



THE REPORT OF THE AUDITOR GENERAL

ON

THE COORDINATION AND MONITORING OF THE
IMPLEMENTATION OF THE COMMUNITY BASED
NATURAL RESOURCE MANAGEMENT PROGRAMME

BY THE

MINISTRY OF ENVIRONMENT, WILDLIFE AND TOURISM

PERFORMANCE AUDIT REPORT NO.1 OF 2010

AUDITING FOR BOTSWANA GOVERNMENT

The Auditor General is the Head of the Office of the Auditor General, appointed under the Constitution. The Auditor General carries out his duties under the Finance and Audit Act 1997. He therefore, undertakes Performance Audits on the public sector bodies and submits reports, to the National Assembly. The aim is to improve the public sector administration and accountability.

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For further information please contact:

The Public Relations Officer
Office of the Auditor General
Private Bag 0010
Gaborone
Botswana

Tel: 3617100

Fax: 3188145/3908582

Auditor: Mr Batsumi Rankokwane



K. O Matambo (Hon)
Minister of Finance and Development Planning
Private Bag 008
Gaborone

17th February 2010

Dear Sir

The Auditor General has undertaken a performance audit on the "Coordination and Monitoring of the Implementation of the Community Based Natural Resources Management Programme" in the Ministry of Environment, Wildlife and Tourism pursuant to Section 29 of the Finance and Audit Act, 1997.

As you are aware, the Finance and Audit Act provides that the Auditor General should carry out performance audit in the public sector and that performance audit reports are to be laid before the National Assembly, by the Minister responsible for Finance.

Accordingly, I submit the Performance Audit Report No.1 of 2010 on the audit of the Community Based Natural Resource Management Programme to be laid before the National Assembly in accordance with Section 36 of the Finance and Audit Act.

Yours faithfully

R. B. Sebopeng
ACTING AUDITOR GENERAL

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ABBREVIATIONS

| | |
|-------|--|
| BTB | Botswana Tourism Board |
| CBNRM | Community Based Natural Resources Management |
| CBOs | Community Based Organisations |
| CCF | Community Conservation Fund |
| CECT | Chobe Enclave Conservation Trust |
| CHA | Controlled Hunting Area |
| DFRR | Department of Forestry and Range Resources |
| DNMM | Department of National Museum and Monuments |
| DWNP | Department of Wildlife and National Parks |
| IUCN | International Union for Conservation Nature |
| JVP | Joint Venture Partnership |
| LUMP | Land Use and Management Plan |
| MAS | Monthly Assessment Sheet |
| MEWT | Ministry of Environment, Wildlife and Tourism |
| MOMS | Management Oriented Monitoring System |
| MSA | Memorandum of Sublease Agreement |
| NR | Natural Resources |
| NRMP | Natural Resource Management Programme |
| RALE | Representative and Accountable Legal Entity |
| RDD | Research and Development Division |
| SADC | Southern African Development Community |
| SD | Sustainable Development |
| SWOT | Strengths, Weaknesses, Opportunities and Threats |

| | |
|-----------|---|
| TAC | Technical Advisory Committee |
| UB-CCE | University of Botswana-Centre for Continuing Education |
| WCED | World Commission on Environment and Development |
| WMCP-EU | Wildlife Management and Conservation Programme-European Union |
| WWF SARPO | World Wide Fund for Southern Africa Regional Office |

EXECUTIVE SUMMARY

The environment forms the basis of livelihood on earth. With increasing human population, pressure has been exerted on the earth's resources leading to a decline in biodiversity, depletion of wood resources, degradation of rangeland, and pollution of water, air and soil. More to this, Batswana have ventured into commercialisation of some veldt products in their endeavour to diversify their economy. The commercialisation of these products led to their overexploitation, which brought about the question of sustainability of these natural resources. Thus, there is a need to balance economic and social progress with a concern for the environment and the stewardship of the natural resources.

Environmentalists recognised that conservation was essential if communities were to achieve a life of dignity and if the welfare of the present and future generations is to be assured. As a result, environmental practitioners should embrace the need to link conservation measures to the social, economic and political dimensions of environmental issues and adapt an integrated approach to the planning and management of natural resources. Community based conservation of natural resources initiative was seen as an alternative approach to the conventional natural resources conservation approach. Thus, a shift in conservation paradigm to a more integrated approach which recognised the need for promotion and empowerment of rural communities by linking economic and social development with natural resources management was essential.

The Government of Botswana recognised and accepted the concept of Community Based Natural Resources Management (CBNRM) as a potential approach to supporting this shift. CBNRM is an approach to conservation and development that recognises the rights of local people to manage and benefit from the management and use of natural resources in their locality.

The Ministry of Environment, Wildlife and Tourism (MEWT) had a role to play in implementation of the CBNRM programme. The MEWT was established in September 2002 in recognition of the need to bring environmental issues under one roof for better coordination of policies, strategies and programmes.

The Office of the Auditor General therefore carried out a performance audit to evaluate the performance of the CBNRM programme in Botswana. The evaluation focused on the coordination and monitoring of the implementation of the programme by the MEWT and its principal implementing agencies [Department of Wildlife and National Parks (DWNP), Department of Forestry and Range Resources (DFRR) and Botswana Tourism Board (BTB)].

The audit covered the financial years 2004/05 to 2008/09. The significant observations were that:

(a) The overall coordination of the delivery of the mandates of the DWNP, DFRR and BTB was minimal and found lacking in some respects, mainly because of lack of coordination at a ministerial level.

Recommendation

The MEWT should create a level of executive authority that would be responsible for coordinating the delivery of the mandates of Departments and Parastatal. In doing so, particular attention should be paid to the recommendations of the 2009 Steven's Report.

(b) There was lack of integrated planning amongst the DWNP, DFRR and the BTB in so far as planning and coordination of projects was concerned.

Recommendation

The MEWT should develop an appropriate inter-agency planning platform which would ensure that the Ministry's Departments and Parastatal establish a collective and cordial working relationship in CBNRM planning and implementation.

(c) Coordination of CBNRM projects and activities at a district level was weak because of the ineffectiveness of the Technical Advisory Committee.

Recommendation

The TAC should be encouraged to actively execute its functions in relation to CBNRM implementation at a local level.

(d) The mobilisation of Communities was not properly coordinated. The procedure of assisting communities was not well documented and communicated to all interested stakeholders.

Recommendation

The MEWT should have a clearly written and communicated procedure on how the different stakeholders interested in working with communities may be involved as regards assisting them financially and in kind.

(e) The diversification of CBNRM had not been driven through a well thought of strategy that was informed by the experiences and the trends mapped in wildlife-based CBNRM prior to the development of the CBNRM policy.

Recommendations

- ***The MEWT should enhance the capacity of its staff by providing targeted skills training on issues of CBNRM planning, implementation and monitoring.***
- ***The Ministry should devise a clear strategy on how it would realise its diversification drive away from wildlife based CBNRM.***

(f) The MEWT had not been able to establish indicators of efficiency, effectiveness and impact as part of its initial CBNRM planning framework.

Recommendations

- ***The MEWT should develop indicators for measuring the efficiency, effectiveness and impact of the CBNRM programme. This exercise should form the base for planning of all CBNRM activities.***
- ***All the conceptualised indicators should inform a detailed process vision/path on how the MEWT ought to address the challenges facing CBNRM implementation in Botswana.***

(g) The MEWT had not fully operationalised its CBNRM monitoring systems. This would have assisted in providing reliable monitoring information on the performance of Community Trusts and CBNRM in general.

Recommendation

The MEWT should fully operationalise its monitoring systems with a view to strengthening the overall monitoring of the programme.

(h) The MEWT had not established and maintained a computerised information system (database) of all Community Trusts in Botswana and important information on those Trusts. The availability of such information would assist the MEWT to effectively coordinate, monitor and report on the Trust's activities.

Recommendation

The MEWT should fast track the process of establishing and maintaining a computerised information system (database) which consists of a broad spectrum of CBO information.

(i) The CBNRM programme has not been evaluated, with the view to improve on its performance.

Recommendations

- *The MEWT should make a provision for an evaluation and periodic review of the CBNRM programme at all levels (nationally and locally).*
- *The MEWT should consider undertaking a systematic SWOT Analysis of the programme.*

CHAPTER ONE

1.0 BACKGROUND

The environment forms the basis of livelihood on earth. With increasing human population, a lot of pressure has been exerted on the earth's resources leading to a decline in biodiversity, depletion of wood resources, degradation of rangeland, and pollution of water, air and soil. More to this, Botswana have ventured into commercialisation of some veldt products in their endeavour to diversify their economy. Examples of those products include, among others; mopane worm, sengaparile (devil's claw), thatching grass, firewood and wild berries. The commercialisation of these products led to their overexploitation. This brings in the question of sustainability of these natural resources. Thus, there is a need to balance economic and social progress with a concern for the environment and the stewardship of the natural resources. In addition, the failure of the preservationists' approaches to respond to environmental concerns led to an emphasis on conservation and management of natural resources. Environmentalists recognised that conservation was essential if communities were to achieve a life of dignity and if the welfare of the present and future generations is to be assured.

