

Validation workshop of the Draft Monitoring and Evaluation Framework for Transfrontier Conservation Areas (TFCAs) in the SADC region

# The M&E Framework exercise

- Recap of the objectives of the M&E Framework exercise
- Matters arising from the Situation Analysis Report and Community of Practice

(30 minutes)

# The objectives of the M&E framework exercise

The overall objective is to develop a "SADC TFCA M&E Framework" that will enable the standardised collection and evaluation of, and reporting on data which provides an accurate and up to date picture of the collective contributions of SADC TFCAs to meeting objectives of biodiversity conservation, social welfare and economic growth at both the TFCA and regional levels".

# The objectives of the M&E framework exercise

#### The M&E Framework objectives and priorities:

- Overarching question WHAT IS THE ADDED VALUE of TFCAs?
- Stakeholders engagement process (Elements Workshop, site visits, email consultation, review process with M&E Community of Practice);
- Practicality of final document user-friendliness and effectiveness of implementation;
- Ability to capture TFCA and regional information for progress reporting;
- Integration with SADC M&E web-based system.

#### The outputs of the M&E framework exercise

#### The Situation Analysis Report on M&E tools for TFCAs:

The contents of the SAR were discussed during the inception report to include

- 1) a global review of how TFCA performance is monitored and evaluated globally, and
- 2) the tools, which are directly and/or indirectly relevant to the creation of a SADC TFCA M&E framework.
- The <u>M&E Framework</u>, which contains all the information originally assigned to the SAR.

### Matters arising from the SAR

**Approach:** Assessment of usefulness of M&E tools using Common Property Resource Principles.

**Foundation:** Legal and policy framework for the establishment and implementation of TFCAs.

- Presentation of existing tools relevant to TFCA M&E:
  - Tools embedded in international soft law (Aichi Targets, SDGs)
  - Tools embedded in international PA designations (Ramsar WIAM, UNESCO)
  - Tools created for PA and other conservation objectives (SMART and MIKE, METT)
  - Tools created specifically for TFCA M&E (IUCN, PPF-PAT, KAZA M&E)
- Discussion on applicability to SADC TFCAs pillars and requirements.
- Recommendations

### Matters arising from the SAR

The objective of the SAR as currently structured is to provide a comprehensive document able to give relevant information on:

- History and evolution of Transboundary Conservation globally and in Southern Africa;
- 2. Legal and policy framework for the establishment and sustainable management of TFCAs, addressing:
  - International soft and hard environmental legislation;
  - African Union policy and conventions;
  - SADC Protocols, strategies and other relevant documents.
- 3. Existing M&E frameworks and tools that are directly and indirectly applicable to the SADC M&E framework.





## The M&E Framework validation

- Background and purpose of the presentation
- Detailed presentation of the M&E Framework structure
- Comments and discussion

(2 hours and 30 minutes)

#### Background to the M&E framework

"At a regional level, a monitoring and evaluation system needs to be tailored to assess the progression of the SADC TFCA programme"

SADC TFCA Programme

<u>C4 Objective 2:</u> Establish monitoring and evaluation frameworks for TFCA development and management at the TFCA and regional levels;

<u>C4 Output 3</u>: Progress of individual TFCAs and the SADC programme periodically measured and analysed;

<u>C4 Key Activity 6</u>: Establish monitoring and evaluation systems for the TFCA level and regional level.

#### Policy framework to the M&E framework

The relevant objectives of SADC are:

(a) To promote sustainable and equitable economic growth and socio-economic development [...] through regional integration;

(g) To achieve sustainable utilisation of natural resources and effective protection of the environment.

