TFCA is an international coordinator, who was first appointed by the partner countries in 2000, but has not remained in office throughout. The position was and is currently funded by the Peace Parks Foundation. In terms of the Treaty, this position has been rotating every two years between the three countries and, after this interim phase, will be replaced by a permanent secretariat.

A process to revise the governance structures is currently underway.

### **Key reasons for establishment**

The Great Limpopo Transfrontier Park joins some of the most established wildlife areas in Southern Africa into a huge conservation area of 37 572km<sup>2</sup> (± the size of the Netherlands).

### **Benefits realised**

On 16 August 2006, the Giriyondo Tourism Access Facility (TAF) between the Limpopo and Kruger National Parks was opened by Presidents Guebuza from Mozambique, Mbeki from South Africa and Mugabe from Zimbabwe. Giriyondo for the first time allows visitors to the Great Limpopo Transfrontier Park cross-border access within the perimeters of the two parks. Almost 5 000 animals were translocated from the Kruger to the Limpopo National Park. This, combined with 50 km of fencing being dropped, has encouraged more animals, including over 1 000 elephants and over 1 000 buffalo, to cross the border of their own accord. The harmonisation and integration of various policies to improve the cooperative management of the Transfrontier Park are under way. Processes such as standardising a fee and rate structures, introducing a joint operations protocol and the development of cross-border tourism products that will optimise the GLTP's tourism development opportunities are also far advanced.

In 2013 the routing for the proposed Shingwedzi Cliffs Wilderness Trail was tested and a pilot cross-border cultural wilderness trail was undertaken in the Pafuri–Sengwe portion of the park. The latter adventure trail is a public-private community partnership, benefiting communities in both South Africa and Zimbabwe. A Shangaan festival was also held in Chiredzi, Zimbabwe in July. This is now an annual event aimed at increasing the collaboration between communities from the three partner countries.

### **Key issues for consideration**

The Great Limpopo Transfrontier Park forms the core of the second-phase transfrontier conservation area (TFCA), measuring almost 100 000km<sup>2</sup>. The larger transfrontier conservation area will include the Banhine and

Zinave National Parks, as well as the Massingir and Corumana areas and interlinking regions in Mozambique. Various private and state-owned conservation areas in South Africa and Zimbabwe bordering on the Transfrontier Park are also to be included in the broader TFCA.

The high percentage of rhino poaching incidents within the Kruger National Park, South Africa, which emanate from Mozambique, are a serious cause for concern and a potential barrier to the maintenance of harmonious relations between the two countries. However, the existence of the GLTP provides for enhanced channels of communication and collaboration that may not have been there in the absence of the international treaty.

### **Long-term viability plan**

The GLTP is in the process of developing an Integrated Development and Business Plan to guide its implementation over the next 10-year period. This plan has a ten (10) year horizon that will be operationalised through implementation and action plans spanning two consecutive five (5) year periods. The IDP its implementation and business plans will further be implemented through the development of detailed annual action plans, which in turn will guide the activities of various committees constituted as part of the GLTP and fall within an integrated framework for performance review and assessment. Key policy documents that will be developed as part of the IDP process include a benefit sharing / alternative livelihoods strategy and a wildlife crime strategy.

The Peace Parks Foundation provided assistance in overseeing Limpopo National Park's development as a SADC-approved project which was funded by the German Federal Ministry for Economic Cooperation and

Development through KfW, the Agence Française de Développement (AFD), the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) and the World Bank.

On 17 April 2014 Mozambique and South Africa signed a memorandum of understanding in the field of biodiversity, conservation and management. A R24.9 million grant from the Dutch and Swedish postcode lotteries' grant, secured by the Peace Parks Foundation, will assist Mozambique's anti-poaching efforts.

One of the key research-based initiatives within the GLTP is the GLTFCA - AHEAD Programme, which was started at the World Parks Congress in 2003. This initiative aims at providing an integrated platform and facilitative mechanism to address challenges at the interface of ecosystem and wildlife health, livestock health, and human health and livelihoods. This programme effectively aims to bridge the gap between applied research and implementation in order to allow for informed decision-making and adaptive management.

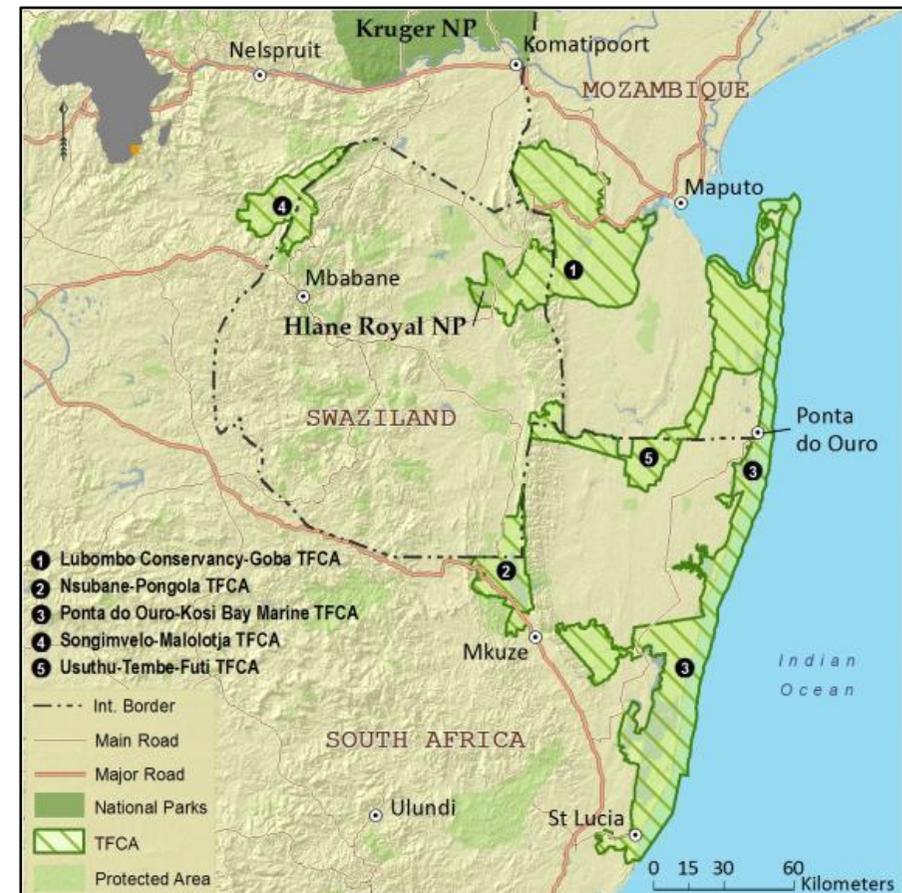
## Lubombo Transfrontier Conservation and Resource Area

**Countries involved:** Mozambique, South Africa and Swaziland

### Were any feasibility studies undertaken prior to establishment?

The area was identified as a "Spatial Development Corridor" but this excluded biodiversity conservation considerations and therefore may not be considered as a TFCA feasibility assessment. Also a series of studies related to a Tourism Development Framework (2005) and a Project

Implementation Plan (2005) were undertaken, but these were after the signing of the Protocols and therefore cannot be considered as contributing to any feasibility assessment.



**Figure 13: The locality, composition and extent of the Lubombo Transfrontier Conservation Area** (© www.peaceparks.co.za).

### Type and status of agreements

The Trilateral General Protocol for the Lubombo Transfrontier Conservation and Resource Area was signed between Mozambique, South Africa and Swaziland on 22 June 2000 as an overarching Protocol for the Lubombo region. Together with the Malaria Control Protocol, signed on the 14<sup>th</sup> October 1999, they were borne out of the Lubombo Spatial Development Initiative between the said countries.

Other Protocols signed at the same time establishing area specific TFCA within the Lubombo Region were the following:

- Ponta do Oura-Kosi Bay Marine and Coastal Transfrontier Conservation and Resource Area Protocol between Mozambique and South Africa;
- Nsubane-Pongola Transfrontier Conservation and Resource Area Protocol between Mozambique and South Africa;
- Ndumo-Tembe-Futi Transfrontier Conservation and Resource Area Protocol between Mozambique and South Africa; and
- Lubombo Conservancy-Goba Transfrontier Conservation and Resource Area Protocol between Mozambique and Swaziland.

Songimvelo - Malolotja Transfrontier Conservation and Resource Area was added to the suite of TFCA above through a Ministerial decision in 2004. The Ndumo-Tembe-Futi TFCA was also expanded with the inclusion of the Usuthu Gorge side of Swaziland and was later referred to as Usuthu-Tembe-Futi.

### **Governance structures**

The protocols provided, among other things, the mechanism to establish the relevant structures for the implementation of this project, as follows:

- **Trilateral Ministerial Committee** composed of the relevant Ministers from the three countries
- **Trilateral Commission** which consists of representatives from appropriate conservation and resource area management experts, tourism and development experts, representatives of relevant government economic, environmental and tourism authorities appointed by the responsible Ministers of the three countries.
- **Task Groups** consisting of representatives from appropriate conservation and resource area management experts, tourism and development experts and representatives of relevant government and implementing agencies appointed by the responsible Ministers of the three countries, in consultation with the relevant representative on the Commission.
- **Discipline-specific working groups** have been formed as and when necessary by the different Task Groups, for instance Business and Tourism under Usuthu-Tembe-Futi and Maputo Special Reserve-Tembe Elephant Park Management Committee.

**Development and action plans** for the five TFCA projects under the Trilateral General Protocol have since been drafted, namely:

- Nsubane-Pongola TFCA Joint Management Plan;
- Songimvelo-Malolotja TFCA Joint Management Plan;
- Maputo Special Reserve-Tembe Elephant Park Joint Operational Strategy; and
- Integrated Management Plan for Combined Lubombo Conservancy-Goba and Usuthu-Tembe-Futi TFCA.

In 2013 work started on drafting an **integrated development plan** for the Usuthu-Tembe-Futi component of the TFCA.

**Community liaison forums** are playing a positive role by ensuring good communication between reserve management and the communities.

A **park management unit** was appointed to oversee the process of development, management and extension of Maputo Special Reserve. Following a request by the Mozambican government for assistance with its community development strategy in the Matutuine District, the Peace Parks Foundation appointed a community development technical adviser to implement the strategy. This strategy aims to bring about the sustainable economic development of and benefit-sharing by communities living in and around the Maputo Special Reserve through a consultative and participatory process that will also develop nature-based tourism and conservation enterprises. A **multidisciplinary team** was formed to address poaching and illegal trade of meat. This team comprises members of the reserve management and the police, a district public prosecutor and people providing agricultural and veterinary services. The combined efforts have seen a marked increase in snare removal and a drop in the number of small wildlife being poached. The reserve's **anti-poaching and community assistance team** held numerous meetings with the communities to explain to them why they should not become involved in poaching activities.

#### **Key reasons for establishment**

The primary objective of the Lubombo TFCA is to create an enabling framework to facilitate among other things, economic development through appropriate optimisation of opportunities presented by the countries' natural assets, ecologically and financially sustainable development, and the sustainable utilisation of the natural resource base

through holistic and integrated environmental planning and management.

Globally it is one of the most striking areas of biodiversity and lies in the Maputaland Centre of Endemism. It also includes five Ramsar sites: Ndumo Game Reserve, the Kosi Bay System, Lake Sibaya, the Turtle Beaches and Coral Reefs of Tongaland, and Lake St Lucia, which at 350km<sup>2</sup> is the largest estuary in Africa.

The establishment of Lubombo will also reunite the last naturally occurring elephant populations of KwaZulu-Natal and southern Mozambique, which historically moved freely across the border along the Futi system and Rio Maputo floodplains.

#### **Benefits realised**

Lubombo boasts the first marine TFCA in Africa, the Ponta do Ouro-Kosi Bay TFCA, where Mozambique's Ponta do Ouro Partial Marine Reserve turtle monitoring programme links up with the one across the border in South Africa's iSimangaliso Wetland Park. Community members are appointed as turtle monitors, annual training is provided and daily patrols are conducted during turtle nesting and hatching season between October and April. Turtles coming ashore to lay their eggs are checked, measured and tagged on this protected coastline that is a haven for the critically endangered leatherback and critically endangered loggerhead sea turtles. Prior to the signing of the protocols, the iSimangaliso Wetland Park in the Ponta do Ouro-Kosi Bay TFCA was proclaimed a World Heritage Site in November 1999. The site is the largest estuarine system in Africa and includes the southernmost extension of coral reefs on the continent. Efforts are ongoing to extend the existing World

Heritage Site northwards to encompass the Mozambican section of the TFCA, which includes a marine protected area.

In 2009 the eastern boundary of the Maputo Special Reserve was proclaimed as the Ponta do Ouro Partial Marine Reserve, stretching from Ponta do Ouro in the south to the Maputo River Mouth in Maputo Bay in the north and including Inhaca and Portuguese islands. The marine reserve's rich diversity of marine life includes loggerhead and leatherback turtles, which have been carefully monitored since 2009. As part of Africa's first marine TFCA, the marine reserve's turtle monitoring programme links up with that of the iSimangaliso Wetland Park.

On 14 June 2011 the Mozambican government proclaimed the Futi Corridor as an extension of Maputo Special Reserve, thereby expanding the reserve by 24 000 ha. Only the international border fence between Mozambique and South Africa now separates the Maputo Special Reserve from the Tembe Elephant Park in South Africa.

The Mozambican government's translocation programme, a multi-year endeavour with wildlife kindly donated by the South African Government through Ezemvelo KZN Wildlife and now in its third year of operation, saw the first introduction of wildebeest to Maputo Special Reserve. This year 88 zebras, 72 nyala, 75 impala, 48 warthog, 73 blue wildebeest, 12 giraffe and 24 kudu were translocated. In total 909 animals have been translocated since 2010. The translocations are backed up by aerial surveys and counts, which have been taking place annually since 2011. The translocated animals are responding positively to their new habitat and are multiplying, especially giraffe, zebra and blue wildebeest.

A number of exciting projects are taking place to develop the Maputo Special Reserve and the Ponta do Ouro Partial Marine Reserve, all the while benefiting local communities. Maputo Special Reserve also has a community development facility.

#### NDUMO INTERVENTION PROGRAMME

Following the approval of the Mbangweni/Bhekabantu agricultural livelihood project by the KwaZulu-Natal Department of Agriculture, Environmental Affairs and Rural Development, Ezemvelo KZN Wildlife and Peace Parks Foundation were tasked with undertaking social facilitation and community consultation on behalf of the project.

In 2013 the Bhekabantu/Mbangweni agricultural support project was escalated to the Corporate Services Unit of the KwaZulu-Natal Department of Agriculture and Environmental Affairs, as it is deemed a priority project for the province of KwaZulu-Natal (KZN). Members of the agricultural cooperative were selected to participate in an ongoing training and capacity-development programme that will equip them with the skills required to manage the cooperative and its commercial activities. The business plan for the introduction of commercial crop tunnels and the production of cash crops was completed and implementation will start in 2014. Crop fields have also been cleared and fenced for the planting of groundnuts in 2014.

Boreholes were sunk, water tanks erected and water points created for domestic cattle. Water to irrigate crops will be extracted from the Pongola River by way of a pump system. The dip tanks are now fully operational and are regularly inspected by livestock management officers from the KZN Department of Agriculture and Environmental Affairs.

