

Project Document

Republic of Zambia

United Nations Development Programme Global Environment Facility

Full Project – Effective
Management of the National Protected Areas System
PIMS 1937

The main objective of the project is to strengthen the enabling frameworks and capacities for managing the National Protected Areas System of PA that have biodiversity conservation as a principle objective. The project aims to develop and put in place appropriate policy, regulatory and governance frameworks in order to provide new tools for public/ community/ private/ civil society Protected Area management partnerships. It also aims at strengthening and enhancing the existing institutional capacities for improved Protected Areas representation, monitoring and evaluation and business and investment planning as well as expanding the available options for private-public-community-civil society management partnerships through field testing. Ultimately, the project envisages to make Zambia a tourism destination of choice based on a National Protected Areas System comprising a representative sample of Zambia's ecosystems that are effectively safeguarded from human-induced pressures through management partnerships that contribute not only to economic development, but similarly, rural development.

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Acronyms

ADB	African Development Bank
ADMADE	Administrative Management Design for Game Areas
AMU	Area Management Unit
APR	Annual Project Review
CBD	Convention on Biological Diversity
CBNRM	Community-Based Natural Resource Management
CBO	Community-Based Organization
CCA	Community Conservation Area (new category to be created)
CCA	Common Country Assessment
CCD	Convention to Combat Desertification
CEMP	Community Environmental Management Program
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
CLZ	Conservation Lower Zambezi
CO	Country Office (UNDP)
COP	Conference of the Parties
CRB	Community Resource Board
CSO	Central Statistics Office
DANIDA	Danish International Development Agency
DoF	Division of Fisheries
DP	Decentralization Policy
ECZ	Environmental Council of Zambia
EOP	End-of-project
ESP	Environmental Support Programme
EU	European Union
FAO	Food and Agriculture Organization of the United Nations
FD	Forest Department in MTENR
FINNIDA	Finnish Development Agency
GDP	Gross Domestic Product
GEF	Global Environment Facility
GIS	Geographic Information System
GMA	Game Management Areas
GNP	Gross National Product
GPAZ	Game Producers Association of Zambia
GRZ	Government of the Republic of Zambia
GTZ	German Technical Aid Agency

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HDI	Human Development Index
HDR	Human Development Report
HIPC	Highly Indebted Poor Countries (Initiative)
IDA	International Development Agency (World Bank)
IUCN	World Conservation Union
KTL	Kasanka Trust Limited
LIRD	Luangwa Integrated Resource Development Programme
LZNP	Lower Zambezi National Park
MAC	Ministry of Agriculture and Cooperatives
M&E	Monitoring and Evaluation
METT	Management Effectiveness Tracking Tool
MoLA	Ministry of Legal Affairs
MOU	Memorandum of Understanding
MT	Mid-term
MTENR	Ministry of Tourism, Environment and Natural Resources
MTR	Mid-Term Review
NBSAP	National Biodiversity Strategy and Action Plan
NCS	National Conservation Strategy (1985)
NEAP	National Environmental Action Plan
NGO	Non-Governmental Organization
NHCC	National Heritage Conservation Commission
NORAD	Norwegian Agency for International Development
NP	National Park
NPWS	National Parks and Wildlife Service (ZAWA's predecessor)
NRCF	Natural Resources Consultative Forum
NRE	Natural Resource Economist
NRM	Natural Resources Management
OP	Operational Program (GEF)
PA	Protected Area
PASS	Protected Areas Systems Specialist
PC	Peace Corps
PCV	Peace Corps Volunteer
PDF-B	Project Development Fund – Block B (GEF)
PID	Planning and Information Department of MENR
PIU	Project Implementation Unit
PS	Permanent Secretary
SADC	Southern African Development Community
SARPO	Southern Africa Regional Program Office (WWF)
SEED	Securing the Environment for Economic Development
SHA	Safari Hunting Area (proposed new PA category)
SIDA	Swedish International Development Agency
SLAMU	South Luangwa Area Management Unit
SNRM	Sustainable Natural Resources Management
STAP	Scientific and Technical Advisory Panel (GEF)
SWOT	Strengths, weaknesses, opportunities & threats
TOR	Terms of Reference
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNDP/TRAC	UNDP-Target for Resources Assignment from the Core
UNEP	United Nations Environment Program
UNFCCC	United Nations Framework Convention on Climate Change

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UNOPS	United Nations Office for Project Services
UNV	United Nations Volunteer
USAID	United States Agency for International Development
WCS	Wildlife Conservation Society
WECSZ	Wildlife and Environmental Conservation Society of Zambia
WHS	World Heritage Site
WPO	Wildlife Police Officer (ZAWA)
WSAP	Wetlands Strategy and Action Plan
WWF	World Wide Fund for Nature
WWF-SARPO	WWF-Southern Africa Regional Programme
ZAFCOM	Zambia Forestry Commission (proposed)
ZAWA	Zambia Wildlife Authority
ZEP	Zambian Education Program
ZFAP	Zambia Forestry Action Plan

1. Context

1.1. Environmental Context

- 1. Global importance of biodiversity** Zambia lies at the heart of the Miombo Ecoregion, listed as a WWF Global 200 Ecoregion because of its high species richness. It is also referred to as the Zambezian Regional Center of Endemism, an area of some 3,770 million km², covering parts of 11 countries and extending from the Katanga Province (DRC) to the Vaal River in South Africa. The Miombo Ecoregion supports important populations of fauna, particularly large mammals. It is also floristically diverse, harboring some 8,500 plant species, of which approximately 54% are endemic. WWF-SARPO (2002) has identified 26 areas of special biodiversity importance within the Ecoregion, based on a) the occurrence of endemic species; b) high species diversity; c) important or globally significant populations and; d) incorporating, or essential for significant animal movements. The nine areas that are found totally or partially within Zambia are the following:
 - The Luapula/Mweru-wa-Ntipa complex
 - The Chambeshi/Bangweulu basin
 - The Luangwa-Luano rift system
 - The Kafue Flats
 - The Upper Zambezi plains
 - The Zambezi headwaters
 - The “Four Corners” area consisting of adjacent parts of Namibia, Botswana, Zimbabwe and Zambia.
 - The Middle Zambezi Valley
 - Lake Tanganyika
2. Zambia extends over most of the central parts of the Miombo Ecoregion that is also the center of diversity for the 22 or so *Brachystegia* and *Julbernadia* species after which the eco-region is named. The two other important eco-regions in Africa that extend to Zambia are East African Montane Ecoregion (Nyika/Mafinga Hills area) and the Great Lakes Ecoregion (Lake Tanganyika).
3. The floristic diversity of Zambia is variously estimated at between 6,000 to 7,000 species (Thole *et. al.*, 1996), out of the 8,500 total for the Ecoregion. The fauna inventory is estimated at 83 species of amphibians, 165 species of reptiles, 733 species of birds, 233 of mammals, and 408 of fish (MENR 1999). The inventory of invertebrates is incomplete. The country constitutes an important repository for several CITES listed species including African elephant, leopard, black lechwe (*Kobus leche smithmani*) and shoebill crane (*Balaeniceps rex*). Further, the country is important for the conservation of avifauna. Birdlife International has identified 31 Important Bird Areas in Zambia covering 86,413 km². Two Wetlands of global significance have been listed under the Ramsar Convention, namely the Kafue Flats (Lochnivar and Blue Lagoon National Parks) and Bangweulu Wetlands (Chikuni area). Zambia has huge areas of wetlands. Approximately 45,000km² (6%) of Zambia’s total surface area of 752,620sq km is covered with water in the form of marshes, swamps, lakes, rivers and streams.

4. Zambia presents one of the best country-level opportunities for conserving prime representative examples of the biodiversity of the Miombo Ecoregion. This opportunity is a function of the low rural population density, the still extensive areas of largely intact natural ecosystems and the political stability the country has historically enjoyed.
5. **Zambia's National Protected Areas System (PA)** is considerably larger than the global mean. GRZ adheres to the Millennium Development Goals including Goal 7 "Ensure environmental sustainability" and its indicator, "land area protected to maintain biological diversity". The most important PAs in Zambia are the 19 national parks (NP) and 35 game management areas (GMA) – together they cover over 30% of the territory of Zambia. The NP form the core of the PA system – parks alone cover 8.5% of the country. Conventional tourism based on game-viewing is the main economic use permitted within the NP. A full 85% of the GMA were intentionally created as buffer areas to NPs – in total, they cover over 22% of the territory. The rationale is that NPs should protect nucleus breeding populations of wildlife; spillover populations may then be utilized in GMAs, generating benefits and incentives for local communities in these zones. Trophy hunting is an important economic activity in GMA that have viable wildlife populations.
6. The parks and GMAs together provide exceptionally large bio-geographical complexes with the potential, if well managed, to conserve viable populations of even those species that occur naturally at low densities. Legally, the national parks clearly provide the highest level of protection for biodiversity, and provide the bulwark of the national PA estate. Nevertheless, wildlife populations have been depleted through hunting pressure in many sites, and conservation infrastructure is generally rudimentary.
7. Zambia's first PAs were created in the 1920's as game reserves under the Game Ordinance of 1925 (Prior to independence, the Luangwa Game Reserve was declared in 1904 at the instigation of the Administrator of what was then North-Eastern Rhodesia.) The creation of PA has continued over most the century, with large areas gazetted since independence in 1964. The criteria used a half century ago (Chi Chi, 2004) for the selection of areas for national park establishment were:
 - a. presence of species requiring special protection;
 - b. areas unsuited to agriculture, either because the soils were unsuitable for cultivation or because of the presence of tsetse flies that precluded the raising of domestic animals, especially the bovines; and
 - c. areas in which human settlements were absent or sparse.In spite of these criteria, in general criterion (a) did not play a major role in the designation of national parks. Consequently, the majority of national parks were located in areas that qualified on the basis of criteria (b) and (c). Notice that ecosystem/habitat conservation was not a criterion for park establishment.
8. The 2002 assessment of national parks summarized in the Table 1 presents a qualitative assessment of the condition of these national parks – based primarily on wildlife populations. The table suggests that 11 of the 19 national parks were either declining or degraded in status. An older estimate, (Chabwela, 1996) reports that when the populations of key species are considered then, up to 14 (74%) of the 19 national parks had either been depleted or were on a downward trend.

Table 1 – Status of Zambia's National Park Estates

National Park	Condition	National Park	Condition
Blue Lagoon	Stable	Mosi-Oa-Tunya	Stable
Kafue	Declining	Mweru-Wantipa	Degraded
Kasanka	Stabilization	Isangano	Degraded
Lavushimanda	Degraded	North Luangwa	Recovering
Liuwa Plain	Stable	Nsumbu	Declining
Lochnvar	Stable	Nyika	Declining
Lower Zambezi	Recovering	Sioma Ngwezi	Declining
Luambe	Declining	South Luangwa	Stable
Lukusuzi	Degraded	West Lunga	Declining
Lusenga Plain	Degraded		

After MTENR and UNDP/GEF 2002

9. The GMAs generally have good potential for biodiversity conservation. However, few of the GMAs currently provide effective buffers to NPs, there being little distinction in management between ecologically sensitive areas, such as corridors for wildlife movements, and larger dispersal areas, where less intensive management is possible. GMAs include settlements and farmlands within their borders. At the legal level, there are no restrictions on land use within GMA – in particular there are no restrictions on conversion to agriculture. With few exceptions, however, human populations in GMAs are generally low enough to allow co-existence with healthy wildlife populations that can support sustainable harvests if soundly managed. Like the NP, the GMAs also suffer from difficult access and a lack of infrastructure. Traditional chiefs have the right to lease the land under the Lands Act of 1995, which could be tied to commercial joint ventures in GMAs. ZAWA's concurrence would be required.
10. Zambia also has large areas contained within 490 forest reserves, and much smaller areas within 2 wildlife sanctuaries, 2 bird sanctuaries, two fisheries gazetted areas (that are outside of the NP or GMA) and 3687 national heritage sites of which 5 are classified as ecological sites. The forest reserves are further categorized as either national or local forests, but nearly all of the forest reserves are presently neglected and largely unmanaged and unprotected. They provide little effective conservation of biodiversity at present. For the purposes of this report, they are not considered to be part of the National System of PA.

1.2. Socio-Economic Context

11. **Social Context** Previously known as Northern Rhodesia, Zambia came into existence in 1924, and attained independence in 1964. Zambia has a democratic form of government and elections are held regularly every five years, the last in 2001. At independence the population was 3.2 million, and this has since tripled. The 1980, 1990 and 2000 censuses estimated the population for Zambia to be at 5.7 million, 7.8 million and 9.9 million respectively, though the population growth rate has shown a steady decline from 3.1% (1969 to 1980) to 2.7% (1980 to 1990) to 2.4% (1990 to 2000).

12. **HIV/AIDS** This slow-down in the growth rate in recent times can partly be attributed to high rates of HIV prevalence in the country, estimated at 16% of the population aged 15-49¹. Life expectancy in 2000 was estimated to be 50² years, and if current trends continue, it is projected to be as low as 33 years by the year 2010. The Living Conditions Monitoring Survey estimated there were a total of 500,000 HIV/AIDS related orphans in Zambia in 1996 and that figure was expected to double by the year 2000 (CSO, 1998).
13. Zambia is one of the most urbanized countries in Sub-Saharan Africa with about 35% of its population living in urban areas. Despite some 72 language groups in Zambia, the incidence of ethnic conflict is low. Although it is surrounded by a number of countries that have undergone very turbulent times in the past four decades, Zambia has been one of the most stable countries in southern Africa.
14. **Gender** Customary law and practice often place women in subordinate positions with respect to property ownership, inheritance and marriage, despite constitutional and legislative provisions to the contrary. Although poverty affects both sexes, it is largely feminized with women being the most severely affected. Female concentration in the lower paying, less skilled occupations results in an estimated 90% of wages and cash income being paid to men. In practice, women are largely excluded from decision making positions.
15. **Poverty** is pervasive in Zambia. The UNDAF³ describes poverty in Zambia as clearly widespread, deep and gender biased, noting that there is a critical need for greater targeting of development resources towards the poor and vulnerable groups, and the improved participation of the poor in decision-making.
16. As an overall indicator of development, the Human Development Index (HDI)⁴ provides a useful summary of Zambia's development history (see Table 2), showing steady progress until 1985. Since then Zambia experienced a rapid decline in its overall performance. Zambia's ranking over the same period has declined steadily, and is now 163rd out of 175 (the total number of countries in the ranking has increased over time). Besides the decline in HDI value, this can partially be attributed to the improved performance of other countries. More striking – of all the countries for which HDI data is available between 1975 and 2001, Zambia is one of only three where the latest HDI value is lower than it was in 1975.

Table 2 – Zambia's Human Development performance for selected years⁵

Year	HDI Value	Ranking ⁶
1975	0.462	69
1980	0.470	87
1985	0.478	95
1990	0.461	108
1995	0.414	123
2001	0.386	163

¹ Zambia Demographic Health Survey

² CSO 2000

³ UN Development Assistance Framework for Zambia, 2002

⁴ A UNDP measure combining life expectancy, access to education (combination of enrolment and adult literacy rates), and GDP per capita.

⁵ Source: UN HDR, 2003

⁶ Ranked out of 100 countries where data is available.

17. The first millenium goal aspires to reduce by half the number of people living under US\$1 a day. According to the UN HDR⁵, in 2001, 63% of the population fell into this category.
18. Through the 1990s, the Central Statistics Office (CSO) undertook a series of surveys to investigate the nature of poverty, which are summarized below in
19. Table 3. This table shows that:
- Between 1991 and 1998 there has been an increase in overall poverty, and a marginal decline in extreme poverty;
 - In the rural areas there has been a slight decline in both overall and extreme poverty, while in urban areas there has been a noticeable increase;
 - Although a rural-urban disparity still exists in 1998, the gap between the two has narrowed.

Table 3 – Overall and extreme poverty in Zambia, 1991-1998⁷

Year	Zambia		Rural		Urban	
	Overall poverty	Extreme poverty	Overall poverty	Extreme poverty	Overall poverty	Extreme poverty
1991	69.7	58.2	88.0	80.6	48.6	32.3
1993	73.8	60.6	92.2	83.5	44.9	24.4
1996	69.2	53.2	82.8	68.4	46.0	27.3
1998	72.9	57.9	83.1	70.9	56.0	36.2

20. **Economy** For most of the period since independence, Zambia's economy was a centrally planned economy that was highly dependent on copper mining. Currently the country is implementing an economic recovery program that is intended to promote economic growth, stabilize the economy, promote the private sector, privatize state-owned activities and improve infrastructure and social services delivery systems. Progress has been slow, and GDP growth rate has fluctuated from 2.2% in 1999 to 3.6% in 2000, 4.9% in 2001 and 3.0 in 2002. In 2003, GDP per capita was US\$ 780⁸.
21. Since 1991, Zambia has embarked on a new economic liberalization agenda that is still being followed. It seeks to reverse the negative impacts of the old policies and advocates a greatly expanded private sector involvement in the economy. This new philosophy and approach have found practical expressions through stricter adherence and implementation of World Bank and IMF recommended economic reforms, such as:
- A *Structural Adjustment Program* which seeks also to curb and eventually eliminate government deficit spending;
 - A *Economic Liberalization Program* which emphasizes the private sector as the appropriate engine of economic growth and the need therefore for its encouragement, promotion, involvement and active participation and expansion in the economy; and
 - A *Privatization Program* which has been used as the principal means of expanding the stake of the private sector and curbing the active participation of the government in the economy through selling off hitherto monolithic parastatal sector companies and organizations into the private ownership.

⁷ Source: PRSP, 2002

⁸ UN HDR, 2003

22. Zambia is one of six Southern African countries classified as a *highly indebted poor country* (HIPC), and has about US\$7 billion owed to external debtors. Key to qualifying for debt relief under the HIPC scheme is a privatization program involving the sale of Zambian National Commercial Bank (ZANACO), the power utility ZESCO and the telecommunications supplier ZAMTEL.
23. **Mining** earns approximately 80% of the foreign exchange, accounts for 8.5% of formal employment and for 7% of GDP. Zambia is thus extremely vulnerable to shifts in the price and production of copper. The production of copper has been declining steadily since 1970 (prices have risen in the past year) and this is a major factor contributing to the high levels of poverty in the country. Following the sharp slump in international prices of copper and the January 2002 announcement of Anglo-American PLC to withdraw from its investment in the largest privatized copper mine, GRZ requested the World Bank's assistance in developing a diversification strategy to mitigate the economic effects of the copper crisis. The GRZ Copper Crisis Task Force, funded by the World Bank, developed a diversification strategy that identified tourism, agribusiness and gemstones as the three high potential sectors in Zambia.
24. **Agriculture** The majority of Zambians depend on agriculture-related activities for livelihood, with 67% of the labor force employed in agriculture⁹. The importance of this sector to Zambian people can also be seen in the 75% of Zambia's 600,000 farms, which are 'small-scale' (less than 9 hectares)¹⁰. Zambia has an abundance of resources, which could be exploited to stimulate agricultural and rural development with 12% of the country classified as suitable for arable use. It has been targeted as one of the driving engines of economic growth. With the current decline in mining, focus is being switched to the potential of agriculture and related agribusiness elements. The sector's high dependence on rainfall results in significant fluctuations in growth, but a more serious threat to long-term growth is the rising cost of inputs such as energy and fertilizer.
25. **Fisheries and Forestry** Capture fisheries is one of the most neglected sectors in the country. Officially, fisheries contribute 1.2% to GDP and about 300,000 households are involved. There are nine major fisheries – most of them are based on the country's massive wetlands and river systems. Official figures put the contribution of the forestry sector to GDP as between 0.9 and 3% (MENR 1997). These figures are likely to be gross underestimates of the contribution of forest resources to Zambia's economy, because the bulk of transactions involving forestry resources go undetected by official accounting mechanisms (MENR 1997). Also, the value of charcoal production is counted under manufacturing rather than the forest sector. In fact, wood-based fuels from the country's forests and woodlands account for 71% of the nation's energy consumption, and 96% of household energy consumption (MENR 1997).
26. **Tourism** The Zambia Poverty Reduction Strategy Paper (PRSP), which provides the framework for public investment and coordinated donor support for development, targets tourism development as the second most important sector for economic growth and poverty reduction after agriculture. Tourism in Zambia depends primarily on national parks and GMAs. Over medium to longer term horizons, the PRSP should provide a vehicle for mobilizing significant investment finance for the tourism sector, and underpinning PA estate. The priority national parks targeted under the PRSP are Livingston/Victoria Falls followed by

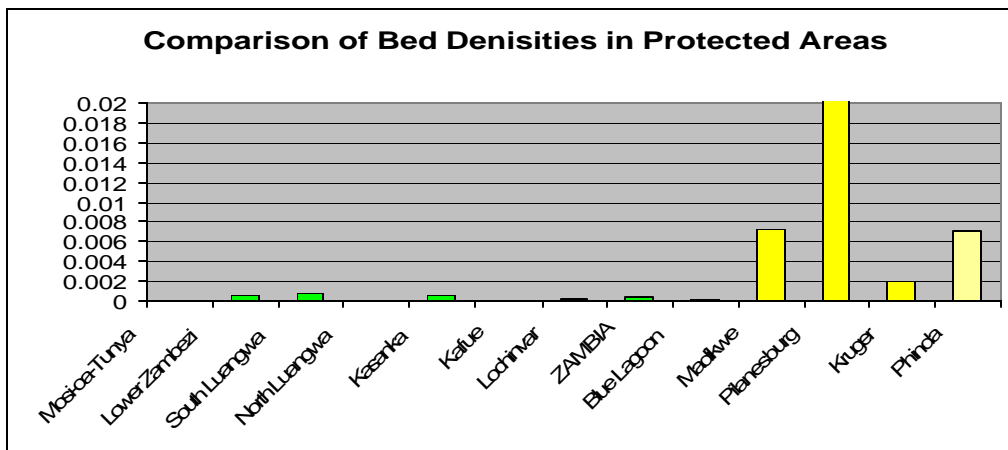
⁹ WB SEED Project Appraisal Document, September 2003.

¹⁰ Ministry of Agriculture and Cooperatives: *Agriculture Bulletin 2000*

the Kafue, Lower Zambezi and Luangwa NPs. The PRSP recognizes that the large areas of national parks and GMA are comparative advantages for Zambia in the tourism sector.

27. Tourism was also identified as a driving key growth sector by the World Bank Copper Crisis Task Force. The sector represents a significant opportunity because it is already a sizable contributor to GDP, it is a recognized leader in foreign exchange earnings, and it has the potential to create numerous benefits through its linkages to the rest of the economy. 25% of visitors to Zambia come as tourists. Expectations of economic growth through development of the tourism sector are high¹¹.
28. The wildlife in the PAs is the main tourist attraction in Zambia. Zambia has the largest wildlife estate in the sub-region but the level of tourism development is very low compared to other countries in the region. It earns less than US\$2 per hectare from wildlife utilization compared to South Africa and Zimbabwe that earn about US\$16 per hectare, and Botswana and Namibia that earn about US\$8 per hectare (the figures from South Africa and Botswana include income from game ranches and this inflates the per hectare revenue. Revenue for Zambia is only from GMA). In the 19 national parks and 35 GMAs, only 5% of the available area is developed for tourism¹². Data on the beds, revenues and jobs generated by protected areas are exceptionally difficult to obtain. The following estimates are therefore intended to be indicative (Figure 1). Nevertheless they demonstrate, on the one hand, the underperformance of Zambian protected areas when it comes to generating park income (
29. Figure 2), economic turnover and jobs, and on the other hand, the huge potential for growth once growth-supportive policies, effective management systems and investments are in place. The same conclusions can be drawn for hunting in GMAs (Figure 3).