The establishing Treaty of SADC (1992, amended 2001)

# SADC Legal framework to the M&E framework

1999 Protocol on Wildlife Conservation and Law Enforcement

1998 Protocol on Tourism

2000 Revised Protocol on Shared Watercourses

2001 Protocol on Fisheries

2002 Protocol on Forestry

# SADC Policy framework to the M&E framework

**Regional Integrated Strategic Development Plan** 

**Regional Biodiversity Strategy** 

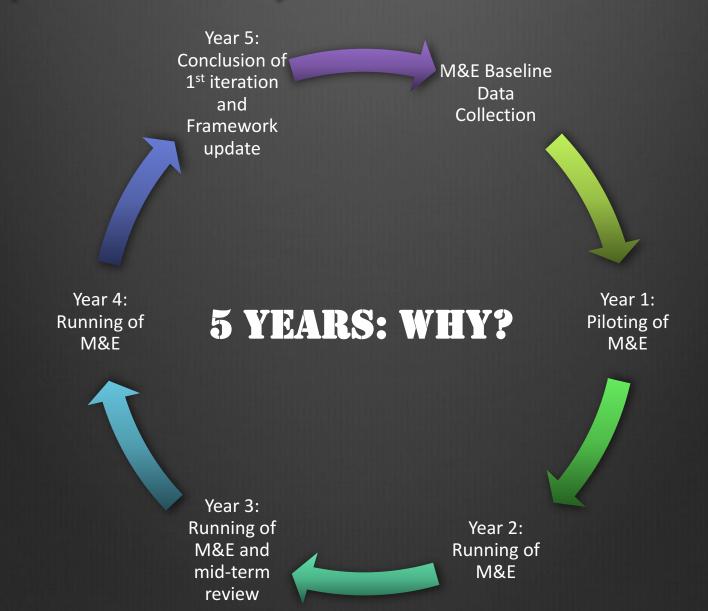
SADC Policy: Strategy Development, Planning, Monitoring and Evaluation

SADC Guidelines for the establishment and development of TFCAs

#### Purpose of the M&E framework

How do TFCAs add value to the joint management of shared natural and cultural resources to support sustainable development, conservation and the promotion of regional integration in the Southern **African Development Community?** 

### Implementation Cycle of the M&E framework



#### Justification for 5Y life cycle

Allow for all or most TFCAs currently in Category B and C to be finalised, so that all feasible regional TFCAs are established;

Allow for the more advanced TFCAs to finalise and pilot their individual M&E system;

Align as much as possible the implementation stages of TFCAs in the region.

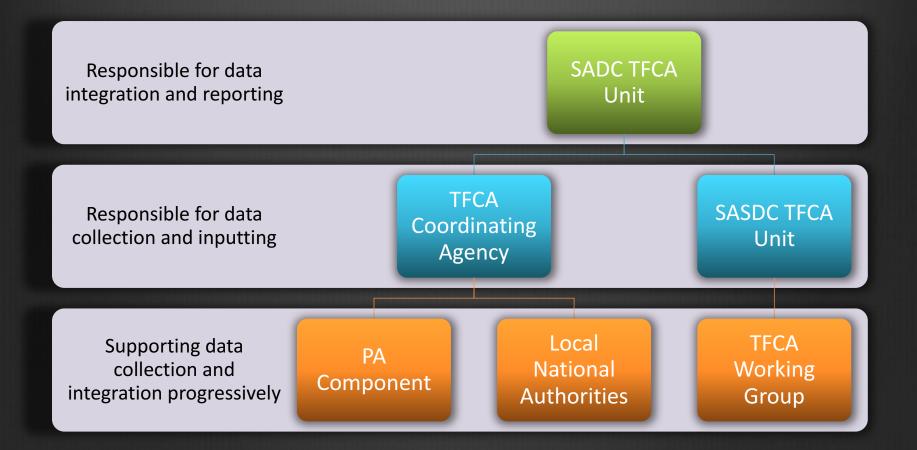
#### Objectives for 5Y life cycle

- Facilitate an initial understanding of the feasibility of a regional TFCA M&E exercise, both individually and as a component of the SADC Results-based M&E system;
- Facilitate the integration of the TFCAs objectives with other SADC hard and soft legislation, with possibility to create a specific protocol for TFCAs establishment and implementation, that merges the requirements and expectations of all other relevant documents;
- Help align regional objectives to international targets, namely the Sustainable Development Goals, to facilitate integrated reporting.