These officers work closely with the local community and advise them on the use of the dip tanks and the detection of livestock diseases. In total 360 households, comprising approximately 2 800 people, many of whom are migrant workers, are benefitting from the agricultural development work.

#### MAPUTO SPECIAL RESERVE PROJECTS

In 2012 the Bell Foundation received a permit to construct the Chemucane community lodge in Maputo Special Reserve and building material was procured. The construction of the 22-bed Chemucane community lodge is now nearing completion. It will feature nine exclusive guest suites, with two family and seven double-bedded units, as well as the necessary additional infrastructure for staff. The local communities supplied the materials for the lodge, which provided them with a valuable opportunity to earn an income. The construction team grew to 32 people, 26 of whom are members of the three communities comprising the Ahi Zamene Chemucane community association. While the lodge is being constructed, five of the community members, who were trained at the SA College for Tourism, have started working and acquiring practical skills at Hluhluwe River Lodge in South Africa. Ten community members were trained in 2013 and a further eight will be trained in 2014.

At the Matchia chilli project, six tonnes of chillies were harvested and sold and the money paid into the community's account. During the year, the area was extended by an additional 1.5 ha to a total of 4 ha under drip irrigation. The farmers divided the project area into smaller plots and allocated them to individual community members to ensure equitable ownership of the project. A section was also set aside as a training plot.

#### Key issues for consideration

The extraordinary biodiversity of this TFCA, coupled with its magnificent scenery, makes this area a significant southern African tourist destination. This is complemented by a rich historical and cultural environment with untapped tourism potential. Sites of interest include the sacred Hlatikhulu forests, King Dingaan's Grave and Border Cave in South Africa, the ruins of the old border post at Manhoca in Mozambique and the Royal Hunting Reserve within the Royal Hlane Game Reserve in Swaziland.

#### Long-term viability plan

Donors supporting this TFCA are the Dutch Postcode Lottery and Swedish Postcode Lottery as well as World Bank and COMON Foundation.

In 2005 the World Bank donated US\$ 6 million to Mozambique to develop the Maputo Special Reserve, which includes infrastructure and accommodation upgrades, and the construction of headquarters and accommodation facilities. To supplement this, a co-financing agreement between Mozambique and the Peace Parks Foundation was signed in 2006 for the development, management and extension of the Maputo Special Reserve.

### Maloti-Drakensberg Transfrontier Conservation and Development Area

**Countries involved:** Lesotho and South Africa

**Were any feasibility studies undertaken prior to establishment?**

The MDTFCDA has gone through two phases of implementation. The initial phase saw funding from the Global Environmental Facility (GEF)/World Bank (2002 – 2009 which was originally planned to end 2007) which produced a 20-year conservation and development strategy and the first of a series of 5-year action plans for the area. The 20-year strategic plan also includes the continued functioning of the government implementation agencies that were established during the first phase of the project. The second phase was a two-government funded phase (2009-2012). This phase has provided important insights and lessons for the upcoming third phase which is currently under development.

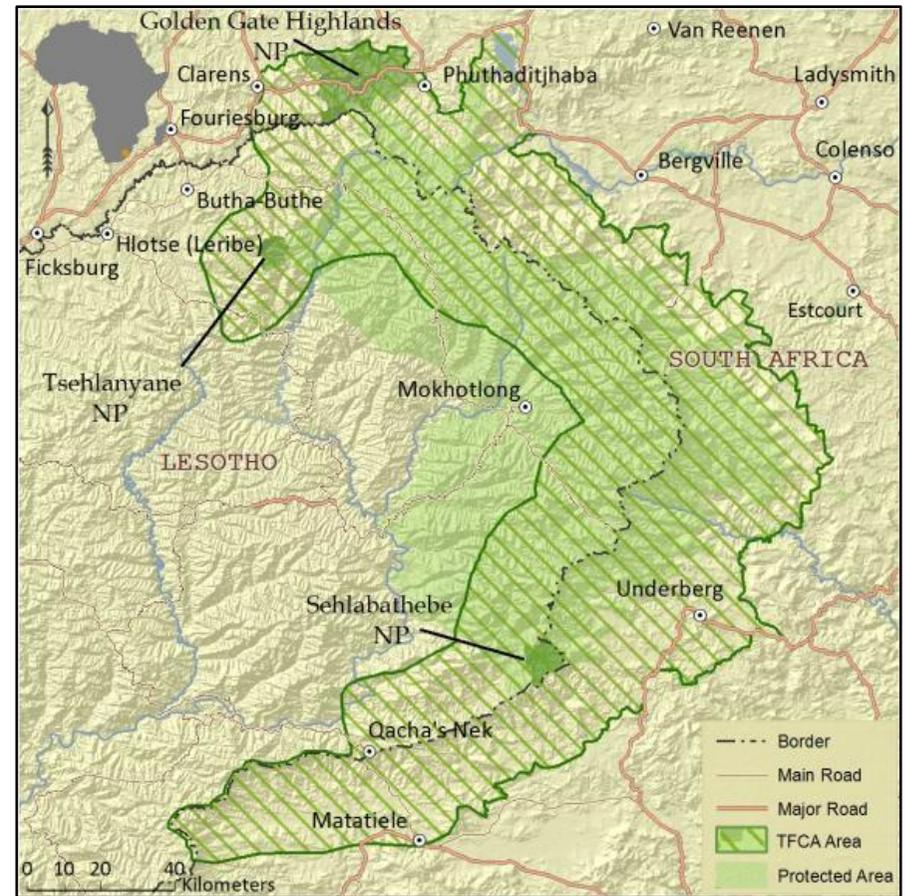


Figure 14: The locality, composition and extent of the Maloti Drakensberg Transfrontier Conservation Area (© www.peaceparks.co.za).

#### Type and status of agreements

The MDTFCDA was formally recognised on 11 June 2001 with the signing of a **memorandum of understanding** between the Governments of the Kingdom of Lesotho and the Republic of South Africa in the Sehlabathebe

National Park in Lesotho. The Memorandum of Understanding, for the first time, allowed for the mutual management of nature conservation areas such as the Sehlabathebe National Park in Lesotho and the uKhahlamba Drakensberg Park in KwaZulu-Natal, South Africa. On 22 August 2003 the Maloti-Drakensberg Transfrontier Conservation and Development project in was **launched** in Mokhotlong, Lesotho by the Ministers of the Environment for Lesotho and South Africa.

In June 2006, Chief Executives from Tourism KwaZulu-Natal, the Free State Department of Tourism, Environmental and Economic Affairs, Eastern Cape Tourism Board, Lesotho Tourism Development Corporation, KwaZulu- Natal Nature Conservation Board and South African National Parks were signatory to a **memorandum of agreement**, which will ensure the natural and cultural heritage of this internationally recognised area remains intact and is utilised for maximum benefit. The agreement was to remain in force until the end of 2011. Each signatory was been tasked with particular functions:

- Tourism KwaZulu-Natal to position the province as a premier domestic and international tourism destination;
- Ezemvelo KZN Wildlife to focus on becoming a world-renowned leader in biodiversity conservation and protected areas management in KZN;
- Eastern Cape was earmarked as SA's fastest-growing tourist destination and needs to capitalise on this;
- Free State to develop sustainable integrated and responsible community tourism development in its province;
- Lesotho Tourism Development Corporation to position the country as a premier adventure tourist destination;

- South African National Parks to concentrate on parks being the pride and joy of all South Africans, and to attract international tourists.

On 22 June 2013 the World Heritage Committee of the United Nations Educational, Scientific and Cultural Organization (UNESCO) inscribed Lesotho's Sehlabathebe National Park as an extension to the uKhahlamba Drakensberg World Heritage Site in South Africa. The Transfrontier World Heritage Site is called the Maloti-Drakensberg Park and is a site of both cultural and natural outstanding universal value. This is Lesotho's first World Heritage Site.

### **Governance structures**

Overall policy and direction for this project was set by a **bi-lateral steering committee** and managed by the two countries' **project coordination units** based in Maseru and Pietermaritzburg respectively. Key South African institutions involved in the programme include: the National department of Environmental Affairs; Ezemvelo KZN Wildlife which is designated as the implementing agency; South African National Parks; the Eastern Cape Department of Economic Development and Tourism; the Free State Department of Tourism, Environment and Economic Affairs; the KwaZulu Natal Department of Agriculture and Environmental Affairs; and the South African Heritage Resources Agency. A **National Coordination Unit** plays the critical coordination and facilitation role.

### **Key reasons for establishment**

The Maloti-Drakensberg Park World Heritage Site straddles the eastern border between Lesotho and South Africa, incorporating more than 300 km of Maloti and Drakensberg mountain ranges. It includes the

Sehlathebe National Park in Lesotho and the uKhahlamba Drakensberg Park in South Africa. The area has spectacular scenery and is an important centre of endemism for montane plant species. The region includes over 2 500 species of flowering plants, about 13% of which are locally endemic. The mountains, with their highest peak Thaba Ntlenyana rising to 3 482m, are of exceptional beauty and are home to the world's greatest outdoor gallery, containing the largest and most concentrated group of rock paintings in Africa south of the Sahara. There are some 600 known sites containing between 35 - 40 000 individual images, which were painted by the San people over a period of at least 4 000 years. The area is furthermore the most important water catchment area for the people of Lesotho and South Africa. The wetland systems are at the highest altitude and provide critical water purification and storage services. Two of the largest civil engineering projects in Southern Africa, the Tugela-Vaal Scheme and the Lesotho Highlands Water Project, carry water from the mountains to the economic powerhouse of Africa – the megalopolis of Johannesburg and the surrounding cities.

### **Benefits realised**

The project will preserve the globally important biodiversity of the entire region, which includes the uKhahlamba Drakensberg World Heritage Site in South Africa. It will also improve the livelihoods of the communities living in the region by ensuring that they benefit from nature-based tourism.

As part of the initial implementation phase of the MDTFCDA and in recognition of the fact that it spans the most important water catchment area for the people of Lesotho and South Africa, a study was commissioned to assess the feasibility for the application of Payment for

Ecosystem Services agreements to support the financial viability of the project. While the findings were that there are a number of options that may be pursued, much work is still required in order to broker such agreements. This work has however resulted in profiling the importance of the area for the delivery of particularly watershed services and the South African government continues to provide funding for ecosystem restoration projects on the basis of their job creation potential.

### **Key issues for consideration**

The agreements created a platform for the development of joint projects which have mutual benefit for the people of the two countries. The adoption of the TFCAs Strategy for 2010 and beyond focuses on positioning the area as Southern Africa's premiere international tourist destination. In adopting that strategy there was recognition of multiple challenges facing the countries, such as the inaccessibility of the tourism attractions and lack of adequate resources to improve the tourism assets.

The area is under increasingly serious threat from various unsustainable land-use and management systems as well as issues related to cross border crime such as stock theft, dagga smuggling, attacks on hikers, which calls for more concerted and coordinated efforts to reverse these trends. In recognition of these threats, a Transfrontier Security Strategy was developed jointly by relevant agencies from both countries in 2007.

### **Long-term viability plan**

Donors supporting this TFCA are the Dutch Postcode Lottery and Swedish Postcode Lottery.

The World Bank, the implementing agency of the Global Environment Facility's (GEF), funded a \$15.24 million five-year project to facilitate the establishment of the TFCA which was completed in 2009. An exit strategy includes the continued functioning of the project coordination units, the project coordination committee and the bilateral steering committee, with funding from mainly the Lesotho and South African governments. The Peace Parks Foundation is facilitating the processes necessary for the continuation of this transfrontier conservation and development initiative and was co-opted as a member of the project coordination and bilateral steering committees.

The African Renaissance and International Cooperation Fund put forward a R40 million cheque towards the Lesotho component of the Maloti-Drakensberg Transfrontier Park for the completion of the Sani Pass road for which the total cost is estimated at R336 million.

## **Iona-Skeleton Coast TFCA**

**Countries** involved: Angola, Namibia

**Were any feasibility studies undertaken prior to establishment?**

[Tamar requested for up to date inputs](#)

**Type and status of agreements**

MoU signed – 1 August 2003

**Governance structures**

**Key Reasons for establishment**

**Benefits realised**

**Key issues for consideration**

**Long-term viability plan**

In the far north-western corner of Namibia, the Skeleton Coast Park and Angola's Iona National Park (Parque Nacional do Iona) meet at the Kunene River. The Namibian and Angolan governments have agreed to work together to develop a transfrontier park.

Iona, Angola's oldest and largest national park, covers 15 150 km<sup>2</sup> and is known for its harsh desert scenery and spectacular mountains. The Namib Desert extends northwards into Iona and similar species to those found in Namibia's Skeleton Coast Park and surrounding areas are found in Iona. These include the *Welwitschia mirabilis* plant and the black-faced impala. However, Iona has suffered from illegal poaching and the destruction of infrastructure, and the government needs to restore control and order over the park.

Increased co-operation between Namibia and Angola in developing the Iona-Skeleton Coast Transfrontier Park could lead to the establishment of a much larger TFCA that spans three countries along the Namib coast. Known as the Three Nations Namib Desert Transfrontier Conservation Area (TNND TFCA), this would include the /Ai-/Ais-Richtersveld TFCA to the south, the proposed Namib-Skeleton Coast National Park (NSNP) in Namibia and Iona in Angola. The NSNP would consist of the current Sperrgebiet National Park, the Namib-Naukluft Park, the proposed Walvis Bay/Swakopmund conservation area, the National West Coast Recreation Area upgraded to national park status, and the Skeleton Coast Park.

The NSNP would be the eighth-largest protected area in the world, and the sixth-largest terrestrial protected area and largest park in Africa, covering an area of 10.754 million hectares, or 107 540 km<sup>2</sup>. Further, a new Marine Protected Area borders the proposed NSNP, and several private game reserves and communal area conservancies, which would add another 14 million hectares of land and sea managed for some form of conservation. (<http://www.met.gov.na/Pages/Protectedareas.aspx>).

## **Greater Mapungubwe Transfrontier Conservation Area**

**Countries involved:** Botswana, South Africa and Zimbabwe

### **Were any feasibility studies undertaken prior to establishment?**

The concept of establishing a transfrontier conservation area around the confluence of the Limpopo and Shashe rivers dates back to an initiative by General J C Smuts who decreed in 1922 that some farms along the banks of the Limpopo River be set aside for the Dongola Botanical Reserve. The

primary aim of this Reserve was to study the vegetation and assess the agricultural and pastoral potential of the area. This idea was transformed into the Dongola National Park in the 1940s when the results of the study showed that the area was not suitable for human habitation and that it could best be used as a wildlife sanctuary for the recreation of the nation. It was during this time that the idea of linking the sanctuary with similar conservation areas in the then Bechuanaland Protectorate and Southern Rhodesia was first mooted. However, a formal planning meeting involving government officials and stakeholders from the three countries was only held in September 2000.