Figure 1 – Comparison of Tourism Bed Capacity in Zambia and South Africa

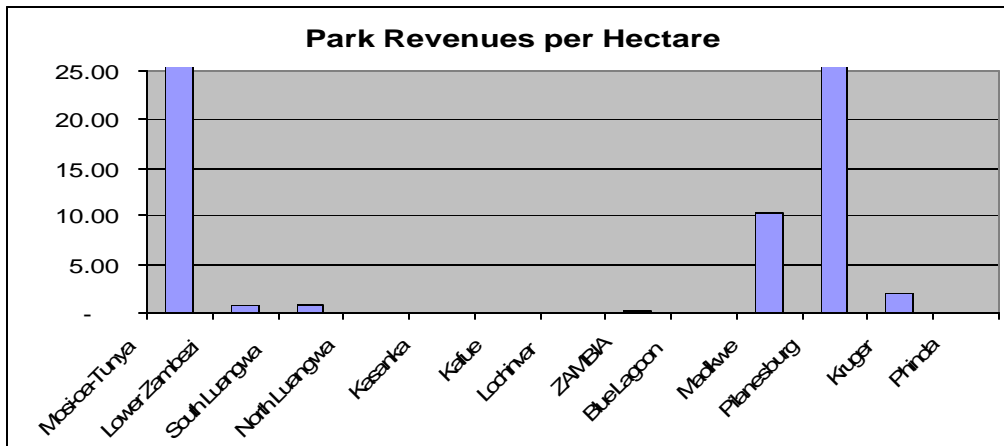


(DSI, 2004) Note: The first 9 sites are in Zambia (Mosi Oa Tunya to Blue Lagoon).

¹¹ WB SEED Project Appraisal Document, September 2003.

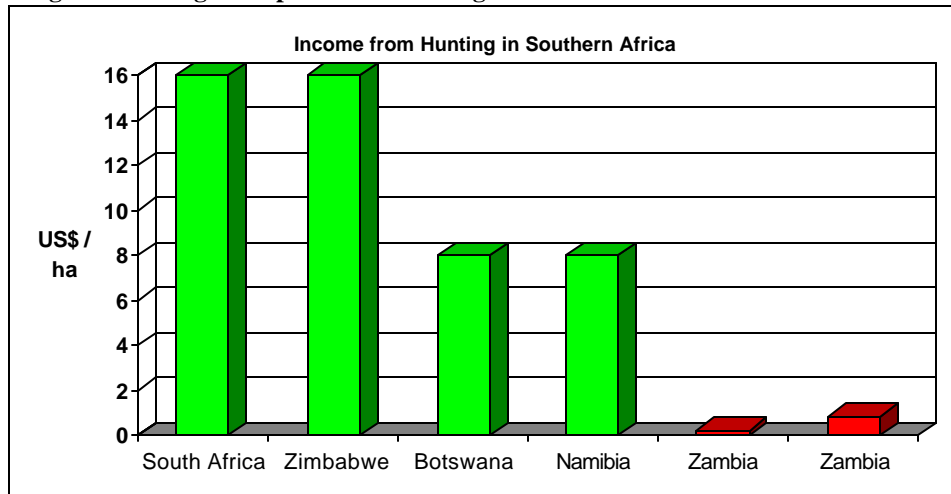
¹² PRSP, p.68

Figure 2 – Comparison of Park Fee Income in Zambia and South Africa



(DSI, 2004) *Note:* The first 9 sites are in Zambia (Mosi Oa Tunya to Blue Lagoon).

Figure 3 – Rough comparison of hunting Income in Zambia and Southern Africa



(DSI, 2004) *Note:* There are two different estimates for Zambia.

30. It is estimated that for every dollar earned from hunting and tourism in landholder or park fees, tour operators turn over some \$3 and \$10 respectively, which contributes to the economic multiplier effect¹³.
31. Lack of road/transport infrastructure is often a constraint to successful commercial exploitation of an area for conventional tourism. However, trophy hunting is much less dependent on good infrastructure. Where wildlife populations are adequate, trophy hunting can generate immediate benefits that will in turn generate direct economic incentives for GMA communities to conserve the wildlife. There are large areas of national park, which are currently cost centers for management, which fit this description: poorly developed infrastructure with relatively high wildlife populations.

¹³ DSI, 2004

32. Two recent events created a serious financial crisis for PA funding. The 2001 moratorium on hunting resulted in a revenue loss of approximately Kwacha10 billion (US\$2 million), while the non-allocation of hunting blocks in the 2002 hunting season resulted in K13.5 (US\$2.7 million) of lost revenue.
33. Tourism and sustainable financing for PA management are both dependent on wildlife populations. The principal source of funding for PA management comes from tourism levies – from game viewing and hunting. The lower the number of tourists and trophy hunters, the lower the revenue to finance ZAWA and the lower the incentives for communities to conserve their game and its habitat. Game viewing also requires much better road access and infrastructure. Game viewing and hunting are both dependent on healthy wildlife populations. Restoring wildlife populations requires, in the absence of substantial tourism levies, outside investments in effective PA management. This need for investments in effective PA management to restore wildlife populations as a pre-requisite for jump-starting tourism development and for poverty reduction, was not recognized in the PRSP. An example of this relationship is found in South Luangwa NP, the second largest park in Zambia. As a result of major investments in PA management and infrastructure, mostly by NORAD, recurrent costs for South Luangwa NP, depreciation of capital not included, have recently become largely self-financing out of tourism levies
34. Some of the greatest external threats to the wildlife-tourism sector in Zambia are from the high macro-economic costs encountered, both financial and regulatory. There is a need to liberalize policies towards private and community sectors, for example by reducing non value-adding bureaucratic procedures and encouraging revenue generation and full retention, or major opportunities will be lost.
35. Costs of operating commercially in the wildlife tourism sector in Zambia are, in general, extremely high compared to its neighbors. Tax rates are high, as are import tariffs. One major intangible contributing factor is the high level of transaction costs, which include a plethora of regulations and permits, slow legal systems and weak property rights. These combine to inhibit and constrain commercial development in the tourism sector.
36. The issue of weak tenure is a serious constraint on economic development in Zambia, and especially the growth of the commercial wildlife sector. The present situation in respect to land and resource rights often results in *de facto* open access regimes, with little internalization of costs and benefits, and therefore low levels of responsibility and re-investment in the resource base. Weak tenure is a constraint to economic development.
37. Zambia has 3687 national heritage sites listed in the national register of the National Heritage Conservation Commission (NHCC). Many of them are in NP and GMA. They represent an underdeveloped tourism potential that, if properly developed, could contribute to tourism development and sustainable financing for PA.
38. The southern Bangweulu Wetlands and the Lower Zambezi NP/Chiawa GMA complex provide examples of the linkages between wildlife, tourism and PA management. In the mid-80s, Kasanka and Lavushi Manda NP and the adjoining GMA were largely unmanaged with little tourism development. Wildlife in the two parks was very heavily depleted. Starting in 1986, the group that became Kasanka Trust Limited (KTL), took over management of Kasanka NP on a 10 year renewable lease. They have controlled poaching, restored wildlife and invested in lodge facilities to the point where tourism revenues are now covering a large part of operational costs. Without similar investments, wildlife populations in Lavushi Manda

remain at very low levels and it has almost no management and almost no attraction for tourists. Most of the wildlife in the surrounding GMAs is highly concentrated around the ZAWA wildlife police officers post at Chikuni because of the relative protection they enjoy next to the post.

39. The Lower Zambezi/Chiawa complex enjoys some of the best access of all the PA in the country. Significant investments in tourist lodges had already been made by the early 90's. Before and during the transformation of NPWS into ZAWA, poaching in the NP and the GMA began to spiral out of control and the lodge owners saw the wildlife, their economic base, was severely threatened. They and others joined together to form the NGO Conservation Lower Zambezi. With both their own funds and other funds they were able to mobilize, they were able to stop the worst of the poaching and the decimation of wildlife population that took place in many PA during that period. CLZ, with DANIDA support, is now investing heavily in environmental education for GMA communities.

1.3. Policy and Legislative Context

40. Responsibility for wildlife and habitat protection was traditionally vested in the local chief on behalf of the villagers. The chief controlled the allocation of land for use by households, and access to forest and wildlife resources. In legislation enacted to set up game reserves in the 1940s, the ownership and access to wildlife resources was taken away from the local chiefs and vested in the State. This process continued, resulting in the alienation of local people from the management of wildlife and natural resources. It did, however, lay the basis for the creation of Zambia's Protected Areas System.
41. Zambia's first game reserve was created in Luangwa by the Game Ordinance of 1925. National parks and game management areas were formally provided for under the National Parks and Wildlife Act No. 57 of 1968, created by the National Parks Declaration Order of 1972, and Statutory Instrument No. 44 of 1972, which established the basis for the current network of wildlife protected areas. Game management areas, which surround national parks and serve as buffer zones against disruptive land-use practices, emerged only in the early 1970s under the Game Management Area Declaration Order of 1971. GMAs were created with the overall objective of providing a framework within which to integrate wildlife management into rural development (Lungu, 1990).
42. The Zambia Wildlife Act of 1998 provides for the current management structure for Zambia's protected areas. The Act outlines the rationale for the new Zambia Wildlife Authority (ZAWA), its responsibilities concerning protected areas, and how it is to be involved in the regulation of hunting in GMAs and game ranches (ZAWA, 2002). It provides for protected species, licensing, entry in wildlife protected areas, management planning requirements for national parks and game management areas and the enforcement of wildlife related activities for compliance with international agreements. The Act also provides for the creation of local level community institutions, Community Resource Boards (CRBs) and along with GMA legislation represents an effort to return at least some rights of resource management to local communities.
43. CRBs were designed to enable communities to benefit from the natural resources of the GMA. The 1998 Act allows for co-management of each GMA between ZAWA and the CRB. The GMA often cover very large areas, presenting serious challenges for good governance

between the CRB and its constituents. In June 2002, ZAWA agreed to share c 45% of hunting license revenues (not profits) with the CRB and 5% with traditional leaders. Very recently, they agreed with the CRB to redo the formula for sharing revenues and to base this on the sharing of costs on a case-by-case basis. The GMA category of PA is relatively weak in a legal sense, because there are no restrictions on conversion of natural areas in the GMA to other land uses, and to agriculture in particular. In this respect, GMA are little different from open areas.

44. The Wildlife Act of 1998 allows for potential devolution of authority to CRBs for wildlife management. However, GMA residents have no *formal, legal* rights to benefit from the management of any natural resources. Progress in GMAs is made exceedingly difficult by the existence of a plethora of different sector authorities, most with small capacities, while the primary stakeholders, the villagers, have little authority. While policy, public pronouncements and legislation suggest that the potential for CBNRM in Zambia is high, there is considerable slippage between stated intention and practice.
45. Fisheries resources are managed under the Fisheries Act of 1974. The Division of Fisheries (DoF), created the same year, is responsible for implementing the Act. Fisheries were managed as a natural resource until 1982, when DoF was transferred to Agriculture. This reflected a significant policy change with fisheries now managed primarily as food production systems. Current laws and policies make no allowance for the participation of communities in fisheries management. Notwithstanding, there are pilot activities to develop community-based fisheries management approaches at least two sites in Zambia.
46. Zambia is a signatory to the International Convention on Biological Diversity (CBD -- Rio de Janeiro, 1992), the Convention on Wetlands of International Importance (Ramsar, 1971), World Heritage Convention (WHC) and the Convention on International Trade in Endangered Species (CITES).
47. Zambia is in the process of developing an all-embracing national environmental policy to bring together the numerous sectoral policy frameworks and environmental strategies. These policies under review include the National Conservation Strategy (NCS) whose objectives included maintenance of Zambia's biodiversity and sustainable use of the country's renewable resources; the policy for National Parks and Wildlife in Zambia (1998); the Zambia Wildlife Act, Act No. 12 of 1998; the Forestry Policy (1998); the Forestry Act Cap 311 of 1973; and the Fisheries Act, cap 311 of 1974.

1.4. Institutional Context

Government

48. The Ministry of Tourism, Environment and Natural Resources (MTENR) is directly or indirectly responsible for most environmental and natural resource management in Zambia. MTENR plays a coordinating role, which includes the crucial responsibility of policy formulation for these sub-sectors. The MTENR's role also embodies the facilitation and monitoring of the implementation of international agreements, conventions and treaties, with a view to promoting the country's conservation interests as well as meeting international obligations.

49. The Zambia Wildlife Authority (ZAWA) is the key institution for PA and wildlife management in Zambia. It has the legal status of statutory body (a type of parastatal), and was established by Act of Parliament No. 12 of 1998. It commenced operations in 2000. ZAWA's mission is to contribute to the preservation of Zambia's heritage, ecosystem and biodiversity for present and future generations through the conservation of Zambia's wildlife. It is responsible for the management of the national parks and GMAs. GMA are to be managed in partnership with communities. It is governed by an independent board of directors appointed by Minister of Tourism, Environment and Natural Resources.
50. The establishment of ZAWA was part of a broad and much larger package of ongoing reforms implemented by GRZ since 1991 that aim to reduce government subventions to various sectors. ZAWA was designed to supercede the National Parks and Wildlife Service (NPWS), which had become increasingly dysfunctional over the previous 30 years: this context of decreased capacity aggravated by a mix of other factors, led to 90% of Zambia's elephant population being lost due to poaching between independence and the end of the century. In the same period, the black rhino disappeared from the country.
51. The creation of ZAWA was a difficult and turbulent process. The final transition stage from NPWS to ZAWA left an institutional void at the field level that resulted in the decimation of wildlife populations in many NPs and GMAs. Staff numbers were reduced from 4,400 under NPWS to 1,400 under ZAWA. Infrastructure in the NPs and GMAs is dilapidated in most cases, and non-existent in some. The establishment of ZAWA took off without the re-capitalization that would have enabled it to carry out effective and efficient resource protection, monitoring programs and infrastructure development. ZAWA lacked adequate transport to carry out its work, and this is still a problem: from a total of 77 vehicles owned by ZAWA in March 2004, only about 17% were reliable (Since then, ZAWA has had part of their vehicle fleet renewed through a grant from NORAD).
52. ZAWA has passed through a traumatic transformation process during its first two years, with political interference in the filling of the upper management positions. It is now increasing in stability, having had both a substantive board and senior staff in place for over two years. ZAWA has recently been making rapid strides to assert itself in the field and to expand its capacities. With funding incentive based from NORAD, poaching is generally under control in 9 of the 19 national parks, representing 63% of the total area. However, ZAWA still has an excessive and under-funded mandate, and still has to develop substantial capacity in terms of human resources and management systems.
53. The Division of Fisheries (DoF), in the Ministry of Agriculture and Cooperatives, has a mandate for promoting the development of commercial fishing, enforcement of regulations and laws and for registration of fishermen and their boats. It has authority to oversee all fisheries gazetted areas and is extremely interested in community programs. DoF, however, has very little capacity or resources to do any of this. Fisheries is one of the most underdeveloped sectors in the country.
54. The Environmental Council of Zambia (ECZ) was established under the Environmental Protection Control Act No. 12 of 1990 and has responsibility for monitoring the state of the environment in the country including all gazetted areas. With funding from the Netherlands, ECZ had an active program of monitoring of wildlife populations in PA in the late 1990s. Although ECZ's monitoring of wildlife stopped with the end of this funding, ECZ still have this unfunded mandate. ECZ has been seeking to transfer this function to ZAWA – and asking to ZAWA to pay for it.

55. Key points on the capacity of other institutions relevant to the PA sector are summarized as follows:

- The Forestry Department, also under MTENR, is responsible for all gazetted national and local forest reserves but political will and FD capacity are so weak that management is effectively absent from forest reserves. Illegal logging is rampant, the department has virtually no capacity to control agricultural encroachments into the forestry estate, the collection rate of license fees for most commercial forest products is less than 5%, and there are essentially no functional natural forest management systems in place.
- The National Heritage Conservation Commission is responsible for overseeing all national heritage and plaque sites, the most famous being Victoria Falls, which is a World Heritage Site, and located within Mosi Oa Tunya National Park. Other sites are poorly managed due to lack of resources.

Non-government partners in PA management

56. Zambia has been a leader in forming innovative partnerships with non-governmental organizations for the management of protected areas. This was largely a spontaneous reaction to the high level of poaching resulting from the institutional void of the 1980s and 1990s. Two prominent examples are Kasanka Trust Limited in Kasanka NP, and Frankfurt Zoological Society in North Luangwa NP. They both operate under formal agreements with ZAWA, and have been active since the late 1980s. A more recently created entity is Conservation Lower Zambezi (CLZ), which exists to reduce poaching and increase community development in the Lower Zambezi area. A number of international NGOs also have operations in Zambia, including, IUCN, WWF, Wildlife Conservation Society and African Wildlife Foundation.

57. African Parks is the first for-profit, private sector business partner for PA management in Zambia. They have just signed a 20-year lease with ZAWA in June 2004 for the management of Liuwa Plains NP. They plan to operate the park as a business, making the investments in park management and infrastructure necessary to bring the park up to a condition where they can attract large, private, tourism sector investors – and perhaps turn a profit on their own investments. The newly signed lease in Zambia is the most recent of several similar African Parks investments in African PA in at least four countries.

2. Baseline Course of Action

2.1. Threats

58. Threats to biodiversity have been greatly reinforced by increasing poverty over the last three decades. The main threats to biodiversity at a landscape level include over-hunting of wildlife, unsustainable exploitation of forest produce (especially for sawtimber and urban wood energy supplies) and clearance of forests, wetlands and grasslands for agriculture. Major underlying causes of these threats have been poverty and the lack of economic alternatives associated with the rapidly declining economic conditions in the country during the 80s and 90s, the decline in the motivation and the resources of State institutions -- especially the old National Parks and Wildlife Service – and rapid demographic growth in the country.

59. Anti-poaching efforts came to a virtual halt for several years during the institutional void during the late 90s leading up to the creation of ZAWA. Elephant populations in Zambia fell by roughly 90% from the 1950s to the 1990s. The black rhino was eliminated from Zambia during the same period. Table 4 shows the impact of poaching on the comparison of stocking rate to carrying capacity of 9 NP and GMA. (The overstocking of Mosi oa Tunya NP has since been addressed by ZAWA through a culling operation.) Poaching has been facilitated by the growing availability of guns related to political instability in neighboring countries.

Table 4 – Comparison of National Parks and GMA Stocking Rates with Expected Carrying Capacities

Protected Area	Size (Km ²)	Mean Annual Rainfall (mm)	Current Stocking Rate to Carrying Capacity %	Stocking Rate (LSU/Km ²)
South Luangwa NP	9,505	600	65.2	6.5
Kafue NP	22,400	800	8.4	1.4
Mosi-oa-Tunya NP	66	500	357	26.3
Kasanka NP	390	900	16.6	3.3
Lavushi Manda NP	1,500	900	1.2	0.2
Lupande GMA	4,840	600	16.1	1.6
Munyamadzi GMA	3,300	600	33.7	3.4
Lumimba GMA/Luambe NP	4,500	600	13.7	1.4
Kafue Flats GMA (Kafue Lechwe only)	6,100	600	18.2	1.8
Bangweulu Swamps (Lechwe only)	8,400	900	5.4	1.1

(DSI, 2004)

60. For most of the post-colonial era, the government focused its resources on the mining sector, which brought the greatest revenue to the country compared to other sectors. Protected areas were not seen as a priority and resources political commitment dedicated to PA and wildlife conservation declined. Recently, with the drop of world prices for Zambian export minerals (copper, zinc, lead, cobalt and coal), the government has re-focused its attention on the agricultural and the tourism sectors as sources of major revenue to the country. The reliance of tourism on wildlife, NP and GMA has helped bring new resources to bear on anti-poaching and PA management.

61. The annual rate of deforestation in Zambia ranges between 250,000 and 300,000 hectares per year (Chidumayo 1996). Queiroz (1997) notes that out of 39 protected forest sites, 29 were being openly utilized or encroached.

2.2. The Approach Taken for Project Design

62. PA management has clearly been shown to be an effective means of biodiversity conservation in Zambia, wherever effective management partnerships and adequate resources are applied. This has been shown to be true at North and South Luangwa NP, at Kasanka NP and Lower Zambezi NP and more recently at Kafue (DSI – 2004). Over half of NPs, representing roughly 2/3 of the total area under parks, now have basic enforcement and field presence in

place. In areas subject to sound management, wildlife populations are recovering – sometimes dramatically – proving the utility of the PA estate as a safeguard against key threats.

63. Key challenges for the most effective use of PA for biodiversity conservation are; a) how to use the limited resources available for PA management in the most cost effective manner to achieve maximum impact for biodiversity conservation and poverty reduction, and, b) how to develop sustainable financing for PA management. Expansion of the range of public/private/civil society/community partnerships has been identified as a key to achieving maximum impact with GRZ/ZAWA's limited resources. Furthermore, the experience previously cited of South Luangwa NP has clearly shown how investments in effective PA management can lead to sustainable PA financing – at least for those NP with good tourism potential (DSI, 2004).
64. This UNDP/GEF project will contribute to improvements to the overall effectiveness of the management of the National System of PA. The approach adopted for achieving this consists of identification of barriers to effective PA management and the development of measures to overcome these barriers. First the key barriers to increasing PA management effectiveness are identified and analyzed. The barriers include a full mix of legal, policy and governance constraints and a range of key institutional capacity constraints. From this a framework of objectives, outcomes, outputs and activities are identified for overcoming or surmounting the barriers.
65. There are two cross-cutting themes to the GEF approach. The first is to bring a strong business planning approach to PA management – to develop strategies for using these limited resources in the most effective way to achieve maximum impact. The second is the need to build and expand upon Zambia's already impressive body of public-private partnerships and to develop public/private/civil society/community partnerships for PA management.
66. The National System of PA is viewed as a continuum of PA whose management effectiveness ranges from Low to High -- from those having only minimal levels of protection and management through an Intermediate category of management effectiveness to a small number of well-managed PA. The project has no illusions about solving all the problems of the PA system or of leaving all priority PA in the well-managed category at the end of the project. Rather the project will seek to shift the overall level of PA management effectiveness from the Low towards the High end of the scale – to move as many PA as possible from the Low-level of management class into the Intermediate and to shift more of the Intermediates into the High level of management group.
67. The country does not have the resources to effectively manage on its own all of its very large PA estate. The traditional conservation management paradigm, centered on State control, is unworkable over such a large area, given projected funding shortfalls and human resource constraints. The parastatal ZAWA has made very impressive strides since its recent creation, but ZAWA cannot possibly manage by itself, all of the 8.5% of the country set aside as NP, let alone the 22% of the country gazetted as GMA. There is a need to prioritize interventions and to strengthen key conservation functions in priority PAs within the estate. This will require: a) an overall conservation/reclassification plan for the National Protected Areas System -- to focus efforts spatially and temporally; b) development of new management tools involving public/private/civil society/community partnerships – that will allow conservation goals to be achieved more cost effectively and quickly than otherwise possible; c) development of core institutional capacities for PA management.