### Question for 5Y life cycle

Should we review the framework in year 2.5 and 5, as suggested, or in year 2 and 4?

# Implementation hierarchy of the M&E framework



#### Questions for hierarchy

Will the TFCA Working Group be established?

Will the TFCA Stakeholders' Forum be established?

# Roles and Responsibilities in the M&E framework

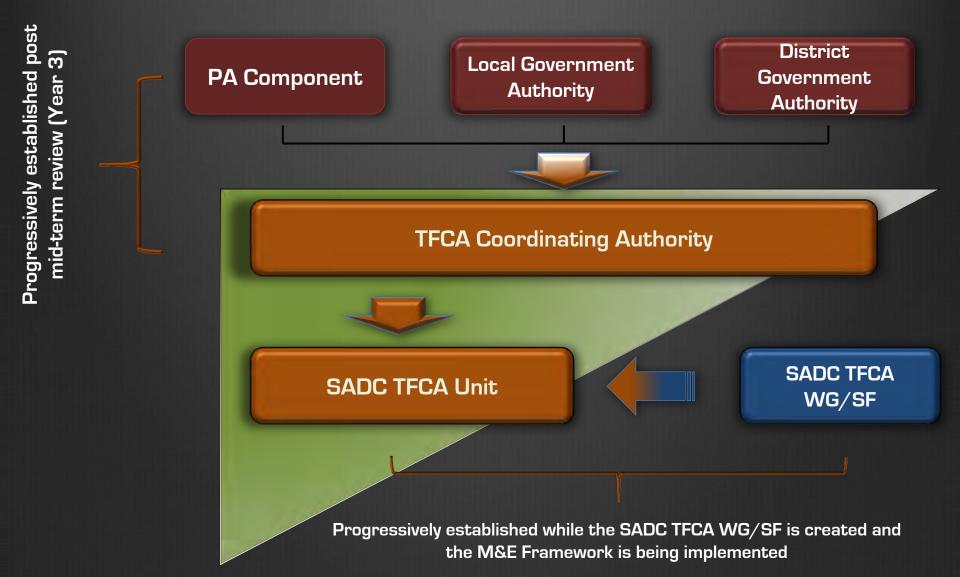
Role	Person	Responsibility				
Data manager and reporting officer	Officer within SADC TFCA Unit	This person is responsible to collect data at the regional level directly, in response to the relevant indicators.				
		He/she is also responsible to collect and evaluate the reporting provided by each TFCA, and compile the final report.				
Data collection per TFCA	Coordinator for the TFCA	Each person in a TFCA Coordinating position is responsible to report on most of the indicators of the framework.				
		If secondary data is needed, they are responsible to verify the source and accuracy of the information.				
Data validation and system reporting	SADC M&E officer for FANR	Throughout the piloting phase and every year, before reporting is completed, this person is responsible to verify that all data is entered and that it is entered correctly, and seek rectification when needed.				

### Questions for R&Rs

Will there be a dedicated person at SADC TFCA Unit level?

Should we unpack the expression "person in a TFCA Coordinating position" to assign specific roles for each TFCA?

## The information flow of the M&E framework



### The Data handling for the M&E framework

- Data Management: The information collected through the TFCAs M&E Framework exercises shall be <u>owned by</u> <u>SADC</u>, it being ultimately responsible for its storage, management, and analysis.
- Data Storage: The information generated with the TFCAs M&E Framework process shall be stored by SADC as a component of the overall SADC Results-based M&E System process currently being established.