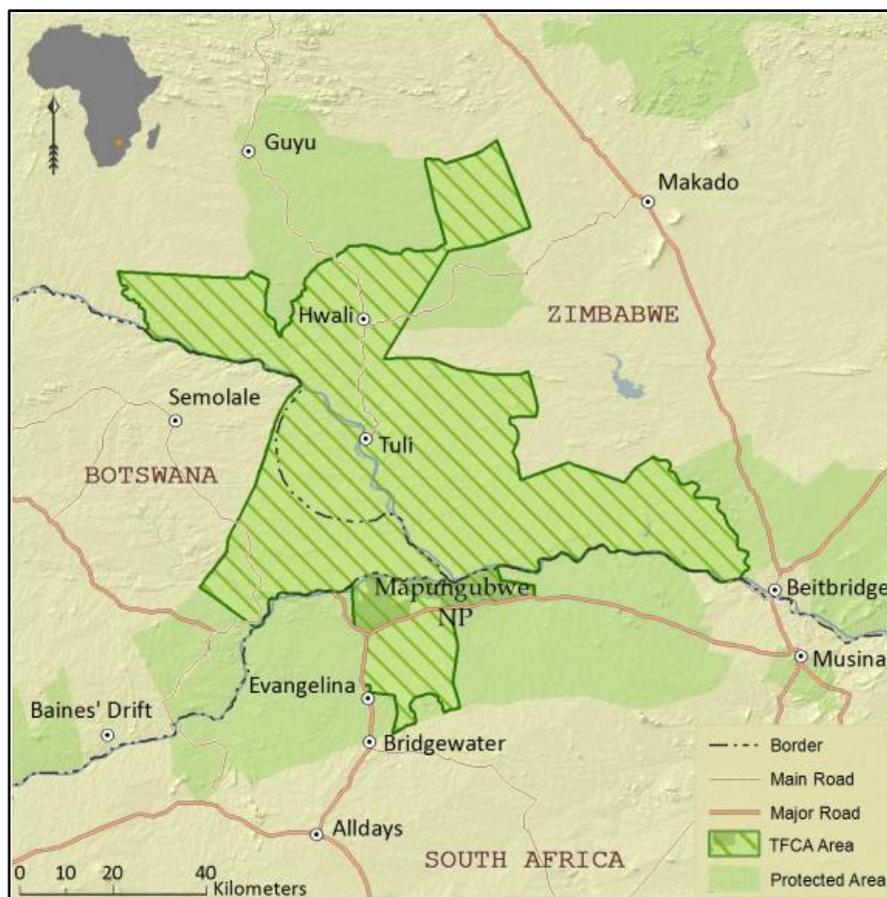


Figure 15: The locality, composition and extent of the Greater Mapungubwe Transfrontier Conservation Area (© www.peaceparks.co.za).

### Type and status of agreements

The Mapungubwe Cultural Landscape was proclaimed a World Heritage Site in July 2003 and the 30 000 ha Mapungubwe National Park was officially opened on 24 September 2004. A **memorandum of**

**understanding** (MoU) towards the establishment Greater Mapungubwe Transfrontier Conservation Area (originally known as the Limpopo-Shashe Transfrontier Conservation Area) was signed on 22 June 2006, and an international coordinator was appointed. On 19 June 2009 the interim name Limpopo/Shashe was changed to Greater Mapungubwe TFCA by the Ministers of the three partner countries.

### Governance structures

In 2011 the Greater Mapungubwe TFCA **resource management committee** was formed to deal with cross-border challenges at an operational level. A **strategic plan** for the TFCA's development is in place to determine a vision and mission, long-term goals, objectives and actions. Area managers now directly attend to cross-border or international matters like border safety and security, veterinary concerns and other joint management matters.

In 2013 the Transfrontier Park's resource management committee and its research network group met on several occasions to discuss activities of a joint nature. The partner countries meanwhile deliberated on the consolidation of the respective core areas of the TFCA. They also prepared **management plans** for key protected areas and **concept development plans** for community-based conservation initiatives in the area.

### Key reasons for establishment

Mapungubwe contains some of the oldest examples in the world of the beginnings of the Iron Age, as well as the remains of complex societies dating back a thousand years and rock paintings more than 10,000 years old. Greater Mapungubwe has become a cultural TFCA. Visitors come to

the area not only to see the magnificent sandstone formations, the wide variety of trees - notably the enormous baobab - and game and birdlife, but also to experience a kinship with past generations. The cultural resources of the Limpopo-Shashe basin are generally associated with Iron Age settlements of around 1200 AD. The similarity of ivory objects, pottery remains and imported glass beads excavated at different sites spread across the modern international borders of Botswana, South Africa and Zimbabwe, attests to the cultural affinity of the people that lived in the Limpopo-Shashe basin during the Iron Age.

The Mapungubwe World Heritage Site is a major attraction and was home to the famous gold rhino - a symbol of the power of the King of the Mapungubwe people who inhabited the Limpopo River Valley between 900 AD and 1300 AD. At that time Mapungubwe had developed into the largest kingdom on the subcontinent. It is believed that a highly sophisticated civilisation, which traded with Arabia, Egypt, India and China, existed at Mapungubwe. In 2012 significant archaeological discoveries were made on the farm Klein Bolayi, east of Mapungubwe National Park, confirming that the Mapungubwe Cultural Landscape extends eastwards or downstream along the Limpopo Valley, and corroborating human habitation in the area for more than 1 500 years.

### **Benefits realised**

Income generated from the annual Tour de Tuli benefits the Children in the Wilderness programme. The ministers for the environment of Botswana and South Africa formally opened this event, waving the participants off on their transfrontier trail. Attended by 320 cyclists from all over the world, the event offers mountain-bikers the opportunity to visit the three countries involved in the TFCA, cycling among elephant,

lion and other wild animals. The title sponsor, Nedbank, supported the event that raises funds for programmes which allow children from communities within and adjacent to the TFCA to participate in environmental education and sensitisation initiatives.

### **Key issues for consideration**

This heritage site is now severely threatened by the prospect of mining by the Brazilian mining company Vale and other future mines. The whole area sits on a coal seam and, if mining goes ahead, it will create a precedent for other applications to be granted; this would spell the end of the TFCA, the cultural history and the magnificent beauty of the area. Peace Parks Foundation objected that industrial activity has begun in the Mapungubwe area without an approved integrated regional development plan.

A team of experts from UNESCO assessed the impact that the Vale mine might have on the famous Mapungubwe World Heritage Site in November 2011. The site is now the setting of a conflict that has launched an international environmental campaign against an Australia-based coal mining company. South Africa's former president and Nobel Peace Prize winner, Nelson Mandela, was the first recipient of South Africa's highest honour, the Order of Mapungubwe, which is named after the treasured site. Environmental groups argue that coal mining by Vale will significantly damage a primal site of African and world history.

Coal of Africa (CoAL) was gearing up to begin mining coal less than six kilometres from the Mapungubwe Cultural Landscape and National Park at the northern border of South Africa, when ordered to cease operations in August 2011. A coal-fired power station was also planned, and heavy

industrial activity would put future tourism at risk. It is suggested that the long-term presence of the park would make a much more significant contribution to the South African economy than a short-term capital injection with a lifespan of 29 years, and negative environmental impacts which extend way beyond the lifespan of the mine.

### **Long-term viability plan**

Donors supporting this TFCA are the Dutch Postcode Lottery, Swedish Postcode Lottery and Mr Poon Liebenberg. South African National Parks (SANParks) with the assistance of the World Wide Fund for Nature (WWF), De Beers Consolidated Mines Ltd, the National Parks Trust and Peace Parks Foundation, has since 1998 been involved in the purchasing of farmland to consolidate the core area of South Africa's contribution to the Mapungubwe National Park.

On 19 June 2009, Limpopo/Shashe was renamed the Greater Mapungubwe TFCA. On the same day, Peace Parks Foundation handed over an electric fence worth R250 000 to the Maramani community of Zimbabwe to help deter stray elephants from destroying crops in the Shashe irrigation scheme. This is the first step in the proper zoning and planning of the area that will encourage the reduction of dryland cropping in sensitive wildlife dispersal areas, a key element to the TFCA's functioning.

### **Chimanimani TFCA**

**Countries involved:** Mozambique and Zimbabwe

**Were any feasibility studies undertaken prior to establishment?**

[Request inputs from Afonso](#)

**Type and status of agreements**

**Governance structures**

**Key Reasons for establishment**

**Benefits realised**

**Key issues for consideration**

**Long-term viability plan**

### **Malawi-Zambia Transfrontier Conservation Area**

**Countries involved:** Malawi and Zambia

### Were any feasibility studies undertaken prior to establishment?

Following a study carried out by Peace Parks Foundation, the governments of Malawi and Zambia started exploring the possibility of establishing a TFCA on the borders of their countries in 2003.

### Type and status of agreements

A memorandum of understanding (MoU) towards the TFCA's establishment was signed on 13 August 2004.

In 2013 the draft integrated development plan for the TFCA was finalised. During discussions it was decided that North Luangwa National Park would be added to the TFCA. Ministerial approval for this addition has since been obtained and the TFCA description will soon be changed to include North Luangwa National Park.

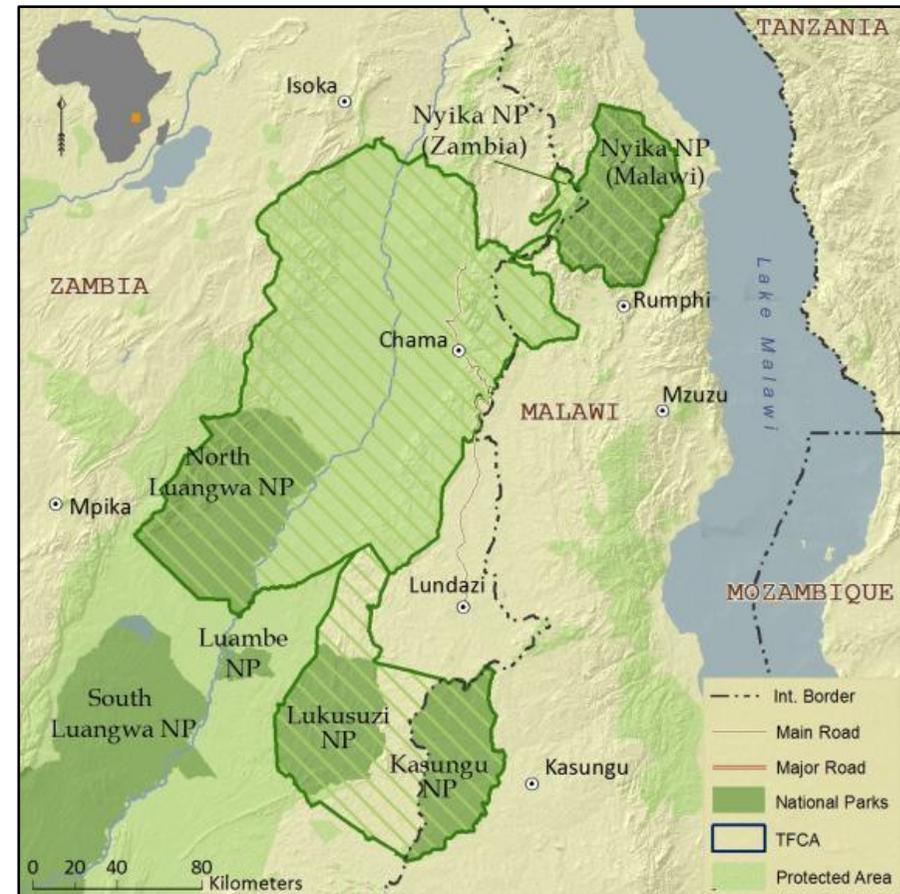


Figure 16: The locality, composition and extent of the Malawi-Zambia Transfrontier Conservation Area (© www.peaceparks.co.za).

A memorandum of understanding (MoU) was signed between the Nyika-Vwaza Trust and the Malawi Department of National Parks and Wildlife.

### Governance structures

At the first bilateral meetings held in May and August 2003, it was decided to appoint an international coordinator to drive the process of developing the TFCA. During the ensuing months an agreement was drafted on the development of the TFCA.

The trust is solely dedicated to conserving the precious wildlife and habitats of the Nyika National Park and the Vwaza Marsh Wildlife Reserve in Malawi. The recruitment of technical advisers was completed. A financial management adviser, procurement adviser and works supervisor are now part of the project management team. Project management teams from both countries were trained in procurement and financial management to enable them to deal with full project implementation. Further training will cover monitoring and evaluation, and safeguards. Accounting software was installed and staff were trained in its use.

#### **Key reasons for establishment**

The Malawi-Zambia Transfrontier Conservation Area includes the Nyika-North Luangwa component, which is centred on a high undulating montane grassland plateau rising over 2000m above the bushveld and wetlands of the Vwaza Marsh. In summer a multitude of wild flowers and orchids burst forth on the highlands, making it a sight unlike any seen in most other game parks. Kasungu/Lukusuzi TFCA, on the other hand, is an area of importance for biodiversity conservation in the Central Zambebian Miombo Woodland Ecoregion.

Important cultural heritage resources and artefacts are found on the Nyika Plateau and in Kasungu National Park. These include ancient dwelling sites with rock paintings, such as at Fingira Rock and Wan'gombe

Rume. There are also various iron-ore mines, iron-smelting kilns and remnants of complex traditional iron-working practices.

#### **Benefits realised**

The reduction in poaching and improvement in animal sightings allowed for the start of a wildlife restocking programme of Nyika National Park and Vwaza Marsh Wildlife Reserve in 2007. Wildlife surveys were conducted for Nyika National Park and Vwaza Marsh Wildlife Reserve. Compared to the survey results of 2009 using the same methods, there has been a general increase in animal populations. Significant increases were noted for elephant, hippo, buffalo, roan antelope, hartebeest, zebra, warthog and reedbuck. Fish surveys in Vwaza Marsh Wildlife Reserve have also been conducted and a report is being compiled.

#### **Key issues for consideration**

One of the first major activities to be launched when work started on developing the Malawi-Zambia TFCA, was the appointment to the TFCA of a wildlife law enforcement adviser to coordinate Malawi's Department of National Parks and Wildlife and the Zambia Wildlife Authority's anti-poaching programmes across the international border to more effectively combat the high incidence of poaching in the TFCA. As a result, a joint law enforcement project operating as a single unit across international borders to combat poaching has been deployed with resounding success in the Nyika TFCA. The new law enforcement adviser provided in-service training to several TFCA rangers.