More recent management approaches recognise that environmental risks are social, historical and cultural in nature and that their resolution is linked to social change and changes in lifestyles. As a result, environmental practitioners should embrace the need to link conservation measures to the social, economic and political dimensions of environmental issues and adapt an integrated approach to the planning and management of natural resources. Community based conservation of natural resources initiative was seen as an alternative approach to the conventional natural resources conservation approach. The conventional approach to management of natural resources reflects lack of awareness about human issues. Ownership and decision making concerning wildlife were taken away from the rural communities who had to bear the cost of living with wildlife, either through the effects of problem animals or the opportunity costs of limited access to land set aside as wildlife protected areas. The awakening to this neglect came about with a shift in conservation paradigm to a more integrated approach which recognised the need for promotion and empowerment of rural communities by linking economic and social development with natural resources management.

The Government of Botswana recognised and accepted the concept of Community Based Natural Resources Management (CBNRM) as a potential approach to supporting this shift. Thus the CBNRM initiative started in Botswana in October 1989 with a pilot project in the Chobe Enclave Community, which

was ultimately registered as the Chobe Enclave Conservation Trust (CECT) in 1994. The successful initiation of the Chobe Enclave Community pilot project encouraged the Government to upgrade that to a programme called the Community Based Natural Resources Management Programme with countrywide coverage. In the overall, CBNRM acknowledges the fact that people who live closest to natural resources generally must absorb the greatest costs associated with conservation; have the most impact on resources; and given the proper tools and incentives, are the most likely to successfully conserve and benefit from those natural resources.

1.1 JUSTIFICATION FOR COMMUNITY BASED NATURAL RESOURCES MANAGEMENT PROGRAMME

Community Based Natural Resources Management (CBNRM) is an approach to conservation and development that recognises the rights of local people to manage and benefit from the management and use of natural resources in their locality. The CBNRM programme fosters the sustainable use, conservation of natural resources and promotes rural development through community participation and creation of economic incentives. It is a programme that promotes a *'triple bottom-line approach'* in that the environmental, social and economic aspects are considered and informs the sustainability appraisal of the programme. The programme underpins the global concern prompted by the United Nations over the degradation of the world's natural resources base. It is thus; appropriate to view the CBNRM programme as supporting the ideals of the World Commission on Environment and Development (WCED) of 1987, whereby the concept of Sustainable Development (SD) is paramount. Furthermore, the 1992 Rio Earth Summit underscored the importance of the protection of the environment coupled with the promotion of the social and economic development as crucial pillars of SD.

In response to the developments that took place in the international arena, Botswana became signatory to a number of regional and international treaties and protocols. These included *inter alia*; the SADC Protocol on Wildlife Conservation and Law Enforcement in Southern Africa (1999), SADC Protocol on Fisheries (2001), SADC Protocol on Forestry (2002), the Convention on Biological Diversity (1992), Convention on International Trade of Endangered Species (1973) and the RAMSAR Convention (1971).

In recognition of regional and international treaties and instruments, the Government of Botswana formulated policies that were in support of CBNRM, notably; Wildlife Conservation Policy of 1986, National Policy on Natural Resources Conservation and Development of 1990 and the Tourism Policy of 1990.

In spite of the strides made towards the formulation of regulatory frameworks, it was still argued by environmental practitioners that some of the environmental problems were a result of human ignorance. Consequently, Botswana adopted a conservationist approach that recognised the inter-linkages between resource conservation, people and the rational sustainable use of those resources. Community based conservation and co-management of natural resources was thus, an alternative approach to the conventional natural resources conservation approach.

1.2 Motivation

CBNRM in Botswana is believed to have succeeded in income generation, employment creation and the establishment of local institutions meant to ensure local participation in natural resources management and eco-tourism development. Although there has been socio-economic and conservation benefits achieved through the implementation of CBNRM in Botswana, the sustainability of the programme remains questionable. There are constraints and challenges that tend to limit the impacts from the community based approach.

As a result, the audit was motivated by the existence of challenges and constraints within the MEWT concerning the coordination, implementation and monitoring of the CBNRM programme in Botswana. The challenges were reported in the Local Media as problems facing the implementation of the CBNRM in Botswana. For instance, the following were such publications:

- Daily News (15/01/2008) 'Settlement patterns disregard environmental concerns'
- Daily News (02/06/2009) 'Ministry moves to protect community trusts'

In addition to the local content, there were a number of publications, from an international perspective, which provided an in-depth assessment and review of the performance of the CBNRM programme in Botswana. These publications are presented as follows:

- Centre for Applied Research (2003) Review of Community Based Natural Resources Management in Botswana (Inception Report)
- International Land Coalition (2006) CBNRM and pastoral development in Botswana: Implications for San land rights
- CBNRM Support Programme (2002) The Botswana Elephant Paradox.
- The 9th Biennial Conference of the International Association for the study of Common Property (2002) The impact of 'networks' on the participation of communities in community-based natural resources management (CBNRM) in Botswana.

Taking into consideration both the local and international publications, it suffices to note that the CBNRM programme in Botswana is constrained by a number of

factors, as identified in this audit report. All these constraints come on the backdrop of the continued investment of public and donor funds and resources to try and assist communities to realise the benefits accruing from the use of resources in their locality.

The Office of the Auditor General therefore, carried out a performance audit to evaluate the performance of the CBNRM programme in Botswana. The evaluation focused on the coordination and monitoring of the implementation of the programme by the MEWT and its principal implementing agencies.

CHAPTER TWO

2.0 DESCRIPTION OF THE ORGANISATION

The Ministry of Environment, Wildlife and Tourism was established in September 2002 in recognition of the need to bring environmental issues under one roof for better coordination of policies, strategies and programmes. The Ministry is poised to meet the current and emerging challenges for sustainable development. The Ministry's strategic agenda is to protect and conserve the environment and promote investment opportunities to derive maximum socio-economic benefits from natural resources.

The Ministry's core business includes the following:

- Conservation and management of wildlife resources
- Conservation and management of forestry and range resources
- Provision of weather and climate data and information
- Development and promotion of sustainable tourism industry
- Sustainable waste and waste water sector development
- Prevention and control of pollution
- Coordination of environmental issues

2.1 MINISTRY SETUP

To discharge its mandate, the Ministry has been reorganised into the following Departments:

| DEPARTMENT | SECTORAL RESPONSIBILITY |
|--|--|
| Department of Wildlife and National Parks | Wildlife, fisheries and management of protected areas, that is; national parks, game reserves and wildlife management areas. |
| Department of Tourism | Development of Tourism |
| Department of Meteorological Services | Weather and climate services |
| Department of Waste Management and Pollution Control | Waste, sanitation, pollution prevention and control |
| Department of Environmental Affairs | Coordination of environmental policies and strategies |
| Department of Forestry and Range Resources | Conservation and management of forestry and range resources |

| | |
|-----------------------------------|------------------------|
| Department of Ministry Management | Management of the MEWT |
|-----------------------------------|------------------------|

2.2 VISION AND MISSION STATEMENT

2.2.1 Mandate

To protect and conserve the environment and promote investment opportunities to derive maximum socio-economic benefits from natural resources.

2.2.2 Vision

To make Botswana a world leader in the management of the environment for sustainable development.

2.2.3 Mission

The Ministry of Environment, Wildlife and Tourism exists to protect the environment; conserve the country's renewable and natural resources; and derive value out of environment for the benefit of Batswana. The Ministry commits itself to achieve these through team work and smart partnership with the private sector and other stakeholders.

2.2.4 Goals

The MEWT overall goal is to develop and implement policies, strategies and programmes to provide leadership and professional guidance on all matters pertaining to the conservation and management of the country's environment and its natural resources for sustainable development and tourism.

2.2.5 Strategy

"The Ministry, serving as a catalyst, will collaborate with its stakeholder partners to achieve its strategic objectives. The dissemination of information and promotion of improved environmental friendly technologies will be the foundation of our strategy"

2.2.6 Values

The MEWT is committed to upholding the principles and values of the Public Service Charter. The Ministry strives to create a new work culture by embracing the following values based on BOTHO:

Integrity, Service excellence, Commitment, Compassion, Teamwork, Transparency, Innovation, Equity and Tolerance.

2.3 CBNRM COORDINATION STRUCTURES

The coordination of CBNRM takes place at two levels, namely;

2.3.1 National level

The Government provides regulations and management support to communities for the implementation of CBNRM. At this level, the Department of Wildlife and National Parks, the Department of Forestry and Range Resources and the Botswana Tourism Board develop and establish policies, legislation, extension programmes and regulations for CBNRM. The Government also provides funding for initial CBNRM activities through the Community Conservation Fund.

2.3.2 District/local level

The Technical Advisory Committee (TAC) is responsible for coordinating CBNRM at a district level. It is a district body coordinated and facilitated by the Department of Wildlife and National Parks. The role played by the DWNP makes it to have in-depth knowledge of programme activities including projects that have little to do with their mandates. This happens to the extent that the DWNP becomes the institutional memory for the projects outside their own sectoral responsibility.