2.3. Baseline

2.3.1. Barriers to Effective Management of PA

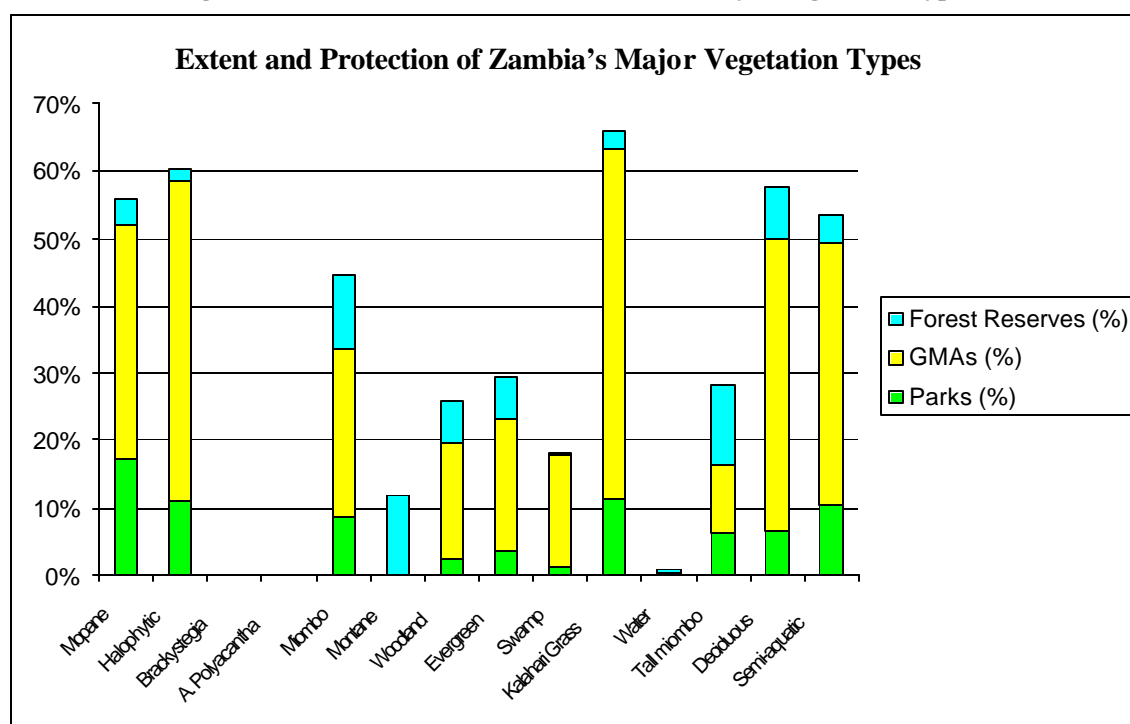
68. In recent years, Zambia has taken major steps to provide a strong legal base for PA management, to reduce the role of the state, to streamline park management, to increase the rights and incentives of local communities for wildlife management and to target PA-based tourism as a key sector of economic growth and poverty reduction. However, the Baseline is characterized by a number of significant barriers to effective PA management.
69. **Limited choice of categories of PA** The limited opportunities offered by existing categories of PA in Zambia serves as one barrier. At present, only national parks, when properly managed, provide good assurance of biodiversity conservation. The GMA category presents a relatively strong potential for conservation because of the substantial incentives offered to communities/ managers from the revenues generated by trophy hunting. However, the lack of any legal restrictions on conversion to smallholder agriculture, commercial farming or other land uses is a major barrier to effective biodiversity conservation over time. This could potentially be addressed through land use planning in GMA, but this is not an effective legal tool and Zambia and has rarely been shown to be effective in the African context. Reviews of lessons learned in southern Africa (Annex 5) indicate that management by communities is often the most effective form of wildlife management. The Wildlife Act of 1998 does allow for co-management with ZAWA, but it only allows for a partial devolution of authority to communities within the GMA. The gazetted category of forest reserves has proven to be almost totally ineffective in Zambia for ensuring biodiversity conservation.
70. There are no PA categories in Zambia that disallow clearing/conversion of natural areas while allowing trophy hunting – i.e., that combine the strong economic incentives from trophy hunting with interdictions against land clearing/conversion. There are large areas in national parks that do not presently have the access/infrastructure needed for game-viewing-based tourism, but that do have adequate access for trophy hunting. Such areas at present are cost centers for ZAWA while having the potential to be profit centers. The DSI report prepared as part of project preparation argues that “Hunting can generate the revenues necessary to maintain large areas of the Zambezi Valley Escarpment in Lower Zambezi National park or dense miombo woodlands in Kafue National Park” (DSI 2004).
71. Also, a strong argument can be made, given the extremely long history of co-evolution of man and wildlife in Africa, that totally excluding hunting is not necessarily a good thing for ecosystem conservation. Counter-intuitively, areas that are hunted sustainably may be ecologically more sound with healthier animals and vegetation than tourism areas. Formal hunting, moreover, is a valuable tool for creating incentives for protecting wildlife and for displacing poaching. Mosi oa Tunya is the one park in Zambia where effective exclusion of hunting has led to overpopulation of wildlife and to visible deterioration of habitats.
72. **Poor ecosystem representativeness** The current PA system serves as a barrier to effective biodiversity conservation in another way, because the categories of PA that provide the most effective means of biodiversity conservation, do not provide adequate, representative coverage of the full range of Zambian ecosystems. If we accept the rule of thumb of 10% of total area of each ecosystem/habitat/vegetation type as being adequate coverage, then Figure 4¹⁴ shows that only four of Zambia’s 14 vegetation types recognized by Hearn et al (2001) are

¹⁴ DSI, 2004

adequately covered by national parks. There is moderate coverage of a further three, minor protection of three, and nil coverage of four. This shows that Zambia’s national parks were not designed specifically for the purpose of protecting representative biological communities.

73. If one would include the significantly lower level of protection offered by GMA, then 10 of 14 have at least 10% of their geographic area covered by the two categories. However, another unknown is the extent of deforestation in protected areas. Deforestation is estimated to be very high for the country in general. Although only two NP are known to be significantly impacted (Isangano and Lower Zambezi), the problem is much more widespread in the GMA where conversion to agriculture is legal. Clearly, gap analysis and reclassification of Zambia’s PA are needed to ensure effective biodiversity conservation. (Recognition of this need for reclassification was the original impetus for this project.)

Figure 4 – Extent and Protection of Zambia’s Major Vegetation Types



(DSI, 2004 – done as part of project preparation)

74. The Hearne et al vegetation map used for the gap analysis in Figure 4 is not necessarily the best choice of map for this purpose – that question must be fully addressed during project implementation. Figure 4 does, however, illustrate very well the type of analysis to be done during the reclassification planning.

75. **Inadequate definition of the optimal role of the state** Another barrier in Zambia, as in so many countries, is the absence of clear definition on what should be the optimum role of the State in PA management. ZAWA has large, unfunded mandates. There is need for a more coherent system for deciding where to invest limited resources. Key questions include:

- Under what conditions should the State directly manage PA with their own resources?
- Under what conditions should the State enter into partnerships or lease agreements with the private sector, NGOs, other civil society entities, and/or communities?

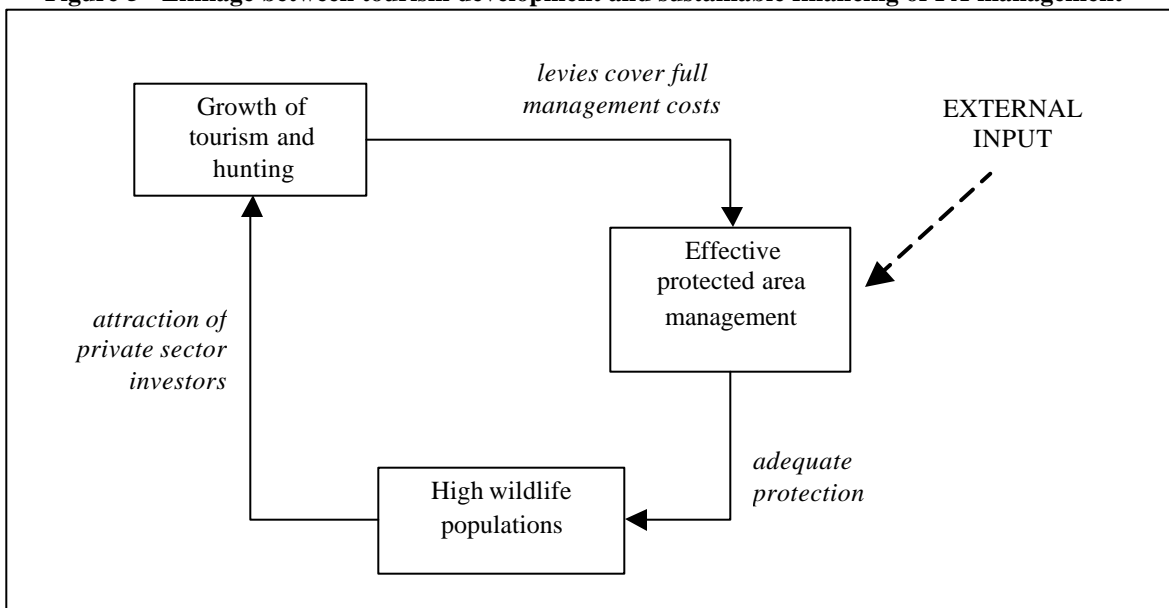
- When should the State totally cede control/ ownership/ management to communities or to the private sector?
 - Are communities better suited to manage wildlife for trophy hunting than the State?
76. The Zambia Wildlife Act of 1998 mandated the restructuring of the government's National Parks and Wildlife Service into the new Zambia Wildlife Authority (ZAWA). Under the umbrella of the Ministry of Tourism, Environment and Natural Resources, ZAWA has the institutional status of a statutory body (a type of parastatal), allowing it considerably more flexibility than a government agency. This has been a very positive development and has led to a much more dynamic situation than that which existed before with more possibilities for innovative approaches and partnerships. The Ministry has oversight responsibility over ZAWA, but has not established formal mechanisms for doing so. All of this, along with the impossibility of ZAWA fulfilling all of its mandates with its own resources, makes it that much more important to better define the optimal role of the State.
77. **No policy frameworks for private/public/community partnerships** Another barrier to biodiversity conservation is the absence of legal and policy frameworks for private/public/community partnerships for PA management. In the absence of clear policies, ZAWA is left in a largely passive mode where it reacts to initiatives advanced by the private sector. Partnerships developed have been opportunistic and situational. Lack of a clear policy framework for partnerships sometimes leads to misunderstandings and mistrust. Inevitably this leads to problems and confusion on such issues as minimum conditions for MOU or leases, sharing of costs and benefits (questions of equity), roles and rights of communities and traditional leaders, mechanisms for oversight, the definition of grounds for early termination of a lease or MOU, etc. All of these questions are currently dealt with on an *ad hoc* basis. Perhaps, more importantly, ZAWA has no basis for proactively promoting partnerships for the management of PA for which it lacks the resources to manage itself.
78. **Insufficient forms of management partnerships** The development and multiplication of such partnerships presents one of the only options that Zambia has for expanding the numbers and area of PA under effective management. The effectiveness of existing partnerships need to be examined so that existing models may be improved, new models may be developed and effective partnerships promoted and replicated. There are very promising opportunities for expanding the numbers and forms of public/private/civil society/community partnerships for PA management. New partnerships with communities may present a particular opportunity. For example, the cost of enforcement by well-supervised CRB scouts is only a third or less of that of ZAWA-managed NP. (This may change if labor laws require full-time CRB scouts to be paid full benefits similar to those paid to ZAWA WPO). ZAWA-community partnerships for PA management could potentially be much more cost-effective. (Source: Preliminary findings of economic assessment of PA underway by DSI). The development of community/private/civil society partnerships for PA management also represents a new area of opportunity. In addition to cost-effectiveness, all forms of partnerships need also to be evaluated in terms of their effectiveness for biodiversity conservation.
79. **Insufficient incentives for community-based management** is another barrier that is rooted in the present legal and policy framework for CBNRM. Although significant progress has been made, much of what is called CBNRM would be better categorized as revenue sharing. The Administrative Management Design for Game Areas (ADMAGE) program that was initiated in 1987, is the oldest vehicle for community involvement in wildlife management and has spread to over 20 GMA. It was much more a program of revenue sharing with communities, however, than of co-management. The LIRD/SLAMU projects had a long

history of support to GMA communities and experimented with full transfer of hunting revenues in the Lupande GMA next to South Luangwa NP. (This experiment ended with the hunting ban and the two-year loss of hunting revenues that followed). The 1998 Wildlife Act laid the legal basis for co-management of GMA by ZAWA and Community Resource Boards (CRB). ZAWA now shares 45% of trophy license revenues with CRB. CRB employ their own village scouts who are trained by ZAWA and work under the direction of ZAWA wildlife officers. Very recently, ZAWA has begun involving CRB directly in the setting of hunting quotas and moving towards a new formula of revenue sharing to be based on the sharing of management costs and profits.

80. However, experience and lessons learned from six reviews of CBNRM in Zambia and in southern Africa (see Annex 5) both indicate that two of the most critical factors for the success of community-based wildlife management are; a) the degree of devolution of authority (i.e., the sense of control or ownership) to the community to control the resource and; b) the amounts of the revenues generated for the communities (DSI, 2004). The probability of successful wildlife management is generally maximized when communities have full control over the resource and when they receive and manage all the revenues generated. People rapidly develop capacity (or demonstrate capacities they already had) when they have the rights to benefit from their resources and to exclude others from doing so. In these respects, the Wildlife Act, in its present form, sets clear limits on the powers of the CRB. Devolution of authority in Zambia has been very partial and key management decisions generally remain firmly in the hands of ZAWA.
81. ZAWA, as the regulatory agency for wildlife and GMAs and also a direct beneficiary of wildlife revenues, is faced with a conflict of interest. Creating optimal conditions for CBNRM could require an already cash-strapped ZAWA to give up a substantial portion of the income they earn from trophy hunting in the GMA. Mitigation measures would need to be sought to make up for this. These may include:
 - Growing the revenue base. Investments underway in NP management and infrastructure will lead to increased private sector investment and a larger revenue base for ZAWA and other PA managers;
 - The potential zoning of NP to create safari hunting areas out of portions of NPs that do not have adequate access for conventional tourism could increase ZAWA's revenues.
82. Also, the CRB, by law, is a "centralized" structure that may cover all, or a large portion of an entire GMA (CRB boundaries correspond to chiefdoms). Having a single structure for large geographic areas violates the principle of subsidiarity, greatly complicates problems of governance for these rural populations and increases the risks of "elite" capture of the CRB. These factors also serve as disincentives for CBNRM.
83. **Limited stakeholder participation** There is limited stakeholder participation at both the national and local levels in the PA sector. At the national level, there are no established mechanisms for civil society inputs into the protected area sector. MTENR has responsibility for oversight of ZAWA and of the PA sector, but needs civil society input to make informed decisions and to develop effective policies. ZAWA is mandated with biodiversity/natural heritage conservation on the one hand, and is under pressure from GRZ, on the other, to become financially independent. This inherent conflict of interest necessitates a strong role from civil society in order to seek balance between competing objectives. It is believed that much of this can be achieved through increased transparency and direct involvement of civil society counterparts.

84. In addition to limited participation, there is need for improved financial management at national and local levels to minimize conflicts and mistrust. One of the causes of conflict and tensions between ZAWA and CRB communities is the lack of transparency on the sharing of revenues. CRB's are now supposed to receive 45% of hunting license fees, but they very often don't know what they are receiving 45% of – they don't know if they are getting their fair share. And exactly the same type of problem exists between CRB and the Village Action Groups (VAG) and community members. There is often lack of transparency in the handling of finances by the CRB – leading to conflict and mistrust. And all of this leads to lack of incentive for wildlife conservation in the GMA.
85. **Sustainable PA financing dependent on tourism development** Insufficient conditions for rapid growth of the tourism sector poses a barrier to biodiversity conservation, because tourism revenues from photo safaris and from trophy hunting are the main sources of sustainable financing for PA management. Major constraints to tourism development are poor access, lack of tourism infrastructure, and depleted wildlife populations. To attract private sector investors, one must rebuild the wildlife populations from their presently low levels. But rebuilding wildlife populations requires front-end investments in effective PA management over something like 10-15 years. Such investments may come from government, donors or private sector/civil society management partners. This “chicken-and-egg” relationship between investments, restoration of wildlife populations and sustainable financing is illustrated in Figure 5.

Figure 5 - Linkage between tourism development and sustainable financing of PA management



86. **Business planning tools rarely applied to PA management** Proper business planning has only been applied to PA management in Zambia in a rudimentary fashion. The lack of economic and financial tools for measuring and comparing the efficiency of different forms of PA management, for quantifying costs and benefits and of using these estimates to develop PA business plans is another barrier to enhancing PA management effectiveness for biodiversity conservation. To date, even the private sector partners have made little use of

business planning for NP management. The newly arrived African Parks¹⁵ will probably become one of the key actors in the development of this tool in Zambia. The relative efficiency of different forms of management partnerships should be a key consideration in choosing where to use each tool. For example, analyses done in project preparation (DSI, 2004) have shown that the cost of enforcement by well-supervised CRB is about a fourth of the cost of enforcement by ZAWA. This has led to the recent idea of developing ZAWA-CRB partnerships for enforcement in NP, whereby ZAWA could contract adjoining CRB to do anti-poaching patrols in the parks.

87. There is equally a great need for business planning at the PA system level. There should have been a proper financial analysis of the feasibility of becoming self-financing before ZAWA's creation. Immediately following ZAWA's creation, there should have been a 10-15 year business plan developed with a sound analysis of management costs and of the investments and other financial means needed to cover these costs. Many of the assumptions made when creating ZAWA proved to be false. The application of business planning to the National Protected Areas System should be a key tool to determine where management by ZAWA can eventually become self-financing, the investments needed and the time periods required. Business planning should guide the development of public/private/civil society/community partnerships for PA management and it should help define those PA that are critical for biodiversity conservation for which subsidies from government or other parties will be necessary.
88. **M&E systems** are another barrier to effective biodiversity conservation. Methodologies for monitoring wildlife populations are relatively well-developed, but very little has been done on techniques to monitor ecosystem health. The Environment Council of Zambia formerly operated a Dutch-funded system for monitoring of wildlife populations, but this ended when donor funding ended in about 2000. At present, there is very little routine monitoring of wildlife populations and almost no monitoring of PA ecosystem health. There is no monitoring of forest cover loss in Zambian PA. ZAWA has not had funds for an operational M&E program. Zambia's databases on key habitats, species, their protection, protected areas and major threats (especially agriculture/settlements) are very weak. Data are scarce, there are often question marks about methodology and replicability, and for almost every aspect the gaps far out shadow the data. There is no effective formal monitoring or regulation of ZAWA itself by MTENR. Nor is there any formal system of monitoring of PA management partnerships.
89. A review (Chabwela and Gaile, 2004) of existing M&E systems done as part of project preparation identified the following gaps:
- The existing M&E system cannot answer the question of whether or not the existing PA system indeed covers the most important biodiversity for the country;
 - PA objectives are defined broadly, are general for all Protected Areas, there are few site-specific measurable objectives and the objectives are not translated into measurable targets and measurable indicators. This does not allow one to evaluate whether the current management systems are achieving the stated objectives;
 - Conservation values of the PA system are defined in very general terms with limited focus on site-specific significance;

¹⁵ African Parks is a private sector company that has just signed a 20-year lease for the management of Liuwa Plains NP

- Suitability, adequacy and appropriateness of management processes are not regularly assessed. The same is true for management efficiency and the appropriateness of methods, activities and inputs;

90. **Conservation plan for the PA system** Another barrier to biodiversity conservation is the lack of an overall conservation plan for the National Protected Areas System. Addressing all of the individual barriers presented above are all critically important, but effective conservation of biodiversity in Zambia will require that they all be integrated into an overall reclassification and conservation plan for the National System. The plan should address the needs for creation, reclassification and degazetting of PA, including the use of new categories of PA that may be created through legal reforms. It should identify the core PA that would be managed directly by ZAWA and those for which different forms of partnerships will be developed. It should make strong use of business planning to identify financially viable forms of PA management partnerships based on analyses of effectiveness and efficiency. It should develop realistic plans for monitoring and evaluation and knowledge management. Finally the plan should include an investment plan and a marketing plan. The marketing plan should be used to attract private sector investors, private sector and community management partners and to mobilize resources from government and donors.

2.3.2. Donor Support to the PA Sector

91. Details of donor support to the PA sector are found in the ICA Annex of the Project Executive Summary. Highlights are given here.
92. NORAD is the lead donor supporting ZAWA and NP and GMA management in Zambia. They have been funding South Luangwa NP, the second largest in the country, and adjoining GMA, since about 1986. With NORAD's assistance, this park has been restored and tourism has developed to the point where ZAWA is now able to cover most recurrent costs of parks management out of tourist entrance fees and other tourism related levies. The 5th phase of NORAD's support will concentrate on PA infrastructure. NORAD is providing funding to ZAWA for an "emergency" anti-poaching program in five of the national parks. The program's monitoring system has shown very positive results in dramatically reducing poaching and beginning to restore wildlife populations.
93. Frankfurt Zoological Society and Kasanka Trust Limited have successfully supported the restoration, and management North Luangwa NP and Kasanka NP since the late 1980's. DANIDA and WCS have been supporting GMA management, CBNRM and alternative livelihoods with GMA communities. WWF, FZS, and CLZ are active in environmental education.
94. The tourism development component of the new SEED project will target Kafue NP and Mosi oa Tunya NP – two of main parks targeted for tourism development and poverty reduction under the PRSP. Most of the funding for Kafue NP will come from NORAD (developed under a separate project document) and supplemented by World Bank and GEF. African Parks plans to invest \$5 million in a 20-year program of restoration and management of Liuwa Plains NP.

3. Alternative Course of Action

3.1. GRZ Strategy for Protected Areas

95. **The PDF B project development process has solidified the emerging GRZ strategy for the National Protected Areas System.** The GEF guidance for Strategic Priority 1 on “Catalyzing Sustainability of Protected Areas” has had considerable influence on the GRZ’s strategy development. The review of lessons learned in Zambia and in the region done as part of the PDF B process has also fed into this strategy development process.

96. Protected areas in Zambia are seen as lying on a continuum running from the High level of management on one end of the spectrum to those with Low levels or no management at all on the other. At present the NPs in Zambia run the full gamut of this spectrum. The vast majority of GMAs have Intermediate levels of management effectiveness to none at all. Against this background, GRZ, recognizing that it cannot raise management effectiveness to optimum levels throughout the PA estate immediately owing to budgetary and other constraints, is pursuing a phased approach to capacity building and investment in the National PA System. The project will develop an overall conservation plan for the national Protected Areas System, In the interim, the GRZ will pursue the following interventions over the medium-term:

- ZAWA will concentrate on the management of a core set of high priority national parks with strong tourism potential¹⁶, which will serve as growth hubs for conservation.
- A PA reclassification exercise would be undertaken, to identify priority areas in need of management action (informing the temporal sequence of site level capacity building and investment work, across the PA estate), ensuring that biodiversity conservation priorities are defined, that the PA estate is bio-geographically representative and ensuring that PA classification and management intensity is matched to management objectives at the site level.
- GRZ will develop and pass new legislation that increases the effectiveness of the National System of PA by exploiting opportunities for enhanced biodiversity conservation that are not possible under existing categories of PA. The will include the creation of new categories of PA. Two principal new candidate categories have emerged from the project development process. The Community Conservation Areas (CCA) category of PA would maximize incentives for conservation for communities by giving nearly full control over resources and the revenues derived from these resources while preventing conversion to agriculture or other land uses. The second change would allow portions of national parks to be zoned as ZAWA-managed Safari Hunting Areas (SHA). This would be done for sections of national parks that have little or no present photo-tourism potential, thereby converting them from cost centers to profit centers for ZAWA, while still ensuring a high level of biodiversity conservation and enhancing ZAWA’s overall financial viability. This will require a change in the legal status of these national parks. These two proposed new categories will be developed and validated through a participatory process involving all key stakeholders.

¹⁶ Currently listed in PRSP as Mosi oa Tunya, Kafue NP, Lower Zambezi NP and Luangwa NP

- Simultaneously, ZAWA would pilot an expanded range of public/private/civil society/community partnerships for PA management, with a view to expanding management options for both old and new categories of PA. Steps will be taken to strengthen the underpinning policy framework, and to develop institutional capacities to assure strong regulatory oversight of these partnerships. The new partnerships are expected to allow core management operations to be strengthened across the PA system, more rapidly than under the traditional paradigm.
- Attention would be paid to strengthening core systemic and institutional level capacities, including capacities for business planning, monitoring and evaluation, financial management and other key functions.