#### **Long-term viability plan**

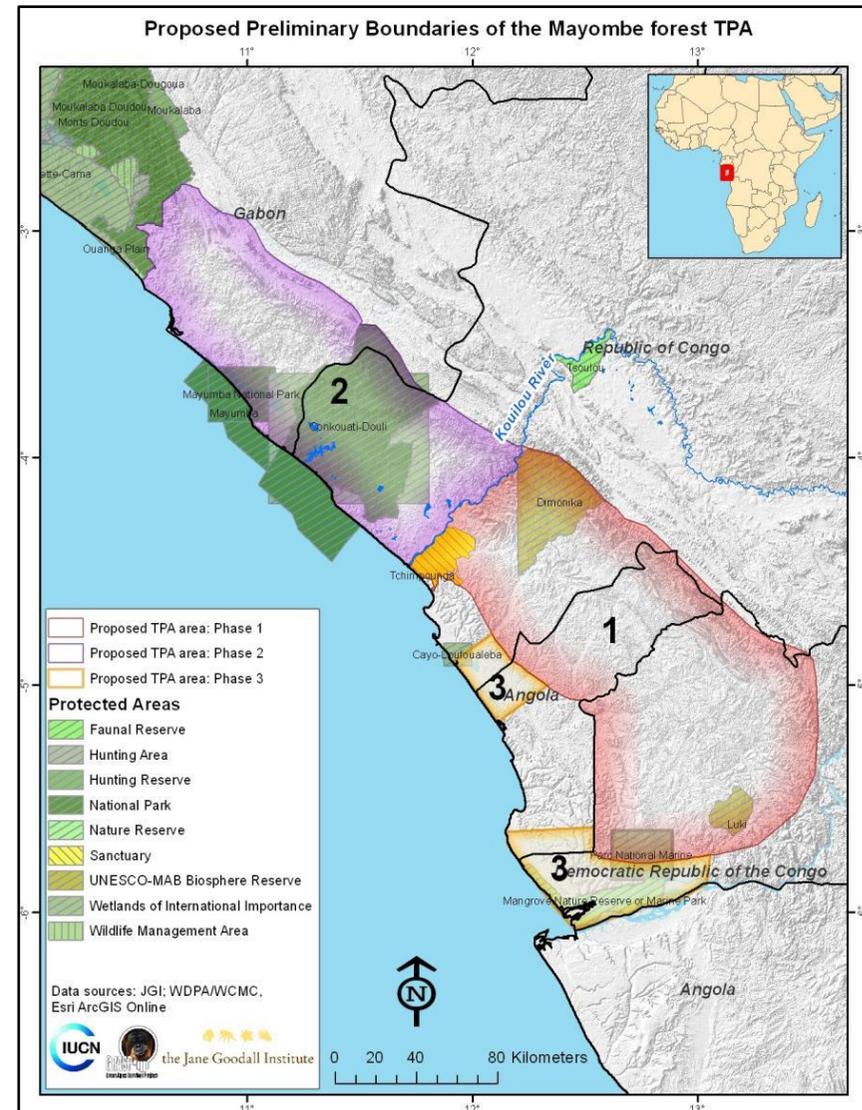
On 21 April 2011 the World Bank’s board of executive directors approved a Global Environmental Facility (GEF) trust fund grant to the value of \$4.82 million for a project that aims to establish the more effective cross-border management of biodiversity in the Nyika component. In addition, co-financing commitments have been secured from the Norwegian embassy in Malawi, the governments of Malawi and Zambia, and Peace Parks Foundation for a total amount of \$11.09 million over the next five years.

### Maiombe Forest Transfrontier Conservation Area

**Countries involved:** Angola, Congo, the Democratic Republic of Congo and Gabon.

#### Were any feasibility studies undertaken prior to establishment?

A large protected area (Trans Frontier Conservation Area) can be designated to encompass the Maiombe Forest, between Angola, Congo, DRC and Gabon, with the general concept of biosphere reserve, i.e., with core areas of full protection, and other areas with controlled utilization of various types and levels, including buffer zones. A management programme for the whole area may be developed, by an independent scientific committee, to be based on a comprehensive study, and in consultation with resident communities and other stakeholders. It should then be presented for the approval, in agreement, of the three Governments.



**Figure 17: The locality, composition and extent of the Maiombe Forest Transfrontier Conservation Area (© Dr Tamar Ron)**

### **Type and status of agreements**

A MoU was signed between Angola, Congo and the DRC in 2009, with Gabon joining the initiative in 2013. A treaty is currently being negotiated between the four governments.

### **Governance structures**

The institutional framework for guiding the Strategic Plan would be based on the Cabinda MoU, but would be reviewed by the signatory governments and a more practical and lean structure would be considered. A Transboundary Project Coordination Unit would be responsible for management and coordination of the Strategic Plan's implementation, and would be replaced by the end of five years by a permanent TPA Secretariat (Ron et al, 2013).

### **Key reasons for establishment**

The Maiombe Forest is the South-Western part of the tropical rainforest, in the Congo Basin, one of the world's richest "hot-spots" of biological diversity. Several existing conservation initiatives, in the Congo Basin, including transfrontier initiatives, do not encompass the Maiombe Forest, which is the Southern margin in West Africa for a large variety of species of flora and fauna, including lowland gorillas and chimpanzees.

### **Benefits realised**

Such a transfrontier initiative may serve to enhance the conservation of biological diversity in this sensitive eco-system, regional confidence

building, peace building and stability, and sustainable socio-economic welfare of resident communities.

### **Key issues for consideration**

Following decades of social and political instability, it is subjected, in all three countries, to degradation, caused mainly by logging and poaching, including in-country and cross-border illegal trade in wild species of flora and fauna and their products. It seems to be that the Maiombe Forest is more affected by poaching and logging in Congo than in Cabinda. Such differences may lead to increased cross-border impact on the better protected areas. Joint protection efforts may, therefore, be crucial.

### **Long-term viability plan**

The initial Angolan Government conservation efforts in Cabinda, and initial transboundary contacts for establishing the TFCA during 2000-2005 were supported by a UNDP-NORAD Project. A Project funded by the Norwegian Government through UNEP and IUCN supported the inter-governmental meetings and negotiations and the elaboration of several studies and the strategic plan during 2009-2011. Currently several NGOs support local level projects within the TFCA area, and there is some FAO, UNDP, UNEP and other support for the TFCA initiative (Ron, pers comm).

## **Liuwa Plains – Mussuma Transfrontier Conservation Area**

**Countries involved:** Angola and Zambia

### **Were any feasibility studies undertaken prior to establishment?**

There was no feasibility study undertaken at the time of establishing this TFCA. The establishment of this TFCA was based on 'The Status Report on TFCAs in Southern Africa' by Antony Hall Martin and Sedia Modise in 2002. There is however a 'Motivation Document' by Peace Parks Foundation on the potential and viability of the Liuwa Plains – Mussuma TFCA produced in 2009.

The objectives of the establishment of the TFCA are to-

- foster trans-national collaboration and co-operation among the Parties in implementing ecosystem management through the establishment, development and management of the proposed Liuwa Plains-Mussuma TFCA;
- promote alliances in the management of biological natural resources by encouraging social, economic and other partnerships among the Parties, Private Sector, Local Communities and Non-governmental Organisations;
- enhance ecosystem integrity and natural ecological processes by harmonising environmental management procedures across international boundaries and striving to remove artificial barriers impeding the natural movement of animals;
- develop frameworks and strategies whereby local communities can participate in, and tangibly benefit from, the management and sustainable use of natural resources that occur within the TFCA;
- facilitate the establishment and maintenance of a sub-regional economic base by way of appropriate development frameworks, strategies and work plans; and

- develop trans-border ecotourism as a means for fostering regional socio-economic development.

In November 2013, the inception meeting for the integrated development plan (IDP) for the Liuwa Plains–Mussuma TFCA was held with the Zambian stakeholders in Mongu in western Zambia, with excellent support from both the Zambian government and the Barotse Royal Establishment. The participants included representatives from various levels of the Zambian government, the Barotse Royal Establishment, Zambia Wildlife Authority, WWF Zambia and African Parks. The meeting discussed the IDP process, data collection and management, and information sharing during the process.

Community members and their leaders then participated in a field visit by helicopter to appreciate the extent of the park. During this aerial survey of the park, the land cover and land use were verified to confirm that data and information derived from satellite imagery are accurate and useful for the planning of the TFCA. This was followed by a process of community engagement aimed at sensitising affected communities to the potential establishment of the TFCA.

### **Type and status of agreements**

African Parks (Zambia) in 2003 entered into a formal agreement with the Zambia Wildlife Authority and the Barotse Royal Establishment for the management of Liuwa Plains National Park for a period of 20 years.

The Angolan government proclaimed the Mussuma National Park in preparation for the TFCA's development and in order to further protect the wildlife migration on the Angolan side.

## Governance structures

The governance structures for the operation of this TFCA are as set out in Articles 10 to 15 and Appendix B of the MoU:

- Ministerial Committee;
- Committee of Senior Officials;
- Joint Management Committee;
- Protected Area Managers Committee;
- National TFCA Steering Committees; and
- National TFCA Units.

## Key reasons for establishment

The Liuwa Plains-Mussuma TFCA, measuring 14 464km<sup>2</sup>, will protect the second largest wildebeest population in Africa, as well as a significant portion of the catchment area of the Zambezi River, Africa's fourth largest river system.

## Benefits realised

The most notable benefit realised by the TFCA so far is the increase of blue wildebeest from 15 000 in 2003 to almost 43 000 in 2011.

## Key issues for consideration

## Long-term viability plan

Donors supporting this TFCA are the Dutch Postcode Lottery, Swedish Postcode Lottery and WWF Netherlands.

## Lower Zambezi - Mana Pools Transfrontier Conservation Area

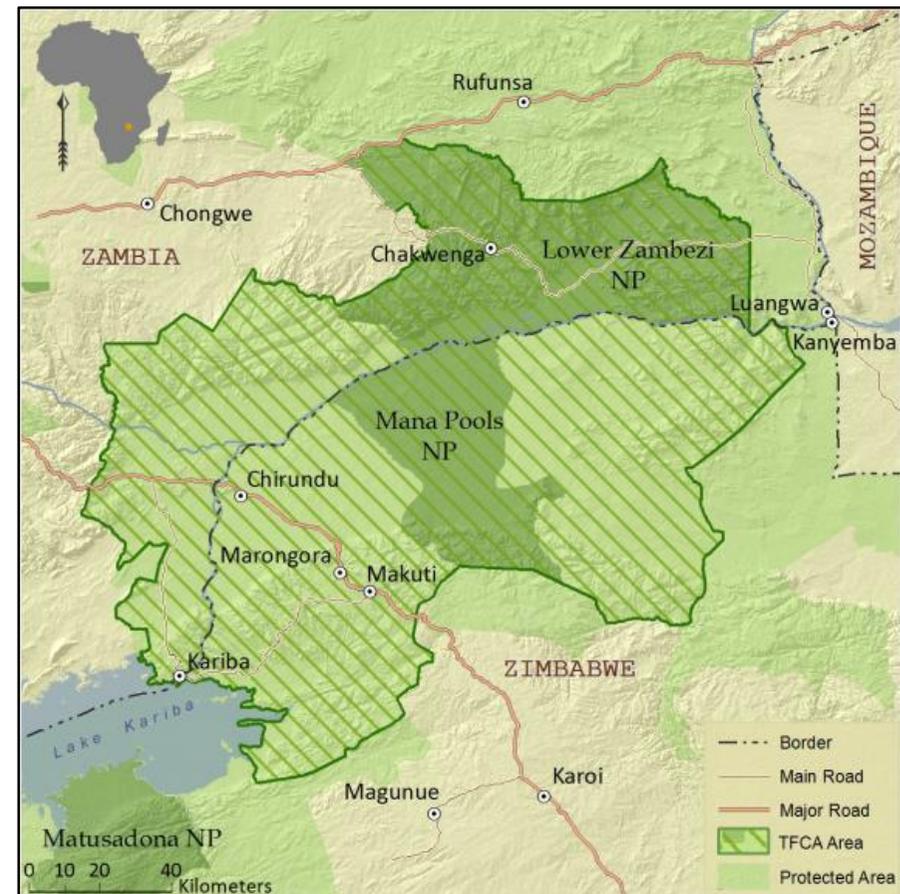


Figure 18: The locality, composition and extent of the Lower Zambezi - Mana Pools Transfrontier Conservation Area (@ [www.peaceparks.co.za](http://www.peaceparks.co.za)).

**Countries involved:** Zambia and Zimbabwe

### **Were any feasibility studies undertaken prior to establishment?**

### **Type and status of agreements**

The supporting documentation, preparatory work and draft memorandum of understanding (MoU) have been finalised for the governments of Zambia and Zimbabwe to formalise the TFCA.

### **Governance structures**

### **Key reasons for establishment**

The Lower Zambezi-Mana Pools TFCA measures 17 745km<sup>2</sup> and lies in the Zambezi Valley, below the Kariba Dam, has been used by wildlife as a thoroughfare between the escarpment and the Zambezi River since the dawn of time. The two national parks lying opposite each other make for a massive wildlife sanctuary on both sides of the Zambezi River. The Mana Pools National Park in Zimbabwe is a World Heritage Site based on its wildness and beauty, together with the wide range of large mammals, over 350 bird species and aquatic wildlife. The name Mana means 'four' in the local Shona language, and refers to four large pools located just inland of the Zambezi River. These pools are the remnant ox-bow lakes that the Zambezi River had carved out thousands of years ago as it changed its course. Hippopotamus, crocodile and a wide variety of aquatic birds are associated with the pools. Long Pool, the largest of the four pools, has a large population of hippo and crocodile and is a

favourite of the large herds of elephant that come out of the thickly vegetated areas in the south to drink and bathe.

### **Benefits realised**

### **Key issues for consideration**

### **Long-term viability plan**

Donors supporting this TFCA are the Dutch Postcode Lottery and Swedish Postcode Lottery

## **ZIMOZA Transboundary Natural Resource Management Project**

**Countries involved:** Mozambique, Zambia and Zimbabwe.

The Zimbabwe, Mozambique and Zambia (ZIMOZA) TFCA is an initiative for managing shared natural resources based on common principles among the three countries. The aim of the initiative is to promote ecosystem viability and to develop bio-diversity conservation measures as well as to achieve sustainable ecological and socio-economic development across international boundaries. The ZIMOZA initiative applies to the districts of Zumbo and Magoe in Mozambique, Luangwa in Zambia and Guruve in Zimbabwe.

### **Were any feasibility studies undertaken prior to establishment?**

There was no feasibility study conducted and its proposed establishment is based on 'The Status Report on TFCAs in Southern Africa' by Antony Hall Martin and Sedia Modise in 2002.

### **Type and status of agreements**

The TFCA is still at a formulation stage although the process begun in 2002. The establishment process of this TFCA was first spearheaded and facilitated by IUCN from 2002 to 2003 and then later from 2008 to date by the African Wildlife Foundation (AWF) in conjunction with Zambia Wildlife Authority (ZAWA). The draft Agreement was finalized and scheduled for signing in 2010. The Ministry of Justice of Zambia provided legal comments on the draft document. Note that ZIMOZA is not going to have an MoU, but will have an Agreement instead. The draft Agreement has been approved by both Mozambique and Zambia while awaiting Zimbabwe's approval for signing.

### **Governance structures**

For purposes of effective implementation, co-ordination and management of programmes and projects in the Area, the following committees were established, namely:

- The ZIMOZA Ministerial Committee;
- The ZIMOZA Technical Committee; and
- The ZIMOZA Local Area Committee.