The TAC consists of officers from the District Council, District and Tribal Administration, Departments under the Ministry of Environment, Wildlife and Tourism, and other relevant Ministries. The Committee is chaired by the District Officer Development. CBNRM is a cross cutting issue and as such, the placing of the District Commissioner's Office as chair of the TAC is strategically meant to institutionalise the coordination of the programme at a higher level that is; at district level.

The roles of TAC include the following:

- Advises communities and the district authorities upon any proposal that involves the commercial utilisation of community managed natural resources at district level, and monitors its implementation;
- Monitors and guides the process of establishing a Joint Venture Partner for Community Based Organisations.
- Assists in mediation in case of conflicts between communities and their Joint Venture Partner; and
- Ensures that government policies and legislation are adhered to where commercial utilisation of natural resources is concerned.

CHAPTER THREE

3.0 DESIGN OF THE AUDIT

3.1 AUDIT OBJECT

The audit object was the Ministry of Environment, Wildlife and Tourism (MEWT).

3.2 AUDIT OBJECTIVE

The audit assessed how the MEWT coordinated and monitored the implementation of the CBNRM programme, both nationally and locally.

3.3 AUDIT SCOPE AND LIMITATIONS

The audit focused on the administrative processes involved in the coordination and monitoring of the CBNRM programme by the MEWT. Even though the programme started in 1989, the audit only covered the financial years 2004/05 to 2008/09. This period represented the time when the MEWT was fully operational and when all the environmental issues were brought under one roof. The audit focused at the MEWT headquarters and its two Departments, namely; Wildlife and National Parks and Forestry and Range Resources, as well as the Botswana Tourism Board (Parastatal under the Ministry). Field visits were undertaken to 6 of the 10 Districts countrywide, namely; Central, Kgalagadi, Gantsi, Ngamiland, Chobe and North-East. The coverage of a wider scope, both in temporal and spatial terms, was constrained by limited human and financial resources. This resulted in the audit being unable to cover the remaining 4 Districts and other stakeholders who were equally important in the implementation of the programme.

3.4 METHODOLOGY

The coordination, implementation and monitoring of the CBNRM programme is a complex and problematic process that involves constant interactions amongst the different stakeholders. These stakeholders at times have differing opinions and vested interests which influenced how the programme had to be developed to realise its goals and objectives. Furthermore, CBNRM is a fast evolving field in Botswana since there are significant developments taking place in an effort to raise the profile of the programme. The Government is, more than before, moving in to try and influence the future direction of the programme. This comes in the form of developing regulatory and administrative instruments to better manage the programme as well as provide a conducive environment for its better implementation.

The data collection methods used in this audit had to take into account the above unfolding realities. Hence, interviews were conducted at the strategic level of the Ministry and the headquarters of the two Departments and a Parastatal. The field visits to the district offices provided a medium to assess the significance of the programme at a local level. Furthermore, issues concerning the implementation of the programme were best identified during interactions with some of the community trusts. The audit content-analysed available literature, more especially from the International Union for Conservation Nature (IUCN) and Consultants' reports. Some of those reports include the following:

- CBNRM in Botswana 1989-2002; A Select and Annotated Bibliography and other stories.
- An economic view on Wildlife Management Areas in Botswana
- Labour Laws and Community Based Organisations in Botswana
- Community Natural Resources of Bugakhwe and Anikhwe in the Okavango Panhandle in Botswana
- CBNRM, The Rising or Setting Sun for Conflict Mitigation in Natural Resource Management: The Case of CBNRM in Botswana.

Below is an elaboration of the data collection techniques that were used to gather data.

3.4.1 Interviews

A total of 140 interviews (Appendix I) were conducted with different officials at the MEWT, its Departments and Parastatal as well as personalities at all the 17 trusts visited. The information from interviews was used to complement that which was gathered through the review of documents. The interviews also facilitated a clear understanding of how the Ministry, its Departments and Parastatal were coordinating and monitoring implementation of the CBNRM programme. Trusts personnel were interviewed to understand practical issues that constrained smooth implementation of the programme at a local level.

3.4.2 Documents Review

Appendix II shows a list of documents that were reviewed in order to better understand the regulatory and structural frameworks as well as the role of the Ministry, its Departments and Parastatal in coordinating and monitoring the implementation of the programme. The documents also provided criteria on which to measure the performance of MEWT with respect to its role in CBNRM.

3.4.3 Observation

Observations were carried out on some of the projects undertaken by the Community Trusts, including among others; the building of campsites and other infrastructural developments for the trusts, completed projects for individual members of the community, notably the destitute houses and installation of standpipes.

CHAPTER FOUR

4.0 PROCESS DESCRIPTION

For the successful implementation of the CBNRM programme and projects, the following stages are followed:

4.1 MOBILISATION

The mobilisation stage aims at getting community support for development of the projects. It gives communities an opportunity to get some basic understanding of CBNRM and what it entails. During the mobilisation stage, it is important to take note of the existing community structures and institutions and have the presence of extension agents and all stakeholders during the exercise of community mobilisation. Communities may be mobilised by any interested party such as Government Departments, the private sector and Non-governmental Organisations.

4.2 SOCIO-ECONOMIC SURVEY

The socio-economic survey involves collecting relevant background information on the socio-economic conditions of the community at hand including community's historical background and existing institutions, educational background, household income, employment status, types of skills, ownership of key assets and the general lifestyle. It is important for a community to recognise its own strengths and weaknesses as CBNRM is not only built on natural resources base, but on human resources as well. Thus the socio-economic survey helps to determine community capability and capacity as well as training needs.

4.3 COMMUNITY BASED ORGANISATIONS (CBOs) FORMATION

For a community to gain exclusive natural resource user rights, it needs to form a Community Based Organisation or Trust. A CBO has to be a Representative and Accountable Legal Entity (RALE) created in a participatory process. A good CBO has to be representative of all members of the community. It has to act on the best interest of all members and be guided by its members. A CBO has to inform its members of all decisions made. To guide the trust, the members have to develop a Constitution or Deed of Trust and legally register the organisation with the Registrar of Deeds.

4.4 NATURAL RESOURCE USE PLANNING AND RESOURCE USER RIGHTS

To be eligible for a 'Head Lease' a community needs to have a legal CBO to represent its interests and prove that its planned activities are in line with the prevailing Government policies, strategies and Land Use and Management Plans. The lease explains the rights and responsibilities of the community such as hunting, veldt products use, and paying of land rental and resource royalties. The community thus needs to develop Land Use and Management Plans (LUMP) and/or Tourism Business Plans which conform to Government policies and laws, relevant to District Development and Land Use Plans. The Management Plan has to be submitted to the land authority in order to acquire access to a Controlled Hunting Area (CHA).

4.5 IMPLEMENTATION AND UTILISATION OF FINANCIAL BENEFITS

Once a Community Natural Resource Management Lease has been obtained, a community could then implement the LUMP or the Business Plan. At this stage, a community still needs the support of Extension Agents as it is still inexperienced in terms of implementation of Trust activities and for intensive training. CBOs need to invest in Managers and Accountants who will be responsible for the day to day running of the organisation. The revenue earned has to be used to cover over head costs of the CBO such as wages for CBO employees, office equipment, stationery allowances, maintenance of fixed assets, meetings and workshops.

4.6 MONITORING

For successful CBNRM activities, natural resource use planning is a vital precondition. CBOs needs relevant information about the availability and distribution of natural resources in their area; the impact of CBO activities on the natural resources being used; and the impact of internal and external factors on the natural resources under their control. All these require active monitoring, more especially on the part of the CBO. The Management Oriented Monitoring System (MOMS) is a vital tool to implement in this regard. The event book system applied under MOMS is used to record employee wages, tourist statistics and revenue as well as enterprise maintenance costs and running costs. The information obtained allows community members to make informed decisions such as negotiating the change of allocated quota, stopping or postponing a particular activity or change harvesting methods.

Community Based Organisations need not only monitor natural resources utilisation but the entire operations of the CBO. CBOs manage their own businesses and operations as well as finances by having an accounting system in place and have to do annual audits. CBNRM projects have to be monitored for their continued existence and sustainability.

CHAPTER FIVE

5.0 FINDINGS

5.1 COORDINATION

5.1.1 Ministerial CBNRM Coordination

Section 4.1 of the Policy on Community Based Natural Resources Management states that the Ministry of Environment, Wildlife and Tourism shall be the government agency responsible for coordinating and overseeing the implementation of the CBNRM programme in Botswana. The MEWT through the Department of Wildlife and National Parks (DWNP), the Department of Forestry and Range Resources (DFRR) and the Botswana Tourism Board (BTB) had been mandated to provide regulations and management support to communities for the implementation of CBNRM. The work of these three separate agencies had to be holistically coordinated from a higher executive authority.

On the basis of the above criteria, it was observed that the overall coordination of the functions of the DWNP, DFRR and BTB was minimal and found lacking in some respects. For instance, the level of coordination that existed at the MEWT involved reporting on the four special projects that were of interest to the Office of the President. These four projects were the Mapanda Community Trust in Lepokole, Seboba Nature and Recreational Park in Kasane, Moremi Manonnye Conservation Trust at Goo-Moremi Gorge and the Camel Project in Tsabong. The BTB produced Quarterly Reports on the progress of projects activities at each of the four areas and those reports were being submitted to MEWT.