97. These interventions will set the stage for the gradual expansion of management interventions across the larger protected area system, focusing on priority areas, identified through the reclassification exercise.

3.2. Description of the GEF/Project Alternative

3.2.1. Development and Project Objectives

98. **Project Preparation:** Project development has been jointly financed by UNDP/GEF (through a PDF B grant) and the GRZ. The project development process was highly participatory. Preparation commenced in May 2003 with the creation of a Project Preparation Secretariat within MTENR staffed by two Zambian professionals. Much of the background work was done by civil society institutions through competitively awarded contracts. Contracts were awarded for: a) Conservation Assessment, b) Institutions and Policy Assessment, c) Conservation Planning, and, d) Monitoring and Evaluation. An international GEF project development specialist assisted in the design and the drafting of the GEF Project Brief. MTENR was engaged in policy dialogue during the whole process. The National Biodiversity Working Group provided high level oversight and validation of the design. The contractors and Secretariat solicited input from a broad range of PA stakeholders in the preparation of this project.

99. **Project Objectives** The project will provide core strategic support to strengthen the National Protected Areas System – the system of core priority protected areas that have biodiversity conservation as a major objective. More specifically, this will include NP, GMA and new categories be created with project assistance (CCA and SHA are the principal candidate categories identified during project preparation). It will work to move PA management effectiveness from the low end towards the effectively-managed end of the spectrum. This will be done through legal and policy reforms, improved governance and institutional capacity building. Two field demonstration sites will be used for testing and implementing the legal and policy reforms, for developing public/private/civil society/community partnerships and other new tools and strategies for effective PA management.

100. As the term “effective management” of PA is used in a very broad sense in this project design. The following have been identified as key elements of effective management of the national Protected Areas System:

- Definition of the key management objectives (biodiversity conservation, tourism development, trophy hunting, multiple use management, etc.) for each priority site identified from the reclassification planning;

- Based on the bio-physical and socio-economic parameters for each priority site, selection of the category of PA that is most suitable;
- Selection the form(s) of management most suitable for the site (ZAWA-managed or any suitable combination of public/private/civil society/community partnerships);
- Development of business plans for achieving objectives and covering costs in the most cost effective manner;
- Development of the most cost-effective mix of enforcement techniques, M&E systems, infrastructure development, staffing, sustainable natural resource systems, administrative systems, communications and marketing, joint ventures, etc.

101. The Goal, Project Objective, Outcomes, Outputs and Activities of the project are closely aligned with GRZ policies as presented in the NBSAP and closely reflect the recent evolution of strategic thinking within MTENR/GRZ as presented in Section 2.3.2. The project will address the root causes of threats to biodiversity in the priority PA. A threats matrix is presented in the Protected Areas Annex (Annex 1). The project has specifically been designed to overcome the barriers to effective biodiversity conservation in priority PA as presented in the Baseline in Chapter 2. The project is strongly in line with the PRSP, providing support to economic growth and poverty reduction. The project confirms Zambia's commitment to the Convention on Biological Diversity and to the Millennium Development Goals, MDG number 7, in particular. One of the key constraints to development of the tourism sector will be addressed by restoring PA wildlife populations through improved management effectiveness.

102. **Goal** The project will make a major contribution to the achievement of the following Goal: *A National PA System that comprises a representative sample of Zambia's ecosystems is effectively safeguarded from human-induced pressures through effective management partnerships and serves to make Zambia into a tourism destination of choice.*

103. One **Project Objective** has been defined: *Enabling frameworks and capacities for managing the system of PAs that have biodiversity conservation as a major objective, will be strengthened.* At present only national parks and GMA are relatively effective in conserving biodiversity, with NP providing a much stronger legal base. The project will expand the range of categories of PA that provide effective biodiversity conservation and will enhance management capacities at the national level and at the field level through the development of new partnerships for managing new categories of PA.

104. This will be achieved through the following three complementary Outcomes:

Outcome 1 Appropriate policy, regulatory and governance frameworks are in place providing new tools for public/ community/ private /civil society PA management partnerships.

Outcome 2 Institutional capacities for PA system management strengthened including enhanced capacities for PA representation, monitoring and evaluation, business and investment planning and PA system planning.

Outcome 3 PA management options expanded through development and field testing of innovative private-public-community management partnerships for new categories of PA.

3.2.2. Outcome 1: Policy, Legal and Regulatory Frameworks

Appropriate policy, legal and regulatory frameworks will be put in place providing new tools for public/community/private/ civil society PA management partnerships

Total Cost: US\$ 3.13 million; Co-financing: GRZ \$0.35 million; UNDP \$1.75 million, DANIDA 0.33 million; GEF request: \$0.7 million

105. Policy and legal reforms will address several barriers including the following: a) lack of a clear, updated legal/policy framework for reclassification of PA; b) inadequate range of categories of PA as needed to ensure biodiversity conservation and adequate coverage of critical habitats; c) absence of frameworks for public/private/civil society/community partnerships for PA management; d) unclear definition of relative roles of traditional leaders and communities for community management and co-management; and, e) unnecessary and confusing multiplication of separate sectoral structures for NRM at the village level. These policy and legal reforms will be undertaken as part of a normal evolutionary process that is common to all sectors of government. The process for realizing these reforms will be highly participatory and will be done under the umbrella of MTENR. Each will start with an update of best practices and lessons learned both in Zambia and in the region. Special studies will be commissioned as needed. Policy options for addressing each of the barriers will be identified. Key issues and policy options will be debated through the Natural Resources Consultative Forum, using this structured platform for bringing key stakeholders and civil society into the policy development process. Regional workshops will be organized to obtain stakeholder input from the nine provinces. The ministry will take the results of this process and craft them into formal laws and policies. National workshops will be held for stakeholder validation of the final drafts.
106. Reclassification Policies for reclassification will be developed. The policy will cover reclassification priorities and criteria and procedures for reclassification. It will define the respective roles of government and non-government stakeholders. The reclassification policy will cover a) changes to the status of gazetted areas from one PA category to another; b) creation of new gazetted areas, and; c) degazetting of existing PA.
107. New PA categories New categories of priority PA (or possibly more) will be created – categories that provide a solid legal basis for effective biodiversity conservation. All new categories of priority PA will disallow conversion to agriculture or other “unnatural” land uses (the major weakness of the GMA). The first new candidate category will be a community-managed conservation area (CCA) where sustainable, commercial use of wildlife (e.g., trophy hunting) and other NR is allowed. The new law will allow the communities to enter into partnerships and joint ventures with private and parastatal entities (ZAWA), either for PA management or for investments in commercial, natural resource-based enterprises. The option of a progressive transfer of responsibilities from ZAWA to communities will be examined. CCA could be created out of GMA and potentially out of forest reserves or open areas. PA Boundaries would be redrawn to exclude agricultural areas. Communities would be required to commit to no agricultural conversion within the new boundaries – or lose their management and use rights as a consequence.
108. The second proposed new category of PA will provide for ZAWA-managed Safari Hunting Areas (SHA). These would be created primarily out of sections of national parks that have low potential for photo safaris (especially due to poor access) but where analyses show that trophy hunting may be an ecologically viable, and much more financially attractive, management option. This would be done by changing the legal status, and perhaps of the name, of the national park to allowing zoning for conventional tourism areas and for ZAWA-Managed Safari Hunting Areas. Alternatively, the SHA could be a new category of PA in itself. The zoning option would seem to be the preferred option, allowing the park to be rezoned over time as the relative advantages or markets for each type of land use evolve.

Other appropriate categories of PA may potentially emerge from the participatory policy/legal reform process.

109. Policy framework for partnerships The project will provide assistance to MTENR to complete the development of a clear policy framework for public/private/civil society/community partnerships for PA management. The ZAWA board of directors has already initiated this process. The guidelines developed will be used by ZAWA in two ways: a), to judge the merits of proposals initiated by private sector entities or community groups that approach ZAWA with their own ideas, and to negotiate partnerships with these entities for those proposals that have merit, and; b) more importantly, to proactively seek out appropriate local or international partners as needed to bring important PA under management in situations where ZAWA lacks the needed resources. Regulations will be developed to define minimum conditions for such partnerships, to define key indicators to be monitored and to define the acceptable grounds for nullifying an established partnership. National parks will be a focus of these policies, but policies for appropriate partnerships for GMA and the new categories of PA to be created will also be developed. Again, policy development will be highly participatory and will include all of the established PA management partners (Kasanka Trust, FZS, African Parks, etc...) PA community representatives, PA sector investors (lodges, trophy hunting companies) etc.
110. Rights and roles of traditional leaders and communities The project will support the development of policy guidelines to clarify the relative rights and roles of communities and traditional leaders in PA management and CBNRM. The Wildlife Act of 1998 was the first attempt to partially address this question. Traditional chiefs were given the nebulous role of “patrons” of the CRB. The role of traditional authorities has been a recurring question confronted in the selection of the field demonstration sites for this project. A review of experiences to date will be commissioned and the views of all key stakeholders will be sought out. Close attention will be paid to the need to provide adequate incentives for sustainable PA management as well as considerations of good governance and existing laws.
111. Community-level NRM structures The project will support the development of policies that allow a community to have, if they chose, a single management structure for wildlife, forests, fisheries and other (non-agricultural) natural resources that occur within the lands that they manage or are to manage. In addition to communities and CRB, key stakeholders are MTENR, Department of Forestry, ZAWA, and Fisheries Department in MAC. Inter-agency policies will be harmonized basic on lessons learned and best practices for CBNRM.
112. Civil society participation and knowledge management The Natural Resources Consultative Forum will provide a platform for civil society input on important NRM/PA sector issues. The NRCF will commission thematic back ground studies on topics of special relevance. It will organize workshops, seminars and debates on policy and technical issues. It will facilitate the sharing of experiences, the distillation of lessons learned and the preparation and diffusion of publications on key topics. Advisory notes/policy briefs to relevant ministries and institutions will be developed. NRCF will facilitate information sharing on donor activities and availability of funds. It will set up a reference library for storage and sharing of information with stakeholders. The NRCF will be a key mechanism for stakeholder input into the legal and policy reforms supported by the project and will provide MTENR will civil society input on the implementation of PA/NRM sector policies and legislation. The NRCF will be used to introduce new tools developed by the project and will be a mechanism for sharing experiences from the field demonstration sites.

113. Improved financial management The project will support improved financial governance at the GMA and CCA levels. ZAWA will develop transparent mechanisms for the sharing of revenues with CRB, including the issuance of financial statements showing the calculated basis of revenue sharing. Furthermore, transparent mechanisms, safeguards and guidelines for good governance and financial mechanisms will be developed and implemented at the level of the CRB, the VAG and their constituents, and any new CCA structures that may be created.

3.2.3. Outcome 2. Institutional Capacity Strengthening

Institutional capacities for PA system management strengthened including enhanced capacities for PA representation, monitoring and evaluation, business and investment planning and PA system planning.

Total Cost: US\$8.2 million; Co-financing: UNDP \$0.25 million, NORAD \$7.0 million; GEF request: \$0.96 million

114. The project will support the development of a range of strategic ally identified capacities to overcome barriers to biodiversity conservation through more effective management of the National Protected Areas System. All of these capacities fall under the heading of improved knowledge management – improved methods of collecting and analyzing data to produce information needed for management of the National System. The capacity building will culminate in the production of an overall reclassification and conservation plan for the National System. ZAWA will be the lead implementing agency for Outcome 2 and the principle beneficiary of this capacity building.
115. Identification of Reclassification Priorities The project will provide funding for the identification of priority sites for reclassification as needed to ensure that the National Protected Areas System includes bio-geographically representative coverage of the full spectrum of natural ecosystems/habitats/natural vegetation types in Zambia. The goal will be to have, on average, 10% of the original coverage of each ecosystem/habitat/vegetation type included, where this is still possible, in a category of PA that provides effective biodiversity conservation. Other socio-economic criteria reflecting national priorities will also be developed and applied to the reclassification planning. The Hearne et al vegetation map of 2000 will be analyzed against the 1976 vegetation map (and others, if they exist) to determine which provides the most meaningful representation of ecosystem differences for the gap analysis. The preliminary gap analysis done as part of project preparation will be checked and strengthened. Forest cover loss in NP, GMA and forest reserves will be analyzed using manual, visual interpretation of satellite imagery – categorizing deforestation as none, low, medium and high. This analysis will be used to identify GMA and forest reserve candidate sites that could be upgraded to a higher PA category that would ensure more representative biodiversity conservation. GIS maps of existing settlements will also be used as surrogates of human pressures. For ecosystems that are not adequately covered by existing gazetted areas, the satellite imagery will be used to identify candidate sites in open areas for the creation of new protected areas. NP, GMA and forest reserves that have been heavily encroached by agriculture and settlements will be identified as candidates for declassification. Landsat Thematic Mapper satellite imagery recently purchased by the Forest Department will be used for this analysis where it is available and will be complemented by newly purchased imagery.
116. Bio-physical and socio-economic assessments will be done of sites that are identified as candidates for upgrading or for the creation of new PA. The condition of habitats and wildlife populations will be evaluated as well as the nature and severity of threats to each site. The values and attitudes of the local communities and other stakeholders vis a vis the

conservation of the candidate site will be assessed, as well as the economic potential of managing each site for game viewing or trophy hunting. All of this information will be summarized in a synthesis document on reclassification priorities that can immediately be exploited by ZAWA, donors, civil society, researchers etc. This will later be integrated into the overall Conservation Plan for the National Protected Areas System. In the Conservation plan, biodiversity priorities for reclassification will be weighed against other factors such as costs, potential for achieving self-financing and contributions to economic development through tourism development, socio-cultural values, etc. In the Conservation Plan, reclassification will be linked to measurable goals and indicators. The project will not actually reclassify PA except at the two field demonstration sites.

117. Tools for improving PA business planning and management efficiency Resources available in relation to PA management needs will remain very limited in Zambia into the foreseeable future. Investments into PA management must be based on sound business planning so that the greatest impacts may be achieved effectively and efficiently with the resources available. A key aspect of improved knowledge management will be the development of tools for assessing economic efficiency. One may look at PA economic efficiency as the challenge of maximizing net socio-economic benefits to society without pushing systems over degradation thresholds.
118. For PA management efficiency, the project will define cost coefficients for the different forms of public/private/civil society/community management partnerships for each category of PA. Costs and benefits of PA management will be analyzed in both economic and financial terms. These tools will then be used to develop capacities for sound business planning for PA management. A PA business plan will entail a sound estimate of the costs of PA management accompanied by a plan for the types of investments needed and the time periods needed for cost recovery, where this is possible. These business planning tools will also be applied to the National Protected Areas System as a whole. In particular, business planning tools will be used to better define ZAWA's role in PA management based on a financial assessment of the possibilities to achieve self-financing. It will also help to better define the nature and amounts of GRZ and donor investments that will be needed to achieve sustainable financing over the core set of PA that ZAWA will manage directly. Business planning will also be a key tool in defining those PA that will be best managed by public/private/civil society/community partnerships or by communities with public and/or private partners.
119. An analysis of the capital and recurrent costs of each protected area combined with an assessment of its revenue generating potential of each park when combined with the identification of biodiversity conservation priorities from the Reclassification planning should lead to the following type of classifications:
- Protected areas that are financially viable, or can be so in the short term
 - Protected areas that can be financially viable in the longer term, and have high biodiversity value (including investment requirements)
 - Protected areas that are unlikely to be financially viable, but have high biodiversity values (suggesting alternative funding mechanisms are required such as Trusts)
 - Protected areas that are unlikely to be viable and with low biodiversity values (suggesting degazetting)
120. The same type of analysis will also be critical in identifying portions of national parks that could be much more efficiently managed as SHA while still ensuring high levels of biodiversity conservation.

121. Monitoring and Evaluation Improved capacities for monitoring and evaluation will be developed. A particular emphasis will be placed on adapting tools for monitoring PA management effectiveness, for identifying or improving indicators and techniques for monitoring wildlife populations and ecosystem health/biodiversity and for monitoring public/private/community partnerships for PA management. With the overall focus of this project on improving PA management effectiveness, it is critical for Zambia to have an effective tool or tools for monitoring this. Monitoring of ecosystem health/biodiversity is a capacity that is almost totally absent at present in Zambia. Wherever trophy hunting is done in PA, monitoring of wildlife populations should be considered as a basic, necessary cost of doing business. Testing and development of community-based M&E systems will be done at the two field demonstration sites. All aspects of M&E development will be based on reviews of best practices and lessons learned in Zambia and in the region.
122. The Management Effectiveness Tracking Tool (METT) that was developed jointly by WWF and the World Bank, was used to establish Baseline values for nine NP and GMA. The numerical rankings were found to correspond quite well, in general, with the perceived levels of management effectiveness for the PA concerned. However, a number of weaknesses of the tool, in the Zambian context, were identified and recommendations have been developed. The METT will be modified for Zambia conditions. This will be done as a priority during the first year. It will be applied to all NP and GMA during the first year to complete the Baseline. This will be repeated before the mid-term and the end of project. Application of the tool will be done by independent entities to minimize bias.
123. Monitoring of ecosystem health and biodiversity will allow PA managers to take corrective actions before critical thresholds are passed. It will look at the key aspects:
- Ecosystem health – to ensure that ecosystem process and habitats are not degraded over recovery thresholds
 - Biological diversity – to ensure that individual species populations are not reduced below a recovery threshold
124. The development of M&E systems for PA management partnerships will be done in conjunction with the new policy framework that will be developed for these partnerships. It will allow MTENR, ZAWA and others to monitor the effectiveness of the partnerships and the respect of minimum conditions established by the policy framework and by MOU between the partners
125. PA System Conservation Plan The results of the reviews of lessons learned and best practices in Zambia and in the region, the opportunities provided by the new legal, policy and governance frameworks developed, the identification of biodiversity conservation and reclassification priorities, the analyses of PA management effectiveness and efficiencies by type of PA management partnership, the new M&E techniques and other tools developed will all be integrated under a PA System Conservation Plan. The System Plan will identify the networks of PAs of different categories that need to be developed and effectively managed to ensure optimal conservation of the ecosystems and priority species in the country while contributing to tourism/economic development and poverty reduction. The System Plan will identify, on a site by site basis, the most appropriate PA category and the appropriate forms of management partnerships. It will identify the needs for reclassifying from one category to another, gazetting a limited number of new PA and degazetting of others. The Plan will define the relative roles of ZAWA, communities and NGO/private sector partners in PA management. It will cover enforcement, M&E etc.

126. Investment Plan and Marketing Plan The Conservation Plan will be complemented by investment and marketing plans. The investment plans will define the investments needed in enforcement, access roads, tourism infrastructure, vehicles, offices, etc. This will be complemented by a marketing plan that ZAWA, government and communities can use to interest investment partners needed for priority PA. These investment partners would include private sector tourism operators, private sector/civil society PA managers/co-managers, donors and others.

3.2.4. Outcome 3: Field Demonstrations

PA management options will be expanded through the development and field testing of innovative private-public-community partnerships for management of new categories of PA.

Total Cost: US\$25.59 million; Co-financing: ZAWA \$4.0 million; NORAD \$11.5 million; DANIDA \$1.14 million; KTL \$1.22 million; Peace Corps \$1.06 million; FZS \$2.66 million; GEF request: \$4.01 million

127. The two field demonstration sites will be used to apply the new legal, policy and governance frameworks and to test and develop the new tools for enhancing PA management effectiveness. The field sites will be used to apply legislation/policies and methodologies for reclassification. New community-managed conservation areas (CCA) will be one of the principal reclassification options at both sites and the creation of a SHA is an option for the mountainous portion of Lower Zambezi NP. The CCA and/or CRB management structures will have responsibility for management of all of the renewable natural resources within the CCA/GMA boundaries. The new policy guidelines for defining the roles of traditional chiefs in CBNRM will be put into practice at the field sites. The development of partnerships between CCA/community management structures and local NGOs (KTL and CLZ) with proven track records in PA management will be key features at both sites. Business planning, community-managed M&E systems and other tools will be applied and developed on these sites. Criteria for the selection of the two sites included the presence of biodiversity of global importance, opportunities for reclassification and opportunities for private/community/public partnerships.

Bangweulu Wetlands Demonstration Site

128. Bangweulu is huge wetlands complex with biodiversity of undisputed global importance. The wetlands in the GMAs have the world's only populations of the endemic wetlands antelope, the black lechwe, and are critically important for shoebill stork and other birds. The Complex includes a Ramsar site and Important Bird Areas (recognized as IBA by Birdlife International). There are three national parks, six GMA and several forest reserves in the Complex, but only Kasanka National Park has a functioning management system. The management of Kasanka NP by Kasanka Trust is one of the best and oldest examples of a public/private PA management partnership in Zambia and in the southern African region. Starting work at Kasanka in 1986, the group that soon thereafter became Kasanka Trust Limited (KTL), have successfully restored wildlife populations from highly depleted levels and have mobilized significant resources that they have invested in the park. KTL, however, is committed to a long term presence in the Bangweulu area and is also providing support to Kafinda and other GMA communities.

129. The field demonstration site will be located in the southern portion of the Bangweulu Wetlands in the triangle defined by Chikuni (where most of the black lechwe are concentrated), Kasanka NP and Lavushi Manda NP. This area includes the GMA of

Bangweulu, Chikuni and Kafinda and two forest reserves – one between Kasanka and Lavushi Manda NPs and one just south of Kasanka NP. Anti-poaching efforts in the existing GMA will be strengthened from the very beginning. A major focus at Bangweulu will be on the participatory reclassification exercise. Biophysical and socio-economic surveys will be conducted as part of the reclassification planning and will lead to the identification of reclassification options. The planning process will be a highly participatory one with local communities playing the key role for analyzing and choosing between reclassification options for the GMA. Opportunities for reclassifying Lavushi Manda NP and the forest reserve included in the area and non-inhabited open areas will be studied. A high priority will be placed on ensuring strong conservation status for the black lechwe and shoebill stork habitats and populations. The project will seek to establish wildlife corridors connecting the two NP and Chikuni. The creation of CCA will be one of the principal reclassification options. Much of the efforts will be directed towards developing NR management systems and the needed management and governance capacities for the CCA/community managers. The project will assist CCA/community managers to develop a multiple use management plan(s) focusing on wildlife and fisheries (fishing is the main economic activity in much of the area). Strong support will be developed for a partnership between the new community managers and the Kasanka Trust.

130. ZAWA will coordinate all the field-level interventions at Bangweulu and will also play direct implementation roles in enforcement, reclassification planning and the development of M&E systems. The other field partners will be KTL, WWF and Peace Corps. KTL, WWF and Peace Corps all have a history of involvement in the Bangweulu area. KTL is registered in Zambia as a trust and manages Kasanka NP under lease agreement with ZAWA. They have a sister organization in Great Britain that does fund raising for them. At Kasanka NP, they directly manage anti-poaching, road/infrastructure construction and maintenance, a research program and park administration in addition to the construction and management of two tourist lodges in the park. They also have an active community support program in Kafinda GMA and they lease (from ZAWA) and manage Shoebill Camp (a lodge) near Chikuni. Wildlife populations in Kasanka NP have been successfully restored from very depleted levels and the infrastructure, results and impacts of KTL's work are easy to see.
131. WWF started working in the Bangweulu Wetlands in 1985 and has conducted a number of projects that have benefited from funding from a range of different donors. The projects have covered integrated wetlands management, communities as resource managers, environmental education and the development of a "cultural village". The results and impacts of past projects are modest. They are just about to start implementation of a new project called "Conservation and management of critical sites for sustainable livelihoods in the Bangweulu Basin in northeastern Zambia" – funded by WWF-Sweden/SIDA.
132. Peace Corps currently has three environment/natural resources volunteers working in within the area of the field demonstration site. They work in CBNRM, agroforestry and in community capacity building.
133. Based on an assessment of the capacities of each of these partners, it has been decided that KTL will be the lead field partner for on-the-ground activities and for all of the community-level capacity building support for communities and community resource management structures. KTL will coordinate and supervise the work of the PCVs. PCVs will be posted to villages within the field demonstration area and will work intensively with communities and community managers on capacity development. WWF will provide a range of technical expertise to support ZAWA and the other field partners. The principal areas of

technical support will be in reclassification planning and M&E system development. Refer to the logframe for details on the roles of each partner.