### **Key reasons for establishment**

The main objectives For the establishment of the TFCA are to:

- secure and guarantee the long term sustainable management and utilisation of the environment and the natural resources in the Area and to maintain the viability of the ecosystem in the Area;
- encourage the full realisation of the economic potential of the Area which will bring economic benefits to the Parties and especially to the local communities in the Area;
- promote and encourage participatory management of the environment and natural resources in the Area.
- promote biological and cultural diversity, and enhance opportunities for sustainable development in the Area and to provide for the restoration of damaged ecosystems;
- contribute to conflict prevention and resolution, the building of trust, confidence and security and to provide a tool for the peaceful settlement of disputes affecting border areas;
- share and pool expertise, experiences and information among the Parties, local communities, community based organisations, NGOs and the private sector in order to promote the conservation of the environment and sustainable utilisation of natural resources in the Area;
- increase the local and international profile of the Area, thereby greatly enhancing its potential as a tourist destination;
- develop joint promotional campaigns that will stimulate the three-way flow of tourists, thereby increasing the tourism potential for the Area and to facilitate the freedom of movement of people within the Area;
- encourage and promote cross-border co-operation at community level in order to enhance trade, investment, social, cultural and economic development of the Area;

- facilitate compliance with the requirements of regional and international agreements, protocols and conventions regarding the conservation of the environment and sustainable utilisation of natural resources including the SADC Treaty and relevant protocols made thereunder;
- harmonise policies, legislation and practices of the Parties relating to the sustainable management and utilisation of the environment and natural resources, customs, trade and investment, immigration, tourism and such related issues as are necessary for the implementation of this Agreement; and
- integrate, as far as possible, the managerial, conservation, research, marketing and other systems of the Area into the national plans, policies and programmes of the Parties respectively.

#### **Benefits realised**

None at present

#### **Key issues for consideration**

#### **Long-term viability plan**

### **Kagera Transfrontier Conservation Area**

[Request inputs from Alex](#)

### **Selous and Niassa Wildlife Protection Corridor**

**Countries involved:** Tanzania and Mozambique

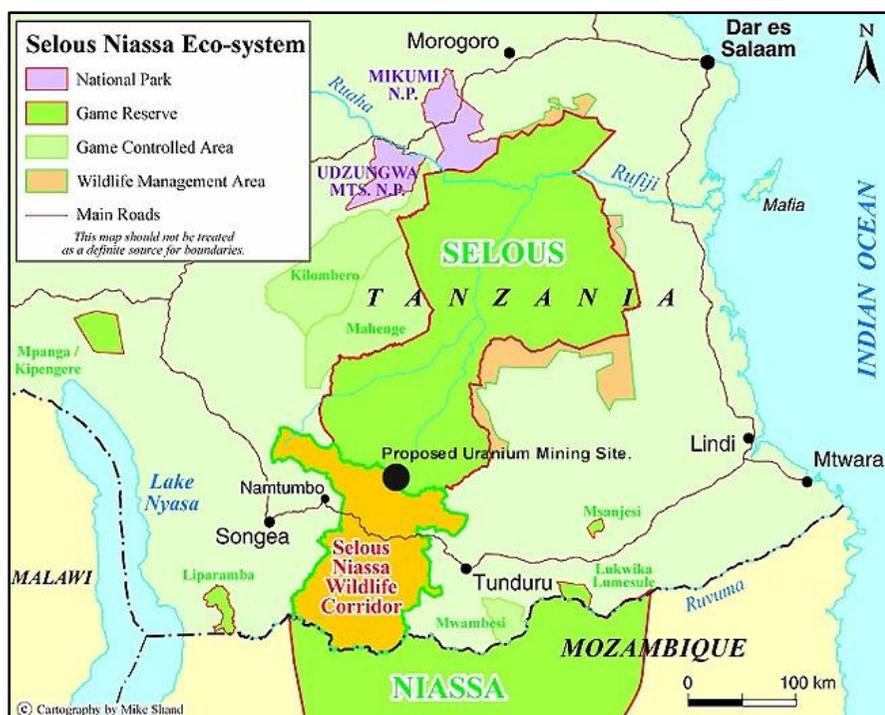
#### **Were any feasibility studies undertaken prior to establishment?**

The project is based on the previous work conducted by GTZ and the Global Environment Facility/UNDP project.

#### **Key reasons for establishment**

The Selous - Niassa Miombo woodland ecosystem as a whole is the largest trans-boundary natural dry forest ecosystem in Africa covering 150,000 km<sup>2</sup> and extends across southern Tanzania into neighbouring Mozambique. The wide variety of wildlife habitats - forests, wooded grasslands, open savannahs, granite inselbergs, seasonal and permanent wetlands and rivers - account for globally significant biodiversity. The core conservation areas for its continued existence are:

- the Selous Game Reserve (47.000 km<sup>2</sup>) of Tanzania, UNESCO World Heritage-Site
- the Niassa Game Reserve (42.400 km<sup>2</sup>) of Mozambique



**Figure 19: The locality, composition and extent of the Selous and Niassa Wildlife Protection Corridor.**

The Selous – Niassa Wildlife Corridor provides a significant biological link between the two reserves and consequently for the Miombo woodland eco-system, thus conserving one of the largest elephant ranges in the world containing also approximately 13% of the world’s remaining wild dog population.

The project aims to initiate the economically sustainable development and conservation management of one of the most significant and widely recognized wildlife corridors in the SADC Region. The goals are the

conservation of biodiversity in the miombo-woodland ecosystem and the overall improvement of the livelihoods of local communities by sustainable use of natural resources to combat poverty.

### **Type and status of agreements**

Initiated in 1999 by committed wildlife officers cross-border cooperation on conservation grew organically and developed over the years. In 2007 the Regional Administrations and local Governments of Mtwara and Ruvuma of Tanzania and the Provincial Governments of Cabo Delgado and Niassa of Mozambique signed a MoU on cross-border cooperation to promote regional economic growth, development, the traditions of good neighbourliness and a peaceful environment. Thus, cross-border conservation was officially recognised and identified as one of the key areas for cooperation. Activities on the ground include the exchange and mutual support of research and of anti-poaching information, parallel patrols, and agreements about the utilisation of natural resources.

### **Governance structures**

Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ) assisted the Wildlife Division in the initial establishment of two WMAs immediately south of the Selous Game Reserve until 2005. There, in cooperation with local and district authorities, 17 villages registered two Wildlife Management Areas, the “Mbarang’andu” and “Nalika” WMAs, with a total area of approximately 4,600 km<sup>2</sup>. Nalika obtained its official status as an Authorised Association during 2009 and Mbarang’andu during early 2010. The three CBOs, Chingoli, Kisungule and Kimbanda, are in the process of establishing their WMAs in the southern part of the corridor with the primary assistance from the German Development Bank (KfW)

since 2008. Support and capacity building for these 5 WMAs is ongoing till November 2011.

### **Benefits realised**

Long-term conservation management of the Selous and two communal Associations Mbarang'andu and Nalika adjacent to the Selous resulted into larger concentrations of wildlife in the northern part of the corridor. According to aerial surveys undertaken every three years the wildlife populations are relatively stable. In the southern part the wildlife populations are recovering since the communities are actively involved in their management. However, wildlife is still timid and it will need a few more years of protection to reach sizable populations in the south.

The corridor is located entirely on the land of 29 villages within the administrative areas of Namtumbo and Tunduru Districts in Ruvuma Region. In order to find a balance between village development needs and the conservation of nature community based natural resources management and in particular village Wildlife Management Areas are the major components. In a participative process of land-use planning local communities designate areas in which they conserve and manage wildlife and other natural resources. Revenues accrue to the villages. Thus WMA contribute not only to conservation but equally important to development and poverty alleviation in the rural areas. The corridor is composed of a contiguous network of five Wildlife Management Areas managed by Community Based Organisations.

### **Key issues for consideration**

### **Long-term viability plan**

The Federal Republic of Germany made available a financial contribution of EUR 5 million to support the development of the Selous-Niassa Wildlife Corridor, from November 2007. The funds are being channelled through the German Development Bank, KfW.

### **Mnazi Bay-Quirimbas Transfrontier Conservation Marine Area**

[Request inputs from Alex](#)

### **Western Indian Ocean Transfrontier Conservation Area**

[Request inputs from Deepak](#)

## Appendix E: Diagnostic tool for transboundary conservation planners – feasibility questionnaire, analysis guidelines and reporting template

Source: Maja Vasiljević from Erg et al (2012)<sup>2</sup>

### Introduction

Transboundary conservation (TBC) requires cooperation across state boundaries and due to the nature of boundaries, developing and implementing a transboundary initiative can be complex and often difficult. Careful planning of the initiative prior to taking action can significantly contribute to the success and effectiveness of transboundary conservation, while also reducing the potential risks. Therefore, one of the recommended actions for initiators of TBC is to first diagnose the situation by determining feasibility for TBC before actual establishment of the cooperative process. This questionnaire offers guidance in diagnosing the situation. Its key features are that it is a qualitative assessment based on quantitative analysis and it allows for self-assessment.

### Aim of the questionnaire

This questionnaire is a practical tool that assesses feasibility for transboundary conservation. It is designed in such a way to assist protected area authorities, governments, non-governmental organisations, local communities, and other interested parties in examining their readiness to initiate a TBC, while not neglecting the reason(s) for TBC, and the accompanying opportunities and potential risks. That said, the questions examine the following elements leading to conclusions about the feasibility for TBC:

- (1) **the need** for TBC;
- (2) **readiness** of stakeholders to initiate TBC;
- (3) **opportunities** that could speed up the process and/or be generated by TBC, and
- (4) **risks** that could slow the process.

### Who should complete the questionnaire

It is recommended that the questionnaire be completed by stakeholders who intend to initiate the TBC process, whether they are protected area authorities, local governments, NGOs, international organisations or any other TBC process initiator. However, the diagnostic process of the TBC initiative has to be participatory and include consultations with all interested parties that might be involved in or affected by the envisaged process. The more participatory the

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<sup>2</sup> This diagnostic tool was developed with the support of Antonio Vasiljević, Eco Horizon NGO, in developing the scoring methodology, and in consultation with IUCN WCPA TBC SG members and Boris Erg, IUCN SEE Director. It is partly adapted from UNEP's *Assessing the Feasibility of Establishing Transboundary Protected Area - Gap and Opportunities Analysis* (undated publication available from the authors) and based on the diagnostic framework of the TBC process presented in Section 6 of this Guideline.

diagnostic process, the more likely you will arrive at a well-grounded conclusion about when and how to proceed about TBC. Thus, it is strongly suggested that this questionnaire be supplemented by a stakeholder analysis, which should form integral part of this tool. Stakeholder analysis is best performed by organising a meeting and consulting directly with key stakeholders.

### **How to conduct the self-assessment**

The questions presented herein are standardised and not tailored to any particular area. Please try to answer each question, whether it is applicable to your case or not (if it is not applicable, circle the appropriate point, i.e. 0—Not applicable).

The questions in the questionnaire are either:

'CR', 'S', 'G', 'C' (Compelling reason, Stakeholders, Geographic reach, Capacity)—questions that carry a certain number of points, and the answers are used in the overall scoring; or

'I' (Informative)—questions that require descriptive responses.

The symbols 'CR', 'S', 'G', 'C' or 'I' are provided in the right hand column of the table.

All questions marked with 'CR', 'S', 'G', 'C' allow easy and rapid self-assessment by calculating the number of points gathered after completing each section of the questionnaire, according to the instructions given below the table. The advantage of this tool is that stakeholders wishing to examine the feasibility for TBC in their particular region can rather quickly and relatively easily check the state of the situation.

Informative questions marked with 'I' enable more comprehensive information gathering that would provide more in-depth information should the TBC initiators wish to engage an external facilitator or consultant to evaluate the feasibility for TBC.

### **Results**

After completing this questionnaire, the scores gathered by circling the points in each relevant question result in the appropriate conclusions/statements.

'CR' questions respond to *Compelling reason for transboundary conservation*

Objective: To determine the need for transboundary conservation.

'S' questions respond to *Stakeholders*

Objective: To identify and start to involve stakeholders, including the identification of interaction between them and their interests.

'G' questions respond to *Geographic reach, regional stability and complexity*

Objective: To determine the scale and complexity of the issue, and the regional situation that might impact transboundary cooperation.

'C' questions respond to *Capacity*

Objective: To estimate the readiness of key stakeholders by evaluating their technical capacity, resources, and knowledge/skills.

The evaluation and interpretation of results is provided for each of these sections in the accompanying table after the questionnaire. It is recommended that these tables be completed and a narrative report prepared to outline the informative answers, and those describing needs, opportunities, risks and readiness in a clear and simple manner (see Annex I).

Comprehensive guidance to the evaluation and interpretation of results is provided below the table.

### **Website**

This diagnostic tool is available in electronic format that also offers automated report generation. The electronic edition is available at the following websites: <http://www.tbpa.net> and <http://www.dinaricarc.net>

### Abbreviations

CR	Compelling reasons
S	Stakeholders
G	Geographic reach
C	Capacity
I	Informative questions
TBPA	Transboundary Protected Area
TBC	Transboundary conservation
N/A	Not applicable

Prepared by: <i>Institution/organisation</i>	
Date:	

Questions to determine feasibility for transboundary conservation		
1.	a) Name of the protected area	
	b) Country	
2.	Name of the potential transboundary protected area (TBPA), if known	
3.	a) Geographical position of the area	
	b) Please state the size of the protected area(s) forming the potential TBPA in your country.	
4.	Please list the authorities responsible for management of the protected area.	
5.	a) Is this protected area connected or adjacent to another protected area across the international boundary? 3—Yes; 2—Foreseen in the near future; 1—No <sup>3</sup>	CR 1
	b) If yes, please provide the name of protected area and the neighbouring country.	
6.	Is any community conserved area part of the planned TBPA?	
7.	What are the natural values of this area?	
8.	Would transboundary cooperation help to protect, restore, maintain or sustainably use any shared habitats and/or ecosystems? 5—Yes, significantly; 3—To some extent; 1—Not at all; N/A—Not applicable	CR 1

<sup>3</sup> Please consider streamlining your efforts to assist the neighboring country establish protected areas as one of the key first steps in your future transboundary initiative process.