There is need to appreciate the fact that the BTB was also working with the Nata Conservation, Cgae Cgae Tlhabololo and Tsodilo Community Trusts, even though there were no reports sent to the Ministry on the status of those projects. The BTB also facilitated the implementation of projects at Chobe Enclave Conservation Trust and Khwai Development Trust.

Besides reporting on the four special projects alluded to earlier on, there was lack of systematic and comprehensive reporting at MEWT headquarters on the state of CBNRM projects and activities across the country. It is worth noting that an effort was made to second an Officer from DWNP to MEWT headquarters to coordinate the CBNRM programme. However, that particular Officer only focused on the coordination of the implementation of the four special projects. The Officer was later redeployed to DWNP on 1st April 2009 and the coordination of the four projects was then handed over to BTB with effect from 1st April 2009.

The redeployment of the CBNRM coordinator to DWNP and the subsequent lack of any individual or Unit to coordinate CBNRM activities at a strategic level created a void at the MEWT. The effect of the lack of a sound ministerial CBNRM coordination had been a fragmented approach to the development of CBNRM in Botswana.

Recommendation

The MEWT should create a level of executive authority that would be responsible for coordinating the mandates of the DWNP, DFRR and BTB. Particular attention should be paid to the recommendations of the 2009 Steven's Report on 'Internal CBNRM Institutional Capacity Assessment and Strengthening Study'. Based on this report, the MEWT should institute the right structure to coordinate CBNRM at a higher level. A strong possibility would be the formation of MEWT CBNRM Special Task Unit, as one of the recommendations of the study. Such a higher authority would help in dealing with a holistic and comprehensive reporting of all CBNRM issues at a ministerial level.

Management Comment

Management stated that the DWNP, DFRR and BTB were supervised by the Deputy Permanent Secretary-Natural Resources (DPS-NR), who also coordinated the tourism functions of the Ministry. They further indicated that it was necessary to have a CBNRM desk under the Research and Development Division (RDD) to assist the office of the Permanent Secretary with the coordination of the CBNRM programme. The RDD is mandated to coordinate programmes including CBNRM but lacked the capacity in that area. Such a desk would facilitate the much needed coordinated approach to project planning and implementation. The RDD office straddled across the Departments supervised by the two Deputy Permanent Secretaries and could reach the Department of National Museum and Monuments, which is under Deputy Permanent Secretary for Environment Affairs.

5.1.2 Integrated Planning

The DWNP, DFRR and BTB were established precisely for basic service delivery for their own particular mandated CBNRM responsibilities and activities. In order to effectively achieve that, there had to be relationships that hold these agencies together. There had to be an integrated agency planning and coordination of CBNRM projects. The relationships had to be informed by the realisation that CBNRM was an emerging sector and a Department like Forestry and Range Resources would only be starting to understand the dynamics of the programme and hence would be in a learning curve with regard to coordinating the activities of CBNRM in Botswana.

It was observed that there was lack of inter-agency planning amongst the DWNP, DFRR and BTB in so far as the coordination of CBNRM projects was concerned. This scenario was explicitly captured in the Steven's Report of 2009, which posited;

"There is a lack of integration and harmonization between Departments with regard to policies, plans, strategies, activities, etc. The legally mandated 'silo' mentality of MEWT Departments precludes integration of planning and operations".

(Steven Johnson, 2009: Internal CBNRM Institutional Capacity Assessment and Strengthening Study)

It transpired that each agency was planning on its, own based on the nature of the natural resources being utilised and projects undertaken under each agency's area of jurisdiction. For instance, the DWNP would mostly plan and be involved with wildlife-based-CBNRM whereas the DFRR was largely concerned about forestry-based-CBNRM. The three agencies could not even act much on the understanding that though they had different mandates, the natural resources upon which the communities relied on were not independent of each other. Both the wildlife and forest resources co-existed for the good of all who utilised them. The lack of this collective working relationship was more pronounced at the departmental headquarters and the other districts visited with the exception of the Ngamiland and Chobe Districts. The BTB, DWNP and DFRR worked together for the attainment of a common purpose of developing CBNRM projects at these two districts.

Notwithstanding the above, the lack of an inter-departmental planning platform had resulted in each of the three agencies developing their plans according to their own criteria and priorities. For instance, the Botswana Tourism Board believed that it was better placed to work with a manageable number of Community Trusts until they had matured to manage and sustain themselves. Once they had reached a certain level of maturity when they could then sustain themselves, the BTB would start working with another set of Community Trusts. The approach adopted by BTB ran parallel to what the DWNP and DFRR had comprehended. The DWNP and DFRR were not targeting any specific number of trusts. Instead, they worked with all the Trusts registered in the country.

The apparent lack of integrated planning between the MEWT Departments and BTB had not addressed constraints to efficient coordination of the CBNRM programme in Botswana. The constraints were identified and contained in the Report on 'Internal CBNRM Institutional Capacity Assessment and Strengthening'. The study outlined the following constraints:

- (a) Community Based Organizations (CBOs) were sprouting everywhere and hence the government was caught in a maze of trying to assist everything and everybody
- (b) There were a plethora of conflicting programmes since there were many players assisting Communities and CBOs.

As a result of the above realities, the CBNRM was reported to be in a state of confusion nationally.

Recommendation

- ***The MEWT should develop an appropriate inter-agency planning platform which would ensure that the BTB, DWNP and DFRR establish a collective and cordial working relationship in CBNRM planning and implementation.***
- ***Based on the 2009 Steven's Report, there should be integration and harmonisation of the plans, strategies and activities of the three agencies involved in CBNRM coordination and monitoring.***

Management Comment

The Management acknowledged that indeed Community Trusts were mushrooming all over. To control that problem, the MEWT had informed the Registry of Deeds in January 2009, to consult them prior to any registration of Trusts that intended to work with natural resources. They indicated that the Ministry was exploring means of rationalising geographical catchments that should fall within the same CBO.

Management further indicated that the recommendations of the Steven Johnson Report had not been considered and adopted by the Ministry. That process would be undertaken in the year 2010.

5.1.3 Coordination at District Level

Section 9.2 of the CBNRM Policy states that the support to communities at the district level would be provided by the Technical Advisory Committee (TAC). The TAC had to, amongst others; advise communities and the District Authorities on any proposal that involved the commercial utilisation of community managed natural resources at district level and monitored their implementation. The Committee assisted in mediation in case of conflicts between communities and also ensured that Government policies and legislation were adhered to where commercialisation of natural resources was concerned.

A visit to the Districts revealed that the Technical Advisory Committees were not actively executing their responsibilities. With the exception of the Ngamiland and Chobe Districts, the TACs in the other districts did not honour their scheduled meetings because a number of TAC members could not turn up for

those meetings. For example, the DWNP, which acted as the TAC Secretariat in the Central District would not produce any minutes of the TAC meetings in the District, upon request. An explanation was given to the effect that the TAC had not been holding its meetings for the past two years from the time of this audit. Furthermore, interviews conducted at some trusts such as Marele/Naoletswabatho and Mapanda revealed that the TAC was only involved at the initial stage of community mobilisation. The Committee had not availed itself during the subsequent stages after the said trusts had been registered. However, the DFRR, BTB and DFRR were viewed as the representatives of the TAC, since they were the only agencies that were always in constant contact with communities.

As a result of the TACs not being fully involved in its advisory role, communities appeared to have limited knowledge on important information and documents guiding the implementation of CBNRM projects and activities. For instance, quite a number of the trusts that were visited (through their Boards of Trustees) were not aware of the regulatory instruments governing the implementation of CBNRM in Botswana. The Trusts lacked awareness of the presence of such documents like the Financial Management Manual for Community Based Organisations, Guidelines for Community Conservation and Conservation Trust Funds and the CBNRM Practitioners Manual, just to name a few. One would expect that the information should have been availed to the Trusts at the earliest possible time, especially after a community had registered as a trust.

The lack of a sound coordination by the TAC coupled with low levels of awareness on the side of communities resulted in the latter being confused and not knowing where to seek assistance and guidance. For example, interviews with the Mapanda Conservation Trust in Lepokole revealed that the Trust had no knowledge of who was responsible for paying the land rental amount as contained in their lease agreement signed in 2007. There was no evidence (in the form of receipts) to show that the trust had been paying the lease amount since 2007 until the time of audit (September 2009). The effect would be that the Trust would have a significant debt upon resumption of its business operations. This was an issue that the TAC would have identified and discussed with the Mapanda Trust.

Ultimately, lack of coordination by the TACs led to delayed implementation of projects by communities. In another case involving the Mapanda Conservation Trust, the area initially allocated for a game sanctuary was found to be very small to accommodate all the species enlisted. The realisation was only made after more than 70% of the cut-line was completed with the help of the local community. A decision was reached to apply for additional land from the Ngwato Land Board. The process proved to be tedious because the extension of land was not yet approved at the time of audit. Furthermore, an assessment of the resources and other developments in the area of extension was yet to be

undertaken. Some of the developments in the area were reported to be the farms and boreholes which would be relocated once the area was approved. An interview conducted with the Department of Wildlife and National Parks in Bobonong revealed that an alternative site where the affected farmers had to be relocated was not yet identified. Moreover, negotiations on issues of compensation to all those affected by the relocation had not been opened.