The reports generated by the SADC TFCA Unit will be also stored on the public portal of the TFCA Network, <a href="http://www.tfcaportal.org">http://www.tfcaportal.org</a>

#### The Data handling for the M&E framework

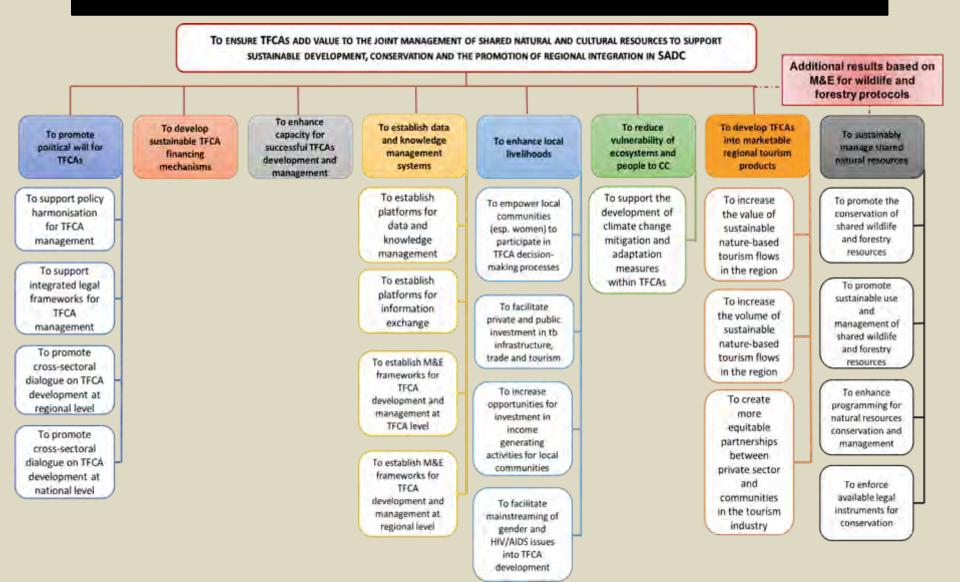
- Data Access: Due to the nature of the SADC Results-based M&E System, people involved in the implementation of the TFCA M&E Framework will be granted access to the online reporting website as follows.
  - This may change in the second reiteration cycle of the SADC TFCA M&E system, depending on evaluation of the TFCA M&E framework and progress for the SADC Results-based M&E system.

Officer	Access data	Access report
SADC TFCA officer	Access to all raw data for the TFCA M&E Framework; Progressive access to raw data for other sectors.	Access to all reports in the SADC Results-based M&E system.
TFCA Coordination authority	Access to raw data for own TFCA.	Access to all report in TFCA M&E system.

#### The Data handling for the M&E framework

Data Analysis: The officer for SADC TFCA Unit is ultimately responsible for data analysis and reporting on the TFCA M&E framework structure, he/she may decide to grant access to raw data to other stakeholders in accordance to SADC Privacy Policy.

### The M&E Results framework



#### Questions for M&E Results Framework

Should we use the contents of the outputs and key activities for Components 2 and 3 and formulate Overarching Strategic Objectives?

This may support the revision of the TFCA Programme.

# The M&E Framework validation

- Group work on M&E Framework
- Feedback from group work

(3 hours)

#### Questions on M&E Framework

- Should we review the framework in year 2.5 and 5, as suggested, or in year 2 and 4?
- Will the TFCA Working Group be established?
- Will the TFCA Stakeholders' Forum be established?
- Will there be a dedicated person at SADC TFCA Unit level?
- Should we unpack the expression "person in a TFCA Coordinating position" to assign specific roles for each TFCA?
- Should we use the contents of the outputs and key activities for Components 2 and 3 and formulate Overarching Strategic Objectives?