9.	Do any species of conservation importance in this protected area have a territory that spans the state boundary? 3—Yes; 1—No	CR 1
10.	a) Would transboundary cooperation help to improve the conservation status of threatened species (according to IUCN's Red List of Threatened Species and other recognised global/regional/national species evaluation systems)? 5—Yes, significantly; 3—To some extent; 1—Not at all; N/A—Not applicable	CR 1
	b) If yes, please list these threatened species.	I
11.	a) Would transboundary cooperation help to improve the conservation status of species of conservation importance that span the state boundary? 5—Yes, significantly; 3—To some extent; 1—Not at all; N/A—Not applicable	CR 1
	b) If yes, please identify these species.	I
12.	Are there restrictions to wildlife movement across the state boundary due to man-made boundary demarcation or features (e.g. road, fence, border markers)? 3—Yes; 2—Partially; 1—No	CR 1
13.	Could wildlife movement across the boundary be improved by transboundary cooperation? 5—Yes; 3—Partially; 1—No	CR 1
14.	Does this protected area face threats (e.g. man-made threats, natural hazards)? If yes, which ones?	I
15.	Would threat(s) (including common threats) be mitigated by transboundary cooperation? 5—Yes, significantly; 3—To some extent; 1—Not at all; N/A—Not applicable	CR 1
16.	Do the threat(s) impact the social, economic, institutional and political dimensions? 3—Yes, significantly; 2—To some extent; 1—Not at all	CR 1
17.	Is there any pressure (political, public, and/or judicial) to initiate transboundary cooperation in concerned region? 3—Yes; 2—To some extent; 1—Not at all	CR 1
18.	Are the management priorities and objectives of protected areas on each side of the state border similar? 5—Yes, significantly; 3—To some extent; 1—Not at all; N/A—Not applicable	CR 3,4

19.	a) Please identify any potential opportunities for cross-border cooperation related to protected area management (please see Annex II; e.g. fire management, control of invasive species, monitoring of species, sharing of equipment, etc.).	I
	b) To what extent would transboundary management of opportunities detected in question 19a) be beneficial for your protected area? 5— Extremely beneficial; 3—Beneficial to some extent; 1—Not at all	CR 1
20.	To what extent would transboundary management of opportunities listed in question 19 be beneficial for local communities? 5— Extremely beneficial; 3—Beneficial to some extent; 1—Not at all	CR 1
21.	a) Does the region share any distinctive natural/landscape phenomenon which could be recognised as a common feature of the proposed TBPA? 5—Yes; 1—No	CR 3
	b) If yes, which one(s)?	I
22.	Do the cultural values in the concerned region face any threats? If yes, which ones?	I
23.	Would addressing the threat(s) to cultural values benefit from transboundary cooperation? 5—Yes, significantly; 3—To some extent; 1—Not at all; N/A—Not applicable	CR 1
24.	a) Are there any social issues (e.g. disputes on access to resources) in the concerned region that could hinder the development of transboundary cooperation? 1—Yes, significant; 3—Yes, some; 5—None	CR 4
	b) If yes, which one(s)?	I
25.	Are there any potential conflict issues between the local populations across the border to be resolved or mitigated in the course of the development of transboundary cooperation? 5—Yes, significant; 3—Yes, some; 1—None	CR 3
26.	To what extent do different forms of land ownership and/or land management rights in the national part of the proposed TBPA and its buffer zone cause difficulties in TBPA establishment? 1—Significantly; 3—To some extent; 5—Not at all	CR 4
27.	What are the relations between the local communities in the concerned countries?	CR 3,4

	5—Friendly; 3—Neutral; 1—Conflicting; 0—No relations	
28.	What are the relations between the local governments in the concerned countries? 5—Friendly; 3—Neutral; 1—Conflicting; 0—No relations	CR 3,4
29.	Could any regional cultural or social events gathering stakeholders from different national parts of the proposed TBPA be used to strengthen social relations among local communities from concerned countries? 5—Yes; 3—To some extent; 1—No	CR 3
30.	a) Does the region share any elements of cultural heritage which could be useful for building the common regional identity? 5—Yes; 1—No	CR 3
	b) If yes, which one(s)?	I
31.	Are there disparities in the employment and welfare situation of the local population in the proposed TBPA in your country, in comparison to the neighbouring country? 1—Significant disparity; 3—Disparity to some extent; 5—No disparity	CR 4
32.	What are the main sectors of the local economy that are of predominant importance for subsistence and/or meeting economic demands of the local inhabitants?	I
33.	Which traditional natural resource use practices are of predominant importance for subsistence and/or meeting economic demands of the local inhabitants?	I
34.	Are there any possibilities for developing, exchanging and promoting traditional products in the region? 5—Yes; 3—To some extent; 1—Not at all	CR 3
35.	Do you see the possibility of mutual cooperation in joint marketing and joint promotion of the region? 5—Yes; 3—To some extent; 1—Not at all	CR 3
36.	Are there any possibilities for establishing a common tourism infrastructure (e.g. visitor information centre, common tourist trail) across the state border? 5—Yes; 3—To some extent; 1—None	CR 3
37.	Are there any major political issues that might hold back the process of transboundary cooperation establishment?	CR 4

	1—Yes; 3—To some extent; 5—None	
38.	How would you describe the current political relations between the concerned countries? 5—Friendly; 3—Neutral; 1—Conflicting; 0—No relations	CR 3,4
39.	Could a transboundary initiative in your region enhance political relations between the concerned countries? 5—Yes; 3—To some extent; 1—No/Not applicable	CR 3
40.	If there are political tensions or conflicts between the countries, could a potential TBPA act as reconciliation element? 5—Yes, significantly; 3—To some extent; N/A—Not applicable/No	CR 1,3
41.	How good are the informal relationships between protected area managers? 5—Friendly; 3—Neutral; 1—Conflicting; 0—No relations	CR 3,4
42.	Please assess the similarities and disparities between the national legislation on nature conservation in your country and the neighbouring country/countries involved in the planned TBPA. 5—Identical/Very similar; 3—Similar to some extent; 1—Completely different	CR 3,4
43.	Do any official agreements and/or treaties (e.g. conventions, bilateral treaties, memoranda of understanding) signed between governments (central, regional, local) of the concerned countries provide for transboundary cooperation? 5—Yes; 3—To some extent; 1—None	CR 3
44.	Do any agreements on certain aspects of protected area management between the nature conservation authorities exist? 5—Yes; 1—No	CR 3
45.	Would transboundary cooperation help reduce the extent of illegal activities across the state border (e.g. cross-border poaching, movement of illegal immigrants, illegal trade), if such occur? 5—Yes, significantly; 3—To some extent; 1—No; N/A—Not applicable	CR 1,3
46.	List major interest groups (i.e. primary/key stakeholders) that might want to be involved in the transboundary initiative or might be affected by it.	I
47.	Is there any international organization involved or foreseen to be involved in the transboundary initiative, and what is its role?	I
48.	Identify major roles of key stakeholders in the transboundary initiative.	I
49.	Identify those stakeholders that have decision-making power.	I

50.	a) Do any stakeholders apart from protected area management authority participate in protected area and/or resource management? 5—Yes; 1—None	S 3
	b) If yes, indicate which stakeholders.	I
51.	Please assess the interests of primary stakeholders identified in question 46. 5—Similar; 3—Different but compatible; 1—Conflicting	S 3,4
52.	a) Do any interests of stakeholders in potential transboundary initiative cut across the state boundary? 5—Yes, many; 3—Only some; 1—None	S 3
	b) If yes, please identify these key interests.	I
53.	a) Could any stakeholder undermine the transboundary process or outcome? 1—Yes; 3—Potentially; 5—No	S 4
	b) If yes, please indicate who.	I
54.	Do you support the transboundary initiative development? 5—Yes, significantly; 3—To some extent; 1—Not at all	S 4
55.	Would key stakeholders benefit from transboundary cooperation? 5—Yes, majority; 3—Only some; 1—None	S 3,4
56.	Would any stakeholders be disadvantaged by transboundary cooperation? 1—Yes; 5—None	S 4
57.	Have any of the key stakeholders already engaged in some form of cooperation with parties across the state boundary? 5—Yes, successfully; 3—Yes, but with difficulty; 1—No	S 3
58.	a) Are there any potential benefits for the local communities to raise their support for establishing a TBPA? 5—Yes; 1—No	S 3
	b) Please indicate them.	I
59.	Which administrative jurisdictions are foreseen to be involved in the transboundary initiative?	I

60.	Would administrative jurisdictions involved in the TBPA hinder the transboundary initiative? 1—Yes, significantly; 3—To some extent; 5—Not at all	G 4
61.	Are there any settlements located within the territory or adjacent to the proposed TBPA?	I
62.	Are there any unresolved claims to land areas or water bodies on either side of the present state border? 1—Yes; 5—No	G 4
63.	Would transboundary cooperation allow freer circulation of the local population across the state border? 5—Yes, significantly; 3—To some extent; 1—Not at all	G 3
64.	How developed is the transport infrastructure network between the protected areas in the proposed TBPA, including border crossings? 5—Well developed; 3—Somewhat developed; 1—Not very developed/Non-existent	G 3,4
65.	Is there a visa regime that regulates the movement of people? 1—Yes; 5—No	G 4
66.	Can transboundary cooperation help in the reunification of communities and/or families across the state border? 5—Yes; 1—No; N/A—Not applicable	G 3
67.	Has there recently been a military or ethnic conflict or tension between the countries concerned that could negatively affect future cooperation? 1—Yes; 5—No; N/A—Not applicable	G 4
68.	To what extent could transboundary cooperation mitigate any potential damages or adverse impacts of the past military and/or ethnic conflict to nature and/or the local population? 5—Significantly; 3—To some extent; 1—Not at all; N/A—Not applicable	G 3
69.	Do you have available financial resources for transboundary related activities? 5—Yes, sufficient; 3—Limited, but enough to start; 1—None	C 2,3,4
70.	Do you have people available for the coordination of transboundary related activities? 5—Yes, most of them; 3—Some, but enough to start; 1—None	C 2,3,4
71.	Do the people available for the coordination of transboundary related activities have the relevant knowledge and skills (i.e. capacity)? 5—Yes, sufficient; 3—Limited, but enough to start; 1—Capacity development is highly needed	C 2,3,4
72.	Are there any people with vision and ability to make it compelling to others? 5—Yes; 1—No	C 2,3
73.	a) Do you have the facilities (e.g. telephone, internet access, meeting rooms) to manage regular and effective communication with partners in the proposed TBPA? 5—Yes, most of them; 3—Some, but enough to start; 1—None	C 2,3,4
	b) Please list the facilities that you have available.	I

74.	Are you willing to share any potential resources with your partners? 5—Yes; 1—No	C 3,4
75.	a) Can operational and/or technical capacities be improved by mutual assistance? 5—Yes; 3—To some extent; 1—No	C 3
	b) Please list those capacities that you could provide to your partner in a neighbouring country (1), as well as those that you would benefit from in mutual cooperation (2).	I
76.	a) Is there a need for assistance in financial resources and/or equipment and/or knowledge development from external sources? 5—No need; 3—Some need; 1—Yes, significant need	C 2,3,4
	b) Please list the needed resources.	I
77.	Would a financial contribution for transboundary cooperation activities be available from the state budget? 5—Yes; 3—Potentially; 1—No	C 3,4
78.	Would financial support be accessible from the local municipal/community budgets or the private business sector? 5—Yes; 3—Potentially; 1—No	C 3
79.	Can partners across the state boundary understand each other's language(s) or effectively communicate in a mutually understood language? 5—Yes, completely; 3—Yes, well enough; 1—Not at all	C 2,3,4
80.	How different are institutional, operational and technical capacities between partners on each side of the state border? 1—Significantly different; 3—Somewhat different; 5—Not different	C 3,4
81.	Are any sources of information (e.g. biodiversity inventories, maps, databases) available for planning the proposed TBPA? 5—Yes, most of them; 3—Enough to start planning the TBPA; 1—None	C 2,3,4
82.	To what extent is the available information from question 81 compatible in the involved countries? 1—Significantly different; 3—Different to some extent; 5—Not different	C 3,4
83.	Do legal provisions for data exchange exist between partners (e.g. nature conservation authorities, protected area administrations, local authorities, scientific institutions) on each side of the state border? 5—Yes; 3—To some extent; 1—None	C 3,4
84.	To what extent is the state of knowledge on biodiversity and natural resources of the proposed TBPA different in each country? 1—Significantly different; 3—Different to some extent; 5—Not different	C 3,4
85.	To what extent do methodologies for data collection and management differ in involved countries? 1—Significantly different; 3—Different to some extent; 5—Not different	C 3,4

86.	Could any common initiatives aimed at improving the state of knowledge on biodiversity and natural resources of the proposed TBPA be jointly undertaken in the course of transboundary cooperation? 5—Yes; 1—No	C 3
87.	Would you benefit from scientific cooperation across the boundary? 5—Yes, significantly; 3—To some extent; 1—Not at all	C 3
88.	Have any common transboundary research activities been implemented? 5—Yes, successfully implemented; 3—Yes, but implemented with difficulty; 1—None	C 3
89.	Do any potential partners have previous experience in managing externally funded projects? 5—Yes; 1—No	C 2,3
90.	Who could assist in increasing capacities on transboundary cooperation?	I
91.	Who could assist in identifying sources of funds and assistance for transboundary activities?	I

### Evaluation and interpretation of results

Each question in the questionnaire marked with 'CR', 'S', 'G', 'C' in the right column of the table carries a number of points. Points are indicated in the responses you make (e.g. if you circled 5—Yes, you obtained 5 points; if you circled 3—*To some extent*, you obtained 3 points; etc.).

Each question marked with 'CR', 'S', 'G', 'C' in the right column is also marked with numbers from 1 to 4. These numbers denote a particular assessment category (and should not be confused with the number of points):

- 1 - **The need** for TBC;
- 2 - **Readiness** of stakeholders to initiate TBC;
- 3 - **Opportunities** that could speed up the process and/or be generated by TBC; and
- 4 - **Risks** that could slow the process.

Some questions contain more than one assessment category, e.g. 3 and 4, or 2, 3 and 4, etc. When calculating the points, make sure to calculate those points of questions that are in the same assessment category; e.g. points for 'CR2' questions or points for 'S2' questions, etc. This will enable reaching the conclusions for each assessment category that is applicable to each of the four parts of the questionnaire:

'CR' - Compelling reason for transboundary conservation

'S' - Stakeholders

'G' - Geographic reach, regional stability and complexity

'C' - Capacity

'CR' assesses the need for TBC and provides the areas of opportunities and risks. 'S' assesses the opportunities and risks related to stakeholders' involvement in TBC. 'G' assesses the opportunities and risks related to geography and regional stability. 'C' assesses the readiness of stakeholders to engage in TBC process based on their capacity, as well as opportunities and risks related to the capacity.

Some questions contain a) questions that are scored, and b) questions that are informative ('I'). In such cases, use the answers to 'I' questions in your final report.

Evaluation and interpretation of results in each part is provided in the following section.