It therefore sufficed, to anticipate further delays to the projects that the Mapanda Conservation Trust planned to undertake in the area.

Recommendation

The Technical Advisory Committee (TAC) should be encouraged to actively execute its functions in relation to CBNRM implementation at a district level. Since the TAC is constituted by other Government Departments in addition to DWNP, DFRR and BTB, the MEWT should liaise with the Ministry of Local Government with the view to strengthening the capacity of the Office of the District Commissioners (as the chair of the TAC) in effectively coordinating all the Departments in each district. The TAC should be encouraged to work closely with the Communities to ensure that all outstanding issues are resolved. The developments taking place with regard to CBNRM and new information should be communicated timely to communities.

Management Comment

The Ministry Management acknowledged the need to improve information flow between extension workers and beneficiaries and intended to appoint lead agencies for each Trust.

5.1.4 Mobilisation

Communities had to be mobilised by interested parties to support the development of CBNRM projects in their area. There were a number of issues which constrained the efficient mobilisation of communities. These are discussed below:

(a) Mobilising Organisations

The mobilisation of communities was not well coordinated. There were many different organisations that were interested in working with communities. Some of these Organisations mobilised communities without the knowledge of the TAC. For instance, the following Trusts were mobilised by the University of Botswana's Centre for Continuing Education (UB-CCE) without prior knowledge of the North-East District Technical Advisory Committee. These were the Lingilila Environment Conservation, Zwemishamba Community Conservation,

Danangombe Conservation, Mazibakufa Environment Development, Kalakamati Mantenge Conservation, Ramokgwebana Environment Conservation and Kwayendza Trusts. While the mobilisation of such communities by the University of Botswana might be viewed as a welcomed development, it was nonetheless, worrisome to realise that there was lack of a clearly documented and communicated procedure on what interested parties ought to do before assisting communities. For instance, the 'first point of contact' for any organisation interested in working with communities was not well communicated as a matter of procedure. This meant that the organisations assisted communities without the understanding of the contemporary developments towards CBNRM on the side of the Government. For example, the Tutume TAC could not approve funding for Changate Conservation and Development Trust because the Committee was not comfortable with the procedures followed by members of the trust with regard to the formation of the Trust. The TAC was not able to recognise Changate Trust on the following establishment grounds:

- The trust was not established through thorough and adequate consultation with the local community to enable them to fully understand the purpose for which the trust was formed.
- The drafting of the Deed of Trust was not through community dialogue process and hence the community's comprehensive understanding of the contents of the Deed was not explicit.
- The draft Deed of Trust was not submitted to the TAC for technical appraisal to ensure that it complied with the CBNRM policy and any other legislation in force before it was tendered to the Registrar of Deeds.

The above procedures would have been observed, had the University of Botswana been made aware of the need to contact the Tutume TAC before embarking on mobilisation of the Changate community. The move would have saved the community some time and scanty financial resources which had to be committed in re-aligning their constitution with the Model Deed of Trust as well as educating the Changate community on the existence and purpose of their Trust.

Recommendation

The MEWT should have a clearly written and communicated procedure on how the different stakeholders interested in working with communities may be involved as regards assisting them financially and in kind. The procedure should be publicised for all to know including communities. The move would provide for better coordination of both local and international stakeholders and would help to mitigate against such individuals and organisations who may be driving their own agenda at the expense of communities. The move would also save

valuable time and resources for communities as a result of being compliant to relevant Government's regulatory and administrative frameworks.

Management Comment

The Management agreed to the recommendations, and stated that the Ministry had put forward a proposal to the Registry of Deeds legislative process for MEWT to be a "clearing house" for all the Trusts dealing with natural resources. They indicated at the time that anybody could facilitate a Trust for natural resource management without the sanction and/or the consent of the MEWT, which is the custodian of renewable natural resources.

5.1.5 Tendering

According to the CBNRM Policy (Government of Botswana, 2007), "all tendering procedures for the awarding of natural resource use concessions" were to be overseen by the TAC who were to provide technical appraisals and analysis of the tender bids documents. The role of the TAC (as defined in the Joint Venture Guidelines of 1999) was originally on overseeing the tendering process and operations of the Joint Venture Partnership (JVP). The TAC's roles had since been widened and the Committee is actively involved in the entire CBNRM process, planning and the implementation of the projects.

Parallel to the above, the Botswana Tourism Board had been at the fore-front of overseeing tenders for a number of Trusts, notably; Nata Conservation, Khwai Development, Tsamama, Seboba Conservation, Mapanda Conservation and Moremi Manonnye Conservation Trusts. While this might be right by virtue of the fact that BTB is a member of the TAC, it nevertheless, became clear from the interviews with Officials of the DWNP in their capacity as the Secretariat of TAC, that the TAC was not comfortable with the active role played by the BTB. The strongest bone of contention rested on the TAC's opinion that it appeared as if the BTB had now assumed the TAC's mandate without the inclusion and input of other TAC members. In other words, the BTB was viewed as having adopted a 'big brother mentality' and being 'the TAC' when it came to issues of tendering. On the other hand, the BTB felt that their actions were justified because most of the TAC members had not been actively involved in the work of the Committee.

The above scenario might suggest that the roles of the different members of the TAC might not have been properly defined and agreed by all members concerning tendering for Joint Ventures. The situation could provide a recipe for inter-departmental wrangles resulting in a potential 'sit-back and watch' mentality by the dissatisfied members of the TAC.

Recommendation

The MEWT should liaise with the Ministry of Local Government in order to arrange a gathering for all TAC members to clarify their role with regard to tendering. All the members of TAC should be encouraged and fully engaged in the tendering process so that the Committee benefits from the input of all its members.

Management Comment

Management concurred with the observation and agreed to the recommendation. They pointed to the need for the MEWT to facilitate the process of clarifying and communicating mandates and roles of various players. They indicated that the role of the TAC should further be included in the district planning handbook with its mandate clearly defined and going beyond being an advisory body.

Management further indicated that the scenario at hand was such that some critical players did not give the programme the attention it deserved, partly due to the fact that the USAID (NRMP) which assisted in establishing CBNRM was housed at DWNP hence the programme was generally perceived as a wildlife programme.

5.1.6 Diversification

The CBNRM Policy put more emphasis on the diversification of CBNRM away from wildlife based resources to other forms of resources such as forest and range resources and other cultural/historic resources. This diversification was pinned on the notion that “All natural resources shall be recognised as having intrinsic value and worth economically, environmentally and socially” (CBNRM Policy, Section 6.1).

The diversification of CBNRM had to be driven through a well thought of strategy that was informed by the experiences and the trends mapped in wildlife-based CBNRM prior to the development of the CBNRM policy. Furthermore, the MEWT had to develop institutional structures and human capacity so as to support the diversification drive.

The MEWT had to be commended for mandating the Department of Forestry and Range Resources to coordinate and monitor CBNRM focused on forest and range resources. The recent transfer of the Department of National Museums and Monuments (DNMM) from the Ministry of Youth, Sports and Culture to the MEWT was also a noble idea. The transfer would assist the MEWT to coordinate and monitor CBNRM that focused on cultural and historic sites thereby reducing pressure on the DWNP who initially had to coordinate all CBNRM activities.

In spite of the above breakthroughs, the diversification efforts away from wildlife resources had been slow with insignificant impacts. The insignificant impacts were a result of the Ministry's limited efforts to enhance the human capacity at

some of the Ministry's implementing departments. Interviews conducted and documents reviewed at the DFRR revealed that not much had been done to train Officers on the concept of CBNRM and how to deal with issues surrounding the CBNRM programme. For instance, some of the Officers at DFRR revealed that they were using their own experiences and understanding of the concept to assist communities.

The lack of targeted skills training on CBNRM delayed the DFRR in developing range resources-based CBNRM to a level that would be appealing to all stakeholders, especially communities. The Officers, more especially at the districts, demonstrated lack of understanding of key issues regarding CBNRM. For instance, the DFRR Officers in four of the six districts (Central, Kgalagadi, Gantsi and North-East) visited revealed that they found it difficult to assist Community Trusts in Districts under their jurisdiction, since they did not know how their departmental mandates fitted with the operations of the Trusts on such issues as demanding accountability for the use of funds from donor agencies. Based on the auditor's observation and interviews conducted with the trusts utilising the forest resources, it was apparent that those trusts were less motivated due to limited financial turnover. The DFRR Officers were not aware of how they could motivate some of those communities because non-wildlife based CBNRM was still at its infancy. There were no planned interventions to raise the profile of range resources-based CBNRM.

Recommendation

The MEWT should enhance the capacity of its staff, more especially at the DFRR, by providing targeted skills training on issues of CBNRM planning, implementation and monitoring. The Ministry should also devise a clear strategy on how it would realise its diversification drive away from wildlife based CBNRM to the one dealing with cultural, historic and range resources.