Lower Zambezi/Chiawa Demonstration Site

134. The Lower Zambezi NP with the adjoining Chiawa GMA comprise the second field demonstration site. This complex is one of the few areas in Africa with viable, breeding populations of African wild dog combined with a large enough geographical area to maintain/conservate viable populations. The local NGO Conservation Lower Zambezi (CLZ) played a key role preventing the wildlife populations in the park from becoming severely depleted in the late 1990s, as they were in so many areas. Local lodge owners, farmers and others created the NGO in 1995 in response to the high levels of poaching that were out of control due to the institutional void before and during the creation of ZAWA.
135. The Lower Zambezi field site will focus on the development of a community/CLZ partnership for the development of community management of wildlife and other natural resources. The creation of a CCA out of the existing Chiawa GMA is the prime option considered here, but this will depend on the results of the legal/policy reform process for new PA categories. CLZ has recently begun focusing much of its efforts on the communities of the Chiawa GMA. Wildlife is depleted but recovering on much of this GMA and most of the habitat is in very good shape. Wildlife populations are very good in the vicinity of the CLZ camp and environmental education center in the eastern end of the GMA near the border of LZNP. With the adjacent park, prospects for restoring wildlife are very good if proper incentives and protection can be developed. The relative ease of access of Chiawa GMA and the concentration of lodges gives Chiawa an exceptionally good economic potential. Chieftainness Chiawa has given a strong endorsement to the creation of the CCA. The hunting company holding a 15-year lease is also interested in working with communities and in investing in wildlife restoration and reintroduction efforts. Collaborative mechanisms will be built between the managers of the community conservation area and ZAWA as manager of the NP.
136. The process of creating the CCA will include a participatory negotiation of new boundaries to include allowances for corridors that will allow wildlife access to the Zambezi River during the dry season. A particular accent will be put on zoning the new CCA to separate areas devoted to photo safaris from the larger areas zoned for trophy hunting. Zoning will be part of an overall management plan to be developed. The project will focus primarily on the development of the capacities of the community managers for governance, business management, natural resource management, M&E, etc. CLZ will be the community's main partner in developing these capacities.
137. The opportunity for zoning out a part of the mountainous portion of Lower Zambezi NP as a SHA will be studied as one of the reclassification options for the Chiawa/LZNP Complex. Because of its poor access and low use for conventional tourism, this portion of LZNP has been suggested as a potential site for a SHA. As ZAWA already has the needed expertise and capacities for managing wildlife for trophy hunting, the project's only role here will be for the reclassification planning and for the necessary regazetting of the park if the decision is made to create a SHA.
138. The implementation modalities for the Chiawa/Lower Zambezi Complex will be similar to those at Bangweulu. ZAWA will coordinate all field partners and will play direct implementation roles for the same functions as at Bangweulu. WWF and Peace Corps will

also play similar roles at Chiawa. The main difference is that the main field partner at Chiawa will be Conservation Lower Zambezi. WWF and Peace Corps are not currently active at Chiawa.

139. Conservation Lower Zambezi was created by conservationists, safari tour operators/lodge owners and other LZNP/Chiawa GMA stakeholders in 1995 and is registered as an NGO. It is focused on the conservation of the fauna and flora of LZNP and Chiawa GMA and on the empowerment and development of communities in Chiawa GMA. Until ZAWA became functional on the ground, CLZ focused strongly on anti-poaching activities in LZNP and the GMA. Now, CLZ supports scientific research and is developing a major environmental education program for GMA communities. It is completing a Base Camp and, with DANIDA funding, an environmental education center in Chiawa GMA just outside the eastern border of LZNP. They have maintenance facilities, lodging, radio communications, vehicles and a spotter plane.

3.3. Alternatives considered:

140. A number of alternative strategies were evaluated, as the basis for project intervention. The first option and original orientation of the PDF B proposal was to focus activities solely on reclassifying the PA system. While a valid activity, this option was discarded. Without accompanying capacity development and development of new conservation management arrangements, it is unlikely that the objective of rationalizing, consolidating and strengthening the PA system would be realized if one stopped at the level of reclassifying. Indeed, as any reclassification must be based on a participatory process involving local communities and stakeholders, reclassification on its own could lead to heightened expectations that could not be met if resources for effective management do not follow.
141. A second option was to focus on all protected/gazetted landscapes, including forest reserves, where biodiversity conservation is a subsidiary management objective. This was discarded, so as not to dilute intervention. Intervention in the forest estates would necessitate efforts to integrate conservation objectives into the forestry sector, which while critical, would involve different conservation methods than those required/ involved in the core PA estate. Also, the capacity development needs in the forest sector are so large they could not be adequately addressed within the resources available to this project. A more focused approach, concentrating on the core estate is expected to yield more durable and timely management impacts. However, the project will include forest reserves in the PA reclassification analysis, identifying reserves that need to be upgraded to a higher conservation status, as necessary, to ensure that bio-geographic representation targets are satisfied.

4. Eligibility and Linkages

4.1. Eligibility for GEF Funding

142. The GRZ ratified the Convention on Biological Diversity in May 1993. As a recipient of UNDP technical assistance, the GRZ is eligible for GEF funds under paragraph 9b of the Instrument.

4.2. Conformity with COP Guidance and GEF Strategic Priorities

143. **COP 7 Guidance** Early in 2004, the CBD COP 7 made a declaration on protected areas that is very supportive of key elements of the design of this project. First is a general statement concerning their adoption of the new work program:

“...the COP adopts the annexed work program with the objective of establishing and maintaining by 2010 for terrestrial areas...effectively managed and ecologically representative national and regional PA systems...”

144. The work program consists of four program elements. Goals for each element that are most relevant to this project are the following:

Element One:

- Establish and strengthen national and regional systems integrated into a global network;
- Integrate PA into the broader land- and sea-scapes;
- Substantially improve site-based planning and management.

Element Two:

- Promote equity and benefit-sharing;
- Enhance and secure the involvement of communities and relevant stakeholders.

Element Three:

- Provide an enabling policy, institutional and socio-economic environment for PAs;
- Build capacity for the planning, establishment and management of PAs;
- Develop, apply and transfer appropriate technologies for PAs;
- Ensure financial sustainability of PAs and national and regional systems of PAs.

Element Four:

- Develop and adopt minimum standards and best practices for national and regional PA systems;
- Evaluate and improve the effectiveness of PA management;
- Assess and monitor PA status and trends, and;
- Ensure that scientific knowledge contributes to the establishment and effectiveness of PAs and PA systems

145. **GEF Strategic Priorities** This project meets the requirements for GEF financing under Strategic Priority I (SP I): Strengthening National Systems of PA. It will build capacity at both national and local levels. It places a strong emphasis on building new public-private partnerships and improving the policy framework for such partnerships. It seeks to develop a new category of community-managed PA in the landscapes surrounding national parks and to strengthen the management of the existing GMA buffers. These new PA will be linked with park management and will enhance community incentives for the conservation of national parks. It will emphasize business planning and sustainable financing at both the PA and the system level. Collectively, these actions are expected to make a major contribution towards progressing management of the PA system, in terms of assuring management effectiveness, through capacity building and rationalization.

146. In line with the emerging guidance for SP1, the project has been designed using the following sequence of analyses:

- Description of the global biodiversity significance;
- Analysis of threats to biodiversity;
- Articulation of the approach used to tackle these threats;
- Analysis of the barriers to implementing the chosen approach;

- Description of the logical objective and outcome tree to address these barriers.

4.3. Linkages with other GEF Initiatives

147. Zambia completed its National Biodiversity Strategy and Action Plan (NBSAP), as required by the CBD, in November, 1999 with UNDP/GEF Enabling Activity funding. The NBSAP has been approved by Cabinet, making it an official GRZ policy document.
148. In 2001, UNDP-GEF supported a GEF information and dialogue workshop for Zambian stakeholders. The idea for this current project was first conceived at that workshop and was based directly on specific goals of the recently approved NBSAP. The current proposal is a country driven project that originates from the NBSAP.
149. Sustainable Land Management in the Miombo Woodlands Ecosystem is a US\$740,000 World Bank/GEF MSP working in Central Province. It works mostly in the agricultural sector but will also seek to develop an integrated ecosystem management approach.
150. Lukanga Swamps is another World Bank GEF project working in Southern Province NNE of Lusaka. It is an integrated ecosystem management project that was just approved in Feb 2004. The Project Implementation Unit will maintain frequent contact with both the Miombo Woodlands and the Lukanga Swamps Projects to share experiences and lessons learned.
151. The Support for Economic Expansion and Diversification Project (SEED) is a five-year IDA and GEF project that will provide support to the gemstone, agriculture and tourism sectors. GEF funding in the amount of US\$4 million will support improved PA management in the Kafue and Mosi oa Tonya National Parks in support of tourism development based on those two NP. The project will improve NP administration and management, infrastructure development, park-level M&E systems, public/private partnerships and CBNRM in park buffer areas. Co-financing is still being negotiated, but NORAD plans to contribute US\$20,000,000 to Kafue NP – half to road infrastructure and half to park management. Exceptionally close contacts will be maintained with the tourism/PA component of this SEED Project. In particular, their input on policy reforms, management partnerships, business planning for PA and on M&E systems will be sought.
152. NCSA The Government has initiated the National Capacity Self Assessment (NCSA) project with UNDP/GEF support as a first step towards capacity enhancement in the environment and natural resources sector. The objective of the NCSA is to prepare a comprehensive capacity analysis of gaps and a training plan for all stakeholders involved in the protection and management of environment and biodiversity. The NCSA process will feed into the PA capacity requirements that will be addressed by the project.
153. NAPA Government has requested assistance form UNDP/GEF for support in mitigating the impact of climate change by developing and implementing a National Adaptation Programme of Action (NAPA). The NAPA serves as a road map for the country towards the implementation of climate change adaptation activities that contribute to the achievement of the MDG- 7. The NAPA process consists of identification of all coping activities for climate change, prioritizing them and formulating priority projects for adaptation as well as strengthening the capacity to adapt to longer-term climate changes and contributes towards

raising awareness about the urgency to adapt to adverse effects of climate and climate change. In this regard, the project will benefit from the NAPA process by having strategies for mitigating the impacts of climate change in the wildlife sector that would feed in into the policy, legal and management frameworks for effective management of the PA.

4.4. Linkages with the UNDP Country Program

4.4.1. United Nations Programming Framework

154. The three key UN programming documents of greatest relevance to this project are the CCA, the UNDAF and the CCF. The UN in Zambia is currently operating under the Common Country Assessment (CCA) of 2000. The CCA was a pre-requisite for the development of Zambia's first United Nations Development Framework (UNDAF). The UNDAF is the planning framework for the development operations of the UN system at the country level. The UN has ensured that a linkage exists between the CCA/UNDAF and the country's Poverty Reduction Strategy Paper (PRSP). Thus the collective programming by the UN system in Zambia is directly related to the priority programs of the PRSP. Finally, the Country Cooperation Framework (CCF) for Zambia 2002-2006 outlines the main axes of UNDP's support to GRZ within the UN Development Framework. The CCF is based on key government policy documents.
155. The CCA recognizes poverty reduction as the national development priority. UN support is to play a catalytic role taking a human rights-based approach. CCA strategic foci of relevance are the following: a) the right to participation (good governance, decentralization, capacity building, information and communication technology); b) right to an adequate standard of living; c) equal rights (gender); d) overcoming factors that impinge on the realization of the above, especially HIV/AIDS; e) support to Zambia in implementing agreements of UN global conferences.
156. UNDAF specifies that the goal of UN assistance to Zambia is "to pursue a rights-based approach to development with a special focus on poverty reduction including the reduction of gender disparities." UNDAF identifies three strategic areas of intervention: a) employment; b) social services, and; c) governance. In addition, there are three cross-cutting issues: a) HIV/AIDS; b) gender; c) regional integration
157. Specific UNDAF objectives, agreed to by GRZ, that are of particular relevance to this project are the following:
- Support civil society participation in the design and implementation of socio-economic policies and plans and for monitoring the achievement of the Millennium Declaration commitments.
 - Enhance community participation in decision-making at the local level;
158. The CCF specifies that UNDP's strategic support to the CCF should focus on up-stream policy and strategic support to the Government in the following areas
- i. Good governance with a focus on human rights, decentralization, economic governance and public accountability;
 - ii. Development and implementation of frameworks for a multi-sectoral response to the HIV/AIDS epidemic;

iii. Enhance environmental protection and the sustainable management of natural resources

159. The CCF specifies that gender and the enhanced use of information and communication technology will be fully integrated into all UNDP program areas. It goes on to say, “By the end of 2006 UNDP’s support will have contributed to building the capacity of environmental authorities to enforce standards that promote sustainable natural resources management.... The 16 international conventions to which Zambia has acceded will have been internalized through legal reforms, new regulatory frameworks and improved enforcement and reporting.”
160. UNDP supports the Millennium Development Goals adopted by the 2002 World Summit on Sustainable Development in Johannesburg. The most relevant of these goals is to “ensure environmental sustainability”. Of the three targets, the one that is directly relevant to this project is stated as “integrate the principles of sustainable development into country policies and programs, and reverse the loss of environmental resources.”

4.4.2. Linkages with other UNDP Projects

161. **Environmental Protection and Natural Resource Management** UNDP is currently supporting this 5-year (2002-6) project. The project objective is to enhance managerial capacity for environmental protection and sustainable management of natural resources as well as for coordinating the implementation of environmental international conventions. To achieve this objective, the project focuses on the following:
- Environmental policy development including support to civil society organizations and communities to enable their effective participation in the formulation and review processes;
 - Strengthening of the existing institutional mechanisms for enforcement of environmental standards and the sustainable management of natural resources in the Ministry of Tourism, Environment and Natural Resources (MTENR), Zambia Wildlife Authority (ZAWA), Environment Council of Zambia (ECZ) and Zambia Meteorological Department (ZMD).
162. The development of the environment policy will provide an umbrella for the subsidiary policies such as those envisaged in the new Zambia PA project. In this regard, subsidiary policies will benefit from the environment policy by providing the mutual enforcement, seal gaps and minimize contradictions that may exist in the subsidiary policies.
163. **Enhanced Local Governance for Poverty Reduction** The UNDP support is directed at enhancement of capacity for implementation of the Decentralization Policy (DP), which focuses on the devolution of power and empowering the local communities. The implementation of the DP will assist the communities to create institutions that will be supported by legal framework. The envisaged CCAs would benefit from this arrangement and operate within the confines of DP that will also be supplemented by PA policy.

4.5. Linkages with GRZ priorities/policies and programs

164. The wildlife sector has been identified by the GRZ as a priority sector. The Poverty Reduction Strategy Paper (PRSP) identifies tourism (which is strongly reliant on the national parks and GMA) as the second major sector after agriculture for economic growth and

poverty reduction. Donors have responded in kind and NORAD, World Bank and DANIDA are providing funding in consequence.

165. The GRZ has undertaken very difficult steps to improve governance and effectiveness in the sector. The former National Parks and Wildlife Service was dissolved and new staff was competitively recruited to the Zambia Wildlife Authority with staff levels reduced from 4150 to 1400. Major reforms for co-management and revenue sharing with communities have been undertaken for the GMA. Government has also signaled its receptivity to new forms of public/private partnerships for NP management. The development of this project was lead and coordinated by a Secretariat within the MTENR. The Project Manager of the Secretariat is directly responsible to the Director of Environment. The policy dialogue with the MTENR during project preparation is further evidence of the GRZ's commitment to policy reforms.
166. The concept for this project was strongly driven by the GRZ. The basic idea for the project was advanced by the former Director of Environment at a UNDP-sponsored GEF information workshop in 2001. The project idea corresponds directly to a number of the Goals and Objectives the UNDP/GEF-funded National Biodiversity Strategy and Action Plan (approved by the GRZ Cabinet in 1991). The most relevant are the following:
- Goal 1: Ensure the conservation of a full range of Zambia's natural ecosystems through a network of PA;
 - Goal 3: Improve the legal and institutional framework and human resources to implement the strategies for conservation of biodiversity, sustainable use and equitable sharing of benefits from biodiversity;
 - Goal 4: Sustainable Use and Management of Biological Resources;
 - Goal 6: Ensure the equitable sharing of benefits from the use of Zambia's biological resources.

5. Project Management and Stakeholder Participation

5.1. Execution and Implementation Arrangements

167. The project will be implemented over a period of six years beginning in early 2005. The project will be nationally executed. The Zambia Wildlife Authority will be the designated institution for the management of the project. The Ministry of Tourism, Environment and Natural Resources (MTENR) will have an overall oversight and monitoring role on the part of GRZ. In addition, UNDP will assist in the procurement of equipment and local consultants for the project as needed/requested. The project will receive high-level policy guidance and orientation from the project's Steering Committee. The SC will be chaired by MTENR and will be composed of the Permanent Secretaries of concerned ministries plus UNDP. The SC will meet twice a year during the first two years and once a year thereafter. The Technical Advisory Group will provide technical support to the project. The TAG will be composed of 10 individuals from government and civil society (including tourism/safari hunting sectors) selected on the basis of their competence. It will meet quarterly during the first year and every six months thereafter. Finally, all of the implementing partners and the donors for the project will form a Project Coordination Group that will meet every four months.
168. As the designated institution, ZAWA will be responsible for managing the project including the timely delivery of inputs and the outputs. ZAWA will coordinate the activities of all the other implementing agencies (MTENR, NRCF, WWF, KTL, CLZ and PC) to

ensure the efficient and timely project implementation and the attainment of maximum impacts. ZAWA will lead and coordinate the preparation of annual work plans. ZAWA will coordinate the interventions of all the other implementing agencies at the field demonstration sites. ZAWA will enter into an agreement with UNOPS for the identification and contracting of all international consultants. KTL, CLZ and WWF will be contracted by UNDP. Peace Corps Volunteers (PCV) and United Nations Volunteers (UNV) field partners will work under MOU with ZAWA and UNDP.

169. A Project Implementation Unit (PIU) will play a key role in project implementation. It will be attached to ZAWA and will be headed by a Zambian national with the title of Project Technical Coordinator (PTC). He/she will work under the supervision of the ZAWA DG and will be responsible to UNDP for the proper application of all UNDP administrative and financial regulations and procedures for the use of UNDP/GEF funds. The PTC will be a national consultant and will fill this post for six years. A Protected Areas Systems Specialist (PASS) and a Natural Resources Economist (NRE) will support the PTC. The PASDS will be a highly qualified international consultant recruited through UNOPS. He/she will be a full time advisor during the first two years of the project and will conduct periodic support missions to the project for the remainder of the project. The NRE will conduct periodic support missions during the life of the project. The PIU will have overall responsibility for project management, administrative, technical and financial reporting. The PIU will manage the selection process for all local contracts and recruitment of local consultants. This will include preparation of TOR, call for bids and organization of the selection process. This will all be done in close coordination with UNDP and contracts will be let by UNDP. The PIU will oversee and coordinate the execution of all local contracts. The PIU will have a small support staff.
170. MTENR will have lead responsibility for the development of the policy and legal reforms under Outcome 1, ZAWA will be the lead implementing agency for Outcome 2 and ZAWA, assisted by WWF, will coordinate the implementation of field activities implemented by ZAWA and field partners NGOs under Outcome 3. ZAWA will have implementation responsibilities for enforcement, reclassification planning and development of M&E systems at the field sites. The lead field implementation agencies at each site will be KTL and CLZ at Bangweulu and Chiawa, respectively. MTENR will monitor and oversee the implementation of PA sector laws and policies.
171. WWF will provide key technical support to both field demonstration sites in the areas of biodiversity surveys, image interpretation, reclassification planning, the development of community-based M&E systems and other specialized technical inputs needed at the two sites. WWF will work with ZAWA and the lead field partners at each of the two sites. All of WWF's support to the two field sites will be coordinated by ZAWA.
172. Kasanka Trust Limited will be the lead field partner for the Bangweulu Field Demonstration Site. KTL will have primary responsibility for on-the-ground implementation and support to communities. KTL will have responsibilities for awareness raising, support for a highly participatory approach to reclassification planning, support for community-level capacity development, development of community-based natural resource management systems, support for development of community-based enforcement systems and the development of NR-based income generating activities.
173. Conservation Lower Zambezi (CLZ) will be the lead field partner for the Chiawa/Lower Zambezi Field Demonstration Site. CLZ will have primary responsibility on-the-ground

implementation and support to communities in what is now the Chiawa GMA. This will include responsibilities for awareness raising, supporting a highly participatory approach to reclassification planning, supporting community-level capacity development, development of community-based natural resource management systems, support for the development of community-based enforcement systems and the development of NR-based income generating activities.

174. Peace Corps will provide four natural resource/environment volunteers to be posted in villages in the two field demonstration sites. The PCV will be integrated into the project and will provide support to communities and to community management structures. KTL and CLZ will directly supervise their community support activities at each site.
175. **Implementation of Outcome 1** MTENR will be the lead implementing agency for all legal and policy reforms under Outcome 1. Background studies and legal drafts will be contracted for by the PIU/UNDP. Stakeholder workshops will be organized by the PIU. ZAWA will provide cofinancing for improving their financial management of revenue sharing with CRB. Support for improved financial management and governance at the CRB and VAG level will be done under competitively awarded contracts through the PIU/UNDP. Funding will be provided by DANIDA for the functioning of the NRCF for the first three years. This will be then be picked up under UNDP/GEF funding for the final three years (MTENR is committed to the creation of NRCF, but the institutional host of the NRCF has not yet been selected.)
176. **Implementation of Outcome 2** The work on reclassification priorities will be done through direct support to ZAWA's Science Department and will be supported by competitively awarded contracts (PIU/UNDP). The PIU PASS will play a strong advisory role on the reclassification methodologies. The development and application of economic, financial and business planning tools will make considerable use of a lead natural resource/environmental economics consultant (NRE). Modifications to the METT and its use for monitoring PA management effectiveness will be done under local contract with a qualified neutral party. The review of M&E systems will be done under NEX or UNOPS contract and the adaptive testing of these systems will be done primarily by ZAWA assisted by consultants. The development of the Conservation Plan, the investment plan and the marketing plan will involve ZAWA, the PIU, and contractors with input from civil society.
177. **Implementation of Outcome 3** All implementing agencies working at the two field demonstration sites will be coordinated by ZAWA, who will be assisted in this by WWF. ZAWA will be directly involved with awareness raising, enforcement, reclassification planning and the development of improved M&E systems. Technical support to both sites will be provided by WWF under contract with UNDP. KTL and CLZ will be the lead field implementation agencies at each site, responsible for most operational, field level activities and for different forms of community support. PCV will provide capacity building support to communities and to community management structures, doing this under the general coordination of ZAWA and the day-to-day coordination of KTL and CLZ.
178. The smooth functioning and the possibility of conflicts/misunderstandings at the two field demonstration sites will be monitored closely to nip any potential problems "in the bud". Every three or four months, coordination visits to each site will be organized by the PIU/ZAWA. MTENR, UNDP, PC or others may participate in these field visits. Two or three days will be spent at each site with visits to all key stakeholders to review progress, successes

and constraints and concerns of each party. A plan of action will be developed for each potential problem identified and follow-up will be monitored carefully.