'CR' QUESTIONS: Compelling reason for transboundary conservation		
THE NEED FOR TBC ('CR1')		
<b>Instructions and results</b>		
<p>Sum up all points of 'CR1' marked questions = Result 1: _____</p> <p>Count the number of 'CR1' marked questions that are NOT evaluated with 0 (zero) = Result 2: _____</p> <p>Divide Result 1 with Result 2 = Total (overall need for TBC): _____</p> <p>Do you have at least one 'CR1' question evaluated with 5 points? Yes / No</p>		
No.	Total (overall need for TBC) score	'Need for TBC' statements
1	need: 1.0–1.99, and without any 'CR1' question evaluated '5'	<p>The idea of TBC should be reconsidered. There is a lack of compelling reasons in the following areas:</p> <p>_____</p> <p><i>(list the 'CR1' question area(s) evaluated with 1 point)</i></p>
2	need: 1.0–3.0, with at least one 'CR1' question evaluated '5'	<p>There is a need for TBC, especially in the area(s):</p> <p>_____</p> <p><i>(list the 'CR1' question area(s) evaluated with 5 points)</i></p>
3	need: higher than 3.0	<p>There is strong need for TBC in the following area(s):</p> <p>_____</p> <p><i>(list the 'CR1' question area(s) evaluated with 5 points)</i></p>

<b>OPPORTUNITY ('CR3')</b>
<b>Instructions and results</b>
List the 'CR3' questions evaluated with 5 points: _____
<b>'Opportunity' statements</b>
There are a number of opportunities, namely: _____ <i>(list the 'CR3' question areas evaluated with 5 points)</i>
<b>RISK ('CR4')</b>
<b>Instructions and results</b>
List the 'CR4' questions evaluated with 1 point: _____
<b>'Risk' statements</b>
There are a number of risks, namely: _____ <i>(list the 'CR4' question areas evaluated with 1 point)</i>
<b>'S' QUESTIONS: Stakeholders</b>
<b>OPPORTUNITY ('S3')</b>
<b>Instructions and results</b>
List the 'S3' questions evaluated with 5 points: _____
<b>'Opportunity' statements</b>
There are a number of opportunities, namely: _____ <i>(list the 'S3' question areas evaluated with 5 points)</i>
<b>RISK ('S4')</b>

<b>Instructions and results</b>
List the 'S4' questions evaluated with 1 point: _____
<b>'Risk' statements</b>
There are a number of risks, namely: _____
<i>(list the 'S4' question areas evaluated with 1 point)</i>

<b>'G' QUESTIONS: Geographic reach, regional stability and complexity</b>
<b>OPPORTUNITY ('G3')</b>
<b>Instructions and results</b>
List the 'G3' questions evaluated with 5 points: _____
<b>'Opportunity' statements</b>
There are a number of opportunities, namely: _____
<i>(list the 'G3' question areas evaluated with 5 points)</i>
<b>RISK ('G4')</b>
<b>Instructions and results</b>
List the 'G4' questions evaluated with 1 point: _____
<b>'Risk' statements</b>
There are a number of risks, namely: _____
<i>(list the 'G4' question areas evaluated with 1 point)</i>

<b>'C' QUESTIONS: Capacity</b>
<b>READINESS ('C2')</b>
<b>Instructions and results</b>
List the 'C2' questions evaluated with 5 points: _____ List the 'C2' questions evaluated with 1 points: _____

Results	'Readiness' statements
There are no 'C2' questions evaluated with 1 point.	Readiness of stakeholders to initiate TBC is good, especially in the area(s): _____ <i>(list the 'C2' question areas evaluated with 5 points, if any)</i>
All other cases.	Readiness of stakeholders to initiate TBC is good in the area(s): _____ <i>(list the 'C2' question areas evaluated with 5 points, if any)</i> but, particular attention should be given to improving the area(s): _____ <i>(list the 'C2' question areas evaluated with 1 point)</i>
<b>OPPORTUNITY ('C3')</b>	
<b>Instructions and results</b>	
List the 'C3' questions evaluated with 5 points: _____	
<b>'Opportunity' statements</b>	
There are a number of opportunities, namely: _____ <i>(list the 'C3' question areas evaluated with 5 points)</i>	
<b>RISK ('C4')</b>	
<b>Instructions and results</b>	
List the 'C4' questions evaluated with 1 point: _____	
<b>'Risk' statements</b>	
There are a number of risks, namely: _____ <i>(list the 'C4' question areas evaluated with 1 point)</i>	

**Example of a narrative report**

## **REPORT**

### **FEASIBILITY FOR TRANSBOUNDARY CONSERVATION INITIATIVE ESTABLISHMENT**

**Name of the potential Transboundary Protected Area:**

**Involved countries:**

(1) 'CR' QUESTIONS: Compelling reason for transboundary conservation

There is strong need for TBC in the following areas (*list the reasons for TBC initiative establishment as per the results of the 'CR1' questions in the diagnostic tool*):

- ...
- ...
- ...

There are a number of opportunities that could speed up or be generated by the TB process, namely (*list the opportunities as per the results of the 'CR3' questions in the diagnostic tool*):

- ...
- ...
- ...

There are a number of risks that could slow the TB process, namely (*list the risks as per the results of the 'CR4' questions in the diagnostic tool*):

- ...
- ...
- ...

(2) 'S' QUESTIONS: Stakeholders

There are a number of opportunities that could speed up or be generated by the TB process, namely (*list the opportunities as per the results of the 'S3' questions in the diagnostic tool*):

- ...
- ...
- ...

There are a number of risks that could slow the TB process, namely (*list the risks as per the results of the 'S4' questions in the diagnostic tool*):

- ...
- ...
- ...

(3) 'G' QUESTIONS: Geographic reach, regional stability and complexity

There are a number of opportunities that could speed up or be generated by the TB process, namely (*list the opportunities as per the results of the 'G3' questions in the diagnostic tool*):

- ...
- ...
- ...

There are a number of risks that could slow the TB process, namely (*list the risks as per the results of the 'G4' questions in the diagnostic tool*):

- ...
- ...
- ...

(4) 'C' QUESTIONS: Capacity

Readiness of stakeholders to initiate TBC is good, especially in the areas (*list the capacity needs as per the results of the 'C2' questions in the diagnostic tool*):

- ...
- ...

- ...

There are a number of opportunities that could speed up or be generated by the TB process, namely (*list the opportunities as per the results of the 'C3' questions in the diagnostic tool*):

- ...
- ...
- ...

There are a number of risks that could slow the TB process, namely (*list the risks as per the results of the 'C4' questions in the diagnostic tool*):

- ...
- ...
- ...

**Appendix F: Performance Appraisal Tool**

# **Transfrontier Conservation Area Development**

## **PERFORMANCE ASSESSMENT TOOL**

August 2013 – Version 1.0 Summary

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## ACRONYMS

AoA	Articles of Association
BAP	Benefit Action Plan
FSS	Financial Sustainability Strategy
IC	International Coordinator
IDP	Integrated Development Plan
JCMP	Joint Conservation Management Plan
JOS	Joint Operational Strategy
KPA	Key Performance Area
KPI	Key Performance Indicator
M&E	Monitoring and Evaluation
MD	Motivation Document
MoU	Memorandum of Understanding
P&P	Programmes and Projects
PA	Protected Area
PAT	Performance Assessment Tool
RoD	Record of Decision
SOP	Standard Operational Procedure
TFCA	Transfrontier Conservation Area

## 1 ABOUT THE TOOL

The Ministries responsible for the management of natural and cultural resources within southern Africa have identified numerous Transfrontier Conservation Areas (TFCA) (see Figure 20), where the functioning of the ecosystem that supports the resources transcend international boundaries. The affected countries believe that through collaboration between the various conservation agencies and authorities the conservation objectives of the specific areas can be attained more effectively and efficiently.



**Figure 20. Transfrontier Conservation Areas in Southern Africa<sup>4</sup>**

Receiving accurate reports about the efficacy of the various interventions undertaken within the TFCA becomes an essential tool not only for Ministers, but also for donors, resource managers, affected

<sup>4</sup> List of TFCA (Figure 1)

- |   |   |
|---|---|
| 1. /Ai/Ais-Richtersveld Transfrontier Park (ARTP) | 10. Lower Zambezi-Mana Pools TFCA (LZMP)                                |
| 2. Kgalagadi Transfrontier Park (KTP)             | 11. Zimbabwe-Mozambique-Zambia TFCA (ZIMOZA)                            |
| 3. Greater Mapungubwe TFCA (GMTFCA)               | 12. Chimanimani TFCA (CMTFCA)   |
| 4. Great Limpopo Transfrontier Park (GLTP)        | 13. Maiombe Forest TFCA (MFTFCA)  |
| 5. Lubombo TFCA (LTFCA)                           | 14. Kagera TFCA (KTFCA)   |
| 6. Maloti-Drakensberg TFCA (MDTFCA)               | 15. Malawi-Zambia TFCA (MAZA)   |
| 7. Iona-Skeleton Coast TFCA (ISTFCA)              | 16. Niassa-Selous TFCA (NSTFCA)   |
| 8. Liuwa Plains-Mussuma TFCA (LPM)                | 17. Mnazi Bay-Quirimbas Transfrontier Conservation Marine Area (MQTMCA) |
| 9. Kavango Zambezi TFCA (KAZA)                    | 18. Western Indian Ocean TFCA   |

communities and investors. For this reason an assessment tool was developed by TFCA practitioners from most of the SADC countries, and has been used within many TFCAs as the foundation for the development plans on which interventions are based.

The TFCA Performance Assessment Tool (PAT) provides an opportunity for regular assessment of governance performance regarding TFCA Development in southern Africa. Since TFCAs are funded and led by partner states within the region, it is opportune that assessments are undertaken to gauge the performance of the various interventions implemented by the countries.

The TFCA PAT consists of eight Key Performance Areas (KPA), and within each KPA various indicators have been identified to guide the development process.

The TFCA PAT provides a framework for affected communities, public authorities, resource managers and development partners to assess the effective delivery of interventions aimed at attaining the objectives set for the TFCA. In this manner an accountability instrument is provided for all stakeholders to robustly assess policy outcomes and ensure optimal allocation of resources. As a tool with which governance actions is assessed, responsible management of TFCAs can be ensured, and provides a model for sustainability based on a balanced, equitable and inclusive approach to the governance of TFCAs.

It is crucial that the various TFCA practitioners have common indicators that can be used to compare initiatives within TFCAs as well as between TFCAs since most countries are involved with one or more TFCAs.

Since there is a scarcity of data on which to base assessments, the tool relies on consensus among the TFCA countries regarding the understanding of the indicators. Sharing experiences and information enables the TFCAs to develop a common understanding of these indicators. The network of TFCA practitioners provides an excellent platform for this sharing.

The main objective with the PAT is to:

- Establish the progress in the establishment and development of TFCAs
- Establish best practices from TFCAs that have progressed
- Share experiences with other TFCAs
- Identify factors that have retarded progress in establishing and developing TFCAs.

The purpose of document is to serve as a reference guideline for assessing the performance of TFCAs, through the standardisation of approaches and understanding between countries.

## 2 STRUCTURE AND METHODOLOGY

The structure of the TFCA PAT is based on eight KPAs with associated Key Performance Indicators (KPI), all aimed at measuring and assessing the performance of TFCAs from an oversight or governance perspective. The KPAs are:

**KPA (1)-Joint Planning** - Collective planning of the TFCA and the alignment and implementation of the individual TFCA component plans

**KPA (2)-Institutional Arrangements** - Functional and representative TFCA institutional arrangements and structures, representative of all stakeholders and clearly delineated TFCAs of which the legal status is clarified

**KPA (3)-Sustainable Financing** - Sufficient funding to implement the actions to attain the envisaged TFCA objectives

**KPA (4)-Policy Harmonisation** - Synergy between operational policies utilised by the Partner Countries, cognisant of sovereignty

**KPA (5)-Landscape Dynamics** – Sustained and restored ecosystem integrity

**KPA (6)-Integrated Management** - Joint and cooperative ('park-to park') management between the Partner Countries' conservation agencies

**KPA (7)-Integrated Development** – Joint implementation of regional and TFCA development strategies

**KPA (8)-Benefit Flow Management** – Identification and reporting on TFCA benefits to the region and its people.

The first four KPAs - (1) to (4) are usually the responsibility of senior government officials, while KPAs (5) and (6) are usually addressed by conservation managers within the partner countries.

KPA (7) is addressed comprehensively by TFCA partner countries aimed at creating a conducive environment within which business, specifically tourism, can unlock the potential within TFCAs.

KPA (8) is addressed by senior officials based on information gathered by the various sectors – resource management, business and affected communities, and addresses the reporting on the benefits emanating from TFCA development.

The TFCA PAT is a composite index, constructed by combining underlying indicators in a standardised way to provide a measure of governance performance regarding TFCA development within and between the various partner countries. As a progressive and consultative process, each TFCA can continuously adapt, accommodate the input and critiques of stakeholders, and make use of suitable data as this becomes available.

As governance and oversight, is not measurable directly, it is necessary to determine the most suitable proxy indicators that appropriately reflect this definition of governance.

The TFCA practitioners decided that the eight KPAs cover the specific fields within TFCA development that require attention to attain the objectives set for the specific TFCA. Within each KPA four distinct and measurable indicators have been selected to ascertain the degree to which the TFCA has attained success.

The KPIs have been selected based on the normal development path for TFCAs within SADC. The steps based on the indicators serve as flux gates ensuring that the necessary enabling environment is created. By following the logical steps described by each KPI it is possible to accurately measure the progress made within each KPA. Each KPI has variables which can be measured so that finer scale determinations can be made for each indicator and progress measured incrementally.

Several KPAs and KPIs are inextricably intertwined, and require attention as parallel action. As an example, the KPA – Joint Planning is divided into four KPIs – Motivation Document; Integrated Development Plan (IDP); Aligned Protected Area Plans; and Detailed IDP roll-out. Without an approved Motivation Document, it would not be possible to gain the necessary political support – (KPA (2) – KPI (1.1)) - required to initiate the planning aimed at preparing an IDP. The process required to prepare an IDP requires attention to be given to various other KPAs such as a policy and legal database (KPA (4) – KPI (4.1)); a survey of the area required to sustain and restore landscape dynamics (KPA (5) – KPI (5.1)).

Other KPAs and KPIs follow sequentially, and require certain aspects to be addressed prior to commencing with the next KPI. For example, it is not possible to determine the sustainable financing requirements of the TFCA unless a financial sustainable strategy (KPA (3) – KPI (3.2)) has been prepared, after which a detailed plan (KPA3 – KPI3) needs to be prepared, followed by the creation of financial mechanism (KPA3 – KPI4) to implement the plan.

Similarly, it is not easy to create a legal entity (KPA (2) – KPI (2.4)) for the TFCA unless the critical steps such as the signing of a Memorandum of Understanding between the TFCA partner states, followed by a Treaty formalising the arrangements between the countries, and the establishment of Joint Formalised Structures (KPA (2) – KPI (2.3)).

The individual indicators are scored according to key milestones that have been achieved, with each milestone being a clear, measurable and verifiable achievement within a KPI (see Table 7 as an example of the balanced scorecard). Scores are provided for each KPI, after which the total score for the KPA can be determined. The eight KPAs provide a total score out of 800, which when divided by eight, provides a percentage score.

The individual scores per KPI are determined by ascertaining the degree to which the milestones within the KPI have been met. For example, in KPA (2)-Institutional Arrangements – the KPI (1.1) that the Memorandum of Understanding (MoU) is the full measurable milestone. Cognisant that this can only be attained once several smaller steps have been undertaken, the range regarding the KPI is from a meeting to discuss the draft MoU, the first draft MoU for discussion and revision, through the finalisation of the MoU, Approval and Signing. Each sub-milestone is clearly measurable and thus can be checked and verified by the TFCA practitioners.

Similarly, other KPAs and KPIs can be measured and accurate reports prepared.

In this way the detailed steps required to get a TFCA fully functional and operational can be done in a systematic and structured manner.

TFCA practitioners serve as the reference group regarding the verification of the achievements, and ideally records of these milestones maintained. In this way it is possible to provide interested stakeholders with a record of the process underlying the development process within TFCAs, and thus negate the need to continually revisit aspects due to staff changes.

A geographic information system and database would be ideal to capture scores and present them graphically and spatially (refer Section 4) and also serve as a repository for records and documents.

Targets can also be set within TFCAs based on the achievements and progress made within a defined period. By setting these targets and including this into the specific TFCA business plan, not only is it possible to ascertain where the TFCA currently is, but where the TFCA envisages to be in the future, in measurable and planned steps.

The record of achievements, as well as setting of targets, serves as an accountability matrix for TFCA practitioners, enabling them to report on the activities and achievements, as well as the plans and programmes to be undertaken. These reports can be made to the relevant Ministers accountable for TFCA development, as well as to donors, international cooperation partners, affected communities, journalists and other interested parties.