Management Comment

Management agreed that the CBNRM training should go to all implementing agencies. They indicated that practitioners have over time, relied on experience alone which was not adequate to cope with this dynamic programme. Management posited that the fields to be considered were Community Development, Financial Management, Project Planning and Implementation, Strategic Planning, Marketing, Conflict Mediation and Resolution, and Community Facilitation.

5.2 MONITORING

Monitoring is defined as the systematic collection and analysis of information as a programme/project progresses. It is aimed at improving the efficiency and effectiveness of an organisation in executing any particular project or programme (Monitoring and Evaluation toolkit, World Alliance for Citizen Participation). Monitoring is based on targets set and activities planned during the planning phases. It helps to keep the work on track. If done properly, monitoring is an invaluable tool for good management and it provides a useful base for evaluation. It enables an organisation to determine whether the resources availed are sufficient and are being appropriately utilised and whether the organisational capacity is adequate in terms of number and the right skills. On the basis of the above, the following issues are discussed under monitoring:

5.2.1 Performance Monitoring

Performance monitoring “involves the process of gathering data and analysing it to enable a variety of stakeholders from local to national level to gauge the effectiveness of CBNRM interventions, policies and legislation” (WWF SARPO, 2008). CBNRM performance monitoring enables stakeholders at different levels to be able to assess if CBNRM inputs were yielding the desired results of sustainable conservation and rural development.

It was observed that the MEWT had not been able to establish indicators of efficiency, effectiveness and impact as part of its initial CBNRM planning framework. The Ministry framework rested on the premise that the MEWT identified the problem situations that were to be addressed through CBNRM. In light of that, the Ministry is highly commended for identifying those problem situations as being social, economic, environmental, cultural, religious and political in nature. The MEWT should also be commended for developing a vision, in the form of the CBNRM policy of 2007, which spelled out the future direction to be followed in addressing the problem areas.

Notwithstanding the above accomplishments, the Ministry had deficiencies in terms of developing a detailed process path on how the problem situations, alluded to earlier, would be addressed to achieve desired impacts. This means that the MEWT had not been able to develop indicators for effectiveness and efficiency targets.

The lack of clear indicators for CBNRM performance measurement had resulted in a scenario whereby the CBNRM programme had been seen as having failed to bring about tangible benefits to the communities, Government and all other involved stakeholders. This was so because most work in civil society is underpinned by a value system. This system determines the standards of acceptability of the CBNRM initiatives. Thus, the CBNRM programme is generally viewed as having not yet attained standards of acceptability by communities.

This is because most of the disadvantaged communities had not been served and empowered as per their expectations. Furthermore, their societal lives had not been transformed for their own betterment. The notions of sustainability of the programme and the efficient use of government resources to develop the programme had been brought under scrutiny. This was because the absence of those indicators meant that there were deficiencies in the overall framework provided by the MEWT for its monitoring systems.

Recommendation

- ***The MEWT should develop indicators for measuring the efficiency, effectiveness and impact of the CBNRM programme. This exercise should form the base for planning of all CBNRM activities.***
- ***All the conceptualised indicators should inform a detailed process vision/path on how the MEWT ought to address the challenges facing CBNRM implementation in Botswana.***
- ***The impacts of the programme should go beyond the mere creation of employment and realisation of financial benefits at a community level to a more focused and calculated significance at national and international levels.***

5.2.2 Monitoring Systems

Having established the indicators for monitoring, as discussed in para. 5.2.1, the setting of systems had to be pursued to collect and record information relating to such indicators. The information had to be analysed and used to inform the progression of the programme. Besides the fact that the MEWT had not been able to set measurable indicators prior to the commencement of the CBNRM programme, there were a number of systems designed to facilitate monitoring of the programme, albeit without much success. These systems are discussed as follows:

(a) Assessment Sheet

The MEWT through the Department of Wildlife and National Parks developed a Monthly Assessment Sheet (MAS) to monitor the performance of Community Trusts. The sheet had portions on the contact address of the Trust, names of the member village(s), names of board members, projects undertaken by a Trust, revenues generated, training conducted by a Trust, number and types of jobs created by a Trust, meetings held, a list of Officers employed by the Trust and their salaries, an inventory of assets and the problems encountered by the Trust in its operations.

The review of files revealed that the usage of MAS was discontinued in 2007 at Central District. The rest of the DWNP District Offices visited were not using the

MAS. The move by the DWNP to discontinue the usage of the MAS meant that the MEWT and its Departments involved in CBNRM could not have information on the performance of community trusts in each district. Furthermore, that made it difficult for the Ministry to map the trends over time in terms of how the trusts were performing. This was because there was lack of data for certain periods when the usage of the sheet was discontinued.

(b) Management Oriented Monitoring System (MOMS)

According to the CBNRM Practitioners Manual, the DWNP together with Wildlife Management and Conservation Programme-EU (WMCP) implemented pilot projects on the MOMS in three communities in Ngamiland at Khwai Development, Sankuyo Tshwaragano Management and Mababe Zokotsama Community Development Trusts. The system, which was introduced in 2005, was to help stimulate more active community natural resource management. The three communities together with Officials from DWNP conducted an exchange tour to Namibia to learn about MOMS in addition to other issues regarding CBNRM.

The interviews conducted at the three pilot communities revealed that the system was useful because the information collected through MOMS could help influence decisions for management, conservation and utilisation of natural resources. However, the system proved to be under-utilised at those three communities. There was no documented information by the Trusts on the annual results of the MOMS exercise. This scenario violated the requirement that every year, an annual audit of the system had to be conducted where all data was collated and compiled into the Trusts' Annual Natural Resource Reports, which would be shared with other CBNRM stakeholders to update CBNRM monitoring data.

Similarly, the DWNP could not avail timely information on the performance of MOMS over the years and how often the system was evaluated. Therefore, there was lack of information on evaluation of MOMS which could inform the decision on the roll-over of the system to other communities, more especially those communities utilising wildlife quota. There was no evidence to suggest that the system was periodically assessed to measure its performance. The DWNP had not devised a clear strategy of roll-over of the system to other districts. Those communities using the range resources could also use the system to monitor trends of resource use base in their respective areas. However, the insignificant collaborative efforts between the DWNP and DFRR meant that the system could not be used to support the diversification drive away from consumptive to non-consumptive CBNRM.

Recommendation

- ***The MEWT should fully operationalise its monitoring systems with a view to strengthening the overall monitoring of the programme.***
- ***The MEWT agencies involved in CBNRM should reconsider the usage of the Monthly Assessment Sheet and how the sheet may be customised to accommodate the assessment of those trusts utilising non-wildlife resources.***
- ***The MEWT should periodically evaluate all the available systems for monitoring. The evaluation will assist in measuring the performance of the system so far, and to promptly address the identified performance gaps.***
- ***The MEWT should ensure that MOMS is adapted and rolled-over to the operational context of all the trusts utilizing non-wildlife resources.***
- ***MOMS should be audited annually, as required.***

5.2.3 Database

The Ministry of Environment, Wildlife and Tourism had to compile a database of all Community Trusts registered in Botswana and utilising wildlife, cultural and range resources for monitoring purpose.

It was observed that the Department of Wildlife and National Parks compiled a list of 85 CBOs which were registered in Botswana. However, this list was unreliable as there were other reports which claimed that there could be more than 85 CBOs registered in Botswana. In fact, the 2008 WWF SARPO Report stated the number of CBOs in Botswana to be 95, a figure which was also corroborated by the reports from Kalahari Conservation Society. This scenario clearly demonstrated that the Government Departments working with CBOs had not maintained a comprehensive and continuously updated database of all CBOs operating in Botswana. The absence of a continuously updated database made it difficult to accurately identify information such as the exact location of the Trusts in each district, their contact details and any important information as may be deemed necessary. The availability of such information would assist the Ministry to effectively coordinate, monitor, evaluate and report on the Trusts' activities. Moreover, if developed, the database will provide comprehensive project services including project planning and coordination, technical user support, and software development and maintenance.

Recommendation

- ***The MEWT should fast track the process of establishing and maintaining a computerised information system (database) which consists of a broad spectrum of CBO information. Such information may be with regard to***

location and contact details of a trust, description of what a trust does, performance information of a trust and any other information which may be deemed necessary. The availability of such information will help to empower agencies with accurate and timely information for making more informed decisions regarding CBOs.

- ***The MEWT should ensure that the development of the CBO database is supported by participating stakeholders whose role will be to continue their exceptional work in building and maintaining the database and implementing effective utilisation plans.***

5.2.4 Reporting (CBNRM Status Report)

The Ministry of Environment, Wildlife and Tourism has to compile a national CBNRM Status Report on an annual basis. The report assists in giving the status of CBNRM in Botswana and it is part of the Regional CBNRM Forum Performance monitoring.

The frequency of production of the CBNRM Status report had not been consistent with the stipulated reporting time frames. For example, the MEWT produced and disseminated reports for the years 2001, 2003 and 2006. The reports were compiled by the CBNRM Support Programme of IUCN and the Department of Wildlife and National Parks. There was lack of evidence to suggest that the CBNRM status reports had been produced after the relocation of the IUCN.