## The M&E Framework indicators

- Presentation of indicators
- Questions arising from indicators

(2 hours and 30 minutes)

ld code	Definition	Baseline	Target – by 2022	Data collection	Sources	Responsible	Notes
IND01/01	Number of documents establishing a TFCA.	2017	Current number of TFCAs as per 2017 updated list	Annual	TFCA coordination authority	TFCA CA	Once the target is achieved, this indicator is nullified.
IND01/02	Revision of relevant SADC Protocols and strategic documents, and TFCA Programme.	2017	Creation of a SADC TFCA Protocol and periodical review of the Programme.	Annual	SADC documents library	SADC TFCA Unit	Once the target is achieved, it progresses to: Revision of SADC TFCA Protocol and Programme.
IND01/03	Establishment of a TFCA Stakeholders' Forum (TFCA-SF).	2017	To have an active TFCA- SF with a specific constitution that can help advocacy and capacity building. This indicator also responds to Key Activity 1 of Component 4.	Annual	SADC TFCA Unit	SADC TFCA Unit	Once the target is achieved, it progresses to: Activities performed by the TFCA-SF.
IND01/04	Number of legal frameworks for TFCAs, with gap analysis, produced.	2017	To have relevant legal registers with gap analysis produced for all the countries in the region.	Annual	TFCA CA	TFCA CA	Once the target is achieved, it progresses to: National legislation reviewed to address the findings of legal gap analysis.
IND01/05	Tools to facilitate the cross-border movement of <i>all</i> people in a TFCA.	2017	Establishment of a functional UNIVisa per TFCA or TFCA Cluster for tourist and similar permit for local residents, and other relevant sectors.	Annual	TFCA CA	TFCA CA	Once the target is achieved this indicator is nullified.
IND01/06	Number of joint strategies developed for the management of shared natural resources.	2017	Foster the implementation of other relevant SADC Protocols and support TFCA implementation.	Annual	TFCA CA and PA management	TFCA CA	This indicator may progressively include a disaggregation for <b>frequency</b> and <b>successfulness</b> .
IND01/07	Number of TFCA management documents enforced.	2017	Ensure that all TFCAs have management documents, which address the three pillars of TFCA in SADC.	Annual	TFCA CA	TFCA CA	This indicator is built on the implementation of the PPF PAT System, it requires a summary of information.

Id code	Definition	Baseline	Target	Data collection	Sources	Responsible	Notes
IND02/01	Percentage of a country's annual budget allocated/invested into a TFCA country component.	2017	A minimum target should be set per country.	Annual	National government data	TFCA CA	This contribution may and, eventually, should come from different sectors.
IND02/02	Percentage in co- financing leverage of government expenditure per TFCA country component.	2017	A minimum target should be set per country.	Annual	National government data	TFCA CA	Once the target is achieved, it progresses to: Revision of SADC TFCA Protocol.
IND02/03	Development of a Natural Capital accounting system per TFCA country component.	2017	To produce feasible accounting system for natural capital, including tourism levies from community-based ecosystem services, no. of rare/endangered species sightings, and hectares of CA allocated to biodiversity conservation.	Annual	PA database, participatory appraisals.	TFCA CA	Once the target is achieved, it progresses to: Quality of implementation of the Natural Capital Accounting System per country component.
IND02/04	Creation of a regional fund to collect and re- distribute TFCA funding at regional level.	2017	Establishment of a functional regional fund as a sustainable financial mechanism.	Annual	SADC TFCA Unit	SADC TFCA Unit	Once the target is achieved this indicator progresses to: Successful operation of the TFCA regional fund.
IND02/05	Number of joint cross- border activities with shared costing.	2017	Ensure that funding for joint activities is driven by the country component of TFCA CA.	Annual	TFCA CA and PA management	TFCA CA	This indicator may progressively include a disaggregation for frequency and successfulness.
IND02/06	Percentage of investment in TFCA related to percentage of growth rate.	2017	Ensure that the % of investment in a TFCA does not exceed its own growth rate.	Annual	TFCA CA, PA management and other government sectors.	TFCA CA	This is a permanent indicator.