179. **Steering Committee** High Level Policy Guidance and Project Oversight would be provided by a high-level Steering Committee (SC) comprised of the Permanent Secretaries (PS) of the Ministry of Environment, Tourism and Natural Resources, Ministry of Agriculture and Cooperatives, Ministry of Lands, Ministry of Finance and UNDP. The SC will meet twice a year during the first two years of the project (the period during which most of the new policies and legislation will be developed) and once a year thereafter.
180. **Technical Advisory Group (TAG)** Technical support to the project will be provided by the Technical Advisory Group. This groups of about 10 members will be composed of individuals who are selected based on their reputation and competence in their respective fields. The TAG will include representatives of private sector/civil society PA management partners and tourism sector private investors (associations representing tourism operators/lodge owners and trophy hunting companies).
181. **Donor Coordination** MTENR will play the lead role in donor coordination for the environment sector and for this project through the Sector Advisory Group on Tourism.
182. **Intellectual Property Rights on Data, Study Results, Reports, etc.** All data, study results, information, reports, etc. generated with UNDP project funds will be the property of UNDP and the GRZ.

5.2. Financial Arrangements

183. Both GEF and UNDP/TRAC funds will be administered by UNDP. The PTC will assist ZAWA and UNDP to manage project resources. The PIU will manage all local service providers. The PTC will manage the funds for the local staff and operating expenses of the PIU. UNDP will advance funds for a three-month period. At the end of the three month period, the PIU will submit justification for expenses and the funds spent will be renewed by UNDP.
184. Criteria and procedures will be developed for performance-based contracts with service providers. Under performance-based contracts, the service provider will be paid only for work completed. Work partially completed will be paid on a *pro rata* basis.
185. The project will comply with UNDP's monitoring, evaluation and reporting requirements as spelled out in the UNDP Programming Manual. The PIU PTC will have lead responsibility for reporting requirements to UNDP.
186. Annual audits will be completed in line with UNDP procedures.
187. A total of US\$ 6 million in financing is requested from the GEF to cover the incremental costs of project implementation. Co-financing amounting to US\$ 36.010 million has been committed.

Co-financing Sources				
Name of Co-financier (source)	Classification	Type	Amount (US\$)	Status*
GRZ/ZAWA	Government	Government funds	12,310,000	Pledged
UNDP/TRAC	Implementing Agency	Grant	2,000,000	Pledged
NORAD	Bilateral donor	Grant	17,300,000	Pledged
DANIDA	Bilateral donor	Grant	1,470,000	Pledged
KTL	NGO	NGO funds	1,360,000	Pledged
WWF	NGO	NGO funds	510,000	Pledged
Peace Corps	Bilateral volunteer	Grant	1,060,000	Pledged
Sub-Total Co-financing			36,010,000	

5.3. Project Beneficiaries

188. As a biodiversity project, the project is designed to have global benefits through improved conservation of globally important ecosystems and species in Zambia. The following institutions and stakeholders will be the principal beneficiaries at the country level:

189. **The Ministry of Tourism, Environment and Natural Resources** will be the principle beneficiary of the improved legal and policy frameworks. Project resources will be used to assist the ministry in developing new legislation and policies that are critical for improving the effectiveness of PA management in Zambia. Furthermore, the participatory process for developing laws and policies will give the new legal and policy frameworks a strong grounding of support from key stakeholders. Support for the Natural Resources Consultative Forum will also provide the Ministry with solid inputs on policy development from civil society – this will facilitate MTENR’s oversight role for ZAWA and other PA areas managers. The PA System plan, the investment plan and the marketing plan will also be key strategic documents for MTENR.

190. **Zambia Wildlife Authority** is the main national institution responsible for the management of the wildlife estate in Zambia and will thus be a focus in the project implementation process. Policy and legal reforms should greatly assist ZAWA in the development of effective public/private/civil society/community partnerships for protected area management. The project will also result in the strengthening of ZAWA’s role through the provision of strategic inputs focusing on reclassification planning, development of M&E techniques and knowledge exchange. The development of business planning capacities in ZAWA will be particular project focus as will the development of more cost effective PA management approaches and of improved management partnerships. Improved systems for financial transparency in the sharing of revenues with CRB should greatly improve ZAWA’s working relationships with these community structures. Reclassification planning, the PA System plan, the investment plan and the marketing plan will all be critical strategic documents for ZAWA to better define its core niche in PA management, to make it more effective and efficient as the principal institution with a mandate for biodiversity conservation and with a secondary role of contributing to tourism development and poverty reduction. These strategic documents will also enable it to mobilize management partners, private sector

investors and donor support. Experiences from the project demonstration sites will be used to roll over the protected area reclassification plan into other GMAs and National Parks.

191. **Local communities** Policy, legal and institutional reforms which will ensue from the project will empower local communities, especially those in the Game Management Areas, to participate more equitably in the sustainable management of protected areas. Transparency in the sharing of revenues will greatly increase incentives for GMA conservation and management and will put the CRB/ZAWA co-management partnerships on a much firmer footing. Governance training for CRB/VAG and CRB community representatives will give all parties a much clearer understanding of their rights and responsibilities.
192. Local communities in the field demonstration sites will be special beneficiaries. The new CCA managers will enjoy the highest level of empowerment and the strongest rights to collect and manage their own NR-derived revenues of any communities in Zambia. The focus of efforts in the field demonstration sites will be on the building of the capacities of the community managers including skills in business planning, financial management, governance, resource estimation and monitoring, law enforcement and adaptive management.
193. In a broader sense, local communities will benefit from increased employment opportunities from the private sector tourism investors who will be attracted by new investment opportunities that follow the restoration of viable wildlife populations that results from more effective PA management.
194. **Private Sector Tourism Investors** Better protected area management practices will result in improved wildlife estates in National Parks and GMA. This in turn will lead to an increase in the flow of photographic safari tourists as well to an increase in hunting concessions in rehabilitated GMA. This increased tourist traffic will be the engine of growth for private sector investments which will in turn lead to increased foreign exchange earnings at local level and employment opportunities for local communities. The lodge owners in Chiawa GMA and Lower Zambezi NP, the trophy hunting lease holder for Chiawa GMA and future private sector investors in the Chiawa/LZNP complex will be beneficiaries of the project. For the Bangweulu Complex, tourism and trophy hunting are only poorly developed at present. KTL is managing the fly-in camps/lodges in Kasanka NP and Shoebill Camp near Chikuni on an interim basis. Most of the tourism sector beneficiaries at this field demo site will be future investors.
195. **Civil Society Conservation Community** The project will work with and support the work of the civil society conservation community, particularly in the promotion of advocacy for policy and legal reforms and for the general improvement of protected area management. The Natural Resources Consultative Forum will receive support from the project in promoting dialogue between various stakeholders involved in the PA sector. The NRCF will provide key civil society input into the participatory policy and legal reforms of Outcome 1.
196. **Division of Fisheries** The Bangweulu field demonstration site is a very important fishery area and the project will assist the development of sustainable fisheries management. The project will significantly contribute to its conservation and development. The Department of Fisheries will benefit from capacity building and from direct involvement in the development of innovative, community-managed fisheries on this site

5.4. Stakeholder Participation

197. The legal and policy reforms strengthen and clarify the rights and roles of private sector and community stakeholders. The new models of public/private/civil society/community partnerships will be specifically targeted to involve these stakeholders directly in the management of PA and in the benefits of PA management. The new category of PA for community management of wildlife and other resources will be a major step in strengthening community control of land and resources and in maximizing the revenue they receive from natural resource management.
198. The approaches used to effect legal and policy reforms, improved governance, institutional capacity building and field testing of new partnerships will involve all of the important stakeholders in the PA sectors. The process for policy reforms will involve inputs from, and subsequent validation by, stakeholders from the regional and national levels. Stakeholders will include communities, traditional leaders, PA private sector investors, national and international NGOs and appropriate government and parastatal institutions. The Natural Resources Consultative Forum will provide a formal mechanism for civil society stakeholders to have direct input into key issues concerning the PA sector.
199. Institutional capacity development will support a balanced mix of capacities in the parastatal ZAWA and in civil society institutions. This is critical for good governance because of the internal conflict within ZAWA's mandates. ZAWA is charged, on the one hand, with conservation of biodiversity and natural areas, while on the other hand, they are being pushed strongly by government to generate enough revenues to cover their own costs. In addition to capacity development in ZAWA, the project will support capacity development in civil society institutions to enable them to have both a solid knowledge base and inputs in PA policy development.
200. The field-level demo sites will focus on the development of partnerships and capacities of the key stakeholders, especially of the local communities in the present GMAs at each site. The reclassification at each demo site will be a highly participatory process putting local stakeholders in the forefront of the process. The major emphasis at the demo sites will be on building local stakeholder capacities, especially those of the community management structures of the new CCAs. The project will develop partnerships between communities, NGOs, ZAWA, private sector investors in both photo safari and trophy hunting industries and traditional authorities.

6. Risks, Prior Obligations, Sustainability and Replicability

6.1. Risk Analysis Matrix

201. Key Risks: the following risks and risk identification measures have been identified

Risk	Risk Rating	Risk Mitigation Measure
External pressures on national parks and protected areas increase significantly.	M	The strengthened M&E system would provide an early warning of increasing pressures, allowing ZAWA and its partners to intervene where pressures warrant.

Continued over harvest of wildlife. Sustainability cannot be assured until populations recover	M	Anti-poaching methods are quite well tested and proven at other NPs. Recent innovations are bringing costs down substantially. The project will strengthen monitoring and enforcement at the community level. Trophy hunting will only be considered an option in areas where there are adequate wildlife populations. This issue will be addressed as part of the reclassification effort.
Private sector/communities do not respond positively to improved policies/incentives.	M	The new policy framework for private/public/community partnerships will clarify and codify the rights and responsibilities of each party. Sound business planning for PA will identify private sector investment opportunities.
Tourism does not develop as hoped and tourism levies do not cover most of the recurrent costs of PA management.	M	Integration of private sector investors into legal/policy reforms and planning processes builds confidence for investors. The development of multiple use management approaches on community managed lands diminishes dependence on the single safari hunting sector.
The approval/enactment of needed legal and regulatory framework is delayed.	M	Support to the Natural Resources Consultative Forum (NRCF) ¹⁷ will bring civil society and donor pressure to bear on government policy makers. The participatory process of policy formulation will minimize risk of delays.
Government does not effectively address documented cases of mal-governance.	M/S	Increased transparency and civil society input and oversight through the NRCF will greatly improve the visibility of mal-governance, making it much harder for GRZ to ignore.
Adequate staffing profiles/numbers in ZAWA is not maintained relative to core PA management functions.	M	The development of a clear business plan for ZAWA will provide GRZ and the donors providing core support to ZAWA a roadmap towards financial sustainability for many of ZAWA's functions.
Stakeholder conflicts cannot be successfully mediated.	M	The participatory design process minimizes this risk and the participatory, transparent execution will also reduce risks of conflicts.
Overall Risk rating	M +	

Risk rating – H (high Risk), S (Substantial Risk), M (Modest Risk), and N (Negligible or Low Risk)
 Risks refer to the possibility that assumptions defined in the logical framework may not hold.

6.2. Prior Obligations

6.3. Sustainability of Project Results

202. One of the key aspects of sustainability is the chicken-and-egg mutual interdependence of PA management and tourism development that is illustrated in Figure 5. Two main types of investments are needed – investments in enforcement and PA management to restore wildlife populations and investments in infrastructure needed for tourism development. This project

¹⁷ The *Natural Resources Consultative Forum (NRCF)* is a national forum which will be established as part of the project, to facilitate civil society input into environmental and PA sector issues.

will develop tools and a Reclassification and Conservation plan for the National System of PA that will strategically guide investments in these two areas. These tools will be developed so that the investment resources available can have maximum impact on biodiversity conservation of priority sites and high impacts on tourism development and poverty reduction through management systems and partnerships that are as financially sustainable as possible.

203. Project activities have been specifically designed to accelerate the uptake of good management practices across the PA estate. This cannot be achieved all at once, but in a carefully sequenced manner, progressively seeking to ensure sound management effectiveness in all priority PA. The assessment and economic analysis of PA management effectiveness will focus on identifying the forms of PA management partnerships that are financially the most efficient, that provide the greatest incentives for PA managers and that are financially self-sustainable. Some of the most promising of the new forms of partnerships will be tested at the field demo sites. The development of a clear policy framework for public/private/civil society/community partnerships will simplify and render transparent the entry conditions for potential private and community PA management partners.
204. The project will build on Zambia's already promising experiences with public private partnerships for management of national parks -- seeking to expand on this to also bring local communities into the public/ private partnerships for both existing and new categories of PA. The overall conservation plan to be developed will seek to better define ZAWA's roles and responsibilities in conformity with their absorptive capacity and in lines with the assessed potential for self-financing of PA that they will manage directly themselves. GRZ commitment to the policy reforms specified in this design document and their timely approval will be key elements to sustainability.
205. At the level of the field demonstration sites, the development of PA/natural resource management funds that are self-financed out of revenues from hunting, tourism and other natural resource-based enterprises will be a key aspect of support to community-managed PA. However, it is unlikely that community-managers can be totally self-sufficient at the end of six years. Therefore, another key to sustainability is the choice of two successful private sector partners with established track records in conservation and PA management as partners of the new CCA managers. This will greatly increase the probability for sustainability. Kasanka Trust and CLZ are both locally-based with long term commitments towards conservation and will almost certainly be there to continue to support their community partners beyond the close of this current project.
206. The ability of these two partners to continue support to CCA managers beyond the end of this project is, of course, dependent on the sustainability of their own funding. Kasanka Trust has a well-developed track record in fund-raising. Their most important tool has been the creation of a sister organization in the UK whose principal purpose is fund-raising for KTL. One of KTL's particular strengths is in the area of funding for research. They have just been awarded US\$ 370,000 by the Darwin Initiative to conduct research based on PA management needs. KTL's research coordinator in the field is attempting to develop an eco-research program that would actually raise money for PA management. Research "volunteers" from developed countries will actually pay for the experience of working on research in a setting like the Bangweulu Complex.
207. CLZ's most reliable source of funding comes from their corporate membership -- especially the lodge owners in Chiawa and LZNP. Recognizing that the conservation of Chiawa and LZNP are in their direct financial interest, the lodge owners contribute a

percentage of their bed-night fees to CLZ. CLZ has also been successful in mobilizing funding from donors like DANIDA and also sponsors other fund-raising activities in Zambia. CLZ's main focus in coming years will be on supporting the empowerment and development of communities in Chiawa GMA and on environmental education of communities around LZNP.

208. The identification of tourism as the second highest priority sector in the PRSP will contribute to sustainability through increased investments in the sector resulting in increased tourist entry fees, hunting license fees and other sources of revenue that provide incentives and cover PA management costs. Preliminary analyses conducted as part of project preparation indicate that investments in protected areas management can be financially viable in Zambia. The project will continue to refine the conditions under which different forms of management and of management partnerships will yield positive returns on investments and will use this information to mobilize new management partnerships.
209. A study entitled "A Financial and Economic Analysis of the Costs and Benefits of Managing the Protected Area Estate" was conducted as part of the PDF B project development process. Its purpose was to provide a financial and economic analysis of the costs and benefits of managing Zambia's protected area estate. Readily available information on the economics and finances of tourism and protected areas in Zambia being highly deficient, this study required a significant amount of primary data collection and collation.
210. Park based tourism currently generates USD 40 million in direct turnover to tourism operations, 75% of which is in Livingstone and much of the remainder in South Luangwa (USD4m) and Lower Zambezi (USD 3m). Assuming an economic multiplier of 4, this still translates into USD 160 million of economic impact in Zambia (MTENR estimates USD 120m). The tourism industry is in its infancy, but growing steadily at about 10% per annum. Taking a conservative assumption that park-based tourism will triple in the next ten years implies: That national parks will be close to covering their core operational costs
- Direct tourism turnover of USD 120 million annually
 - Economic impact of USD 500 million annually.
211. On a per area basis, Zambia's protected areas will be generating less than 20% of those historically evidenced in Zimbabwe and South Africa, suggesting that these estimates are technically realistic, and that the long term potential from growth of this "cluster" industry is even higher.
212. Safari hunting currently generates USD 1.3 million to landholders, USD 4 million in direct outfitter turnover, and perhaps USD 8-16 million in economic impact. Good administration in the short term, especially the allocation of quotas to highest values and measures to encourage more spread out use of wildlife in GMAs, could triple these figures over night. Wildlife populations in GMAs are currently below 5-10% of carrying capacity. If measures are taken to internalize the costs and benefits of wildlife management in GMAs and on other land (i.e. the wildlife producer can retain full benefit), and to ensure sound governance, therefore, within twenty years the output of Zambia's hunting sector could be increased by five to ten times. This would generate: USD 20-40m in landholder income,
- USD 60-120 million in outfitter turnover, and
 - more than USD 250 million in total economic impact.
213. In conclusion, if Zambia's wildlife resource is well managed it has the potential to generate economic activity of approximately USD 750 million annually.

6.4. Replicability

214. The field demonstration sites are key to replicability of project interventions. New legislation and policies must be applied and made to work in the field and new tools for PA management must be field tested before one can expect ZAWA, PA management partners and donors to invest in replicating the new approaches. In this sense, Bangweulu Field Demonstration Site is considered to be an excellent site for testing and demonstrating methodologies for reclassification because it represents so many of the variables to be dealt with in PA reclassification country-wide. It has very poorly protected endemic and threatened species of global importance, a rich complex of terrestrial and wetland ecosystems, a mix of national parks representing the two ends of the spectrum of management effectiveness, three GMA with highly variable levels of wildlife populations and management effectiveness, two unmanaged forest reserves, a RAMSAR site, poorly motivated ZAWA wildlife police officers, low incentives for communities to protected wildlife, unoccupied open areas suitable for inclusion in CCA and elephants and other game that move throughout the whole area that are badly in need of permanent corridors.
215. Both sites are judged to have excellent potential for the creation of CCAs. Bangweulu and Chiawa GMAs have viable game populations that can immediately generate revenues from trophy hunting and with good potential for joint ventures with private sector tourism investors. If community management of wildlife works as well in Zambia as it does in Namibia and Botswana, then the potential for rapid replication of CCA should be excellent. DANIDA is especially interested in community empowerment for resource management. They plan to invest \$20 million into the environment/PA sector starting in 2008 and are potentially interested in investing in replication of the CCA model.
216. Improved financial governance and transparency are key elements to replication of co-management systems at the level of GMA. Much of the conflict and distrust between CRBs and ZAWA is due to misunderstandings in the sharing of revenues from trophy hunting. CRB don't know what they are getting 45% of. Resolving this is quite a simple matter and should provide strong incentives for GMA communities to engage in co-management with ZAWA.
217. The proposed new CCA category of PA should have strong potential for replicability. The CCA category will allow strong devolution of authority to communities and maximum benefits to communities – these are the two principle lessons learned from multiple reviews of CBNRM across the southern African region (Annex 5). There is every reason to believe that these principles will also hold true in Zambia. A key to replication of the CCA will be training workshops for representatives of all of the GMA and CRB in the country, to be held at functioning CCA at the two field sites during the last three years of the project. This will give GMA community representatives the possibility to directly interact with CCA managers and community members and the ability to judge for themselves the merits of applying for CCA status for their own GMA.
218. The replicability of the proposed SHA would be one of the easiest challenges. ZAWA already has the basic capacities needed to sustainably manage wildlife for trophy hunting. The reclassification and conservation planning will identify the portions of parks that are most suitable for SHA. These parks then need to be reclassified/regazetted to allow for zoning for SHA – this is primarily a “paper exercise” and not costly. Where wildlife populations are adequate, the new SHA can quickly become profit centers for ZAWA – and can help to subsidize investments in enforcement needed to restore wildlife in other suitable areas.

219. The knowledge management component of the NRCF will also play a key role in replicability of project interventions. NRCF will identify key lessons learned through the commissioning of thematic assessments, sharing of stakeholder experiences and through conferences and debates on PA sector issues. Lessons learned will be published and widely distributed.

7. Monitoring, Evaluation and Lessons Learned

7.1. Monitoring and Evaluation

220. The project is strongly focussed on increasing PA management effectiveness. The development and use of appropriate tools for monitoring management effectiveness are therefore critical. In establishing the Baseline, the WWF/World Bank Management Effectiveness Tracking Tool (METT) was applied to 5 NP and 4 GMA including 3 NP and 3 GMA at the field demonstration sites. The results appear to be quite meaningful, but the tool could be much improved by modifying it to the Zambia context. This will be done as a priority during the first year of the project. The new modified tool will then be applied to all NP and GMA during the first year to provide a complete baseline for PA management effectiveness. Both the METT and the modified METT will be applied to those sites already measured for the Baseline in 2004 – this will be done to allow a proper correlation between the rankings of the two tools. All NP, GMA and newly created PA of new categories will again be ranked with the modified METT just before the mid-term and at the end-of-project.
221. Another area of emphasis of the project is on the expansion and multiplication of PA management partnerships. A number of public/private partnerships already exist, but there is no formal system for monitoring these partnerships. The modified METT will be used to compare the effectiveness of different forms of management partnerships. New M&E tools will be developed for monitoring how well management partners respect the new policy framework to be developed for management partnerships and how well they respect signed MOU or leases. Likewise, there need to be monitoring safeguards developed so that ZAWA or MTENR can ensure that CCA managers are respecting the basic conditions for CCA – such as the ban on conversion to agriculture. The two mid-term and the EOP evaluations will place a particular emphasis on capturing lessons learned concerning management partnerships.
222. Other areas of emphasis will be on the development of community-managed M&E systems, especially for monitoring wildlife populations for trophy hunting, and on the development of systems for monitoring ecosystem health and biodiversity. It is critical that monitoring of game populations be seen as a basic cost of doing business for trophy hunting. Community managers need assistance in developing systems that are scientifically valid and that are within their means to implement.
223. Quarterly progress reports will be prepared by the PIU. Annual Project Reviews (APR) will be done annually by the PIU and completed by the UNDP CO. The project will be overseen by the Steering Committee. Annual Tripartite Reviews of the project will involve GRZ/ZAWA, UNDP and the UNDP/GEF Regional Coordinator and the PIU. Two mid-term reviews (MTR) will be conducted at the end of year 2 and year 4 and a final evaluation near the end of year 6. The primary purpose of the MTR will be to identify strengths and

weaknesses, to reinforce what works well and to make mid-term corrections to correct weaknesses.

224. Responsibilities for monitoring the specific indicators in the logframe will be divided between the PIU, ZAWA, the executing agencies for the field demonstration labs and contractors hired to conduct independent monitoring of indicators. The full M&E plan is presented in Annex 4.

7.2. Lessons Learned

225. **Importance of improving PA management effectiveness.** During the concept stage and the PDF B stage, it was intended that the project would focus primarily on reclassification and sustainable management of all categories of protected areas in Zambia. However, during project design, it was learned that lack of management capacity is a much greater barrier to improved biodiversity conservation in Zambia and the project has been refocused in this direction. Reclassification planning remains a key element of the project, but its relative importance has been reduced in comparison with the focus on improved management effectiveness.
226. **Forestry sector** It was learned that the institutional capacity development needs in the forestry sector are overwhelming and could not be adequately addressed by this single project. Improved management effectiveness of forest reserves and open area forests would require a completely new and separate project.
227. **CBNRM** Much of what is called CBNRM in Zambia would be better categorized as revenue sharing. Only recently has ZAWA begun to involve CRBs in management decisions. Devolution of authority is very partial. The most important conditions for CBNRM are only partially met in Zambia. This presents special opportunities for applying lessons learned from the region.
228. **Stronger Coordination** The background consultant studies done as part of project preparation were treated too much as stand alone studies. Project preparation could have been strengthened by more frequent and well organized interactions and joint brainstorming sessions with the four consultant groups and other key actors.

8. Legal Context

229. This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of Zambia and the United Nations Development Programme.
230. The following types of revisions may be made to this project document with the signature of the UNDP Resident Representative only, provided he or she is assured that the other signatories of the project document have no objections to the proposed changes, that is to say revisions which do not involve significant changes in the outcomes, outputs or activities of a project, but are caused by rearrangement of inputs agreed to or by cost increases due to inflation.