The absence of CBNRM status reports resulted in non-availability of up-to-date information on the performance of CBNRM in Botswana.

Recommendation

The MEWT should consistently produce the National CBNRM Status Reports as per the set time frame (annually).

5.3 EVALUATION

As an international best practice, the CBNRM programme has to be evaluated to draw comparisons of actual programme impacts against the Ministry and its departments' strategic programme plans. The evaluation has to look at what the programme was planned to achieve and the difference it has to make, hence assessing its progress towards its impact targets.

The MEWT had not undertaken an evaluation of the CBNRM programme during the audit review period (2004/05 – 2008/09). This meant that the programme had not been evaluated and reviewed for a period of 5 years. The evaluation, if done, would assist in measuring the level of customer support and satisfaction

with the programme and related projects. The evaluation would also help to establish the Strengths, Weaknesses, Opportunities and Threats (SWOT Analysis) of the programme.

Consequently, the lack of an objective evaluation had resulted in delays in identifying shortcomings in the overall performance of the programme and implementing measures to address the identified gaps.

Recommendation

- ***The MEWT should make a provision for an evaluation and periodic review of the CBNRM programme at all levels (nationally and locally).***
- ***The MEWT should consider undertaking a systematic SWOT Analysis of the programme.***

Management Comment

Management agreed to the recommendation. They stated that CBNRM was a Government programme that was implemented by a host of stakeholders both within and out of Government. They proposed that Government should commission the evaluation of performance of CBNRM Policy every 3-5 years to determine its effectiveness. Furthermore, the RDD had to be capacitated to conduct the monitoring and evaluation of CBNRM and other programmes as per their mandate.

5.4 IMPLEMENTATION ISSUES

The successful implementation of the CBNRM programme depends largely on coordination and monitoring of the programme, as discussed in the preceding findings. However, it is important to recognise that coordination, monitoring and evaluation might not be a panacea to make problems disappear or make changes to realise the desired outcomes instantly. They are not a solution, instead they are valuable tools that might help to identify problem areas, their causes and suggest possible solutions to those problems. Hence the inefficient and ineffective coordination and monitoring of the CBNRM programme by the MEWT and its three agencies (DWNP, DFRR and BTB) turned out the following implementation issues. These issues are seen as constraints to the development of CBNRM at a community level.

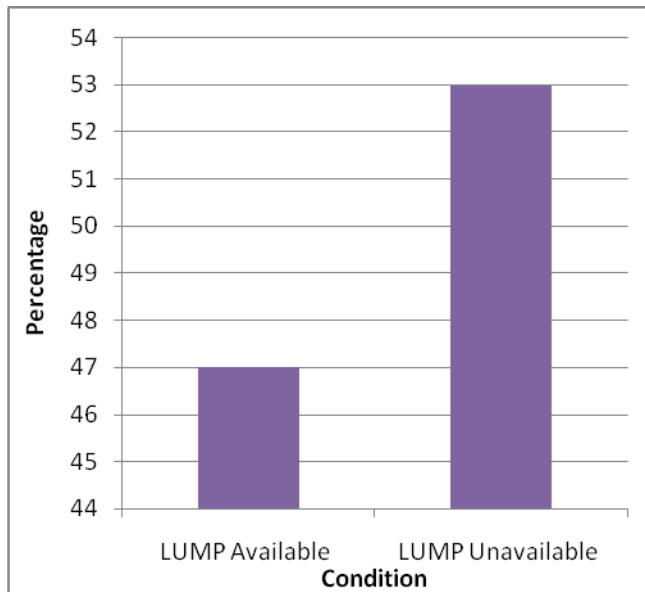
5.4.1 Land Use Management Plan (LUMP)

Communities had to develop Land Use and Management Plans which conformed to Government policies and laws, relevant to District Development Plans and Land Use Plans. The Management Plan had to be submitted to the land authority in order to acquire access to a Controlled Hunting Area (CHA), in

case of wildlife based CBNRM. It indicated the usage to be made of the land and ensured that it met the criteria set by the land authority.

It was observed that most of the Trusts visited had not developed and implemented their Management Plans during the audit review period (2004/05 to 2008/09). However, it is worth noting that some of the trusts managed to develop their Management Plans beyond the review period, even though some of them were not yet approved. Figure 1 presents the proportion of Trusts with Management Plans to those Trusts without the plans.

Figure 1, illustrating the percentage of Trusts with(out) LUMP



Source: Fieldwork, 2009

Figure 1 indicates that 47%, representing 8 out of 17, of the trusts audited had Land Use and Management Plans in place. 53% (9 out of 17) of the Trusts did not have Management Plans at the time of audit. However, it was observed that of the 9 trusts without LUMP, some of them had either begun the process or were at an advanced stage of producing the plans. Table 1 provides more insight on the status of Management Plans at each of the 17 Trusts.

Table 1 Status of Management Plans at selected Trusts

| NAME OF TRUST | STATUS OF MANAGEMENT PLAN |
|---|---|
| Kgetsi Ya Tsie Women Resources Enterprise | Not available |
| Mapanda Conservation Trust | Not available, Environmental Management Plan reported due in the second week of March 2009. |
| Naoletswabatho Trust | Not available |
| Koinaphu Trust | Not available |
| Tsamama Trust | Not available, BTB awarded tender for development of an environmental management Plan in December 2008. |
| Snakes of the Desert Trust | Not available |
| Xwiskurusa Conservation Trust | Not yet approved, draft reported to be with DWNP and Permaculture Association of Botswana |
| Huiku Community Trust | Not available on request from the Trust |
| PALEKA Conservation Trust | Not available, still in the process of engaging a Consultant. |

Source: Fieldwork, 2009

The delayed production and implementation of the Management Plans by the trusts referred to at Table 1, had aggravated concerns raised by researchers and other stakeholders to the effect that communities were mostly interested in making profits through natural resources without providing a measure of balance through the conservation of the same natural resources they used. It was difficult to assess the level of compliance to existing Government regulatory frameworks (District Development Plans and Land Use Plans) since the Trusts did not have approved Management Plans which were also implemented. It was also difficult to assess the level of commitment from the Trusts' Management

towards continual environmental improvement coupled with economic and social considerations.

Recommendation

- ***The MEWT should encourage Community Trusts to fast track the development, implementation and review of their Management Plans. This move could help communities to conserve the natural resources in their locality and upon which their source of livelihood is derived.***
- ***The MEWT should instigate periodic and/or spot checks to ensure implementation and compliance to Management Plans by communities.***

5.4.2 Resource Royalty Fee

The collection of the resource royalty fees which was historically done by the District Councils was handed over to MEWT effective April 2007. Following the handover, the MEWT, through the Botswana Tourism Board, had to collect a resource royalty fee from the Trusts which were commercially utilising the natural resources. The fee was equivalent to 4% of the annual gross revenue generated by the trusts. Therefore, the BTB was only required to collect on behalf of MEWT from October 2008. The BTB concentrated on the backlog between April 2007 and October 2008, in addition to the normal collections.

It was observed during the audit that the Botswana Tourism Board was collecting the fee from only 20 trusts out of a possible 85, representing 23.5% of all the Trusts. There were a number of reasons which led to the inefficient collection of the resource royalty fee by the BTB and these are discussed below:

(a) Database

The absence of a continuously updated CBO database alluded to in para. 4.2.3 resulted in the BTB not having complete information on all the trusts registered and operating in Botswana, which were also eligible for paying the royalty fee. The BTB was not aware of the exact locations and contact details of most of the trusts as well as their performance in general. The effect had been that a number of trusts defaulted in payment of the royalty fee and that would reduce the amount of revenue going towards the National Environmental Fund.

(b) Natural Resources Management Lease

The Natural Resources Management lease for some of the Trusts did not specify the resource royalty fee to be paid by the Trusts. Examples of such Trusts include

Khawa, Mapanda, Huiku and Xwiskurusa. Furthermore, the lease stipulated that the fees had to be paid to the Land Board, contrary to the requirement that the fees had to be paid to the Botswana Tourism Board. This was further supported by the views from the earlier mentioned Trusts who were not clear on the procedure to be followed regarding the payment of the 4% resource royalty fee. As a result, these trusts defaulted in payment of the resource royalty fee.

Recommendation

The Botswana Tourism Board should enhance its efficiency in the collection of the resource royalty fees from community trusts. This will be made possible by first identifying all the gray areas which act as impediments towards an efficient performance of BTB's responsibility as regards royalty fees. For instance, the creation of a continuously maintained CBO database and the specification of the resource royalty fee percentage in the LUMP are just some of the areas to consider with a view to improving on the efficiency of collection of the royalties.

5.4.3 Sub-leasing

Communities were encouraged to enter into joint venture partnerships or agreements with private companies. The initiative was aimed at empowering them to benefit from natural resources by commercially utilising them, through business enterprises and tourism ventures.