ld code	Definition	Baseline	Target	Data collection	Sources	Responsible	Notes
IND03/01	Creation of short courses on TFCA development and management for TFCA stakeholders. DSG	2017	A minimum of one course per target group should be developed under the auspices of SADC-TFCA.	Annual	SADC TFCA Unit	SADC TFCA Unit	This indicator should be entirely managed by the SADC TFCA Unit who should approve the type of training produced.
IND03/02	Number of training on TFCA stakeholders. <i>DSG</i>	2017	All stakeholder groups should be targeted.	Annual	TFCA CA and PA management	TFCA CA	This is a progressive indicator.
IND03/03	Number of joint training per TFCA increases. <i>DSG</i>	2017	The target is variable per stakeholder group.	Annual	TFCA CA and PA management.	TFCA CA	This is a progressive indicator.
IND03/04	Attendance to basic skills development training per relevant industry per stakeholder group. DSG	2017	The target is variable per stakeholder group.	Annual	TFCA CA and PA management.	TFCA CA	This is a progressive indicator.
IND03/05	Number of existing courses on TFCAs in higher education institutes.	2017	The target is at least one institution per country.	Annual	Internet, Training and Skills CoP.	SADC TFCA Unit.	This indicator may be disaggregated by study level up to PhD.
IND03/06	Number of people working in TFCA management trained in TFCA management.	2017	Ideally, all management should be trained formally in TFCA management, progressively.	Annual	TFCA CA, and PA management.	TFCA CA	
IND03/07	Percentage of staff retention in TFCAs and in National TFCA Units.	2017	A minimum target should be set.	Annual	TFCA CA, and PA management.	TFCA CA	

Id code	Definition	Baseline	Target	Data collection	Sources	Responsible	Notes
IND04/01	Establishment of a data- sharing platform for SADC TFCAs involving multiple users.	2017	The creation of an accessible web platform for sharing information on SADC TFCAs between and for multiple users.	Annual	SADC TFCA Unit	SADC TFCA Unit	Once achieved, this indicator progresses to: Number of new resources posted on the portal by members.
IND04/02	Creation of a regional monitoring and evaluation framework linked to SADC M&E web portal.	2017	The creation of an agreed M&E framework to allow reporting on the implementation of the SADC TFCA Programme.	Annual	SADC TFCA Unit	SADC TFCA Unit	Once achieved, this indicator progresses to: Revision and update of the SADC TFCA M&E Framework.
IND04/03	Creation of M&E frameworks per TFCA.	2017	Each TFCA should have piloted its M&E framework by	Annual	TFCA CA	TFCA CA	Once achieved, this indicator progresses to: Revision and update of the TFCA M&E Framework.
IND04/04	Establishment of a database for all SADC TFCAs knowledge.	2017	Create a central repository of information pertaining to TFCA development.	Annual	SADC TFCA Unit	SADC TFCA Unit	Once achieved, this indicator progresses to: Number of new resources added on database.
IND04/05	Establishment of an ICP coordination forum.	2017	The creation of a virtual/physical forum to coordinate the activities of ICPs in supporting the implementation of the SADC TFCA Programme.	Annual	SADC TFCA Unit	SADC TFCA Unit.	Once achieved, this indicator progresses to: Number of decisions taken/activities supported by the ICP forum, with details.