231. The Government will provide the Resident Representative with certified periodic financial statements, and with an annual audit of the financial statements relating to the status of UNDP (including GEF) funds according to the established procedures set out in the Programming and Finance manuals. The Audit will be conducted by the legally recognized auditor of the Government, or by a commercial auditor engaged by the Government.

9. Logframe

232. The detailed logframe for the project is presented here in two tables. The first table presents the Goal, the Project Objective and the three Outcomes with their Key Performance Indicators, Means of Verification and Critical Assumptions/Risks for each Objective. The second table presents the Outputs, Output Indicators, Activities, Responsibilities and Annual Targets.

Hierarchy of Objectives, Key Performance Indicators, Means of Verification and Critical Assumptions/Risks

Hierarchy of Objectives	Key Performance Indicators	Means of verification	Critical Assumptions/Risks
<p>Goal: A National PA System that comprises a representative sample of Zambia’s ecosystems is effectively safeguarded from human-induced pressures through effective management partnerships and serves to make Zambia into a tourism destination of choice.</p>			<ul style="list-style-type: none"> ▪ GRZ remains committed to biodiversity conservation ▪ Political stability and law and order are maintained ▪ No major outbreak of ungulate diseases ▪ Realized value of wildlife sector to the economy enhanced through PRSP implementation ▪ Continued commitment of GRZ to realization of MDGs ▪ Macro-economic environment is positive ▪ Growth policies are pro-poor with adequate rural dimension
<p>PROJECT OBJECTIVE: Enabling frameworks and capacities for managing the system of PAs that have biodiversity conservation as a major objective will be strengthened.</p>	<ul style="list-style-type: none"> ▪ The GRZ-approved Reclassification and Conservation Plan for the National System of PA is being implemented. Under the Plan, priority sites for reclassification have been identified as needed to achieve 10% coverage of each ecosystem/vegetation type ensures conservation of globally important ecosystem biodiversity. New categories of PA providing effective biodiversity conservation have been created through new legislation. The most appropriate category of PA and the most appropriate forms of public/ private/ community management partnerships have been identified for each priority site. <i>Baseline:</i> Of the 14 major ecosystem/ vegetation types only 4 are adequately (10+ %) covered by NPs. There is no overall monitoring of management effectiveness. 9 NP are largely unmanaged. No other PA category ensures effective conservation. <i>Mid-term:</i> Priority sites for reclassification and effective management as needed to achieve 10% representation of all ecosystem/vegetation types have been identified. • At end-of-project (EOP), there will have been a net 	<ul style="list-style-type: none"> ▪ GRZ-approved Conservation Plan for the National System of PA ▪ Synthesis document (by Yr 3) identifying sites needed to ensure 10% representation. ▪ The METT will be 	<ul style="list-style-type: none"> ▪ External pressures on national parks and protected areas do not significantly increase. ▪ Self-financing, economically viable, forms of management are developed. ▪ Private sector/communities respond positively to improved policies/incentives.

Hierarchy of Objectives	Key Performance Indicators	Means of verification	Critical Assumptions/Risks
	<p>movement of 25% of NP and 20% of GMA to a higher category of management effectiveness using the following preliminary definition of METT categories:</p> <ul style="list-style-type: none"> • 60-96 High • 25-60 Intermediate • Less than 25 Low <p>All newly created CCA and SHA will have at least an Intermediate ranking.</p> <p><i>Baseline</i> will be completed in Yr 1 using the modified METT for Zambia PA. Unmodified METT baseline values for 5 NP and 4 GMA are as follows: NP: Kasanka – 70, Mosi oa Tunya – 61, Lower Zambezi 52, Lavushi Manda – 19, Liuwa Plains – 49; GMA: Chiawa 42, Bangweulu – 35, Kafinda – 24, West Zambezi – 18 <i>Mid-term</i>: 10 and 5% of NP and GMA, respectively, will have moved to a higher METT category.</p>	<p>modified for Zambia in Yr 1. It will be applied to all NP, GMA (and new CCA and SHA as they are created) in Yr 1, mid-term and EOP under contract with an independent institution. In Yr 1, both the METT and the modified METT will be applied in order to allow correlation between the two.</p>	
<p>OUTCOME 1: Appropriate policy, regulatory and governance frameworks are in place providing new tools for public/ community/ private/ civil society PA management partnerships</p>	<ul style="list-style-type: none"> • At EOP, the following legislation, policies and policy guidelines have been adopted: <ul style="list-style-type: none"> ⇒ New policies for reclassification ⇒ A new law for the creation of 2 new categories of PA (CCA and SHA) ⇒ A new policy framework for public/private/ civil society/community partnerships for NP, CCA, GMA & SHA ⇒ A new policy allowing for a single community-level management structure for all renewable natural resources ⇒ New policy/guidelines on the roles of traditional leaders in CBNRM. <p><i>Baseline</i>: None of these laws/policies/guidelines exist. The 1998 Wildlife Act allows for only limited devolution of authority to communities. Large areas of NP are not usable for photo-tourism because of lack of infrastructure but are very suitable for trophy hunting. Hunting could be a sustainable land use contributing to the financial sustainability of biodiversity conservation of the system but it is not legal. Each NR sector requires communities to create a separate community management structure. There is much confusion as to what the roles of traditional leaders in CBNRM should</p>	<ul style="list-style-type: none"> ▪ The law is passed by parliament. The policies are adopted by Cabinet. ▪ The policy/guidelines are adopted by MTENR. ▪ The functionality of the CCA is verified by the MTR. ▪ Legal certificate for the CCA. 	<ul style="list-style-type: none"> ▪ Government remains committed to policy reforms needed to engender public/private/ civil society management partnerships ▪ Timely approval/enactment of legal and regulatory framework ▪ Government addresses documented cases of mal-governance ▪ Agreement reached on civil society representation.

Hierarchy of Objectives	Key Performance Indicators	Means of verification	Critical Assumptions/Risks
	<p>be. <i>Mid-term:</i> New laws/policies/guidelines are going through the approval process. New CCA are functional but not formally gazetted.</p> <ul style="list-style-type: none"> ▪ By EOP, at least 2 CCA are created and are support by community-private partnerships. 	<ul style="list-style-type: none"> ▪ Legal documents gazetting the CCA 	
<p>OUTCOME 2: Institutional capacities for PA system management strengthened including enhanced capacities for improved PA representativeness, monitoring and evaluation, business and investment planning and PA system planning.</p>	<ul style="list-style-type: none"> ▪ ZAWA uses business planning as a standard tool for PA management planning. The relative financial cost-effectiveness of the common forms of management partnerships has been quantified and is used in system planning. <i>Baseline:</i> Business planning for PA management is only weakly developed by ZAWA and its partners. The cost-effectiveness of different partnerships is unquantified. <i>Mid-term:</i> The cost effectiveness of existing partnerships has been analyzed. ▪ The Reclassification and Conservation Plan for the national system of PA is the basic document guiding the reclassification, management and development of priority PA in Zambia. The investment and marketing plans are used to mobilize and direct PA sector investments by private sector investors, donors and GRZ and to identify and mobilize partners for PA management. <i>Baseline:</i> None of these documents exist. ZAWA has a strategic plan that contains some elements <i>Mid-term:</i> Important elements of the Conservation Plan are under development – reclassification priorities, business planning tools and M&E tools. 	<ul style="list-style-type: none"> ▪ Masters level business planner(s) employed by ZAWA. ▪ Written business plans for 8 PA. ▪ Report on cost-effectiveness of management partnerships. ▪ MTR ▪ Final Evaluation ▪ Approved, published Conservation Plan for the National System of PA ▪ Approved investment plan ▪ Final evaluation 	<ul style="list-style-type: none"> ▪ Government remains committed to reclassifying PAs and redesignating sites as needed to achieve conservation goals ▪ Multi-stakeholder consensus achieved on reclassification plan. ▪ Investor confidence remains positive over the long term ▪ Tourism growth meets projected targets in tourism sector plan . ▪ Adequate staffing profiles/numbers maintained relative to core PA management functions ▪ Institutions are willing to share data and to cover the costs of data collection and sharing
<p>OUTCOME 3: PA management options expanded through development and field testing of innovative private-civil society-public-community management partnerships for new categories of PA.</p>	<p>Management effectiveness index of all field demonstration site PA are increased as below with a minimum ranking of Intermediate for all sites. <i>Baseline:</i> Chiawa GMA: 42 Bangweulu GMA: 35 Kafinda GMA: 24 Kasanka NP: 70 Lavushimanda NP: 19 <i>Mid-term:</i> Chiawa GMA: 45</p>	<p>Zambia-adapted METT applied by independent contractors</p>	<ul style="list-style-type: none"> ▪ Stakeholder conflicts can be successfully mediated ▪ No adverse changes in threat profiles at demonstration sites ▪ Regional political stability is maintained ▪ There is sufficient social capital in communities to comply with accountability

Hierarchy of Objectives	Key Performance Indicators	Means of verification	Critical Assumptions/Risks
	<p>Bangweulu GMA: 40 Kafinda GMA: 33 Kasanka NP: 73 Lavushimanda NP: 30</p> <p>EOP:</p> <p>Chiawa GMA: 50 Bangweulu GMA: 45 Kafinda GMA:45 Kasanka NP: 75 Lavushimanda NP: 35</p> <ul style="list-style-type: none"> • New PA created out of the Chiawa, Bangweulu/Chikuni and Kafinda GMA are legally gazetted and under community management structures certified under the new CCA law. They are supported by private/civil society (non-government) partners. <i>Baseline:</i> All sites have conventional GMAs with limited involvement of communities in management. <i>Mid-term:</i> All CCA are functionally operational with community managers supported by private sector partners. ▪ The GMA/CCA's M&E systems shows that the populations of large antelopes in the CCA has increased by 30% since the beginning of the project. <i>Baseline:</i> To be established in Yr 1 <i>Mid-term:</i> 15% increase ▪ Anti-poaching and basic management costs are covered by CCA NR management funds fed by revenues from the marketing of sustainably managed NR/biodiversity. 	<p>CCA gazetting documents Certificate of registration of CCA management body under new CCA law. MOU between CCA managers and private partners MTR Final Evaluation</p> <p>CCA M&E systems confirmed by aerial surveys</p> <p>Analysis of CCA account books</p>	<p>requirements that come with increased empowerment.</p>

Outputs, Output Indicators, Activities, Responsibilities and Annual Targets

Outputs	Output Indicator	Activities	Responsibilities	Annual Targets
Output 1.1 Legal drafts of legislation/policies/guidelines prepared based on studies and literature reviews	Background reviews and draft legislation, policies and policy guidelines will be completed for reclassification of PA, the creation of new categories of PA, for PA management partnerships, for CBNRM management structures and for the role of chiefs in CBNRM. <i>Baseline:</i> No reviews have been done. <i>MT</i> 4 reviews and drafts completed.	Activity 1.1.1. Conduct an updated literature review of lessons learned regarding optimal categories of PA and of reclassification policies in Zambia and in Southern and Eastern Africa resulting in draft policy for reclassification of PA and draft legislation for new categories of PA, particularly a) community-managed conservation areas (CCA) and; b) ZAWA-managed Safari Hunting Areas (SHA)	MTENR Contractor	1 review completed Yr 1 1 legal draft policy Yr 1 1 legal draft legislation Yr 1
		Activity 1.1.2. Conduct an updated review and lessons learned concerning public-private-civil society-community partnerships in Zambia and in Southern and Eastern Africa resulting in policy framework drafts for partnerships for NP, CCA, GMA and SHA	MTENR Contractor	1 review completed Yr 1 1 policy draft completed Yr 1
		Activity 1.1.3. Conduct an updated review and synthesis of lessons learned concerning optimum forms of community management structures for multiple resource management in Zambia and in Southern and Eastern Africa resulting in policy drafts allowing for a single community management structure for all NR.	MTENR Contractor	1 review completed Yr 1 1 policy draft completed Yr 1
		Activity 1.1.4. Conduct a SWOT/scenario analysis of present roles of traditional leaders in Zambia and review of lessons learned resulting in policy/guidelines drafts defining the roles of traditional leaders and communities in CBNRM/PA management	MTENR Contractor	1 analysis completed Yr 1 1 draft guidelines completed Yr 1
Output 1.2 Draft legislation/ policies/guidelines are amended through a participatory process of stakeholder inputs and validation	Draft legislation, policies and guidelines amended and validated through stakeholder inputs: <i>Baseline:</i> No actions taken. <i>MT:</i> All stakeholder inputs completed	Activity 1.2.1. Conduct three regional workshops for stakeholder inputs to the four legal/policy/guidelines drafts	MTENR	3 regional stakeholder workshops Yr 1&2
		Activity 1.2.2. Conduct a national stakeholder workshop for validation of amended legal/policy/guidelines	MTENR	1 national validation workshop Yr 2
Output 1.3. New legislation, policies and guidelines adopted	New legislation allows for the creation of CCA and SHA. New policies adopted for PA management partnerships and for single community management structures for multiple use CBNRM. Guidelines adopted for roles of chiefs in CBNRM. <i>Baseline:</i> None of these exist. <i>MT</i> Adoption process underway except for the legislation on new PA categories	Activity 1.3.1. Finalize the legal text for new reclassification policies and guide them through the adoption process.	MTENR, MoLA	Text finalized Yr 4, New legislation adopted Yr 6
		Activity 1.3.1. Finalize the legal text for the creation of the new categories of PA and guide them through the adoption process	MTENR	Text finalized Yr 2; New legislation adopted Yr 4
		Activity 1.3.2. Finalize the text of policy framework for public/private/civil society/community partnerships and guide this through to its adoption.	MTENR	Policy text finalized Yr 2 New policy adopted Yr 4
		Activity 1.3.3. Finalize the policy text allowing for a single community-level management structure for all renewable natural resources and guide this through to its adoption	MTENR	Policy text finalized Yr 2 New policy adopted Yr 4
		Activity 1.3.4. Finalize the guidelines on the role of traditional leaders and communities in CBNRM and guide them through the necessary steps to their adoption process	MTENR	Text of guidelines finalized Yr 2; New guidelines adopted Yr 4

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Outputs	Output Indicator	Activities	Responsibilities	Annual Targets
Output 1.4. A Natural Resources Consultative Forum for civil society input on PA/NRM sector issues, for thematic assessments and sharing of experiences and for knowledge management, with development and diffusion of lessons learned, is made operational.	PA communities, GMA/CCA managers, tourism investors, private/civil society PA managers, NGOs and other civil society actors participate in open debates on key PA sector issues. Lessons learned are documented and diffused. <i>Baseline:</i> No structured fora for civil society inputs; misinformation is common. <i>MT:</i> NRCF fully operational.	Activity 1.4.1. Develop networks of concerned stakeholders for key sectors, identify key issues, prepare thematic assessments/field visits and develop reference library.	NRCF MTENR, ZAWA	Issues identified at beginning of each year The four policy reforms will be debated in Yr 2 4 project funded background papers per Yr.
		Activity 1.4.2. Organize workshops, seminars and civil society debate, produce advisory notes for relevant ministries/institutions, prepare and diffuse publications of lessons learned on effective PA management/ CBNRM.	NRCF	4 NRCF fora per year 4 advisory notes/ briefing papers prepared and distributed per year.
Output 1.5. Development of good governance for financial accountability for GMA/CCA	All CRB receive financial statements giving basis of revenue sharing. All CRB/CCA boards & selected community representatives receive training in safeguards and accountability. <i>Baseline:</i> CRBs commonly don't know the amount they receive a share of. Standard guidelines not developed. <i>MT:</i> Guidelines developed. All 55 CRBs and new CCA have received training.	Activity 1.5.1. Review of procedures and lessons learned in Zambia and in the region	MTENR, Contract	Review completed Yr2
		Activity 1.5.2 Develop a full set of procedures/guidelines for transparency, safeguards and accountability for financial management of CCA & GMA	MTENR, Contract	Guidelines finalized Yr 3; ZAWA provides CRB with financial statements with each disbursement showing basis of revenue sharing
		Activity 1.5.3. Training in procedures/principles for sound financial governance are provided to CRB and CCA boards and non-board members of GMA and CCA communities.	MTENR, Contract	Training modules completed Yr 2; 2 day training workshops conducted in each of the 35 GMA and all CCA in Yr 2 & 3
		Activity 1.5.4 Improve MTENR oversight and monitoring of the implementation of PA sector laws and policies.	MTENR (PASS)	Oversight/monitoring system/criteria developed Yr 1. Oversight and monitoring implemented Yr 1-6
Output 2.1 Identification of priority sites for reclassification to complete the National System of PA	PA and open area sites that are in need of reclassification and/ or effective management to ensure representative	Activity 2.1.1. Compile spatial data on biodiversity and PA, and refine the draft methodology, including conservation criteria and targets, for reclassification through literature review and stakeholder inputs.	ZAWA, MTENR NRCF, Contract	Methodology revised/adopted Yr 1

Outputs	Output Indicator	Activities	Responsibilities	Annual Targets
	<p>coverage of Zambia’s ecosystems/biodiversity are identified (and are integrated into the Conservation Plan) Reclassification of PA completed at two field demonstration sites. <i>Baseline:</i> A preliminary gap analysis was done as part of project preparation but this did not include the identification of candidate sites. <i>MT:</i> Synthesis document on identification of reclassification priorities completed. Reclassification planning completed for two field demonstration sites.</p>	<p>Activity 2.1.2. Identify candidate sites for reclassification by conducting a gap analysis of the National System of PA, including the following;</p> <ul style="list-style-type: none"> • Review and update the existing gap analysis conducted by DSI in 2004 (See Figure 4); • Identify candidate sites for reclassification by analyzing forest cover loss/ecosystem conversion analysis of all NP and GMA and other sites that could potentially fill identified gaps in coverage by priority PA using manual interpretation of satellite imagery; <p>Activity 2.1.3. Conduct field-level bio-physical status assessments of the candidate sites identified.</p> <ul style="list-style-type: none"> • Confirm that the site is accurately classified by vegetation type on the base map. • Determine the level of depletion of wildlife populations and the potential for restoring viable ecosystems; • Analyze the interest of local stakeholders in the creation or upgrading to a priority PA. <p>Activity 2.1.4. Conduct final synthesis to produce priority listing of sites for reclassification needed to ensure that an average of 10% of all ecosystem/vegetation types are covered by the National System of PA</p>	<p>ZAWA, Contract</p> <p>ZAWA, Contract</p> <p>ZAWA, Contract</p>	<p>Gap analysis revised using GIS Yr1 Forest cover loss analysis Yr 1 and 2</p> <p>40 six-day site visits (including travel) by 4-man teams in Yr 2 & 3</p> <p>Final synthesis document completed in Yr 3 Brief summary document for wide distribution completed Yr 3</p>
<p>Output 2.2 Natural resource economics and business planning tools are developed for enhanced PA management efficiency</p>	<p>ZAWA uses business planning as a standard tool for PA management planning. The relative financial cost effectiveness of the common forms of management partnerships has been quantified. The investments needed for 15 unmanaged priority PA have been estimated. <i>Baseline:</i> Business planning is poorly developed by ZAWA and its partners. The cost-effectiveness of different partnerships is unquantified. ZAWA is doing investment profiles on the NP it manages. <i>MT:</i> The cost effectiveness of existing partnerships has been analyzed. 2 training modules for business planning have been developed.</p>	<p>Activity 2.2.1 Apply natural resource economic analysis to PA to better define priority setting for PA conservation and management;</p> <p>Activity 2.2.2. Apply financial assessment tools to determine cost coefficients and relative efficiencies of different public/private/civil society/community PA management partnerships;</p> <p>Activity 2.2.3. Strengthen local institutional capacities for the use of business planning for PA management (e.g. definition of optimal levels of law enforcement, investments needed to achieve self-financing, etc.)</p>	<p>ZAWA, Contract (NRE)</p> <p>ZAWA, Contract (NRE)</p> <p>ZAWA, Contract with business school (NRE)</p>	<p>Analyses completed for 6 PA (NP, GMA and new categories) Yr. 1&2</p> <p>1 study of existing partnerships in Yr 1&2 1 study of new partnerships in Yr 4</p> <p>Development of 2 training modules for protected areas business planning by a business school – one for professions lacking business backgrounds Yr 2 and one module for CBNRM managers Yr 3; 2 wk professional training for 8 trainees – 1 in Yr 2 and 1 Yr 4 ; 9 1-wk training workshops for community managers – 3 each in Yr 3, 4 and 5; Masters level training for 2 ZAWA professionals Yrs 1-3</p>

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Outputs	Output Indicator	Activities	Responsibilities	Annual Targets
		Activity 2.2.4 Develop investment profiles for priority unmanaged PA (as identified for reclassification)	ZAWA, (NRE)	15 profiles developed in Yr 3 & 5
		Activity 2.2.5 Adapt business planning tools to define the types of public/private/civil society/community partnerships best suited for unmanaged priority PA/sites identified for reclassification	ZAWA, Contract (NRE)	Analysis completed Yr 3&4
Output 2.3 Efficient, effective monitoring and evaluation systems are developed for priority PA management	The METT has been modified for Zambia and is used as a standard tool for all PA managed by, or in partnership with, ZAWA. Monitoring of wildlife for trophy hunting is increasingly accepted as a cost of doing business. Techniques for monitoring ecosystem health have been developed. <i>Baseline:</i> METT is unmodified. Little monitoring is done on an operational basis. <i>MT:</i> Improved M&E techniques are being tested.	Activity 2.3.1. Modify the METT (Management Effectiveness Tracking Tool) to develop Zambia-specific tool and apply it to the priority PA (will include effectiveness of partnerships and compliance with policies and MOU)	ZAWA, MTENR Contract	METT modified in Yr 1; Modified tracking tool applied to 19 NP & 35 GMA in Yr 1, and all NP, GMA and newly created PA at mid-term and at EOP
		Activity 2.3.2. Conduct an in depth review of the effectiveness (including cost effectiveness) of M&E systems in Zambia and in Southern and Eastern Africa with a focus on monitoring of wildlife populations, ecosystem health and management partnerships.	ZAWA, Contract (NRE)	1 study conducted in Yr 1&2
		Activity 2.3.3. Test and adaptively modify improved M&E systems at 8 NP/GMA and for all management partnerships.	ZAWA, CRB, Contract	Implementation Yr 2-6 in 3 NP and 5 GMA selected in Yr 1, Operational tests and annual internal evaluation for adaptive improvement in Yrs 2 to 5
Output 2.4 Systematic Conservation Planning	The Reclassification and Conservation Plan for the national system of PA is the basic document guiding the reclassification, management and development of priority PA in Zambia. The marketing plan is used to mobilize and direct PA sector investments by private sector investors, donors and GRZ and to identify and mobilize partners for PA management. <i>Baseline:</i> None of these documents exist. ZAWA has a strategic plan that contains some elements <i>MT:</i> Work not yet begun	Activity 2.4.1. Integrate the identified reclassification priorities, the business planning tools, the improved M&E systems, and other PA management tools into an overall Conservation Plan for the national system of priority PA.	ZAWA Contract	Work conducted in Yr4 & 5 3 regional and 1 national validation workshop Yr 5 System plan published Yr 5
		Activity 2.4.2. Develop an investment plan for the national system of PA	ZAWA , Contract (NRE)	Development of investment plan Yr 5&6
		Activity 2.4.3. Develop a Marketing plan to interest investment partners needed for priority PA	Contract ZAWA	Development of market plan Yr 5&6