Notwithstanding such a noble initiative, a number of constraints to an effective functioning of joint ventures were identified and these are discussed below:

(a) Sub-lease agreement

Almost all the Trusts utilising wildlife quota were into joint venture agreements. The agreements culminated in the signing of a Memorandum of Sublease Agreement (MSA) between a community and a private company. The MSA was a documented contract which laid down the terms and conditions of the agreement and the rights and responsibilities of both parties.

Based on the interviews conducted with the Trusts' management, it was observed that the sublease agreement benefited the communities less because of the following factors:

- (i) Communities were not actively involved in the setting of the price of their allocated quota. What transpired was that the Safari Operator reserved the price of the different species making up a quota. Negotiations

between the community and the operator would then be guided by the reserved price. The outcome of the negotiations presented a scenario whereby the final agreed price of the quota would constitute marginal deviations from the initial price. The deviation was normally due to an agreed annual percentage increment of 10% for most of the trusts. The situation was more pronounced in those districts where wildlife was less abundant such as Kgalagadi and Gantsi. The communities there, had limited options for negotiation compared to those in the Ngamiland and Chobe Districts where the abundant wildlife attracted more competition for Safari Operators and more bargaining power for the community.

- (ii) Once the price of the quota was agreed, the community had to transfer their wildlife quota user rights to the Safari Operator. The Safari Operator, in turn, paid the community quota and land rental fees. The agreement might also contain some pledges made by the operator towards the community. It was observed that the agreement was a 'mere barter system' whereby the community exchanged their wildlife quota for a certain goods such as computers, vehicles and wedding tents. Apart from that, there were no other benefits with long term implications. For instance, there was little or no effort made by the Operators to enhance the capacity or leadership of the community by transferring critical skills to members of the community. There was often limited communication between the operator and the community which resulted in the latter being a passive player in the entire agreement.
- (iii) The sublease agreement was normally for a period of 15 years, reviewed with the option to renew the agreement after every 5 years. Apart from the 5 years intervals, there was no other specified short time periods to undertake the review of the agreement. This resulted in the terms and conditions of the agreement being breached, more especially by the Safari Operators. The violation of the terms of the agreement was more pronounced in instances where the operators failed to honour the pledges made towards the community.

Recommendation

- ***As an active facilitator, the MEWT should enhance the integrity of joint ventures by ensuring that the involved parties benefit positively. Communities should be assisted to be actively involved in the decision making process, such as determining the quota fees.***

- ***The Ministry should ensure that a sublease agreement entered into between a community and Safari Operator is accompanied by tangible benefits and transfer of critical skills and expertise to members of the Community.***
- ***The MEWT, with the assistance of the TAC, should ensure that the terms and conditions of the agreement are fully enforced to ensure their non-violations.***

5.4.4 Projects implementation

CBNRM projects have to be implemented in a timely manner and consistent with initial planning documents to allow for an efficient utilisation of financial resources from such projects.

There was delayed implementation of projects measured against the initial plans. This was evidenced in some of the projects (Lepokole, Moremi and Tsabong) undertaken by the BTB in conjunction with communities. For instance, the project at Moremi was delayed pending the approval of the Environmental Impact Assessment. The delay meant that the BTB had to delay the process of issuing tenders for the design and construction of the facilities at Moremi gorge. At the Tsabong eco-tourism camel project, BTB was still in the process of re-tendering for the design and construction of the facilities to be constructed at the Camel Park. The re-tendering was reportedly necessitated by the low response to the open tender process that was conducted towards the end of 2008.

Apart from the projects undertaken by the BTB, some of the Community Trusts were not able to implement most of the planned projects. For instance, 6 campsites were built at Kgalagadi (KD 1) through funds from the Environment Development Foundation. However, the project collapsed because the Safari Company contracted, did not approve the structure and location of the campsites. Still in Kgalagadi (KD 2), water was not provided to the campsite constructed there.

The delayed implementation of projects at a community level had time and cost implications for communities. It leads to both time and cost overrun.

Recommendation

- ***The MEWT agencies should ensure timely implementation of all the projects planned in any particular year.***

- *The MEWT should ensure that all impediments to project implementation, such as delays in conducting environmental assessment and tendering processes, are addressed well in time.*
- *The MEWT should develop project implementation plans which should be followed, where possible, so as to ensure compliance to the set time frames and cost estimates.*
- *The MEWT should ensure that the scoping of projects is realistic and achievable, taking into account budgetary and human resources constraints.*

5.5 OVERALL CONCLUSION

The Community Based Natural Resources Management had been implemented in Botswana for almost two decades, as a sustainability strategy for improving socio-economic livelihood of rural communities while on the other hand, conserving the natural environment. A number of regulatory frameworks had been developed by the MEWT to facilitate an efficient and effective coordination, implementation and monitoring of the CBNRM programme, notably; the CBNRM Policy of 2007, Model Deeds of Trusts and Financial Management Manual for CBOs. The Ministry had also established relevant Departments like DWNP and DFRR as well as a Parastatal like BTB, to deliver basic services for their own particular mandated CBNRM responsibilities and activities. All the above initiatives ensured that proper governance and institutional management practices were strengthened and that the effect of that arrangement trickled down to the Community Based Organisations.

In spite of the developments in regulatory and administrative frameworks, there had been increasing concerns about the inability of CBNRM to meet its expected outcomes. The Communities through their CBOs had been unable to engage in mainstream tourism operations such as developing enterprises which could be sustained over time. The unfolding scenario cast some doubt on whether the implementation of CBNRM was yielding any tangible results. In light of that, an audit was undertaken to assess the role of the MEWT in coordinating and monitoring the CBNRM programme. The findings of the audit had shown that the MEWT needed to strengthen its coordination and monitoring of the implementation of the programme.

The MEWT had to strengthen the overall coordination of CBNRM at a ministerial level thereby ensuring that the particular mandates of its two Departments and a Parastatal were well delivered. Furthermore, the MEWT had to develop an appropriate inter-agency planning platform which would ensure that its Departments and Parastatal established a cordial working relationship in CBNRM planning and implementation. The capacity of the MEWT staff needed to be enhanced to support the diversification of CBNRM away from wildlife to other resources such as forests and monuments.

The MEWT had to establish a clear procedure which would guide all the different stakeholders interested in mobilising and assisting Communities. The

MEWT had to revamp all its monitoring tools and systems to provide reliable data for continual performance improvement of Community Trusts. Eventually, there was need for periodic reviews and evaluation of the programme to identify performance gaps and ensure its sustainability.

Appendix I. List of interviewees

Deputy Permanent Secretary (MEWT)
Research and Development Unit Coordinator (MEWT)
CBNRM Coordinator (DWNP headquarters)
Director, Department of Forestry and Range Resources
Head, Conservation and Management Division (DFRR)
Head, Research and Monitoring Division (DFRR)
Head, Division of Extension Services (DFRR)
Head, Forestry and Range Resources Management Section (DFRR)
Chief Executive Officer, Botswana Tourism Board
Internal Auditor, Botswana Tourism Board
Business Development Manager, Botswana Tourism Board
Tourism Investment Executive, Botswana Tourism Board
Accountant, Botswana Tourism Board
Projects Administration Manager, Botswana Tourism Board
Heads of district offices at DWNP and DFRR (6)
Community Support and Outreach personnel (DWNP) at the districts (17)
Managers and Accountants for 9 of the visited Community Trusts (18)
Members of the Board of Trustees (51)
Community Escort Guides (34)

Appendix II. List of documents reviewed

- CBNRM Policy of 2007
- CBNRM Practitioners Manual
- Guidelines on establishing Joint Venture Agreement or Partnership
- MEWT Strategic Plan 2004-2008
- Botswana Tourism Board 2007-2012 Corporate Plan
- Financial Management Manual for CBOs
- Community Conservation Fund and Conservation Trust Fund guidelines
- Model Deed of Trusts for CBOs
- Project progress reports
- Files and other documents
- CBNRM in Botswana 1989-2002; A Select and Annotated Bibliography and other stories (CBNRM Support Programme, Occasional Paper No.11)
- An economic view on Wildlife Management Areas in Botswana (CBNRM Support Programme, Occasional Paper No.10)
- Labour Laws and Community Based Organisations in Botswana (CBNRM Support Programme, Occasional Paper No.13)
- Community Natural Resources of Bugakhwe and Anikhwe in the Okavango Panhandle in Botswana (CBNRM Support Programme, Occasional Paper No.12)
- CBNRM, The Rising or Setting Sun for Conflict Mitigation in Natural Resource Management: The Case of CBNRM in Botswana (IUCN, Botswana)
- The Impact of 'Networks' on the participation of Communities in Community-based natural resources Management in Botswana (Minutes of the 9th Biennial Conference of the International Association for the Study of Common Property held in Victoria Falls, Zimbabwe, 17-21 June 2002)
- CBNRM and Pastoral developments in Botswana: Implications for San Land Rights (International Land Coalition)
- Internal CBNRM Institutional Capacity Assessment and Strengthening Study (Steven Johnson, February 2009).
- Assessment of CBNRM Performance Monitoring and Reporting Status in Botswana, Malawi, Mozambique, Namibia, Zambia and Zimbabwe (Draft, WWF SARPO, April 2008)