ld code	Definition	Baseline	Target	Data collection	Sources	Responsible	Notes
IND05/01	Establishment of forum for participatory decision-making with affected communities.	2017	The creation of a forum at TFCA (nodal) level to ensure local communities are involved in decision- making process.	Annual	TFCA CA	TFCA CA	Once achieved, this indicator progresses to: Number of meetings held by the fora.
IND05/02	Number of women involved in the participatory forum.	2017	To achieve a gender balance in membership of the forum.	Annual	TFCA CA	TFCA CA	This indicator can only be used once indicator 05/01 has been achieved.
IND05/03	Number of youth involved in the participatory forum.	2017	To ensure youth is included in the membership of the forum.	Annual	TFCA CA	TFCA CA	This indicator can only be used once indicator 05/01 has been achieved.
IND05/04	Number of people with disabilities involved in the participatory forum.	2017	To ensure people with disabilities are included in the forum membership.	Annual	TFCA CA	TFCA CA	This indicator can only be used once indicator 05/01 has been achieved.
IND05/05	Number of people from affected rural communities deriving a livelihood from the TFCA.	2017	To provide information on the effective role of TFCAs in fostering employment at various levels.	Annual	TFCA CA	TFCA CA	This indicator can be further disaggregated by gender, age and employment sector and type of contract.
IND05/06	Update of TFCA Treaty to mainstream gender balance into TFCA implementation.	2017	To review all TFCA establishing treaties to include the role of the TFCA in paying special attention to gender balance.	Annual	TFCA CA	TFCA CA	Once achieved, this indicator progresses to: Review all TFCA Management Plans to mainstream gender balance.
IND05/07	Update of TFCA Treaty to mainstream HIV/AIDS into TFCA implementation.	2017	To review all TFCA establishing treaties to include the role of the TFCA in paying special attention to HIV/AIDS.	Annual	TFCA CA	TFCA CA	Once achieved, this indicator progresses to: Review all TFCA Management Plans to mainstream and HIV/AIDS.
IND05/08	Creation of a Development Projects portfolio and database per TFCA.	2017	To establish and maintain a database on development projects happening in TFCAs (see GLTFCA).	Annual	TFCA CA	TFCA CA	Once achieved, this indicator progresses to: Update of Development project portfolio and database per TFCA.
IND05/09	Number and type of community partnership investments per TFCA.	2017	To establish a database of all community partnerships with private and public sectors.	Annual	TFCA CA	TFCA CA	

ld code	Definition	Baseline	Target	Data collection	Sources	Responsible	Notes
IND06/01	Mapping of Climate Change vulnerability per TFCA.	2017	To establish the vulnerability of each TFCA, and compounded, to the effects of Climate Change, by identifying hazards and drivers.	Annual	TFCA CA	TFCA CA	Once achieved, this indicator progresses to: Periodical update of the TFCA level mapping.
IND06/02	Production of a Situation Analysis Report on TFCA Climate Change vulnerability and regional reduction plan.	2017	To establish a baseline for addressing ecological and human vulnerability at TFCA level.	Annual	SADC TFCA Unit; TFCA stakeholder forum.	TFCA CA	Once achieved, this indicator progresses to: Periodical update of the TFCA CC regional reduction plan.
IND06/03	Create training for CC vulnerability awareness at TFCA level.	2017	To implement awareness campaigns from the regional action plan.	Annual	TFCA CA	TFCA CA	This indicator can only be used once indicator 06/01 & 02 have been achieved. Once the training is created, it progresses to: Number of participatory training sessions hosted with rural communities.
IND06/04	Increase in uptake of small-scale alternative energy technologies at community level.	2017	To monitor the local divestment from traditional energy sources.	Annual	TFCA CA	TFCA CA	
IND06/05	Increase in divestment from traditional energy technologies at TFCA level, including private sector partners.	2017	To monitor and instigate a change in the choice of energy sources that are sustainable.	Annual	TFCA CA	TFCA CA	
IND06/06	Establishment of TFCA level emergency planning for climate change driven events.	2017	To create and implement event response planning and risk reduction strategies.	Annual	TFCA CA; PA management; national disaster management authorities.	TFCA CA	Once achieved, this indicator progresses to: Degree of implementation of disaster risk reduction strategies at TFCA level.
IND06/07	Establishment of a carbon sequestration plan per TFCA based on ecosystem services.	2017	To derive financial benefits from the maintenance of ecosystems services reducing the vulnerability of natural resources and people.	Annual	TFCA CA	TFCA CA	Once achieved, this indicator progresses to: Financial capital added to TFCA through carbon sequestration.