Table 7. TFCA Development Performance Assessment Balanced Score Card

## KPA (1)-JOINT PLANNING

No	KEY PERFORMANCE INDICATOR	VARIABLES	VALUE (%)	SCORE (Baseline)
1.1	A <b>Feasibility Study / Motivation Document</b> for the establishment of the TFCA has been prepared-	Intergovernmental meeting/s have taken place to discuss the feasibility of establishing a TFCA and a Record of Decision (RoD) has been prepared	5	
		A draft document has been prepared	5	
		A Feasibility Study / Motivation Document has been approved by the Partner Countries	15	
		<b>Sub-total</b>	<b>25</b>	
1.2	An <b>Integrated Development Plan (IDP)</b> has been prepared for the TFCA-	The boundaries of the TFCA have been defined (also refer KPI 5.1)	2	
		A legal framework has been prepared for the TFCA (also refer KPI 4.1)	3	
		Stakeholder engagement has taken place	2.5	
		A draft IDP has been compiled	7.5	
		The IDP has been approved by the Partner Countries	10	
		<b>Sub-total</b>	<b>25</b>	
1.3	The individual <b>country component Protected Area (PA) management plans</b> have been aligned with the IDP-	The various plans have been reviewed	5	
		The plans have been revised if required to embed the IDP outcomes	5	
		The revised plans have been approved by the relevant authorities of the Partner Countries	15	
		<b>Sub-total</b>	<b>25</b>	
1.4	The approved <b>IDP</b> for the TFCA is being <b>implemented-</b>	A strategic plan (5 years) for the implementation of the IDP, with measurable performance indicators is in place	7.5	
		A detailed business plan (yearly) is place	7.5	
		Annual reviews are being undertaken	5	
		Annual reports to the relevant structures are being prepared	5	
		<b>Sub-total</b>	<b>25</b>	
<b>Sub-score</b>			<b>100</b>	

## KPA (2)-INSTITUTIONAL ARRANGEMENTS

No	KEY PERFORMANCE INDICATOR	VARIABLES	VALUE (%)	SCORE (Baseline)
2.1	A Memorandum of Understanding (MoU) has been signed between the TFCA Partner Countries-	Formal discussions has taken place between the Partner Countries and a RoD has been prepared	2	
		A draft MoU has been prepared	3	
		The MoU have been approved by the Partner Countries	10	
		An International Coordinator (IC) has been appointed by the Coordinating Country	3	
		Interim structures in terms of the MoU has been established	7	
		<b>Sub-total</b>	<b>25</b>	
2.2	A Treaty or Operational Protocol has been signed between the TFCA Partner Countries-	Formal Discussions and RoD	2	
		A drafting team has been appointed	3	
		A draft Treaty has been prepared	5	
		A bound finalised Treaty is in place	5	
		A Treaty has been signed by the Heads of State of the Partner Countries	10	
		<b>Sub-total</b>	<b>25</b>	
2.3	Joint Formalised Structures have been established for the TFCA-	Structures have been appointed as per the Treaty	5	
		Meetings are taking place as per an agreed schedule	5	
		Reports are being prepared	5	
		An accessible, centralised Information Management System is in place with up to date records and documents pertaining to the TFCA	10	
		<b>Sub-total</b>	<b>25</b>	
2.4	A Legal Entity (if required by the Treaty) has been established for the TFCA-	Formal discussions has taken place between the Partner Countries and a RoD has been prepared	2	
		Draft Article of Association (AoA) / Constitution has been prepared	3	
		The AoA / Constitution has been approved by the Partner Countries	10	
		Trustees / Board Members appointed in terms of the AoA / Constitution	5	
		Regular meetings as per AoA / Constitution are taking place and records kept	5	
		<b>Sub-total</b>	<b>25</b>	
<b>Sub-score</b>			<b>100</b>	

**KPA (3)-SUSTAINABLE FINANCING**

No	KEY PERFORMANCE INDICATOR	VARIABLES	VALUE (%)	SCORE (Baseline)
3.1	The TFCA has prepared a <b>Financial Sustainability Strategy (FSS)</b> -	A review of best practices regarding financing mechanisms for TFCAs has been undertaken	3	
		An options analysis has been undertaken and a RoD prepared	2	
		A draft FSS has been compiled	10	
		A FSS has been approved by the relevant TFCA structure/s	10	
		<b>Sub-total</b>	<b>25</b>	
3.2	The TFCA has developed an <b>Implementation Plan</b> based on the FSS-	An implementation plan has been prepared and approved	7	
		A working group / task group has been established or clear responsibility assigned for ensuring the implementation of the FSS and implementation plan	3	
		Fundraising strategies have been prepared	5	
		Funding has been secured	10	
		<b>Sub-total</b>	<b>25</b>	
3.3	<b>Mechanisms</b> are in place to enable effective financial management of the TFCA-	Financial mechanisms have been established in terms of the FSS	12.5	
		A programme for capacity building of staff / officials are in place	12.5	
		<b>Sub-total</b>	<b>25</b>	
3.4	Strategies are in place to <b>monitor</b> the sustainability of financing and implementation of the FSS and Implementation Plan-	A Monitoring and Evaluation (M&E) System has been developed and are being implemented	12.5	
		Reports are prepared and submitted to the relevant structures of the TFCA	12.5	
		<b>Sub-total</b>	<b>25</b>	
<b>Sub-score</b>			<b>100</b>	

**KPA (4)-POLICY HARMONISATION**

No	KEY PERFORMANCE INDICATOR	VARIABLES	VALUE (%)	SCORE (Baseline)
4.1	A <b>Policy and Legal Database</b> for the TFCA is in place-	Relevant policies and legal instruments have been collected at international, regional and national levels	12.5	
		A user-friendly and accessible database is in place	12.5	
		<b>Sub-total</b>	<b>25</b>	
4.2	A <b>Review</b> of the relevant legal instruments has been undertaken regarding envisaged joint operations-	A working group / task group has been appointed	2	
		Relevant areas for policy and legal review have been identified and a terms of reference prepared	3	
		A review of the relevant instruments have been undertaken and a draft review report has been prepared	10	
		The Legal Review Report has been approved	10	
		<b>Sub-total</b>	<b>25</b>	
4.3	A <b>Policy Harmonisation or Law Reform</b> has been undertaken to assist in joint operations-	RoD on issues to be addressed in place and scope of project/s defined	5	
		Stakeholder engagement strategy/ies have been developed	5	
		Draft revised policies or legal instruments (specifically Standard Operational Procedures – SOPs)	7.5	
		Approved policies or legal instruments	7.5	
		<b>Sub-total</b>	<b>25</b>	
4.4	A <b>Institutionalisation</b> of harmonised policies and instruments-	The harmonised policies or legal instruments have been communicated between Partner Countries and relevant stakeholders	5	
		The TFCA policy and legal database has been updated	5	
		Capacity building programme for relevant officials in place	7.5	
		Joint plans, programmes and operational strategies revisited and updated	7.5	
		<b>Sub-total</b>	<b>25</b>	
<b>Sub-score</b>			<b>100</b>	

## KPA (5)-LANDSCAPE DYNAMICS

No	KEY PERFORMANCE INDICATOR	VARIABLES	VALUE (%)	SCORE (Baseline)
5.1	A <b>Landscape Characteristic and Encumbrance Survey</b> has been undertaken for the TFCA-	A catchment / bioregional / vegetation / habitat integrity analysis has been undertaken	7.5	
		An encumbrance survey has been undertaken (e.g. relating to land uses and infrastructure)	2.5	
		Environmental drivers have been identified	2.5	
		A Survey Report has been prepared and priorities for biodiversity conservation in the TFCA identified	7.5	
		The Survey Report has been approved by the relevant TFCA structure/s	5	
		<b>Sub-total</b>	<b>25</b>	
5.2	A <b>Joint Conservation Management Plan (JCMP)</b> for Sustaining and Restoring the Landscape Dynamics of the TFCA have been prepared-	Through discussions, conservation objectives and targets have been set	5	
		A draft JCMP has been prepared	10	
		A JCMP has been approved by relevant TFCA structure/s	10	
		<b>Sub-total</b>	<b>25</b>	
5.3	The JCMP is being <b>implemented</b> -	Joint programmes and projects have been developed	10	
		Joint programmes and plans are being implemented	10	
		Component management plans and country programmes have been updated and are being implemented	5	
		<b>Sub-total</b>	<b>25</b>	
5.4	Strategies are in place to <b>monitor</b> the health and functioning of the ecosystems of the TFCA-	An ecosystem health and function M&E system has been developed and are being implemented	12.5	
		Ecosystem health and function reports are prepared and submitted to the relevant structures of the TFCA	12.5	
		<b>Sub-total</b>	<b>25</b>	
<b>Sub-score</b>			<b>100</b>	

**KPA (6)-INTEGRATED MANAGEMENT**

No	KEY PERFORMANCE INDICATOR	VARIABLES	VALUE (%)	SCORE (Baseline)
6.1	A <b>decision</b> has been taken to jointly manage components of the TFCA-	Formal discussions has taken place between the Partner Countries	5	
		A RoD has been prepared	5	
		A working group or task team has been appointed	15	
		<b>Sub-total</b>	<b>25</b>	
6.2	A <b>Joint Operational Plan (JOS)</b> has been developed for the TFCA-	The appointed working group or task team has met and consensus has been reached on joint activities	5	
		A draft JOS has been prepared	10	
		A JOS has been approved by the relevant structure/s of the TFCA	10	
		<b>Sub-total</b>	<b>25</b>	
6.3	A <b>Joint Operations Structure</b> such as a Park Management Committee has been established-	Joint Operations Structure appointed as per approved JOS	5	
		Staff have been identified and seconded	10	
		Systems and SOPs are being implemented	10	
		<b>Sub-total</b>	<b>25</b>	
6.4	<b>Joint operations</b> are being undertaken within the TFCA-	Regular joint activities are being undertaken in terms of the JOS and SOPs	10	
		M&E is undertaken as planned	7.5	
		Regular reports are being prepared	7.5	
		<b>Sub-total</b>	<b>25</b>	
<b>Sub-score</b>			<b>100</b>	

## KPA (7)-INTEGRATED DEVELOPMENT

No	KEY PERFORMANCE INDICATOR	VARIABLES	VALUE (%)	SCORE (Baseline)
7.1	A <b>TFCA Development Strategy</b> has been prepared addressing compatible multiple land uses-	A database is in place of country-based development strategies and relevant related collaborative programmes	5	
		A TFCA Development Strategy has been prepared and approved by the TFCA structures	10	
		An implementation plan and fund raising strategy is in place	10	
		<b>Sub-total</b>	<b>25</b>	
7.2	Support is provided for <b>implementation of component PA Plans-</b>	Identification of funding needs for implementation of PA Plans	5	
		Preparation of fund raising proposals and securing of funding	5	
		Prepare implementation plan/s and implement accordingly	10	
		Monitoring and reporting on implementation to relevant TFCA structure/s	5	
		<b>Sub-total</b>	<b>25</b>	
7.3	Identified <b>TFCA Tourism Products</b> are in place-	<i>In Situ</i> development of TFCA Tourism Products	7.5	
		Develop and implement a staff capacity building programme	5	
		Develop and implement an integrated Booking System	2.5	
		Develop and implement a Marketing Strategy for the TFCA Tourism Products	5	
		M&E and report to the relevant TFCA structure/s	5	
		<b>Sub-total</b>	<b>25</b>	
7.4	The TFCA is <b>easily accessible and attractive</b> to both investors and tourists-	Discussions regarding the movement of people, goods and services has taken place and a RoD has been prepared (refer KPA 4 for preparation of SOPs)	7.5	
		Systems and SOPs are in place and being implemented	10	
		M&E is taking place and reports are prepared and submitted to the relevant TFCA structure/s	7.5	
		<b>Sub-total</b>	<b>25</b>	
<b>Sub-score</b>			<b>100</b>	

**KPA (8)-BENEFIT FLOW MANAGEMENT**

No	KEY PERFORMANCE INDICATOR	VARIABLES	VALUE (%)	SCORE (Baseline)
8.1	A <b>Baseline Socio-economic Survey</b> or Benchmarking Exercise for the TFCA has been conducted-	Measurable criteria have been determined	5	
		A survey has been undertaken and a draft report prepared	10	
		The baseline survey report has been approved	10	
		<b>Sub-total</b>	<b>25</b>	
8.2	<b>Benefit Action Plans (BAP)</b> have been compiled for the TFCA-	Specific strategies for addressing benefits to stakeholders have been agreed upon and a RoD prepared	7.5	
		Draft BAPs have been prepared	7.5	
		BAPs for the TFCA have been approved by the relevant structures of the TFCA	10	
		<b>Sub-total</b>	<b>25</b>	
8.3	The various <b>BAPs</b> are being <b>implemented-</b>	The BAPs have been incorporated in various plans, programmes and strategies of the TFCA and specific projects developed	7.5	
		Funding are secured	7.5	
		Projects are being implemented	10	
		<b>Sub-total</b>	<b>25</b>	
8.4	<b>Measures and Monitoring Techniques</b> been developed and implemented and reports prepared regarding benefits from the TFCA-	A M&E system and techniques have been developed	7.5	
		Data and information are collected and analysed and evaluated	7.5	
		Reports on the benefits of the TFCA are being prepared and submitted to the relevant TFCA structure/s	10	
		<b>Sub-total</b>	<b>25</b>	
<b>Sub-score</b>			<b>100</b>	

**SUMMARY OF SCORES**

KEY PERFORMANCE AREA	VALUE (%)	SCORE (Baseline)
KPA (1)-Joint Planning	<b>100</b>	
KPA (2)-Institutional Arrangements	<b>100</b>	
KPA (3)-Sustainable Financing	<b>100</b>	
KPA (4)-Policy Harmonisation	<b>100</b>	
KPA (5)-Landscape Dynamics	<b>100</b>	
KPA (6)-Integrated Management	<b>100</b>	
KPA (7)-Integrated Development	<b>100</b>	
KPA (8)-Benefit Flow Management	<b>100</b>	
<b>TOTAL SCORE (Sub-scores / 8)</b>	<b>100</b>	

### 3 REPORTING

The presentation of Key Findings garnered by the TFCA PAT, can provide several opportunities for reporting. This can be done by preparing reports pertaining to-

- Overall Results (all TFCAs)
- Results per TFCA
- Results per Indicator.

The Overall Results for all TFCAs can provide a region wide assessment for SADC, showing the overall performance of TFCAs comparatively across the region.

The Results per TFCA show the specific results for individual TFCAs, covering all the KPAs and associated KPIs.

Comparisons can also be made based on the Results per Indicator, which can be used to solicit support for specific thematic areas from donors and cooperation partners. This assessment can be used by the region to ensure that efforts requiring attention are supported, and that funds do not just be used or allocated to areas that are already performing well. By addressing the weakest link in the TFCA development chain, the entire system can be more robust and resilient to external threats.

The three types of reports – Overall Results; Results per TFCA; Results per Indicator - can be represented spatially and graphically, making it easy to assess the status of TFCA development in the region.