ld code	Definition	Baseline	Target	Data collection	Sources	Responsible	Notes
IND07/01	Production of a regional TFCA tourism strategy for product creation and marketing.	2017	To establish a baseline of action against which to monitor the performance of TFCAs at regional level.	Annual	SADC TFCA Unit	SADC TFCA Unit	Once achieved, this indicator progresses to: <b>Periodical review of</b> the regional TFCA tourism strategy for product creation and marketing.
IND07/02	Production of certification system for TFCA-based tourism products.	2017	To establish a certification system, similar to Europarc, for TFCA-based tourism products.	Annual	SADC TFCA Unit	SADC TFCA Unit	Once achieved, this indicator progresses to: <b>Periodical review of</b> <b>the SADC TFCA Tourism certification</b> <b>system.</b>
IND07/03	Production of guidelines to facilitate equitable partnerships between rural communities and the public/private sectors.	2017	To establish a baseline of action for government and private sectors to engage with rural communities.	Annual	SADC TFCA Unit	SADC TFCA Unit	Once achieved, this indicator progresses to: <b>Periodical review of</b> <b>the SADC TFCA Multi-party tourism</b> <b>ventures guidelines.</b>
IND07/04	Number of tourism activities implemented through SADC TFCA.	2017	To set a minimum number of activities to be organised and funded at the regional level to create and market TFCAs as tourism products.	Annual	SADC TFCA Unit; TFCA stakeholder forum; ICP Coordinatio n forum.	TFCA CA	This indicator will also specify the title of activity and a brief summary.
IND07/05	Establishment of a forum for local arts and crafts .	2017	To establish a forum for local producers and manufacturers in order to improve their access to tourism markets and their understanding of tourist demands.	Annual	TFCA CA; SADC TFCA Unit	TFCA CA; SADC TFCA Unit	Once achieved, this indicator progresses to: Number of decisions taken by the forum to facilitate access to tourism markets, including details of decision.
IND07/06	Establish a TFCA-based tourism products portfolio and database of activities implemented.	2017	To create a database of detailed information on the actual impact of TFCA-based tourism products on the implementation of the TFCA, including those run by private sector. (see GLTFCA)	Annual	TFCA CA	TFCA CA	This indicator will be related to a database on detailed information on the type of activities, the contribution to the TFCA and the expected returns to the wider stakeholders group. It can be disaggregated in cross-border and community based.

products

ld code	Definition	Baseline	Target	Data collection	Sources	Responsible	Notes
IND08/01	Addition of a Component in the SADC TFCA Programme on the Sustainable Management (use) of Natural Resource (ecosystem, flora and fauna)	2017	To create a special component in the SADC TFCA Programme addressing specifically the third pillar for TFCAs	Annual	SADC TFCA Unit	SADC TFCA Unit	Once achieved, this indicator merges with IND01/02.
IND08/02	Generate specific indicators from the Component on SMNR.	2017	To update the current list of indicators within the first 2 years of M&E implementation and pilot them in the last phase of the first cycle.	Annual	SADC TFCA Unit	SADC TFCA Unit	Once achieved, this indicator merges with IND04/02.
IND08/03	Establish an Action Plan for the SM of NR per TFCA, including sustainable use for rural communities.	2017	To obtain for each TFCA a clear action plan on how this TFCA pillar will be addresses and implementation monitored.	Annual	TFCA CA	TFCA CA	Once achieved, this indicator progresses to: Periodical review of the TFCA Action Plan for Sustainable management of natural resources.
IND08/04	Measurement (in hectares) of community land ownership per TFCA.	2017	To map registered community owned areas in TFCA as valid land tenure systems.	Annual	TFCA CA	TFCA CA	This indicator may be moved to Component 5, if preferred.
IND08/05	Number of death of charismatic species per TFCA, with cause of death.	2017	To establish what is the actual threat to wildlife per TFCA and correlate regionally.	Annual	TFCA CA; SADC TFCA Unit	TFCA CA; SADC TFCA Unit	This indicator can be further disaggregates as flora/fauna, as well as species.
IND08/06	Measurement (in hectares) of ecosystem lost to natural and/or anthropologic events.	2017	To establish what is the actual threat to ecosystem health per TFCA.	Annual	TFCA CA	TFCA CA	This indicator can be further disaggregated by type of area (land, coastal, riverine, etc.) and type of ecosystem.

### Comments on M&E Indicators