Outputs	Output Indicator	Activities	Responsibilities	Annual Targets
Bangweulu Field Demonstration Site				
Output 3.1 Awareness raising and two-way dialogue with stakeholders on the Bangweulu field demonstration site objectives and participatory approach	High level of awareness amongst community in project area and bordering areas of the projects objectives methods and goals. Active participation from all sectors with all parties sharing knowledge and lessons learned. <i>Baseline:</i> Traditional leaders, CRB, selected community representatives and local officials/technical services are informed and support the project objectives. <i>MT:</i> All sociological and geographic sectors of community are aware of the project and are represented by participants in the project activities.	Activity 3.1.1 Identify and develop profiles of all stakeholders	ZAWA, KTL	Stakeholder profiles established Yr 1
		Activity 3.1.2 Meet with traditional leaders, CRB and community representatives, government authorities, technical services, NGOs, others to fully discuss project objectives, targets, outcomes and participatory approaches to be used.	ZAWA, KTL	1 2-day workshop high level, 2 2-day workshops for 30 participants
		Activity 3.1.3. Conduct awareness raising and develop 2-way dialogue with all project area communities by project extension officers with public meetings, written materials, video and drama presentations	KTL, PCV	30 1-day workshops conducted by project staff at 30 strategic centers Yr 1. Written summaries prepared of each.
Output 3.2 Strategic infrastructure established	Essential infrastructure for functioning of the project is in place. <i>Baseline:</i> KTL and ZAWA Chikuni post have radio communications. Almost no road maintenance in area. <i>MT:</i> CRB, ZAWA camps, project staff and strategic points equipped with radio communications.	Activity 3.2.1 Establish telecommunications network for CRB/communities in project area for communications amongst themselves and with ZAWA, KTL, PC and UNV.	ZAWA, KTL	Radio network in place Yr 1
		Activity 3.2.2 Repair/open strategic access roads and landing strips	KTL	Maintenance and upgrading of strategic access
		Activity 3.2.3. Build/rehabilitate and equip offices/facilities/lodging for project needs	ZAWA, KTL	Construction, rehabilitation and maintenance over 6 Yr
Output 3.3 Cost-effective protection/enforcement established for wildlife and other natural resources in project area based on consultations with communities.	Planned, managed and supported cost efficient protection measures in place to conserve resources as appropriate in each PA. Co-operation between government agencies and community managers across wildlife, fisheries and forestry.	Activity 3.3.1 Evaluate the strengths, weaknesses and effectiveness of the present enforcement systems (ZAWA wildlife police officers (WPO), CRB community scouts and KTL scouts), review lessons learned from other PA managers in Zambia and develop an integrated, cost-effective, incentive-based enforcement plan for the GMAs, Lavushi Manda NP and Kasanka NP.	ZAWA, KTL	Evaluation completed by staff plus local consultant 1 mo. Yr 1 Qtr 2 Enforcement Plan completed by staff Yr 1
		Activity 3.3.2 Recruit/redeploy and equip community scouts/WPO (including transport, equipment and accommodation, management support and incentives.) and implement enforcement plan	ZAWA, KTL	ZAWA (24 scouts), CRB Community scouts (60) deployed & equipped

Outputs	Output Indicator	Activities	Responsibilities	Annual Targets
	<p><i>Baseline:</i> ZAWA, CRBs and KTL have scouts but ZAWA units and CRB are not well managed or supported so have limited effectiveness and operational scope. Few if any Fisheries and Forestry Officers are working in the Project Area <i>MT:</i> Existing units functioning well and adapting to new roles and responsibilities from emerging plans. Fisheries and Forestry Officers provide support as needed. ZAWA WPO, community scout equipped, motivated, well managed and working in close cooperation.</p>	<p>Activity 3.3.3 Provide training of community scouts and WPOs</p>	<p>ZAWA,</p>	<p>9 x 6-week local courses Community Scout Training for 15 scouts each Yr 1- Yr4. 5 community scouts attend 6 wk external training in Zambia Yr s3-4 5 ZAWA WPO specialized external training in Zambia Yrs 2-5</p>
		<p>Activity 3.3.4 Provide training for PA managers directly responsible for managing enforcement officers/scouts.</p>	<p>ZAWA, KTL</p>	<p>Annual 2-week workshop for Community, ZAWA and KTL managers co-ordination and education on newly developing PAs and enforcement systems. Annual enforcement workshops Yrs1-6</p>
<p>Output 3.4 Increased capacity for community managers for planning, governance, record keeping, financial management, business skills, gender empowerment and HIV/AIDS awareness and prevention</p>	<p>Community PA managers have the capacities needed to sustainably manage the natural resources of the PA, including capacities for good governance, business management and planning, NR management and adaptive management. Traditional leaders, ZAWA, local government and technical service staff and NGO understand critical needs for CBNRM support and monitoring. Raised awareness amongst wider community means leaders and representatives enjoy the informed support of community at large. <i>Baseline:</i> Indications are that the communities have a strong</p>	<p>Activity 3.4.1. Conduct village-level workshops on strategic capacities needed during reclassification planning, e.g. participatory planning processes, good governance principles of transparency, accountability, equity, involvement of women and minority groups, systems of checks and balances, etc.</p>	<p>KTL, PCV</p>	<p>1 local consultant 2 mos develops modules and trains staff. 30 x 2 day, village-level workshops conducted by staff Yr 1 & 2.</p>
		<p>Activity 3.4.2. Conduct training workshops for CRB/CCA managers, community leaders, ZAWA and local government staff in financial management, resource management, community development, business skills, management skills including adaptive management, democratic processes, gender empowerment leadership and HIV/AIDS awareness and its links to environment/community development</p>	<p>KTL, PCV</p>	<p>48 3-day training workshops @20 participants each for CRB/CCA managers and community leaders spread over six years 4 3-day training workshops held each year for technical services. local government, traditional leaders and local NGO staff leaders Yrs2-6</p>
		<p>Activity 3.4.3 Organize exchange visits with other community PA management/CBNRM pilot projects in Zambia and sub-region</p>	<p>ZAWA, KTL</p>	<p>1 Exchange visit in Zambia per yr for 5 participants each Yr 1, 2,3,4 1 exchange visit in sub-region Yr 2 5 participants</p>

Outputs	Output Indicator	Activities	Responsibilities	Annual Targets
	<p>desire to be involved in planning, decision making and implementation of resource management but lack the technical and governance skills needed to be effective. <i>MT:</i> Capacities built to a level where representatives and leaders can play an active part in the drafting of plans for new Protected Areas and their associated management</p>	<p>Activity 3.4.4 Develop and implement conservation awareness education program with schools, leaders and broader community. Project extension officers liaise closely and regularly with schools and adult groups using printed materials, video, drama and educational visits to wildlife areas.</p>	KTL, PCV	<p>Each School in Project Area (estimate 30) visited each year for CA education Yrs1-6 Educational Drama Tour conducted visiting 10 sites each year Yrs1-6 10 School/adult conservation groups taken on conservation visit to P.A. in Project Area each year Yrs1-6</p>
		<p>Activity 3.4.5 Training of trainers to build up a corps of in-community trainers to continue the work after the end of the project period, under supervision of CRB and other community groups.</p>	KTL, PCV	4 1 wk workshops Yr 5 & 6
<p>Output 3.5 Reclassification options identified based on bio-physical and socio-economic studies completed.</p>	<p>Comprehensive sociological and biodiversity/ecological database and maps exist for Project Area. <i>Baseline:</i> Kasanka NP and Kafinda GMA are quite well surveyed but other areas only very partially. There is no clear picture of the status or distribution of resources and their interaction with the community. <i>MT:</i> Surveys published of wildlife, fisheries and habitats. Comprehensive community survey report published. GIS map of project area developed showing habitats, vegetation, wildlife, fisheries, settlement, agriculture and other socio-geographic features. Reclassification options identified</p>	<p>Activity 3.5.1. Compile and analyze all existing spatial information on ecosystem/habitat/vegetation types, species occurrences and range, presence of critical species (threatened and endangered), limits of gazetted areas (NP, GMA, FR, RAMSAR site, other), settlements, road networks, etc.</p>	WWF, ZAWA, KTL	<p>Compilation by 1 local consultant x 1.5 mos. completed Yr 1</p>
		<p>Activity 3.5.2 Acquire and analyze satellite imagery of field demo site to assess ecosystem/habitat/vegetation types, extent of agriculture, settlements, roads and other man-made features, signs of habitat degradation, possibilities for establishing corridors, etc.</p>	WWF & ZAWA	<p>Satellite imagery acquisition and interpretation by 1 local consultant 1.5 mos and staff completed Yr</p>
		<p>Activity 3.5.3. Conduct aerial survey of project area to complement image analysis, assess wildlife populations, vegetation types and human activities. Survey to use manual strip counting and video recording.</p>	WWF, ZAWA & KTL	<p>Aerial survey and analysis completed Yr 1</p>
		<p>Activity 3.5.4 Conduct biological ground surveys to determine presence and ranges of rare, threatened, endangered species and to complement aerial analyses of wildlife populations (using line transect for wildlife counts)</p>	WWF, ZAWA, KTL, PCV	<p>Biological ground surveys 3 local consultants x 2 mos completed Yr 1 & 2</p>
		<p>Activity 3.5.5 Conduct technical and participatory surveys of fishery resources and current fishing practices and develop management recommendations.</p>	WWF, DoF, PCV	<p>Fisheries management 1 international consultant 3 wks 1 local consultant 1.5 mo. DoF staff 1 mo conduct surveys & prepares recommendations.</p>
		<p>Activity 3.5.6. Conduct a survey of the field demonstration site to identify national heritage sites and develop recommendations for integrating them into PA management and community development activities</p>	NHCC, PCV	<p>Survey completed by NHCC Yr 2</p>

Outputs	Output Indicator	Activities	Responsibilities	Annual Targets
		<p>Activities 3.5.7 Conduct community survey of entire project area using participatory techniques to evaluate economic activities and production systems, resource utilization and dependence, commercial and non-commercial biodiversity products, attitudes to resources and biodiversity, resource and land tenure systems, nutrition, access to social services, social structures, concerns and aspirations, systems of governance.</p>	KTL, PCV,	Yr1 Community surveys completed by staff plus 2 local consultants x 2mos. Analysis of data staff + local 2 local consultants x 2mos.
		<p>Activity 3.4.7 Synthesize and analyze all studies conducted to develop a preliminary set of reclassification and zoning options for Bangweulu, Chikuni and Kafinda GMAs, Lavushi Manda NP, Forest Reserve #210 and open areas..</p>	ZAWA, WWF, KTL, PCV	Publication of biological surveys, publication of community survey, publication of GIS Maps Yr1 and Yr2, Reclassification options identified Yr2
<p>Output 3.6 Plan for Reclassification of Protected Areas (including creation of new types) and for land use zoning within PA and of open areas is developed with strong stakeholder participation.</p>	<p>Reclassification and zoning plan prepared for PA and natural areas within the project area. Area re-zoned for new or reclassified PA using both existing and new PA categories in line with new national policies and legislation. Land use zoning agreed within PA as part of an overall conservation and land use strategy for the project area. <i>Baseline:</i> The present designation and classification of PA within the project area is seen as unsatisfactory by all parties. GMA, There is no land use planning or zoning of GMA and other areas to ensure corridors or other conservation goals despite the</p>	<p>Activity 3.6.1 Village-level workshops to present reclassification options and to facilitate analysis and debate of the relative advantages and disadvantages of each (choice of types of PAs/zoning, roles and responsibilities, negotiation of new PA/zoning boundaries, alternative forms of community management structures).</p>	KTL, PCV	30 2-day local workshops run by project staff Yr 2
		<p>Activity 3.6.2 Higher level workshops involving representatives of all local stakeholder groups including communities, traditional leaders, government agencies, NGO's, local investors to analyze/debate reclassification and land use options. (Liaison with Project activities under sections 1 and 2 of log frame to co-ordinate local findings with developments at national level on the creation of new PA types (CCA and SHA)</p>	ZAWA, KTL	6 3-day workshops for 20 people Yr 2
		<p>Activity 3.6.3 Conduct financial feasibility analyses of reclassification options.</p>	KTL (NRE)	Local consultant 1.5 mos produced study Yr 2
		<p>Activity 3.6.4 Central workshop with representatives of all stakeholders to agree creation/reclassification of PA, redefinition of existing PAs and land use zoning of all land in project area.</p>	ZAWA, KTL	3-day workshop 20 people Yr 2
		<p>Activity 3.6.5 Prepare and distribute draft Reclassification/Land Use Zoning Plan including the agreed land use restrictions and resource management policies for the each type of area, and invite further consultation for any adjustments.</p>	ZAWA, KTL	30 1-day workshops project staff. 3 2-day CRB –level workshops 20 people each

Outputs	Output Indicator	Activities	Responsibilities	Annual Targets
	<p>area's critical biodiversity of global importance. <i>MT:</i> Agreement reached of new type(s) of Protected Area within the project area which balance the need for conservation with the economic aspirations of the community and which can be enforced in a consensual manner for the benefit of all. An overall Conservation Strategy is translated into land use zoning of PA and open areas as appropriate taking into account economic needs, traditional rights and conservation of biodiversity.</p>	<p>Activity 3.6.6 Final central workshop with representatives of all stakeholders to make final amendments to the Reclassification/Land Use Zoning Plan.</p>	<p>ZAWA, KTL</p>	<p>2-day workshop 25 people.</p>
<p>Output 3.7 Creation/ reclassification of PA completed</p>	<p>New and reclassified PA are legally gazetted <i>Baseline:</i> Agreement in principle on reclassification process <i>MT:</i> Legal procedures initiated.</p>	<p>Activity 3.7.1 Apply the legal procedures specified under the new legislation and policies on reclassification (Outcome 1) and new categories of PA for the CCA/PA to be reclassified.</p>	<p>ZAWA, KTL</p>	
		<p>Activity 3.7.2 Modify and register community-management structures as appropriate for CCA/GMA.</p>	<p>ZAWA, KTL</p>	
		<p>Activity 3.7.3 Organize formal inauguration ceremonies for the new/reclassified PA.</p>	<p>ZAWA, KTL, WWF</p>	
<p>Output 3.8. Sustainable natural resource management systems are developed for community-managed PA</p>	<p>Adaptive management systems are functional for the wildlife, fisheries and other natural resources of the CCA(s)/GMAs. The CCA/GMA M&E systems shows that the populations of large herbivores in the CCA have increased by 50% since the beginning of the project. <i>Baseline:</i> Large parts of Kafinda GMA have good habitat but almost no large wildlife. There is little enforcement in the three GMA except around the</p>	<p>Activity 3.8.1 Identify, analyze and prioritize the natural resource-based products and market chains for the current and potential economic uses of natural resources in the GMA/project area.</p>	<p>ZAWA, KTL, PCV</p>	<p>Field staff Yr 1 & 2</p>
		<p>Activity 3.8.2 Identify all the user groups and actors associated with the existing market chains, their tradition access and tenure rights, their traditional NR management systems/techniques, their organizational structures and their capacities.</p>	<p>ZAWA, KTL, PCV</p>	<p>Field staff Yr 1 & 2</p>
		<p>Activity 3.8.3. Develop management plans for testing a mix of traditional and modern techniques for adaptively managing wildlife, fisheries and other natural resources for priority products/uses identified in 3.2.1</p>	<p>ZAWA, KTL, WWF, PC</p>	<p>30-man day study completed Yr 1 & 2 (same group as previous)</p>
		<p>Activity 3.8.4 Develop and implement a plan for the development of natural resource-based revenue generating activities (including opportunities for improved processing, storage, transport and marketing of products)</p>	<p>KTL, PC</p>	<p>Plan completed Yr 2; Implementation Yr 2-6 200 man-days staff time & 90 man-days consultant time</p>
		<p>Activity 3.8.5 Develop and implement community-managed natural resource management funds that are fed by revenues from trophy, hunting, tourism joint ventures, fishing, forest products etc.</p>	<p>KTL, PCV</p>	<p>Funds established Yr 2 with staff assistance.</p>

Outputs	Output Indicator	Activities	Responsibilities	Annual Targets
	<p>ZAWA post at Chikuni. The wetlands fisheries are an open access resource that is heavily overfished. Most resources of commercial value are heavily exploited but not managed sustainably.</p> <p><i>MT:</i> NR management techniques are being tested, monitored and adaptively modified. The plan for NRM-based revenue generation is being implemented.</p>	<p>Activity 3.8.6 In collaboration with the national PIU, test and develop community-based monitoring systems for the monitoring of wildlife for science-based quota-setting, of partnerships/joint ventures by community managers and for the monitoring of governance practices of community managers by community members.</p>	<p>WWF, ZAWA, KTL, PCV</p>	<p>International consultant 3 wk each Yr 1 & 3, Local consultants 1 mo each yr Yr 1-6 Wildlife monitoring functional Yr 1. Governance Yr 2 Partnership monitoring Yr 3</p>
		<p>Activity 3.8.7 Develop business plans for each community management structure for covering enforcement, monitoring and other NR management costs, generating profits and making investments in new ventures.</p>	<p>KTL (NRE)</p>	<p>Local consultant 1.5 mos Yr 2 and 2 mos Yr 3</p>
		<p>Activity 3.8.8 Each community structure holds annual adaptive management reviews with all partners/technical services to distill lessons learned and to modify management plans/interventions in each sector.</p>	<p>ZAWA, KTL, PCV</p>	<p>Estimated 3 CRB/CCA-level 3 day review meetings 15 people/yr Yr 1-6 and est. 15 village-level 2-day meetings per yr Yr 3-6.</p>
Chiawa/Lower Zambezi Field Demonstration Site				
<p>Output 3.9 Awareness raising and two-way dialogue with stakeholders on the Chiawa/Lower Zambezi field demonstration site objectives and participatory approach</p>	<p>High level of awareness amongst community in project area and bordering areas of the projects objectives methods and goals. Active participation from all sectors with all parties sharing knowledge and lessons learned.</p> <p><i>Baseline:</i> Traditional leaders, CRB, selected community representatives and local officials/technical services are informed and support the project objectives.</p> <p><i>MT:</i> All sociological and geographic sectors of community are aware of the project and are represented by participants in the project activities.</p>	<p>Activity 3.9.1 Identify and develop profiles of all stakeholders</p>	<p>ZAWA, CLZ</p>	<p>Stakeholder profiles established Yr 1 by project staff 2-day meetings with 1</p>
		<p>Activity 3.9.2 Meet with traditional leaders, CRB and community representatives, government authorities, technical services, lodge owners, trophy hunting lease holder, NGOs, others to fully discuss project objectives, targets, outcomes and participatory approaches to be used.</p>	<p>ZAWA, CLZ</p>	<p>Chieftainness and her headmen; 1 2-day 20 participants workshop Yr</p>
		<p>Activity 3.9.3. Conduct awareness-raising and develop 2-way dialogue with all project area communities by project extension officers to build solid foundation of local, contextual knowledge.</p>	<p>CLZ, PCV</p>	<p>2 x 6 1-day workshops conducted by project staff at 6 strategic centers Yr 1. Written summaries prepared of each.</p>
<p>Output 3.10 Strategic infrastructure established</p>	<p>Essential infrastructure for functioning of the project is in place.</p>	<p>Activity 3.10.1 Establish telecommunications network for CRB/communities, chieftainness and project staff for communications amongst themselves and with ZAWA and project staff.</p>	<p>ZAWA, CLZ</p>	<p>Radio network in place Yr 1</p>

Outputs	Output Indicator	Activities	Responsibilities	Annual Targets
	<p><i>Baseline:</i> CLZ, the ZAWA Chirundu Post and many lodge owners have radio communications but not the CRB/communities. Little road maintenance in area for community access roads. <i>MT:</i> CRB/communities, PCV and UNV and strategic points equipped with radio communications.</p>	<p>Activity 3.10.2 Repair/open strategic access roads and landing strips</p>	CLZ	Roads improvements Yr 1 & 2
		<p>Activity 3.10.3 Build/rehabilitate and equip offices/facilities/lodging for project needs</p>	ZAWA, CLZ	Offices, facilities, lodging built/rehabilitated/equipped Yr 1 & 2
<p>Output 3.11 Background surveys completed for reclassification planning</p>	<p>Comprehensive biodiversity/ecological and sociological database and maps exist for Project Area. <i>Baseline:</i> LZNP is moderately well surveyed but other areas only very partially. There is no clear picture of the status or distribution of resources and their interaction with the community. <i>MT:</i> Surveys published of wildlife, fisheries and habitats. Comprehensive community survey report published. GIS map of project area developed showing habitats, vegetation, wildlife, fisheries, settlement, agriculture and other socio-geographic features. Reclassification options identified</p>	<p>Activity 3.11.1 Compile existing data and conduct biological/ecological surveys/analyses to determine presence and ranges of rare, threatened, endangered species needed as inputs for identifying reclassification options including boundaries, zoning and corridors for the proposed CCA and for the creation of a SHA in LZNP.</p>	WWF, ZAWA, CLZ	Compilation by 1 local consultant x 1.5 mos. completed Yr 1 Biological ground surveys 3 local consultants x 1.5 mos. completed Yr 1 & 2
		<p>Activity 3.11.2 Acquire and analyze satellite imagery of field demo site to assess ecosystem/habitat/vegetation types, extent of agriculture, settlements, roads and other man-made disturbances/impacts, signs of habitat degradation, possibilities for establishing corridors, etc</p>	WWF, ZAWA	Satellite imagery acquisition and interpretation by 1 local consultant 1.5 mos and staff completed Yr
		<p>Activity 3.11.3. Conduct aerial survey of project area to complement image analysis, assess wildlife populations, vegetation types and human activities.</p>	WWF, ZAWA, CLZ	2 days aerial surveys Yr 1
		<p>Activity 3.11.4 Survey the field demonstration site to identify national heritage sites and develop recommendations for integrating them into PA management and CCA/tourism development activities</p>	NHCC, UNV, PCV	Survey completed by NHCC Yr 2
		<p>Activity 3.11.5 Conduct community survey in and around Chiawa GMA using participatory techniques to evaluate economic activities and production systems, resource utilization and dependence, commercial and non-commercial biodiversity products, attitudes to resources and biodiversity, resource and land tenure systems, access to social services, social structures, concerns and aspirations, systems of governance.</p>	CLZ, PCV	Community surveys completed by staff plus 2 local consultants x 2 mos. Yr1
		<p>Activity 3.11.6 Synthesize and analyze all studies conducted to develop a preliminary set of reclassification and zoning options for Chiawa GMA and LZNP</p>	ZAWA, WWF, CLZ, CLZ, PCV	Analysis of data staff + local 2 local consultants x 2mos. Publication of biological surveys, publication of community survey, publication of GIS Maps Yr1 and Yr2 Reclassification options identified Yr2

Outputs	Output Indicator	Activities	Responsibilities	Annual Targets
<p>Output 3.12 One (or more) new community-managed conservation areas (CCA) are established on the basis of public/ private partnerships, to provide effective conservation of ecosystems with species of global importance.</p>	<p>The CCA is legally gazetted. Its management structure is legally registered under the new CCA law. The boundaries of the CCA provide wildlife with access to the Zambezi River during the dry season. <i>Baseline:</i> Rapid development along the Zambezi risks to cut off all corridors to the river. Local populations have marginal incentives to conserve the area and its biodiversity. <i>MT:</i> The borders of the CCA(s) are defined. The management structure is functional (but not registered as a CCA). The managers are receiving 100% of trophy hunting revenues.</p>	<p>Activity 3.12.1 Village-level workshops to present reclassification options and to facilitate analysis and debate of the relative advantages and disadvantages of each (creation of new CCA, zoning, roles and responsibilities, negotiation of new PA/zoning boundaries, alternative forms of community management structures).</p>	CLZ, PCV	6 2-day local workshops run by project staff Yr 2
		<p>Activity 3.12.2 Higher level workshops involving representatives of all local stakeholder groups including communities, traditional leaders, government agencies, NGO's, local investors to analyze/debate reclassification and land use options. (Liaison with Project activities under sections 1 and 2 of log frame to co-ordinate local findings with developments at national level on the creation of new PA types (CCA and SHA)</p>	ZAWA, CLZ	1 3-day workshops for 25 people Yr 2
		<p>Activity 3.12.3 Facilitate the negotiation of CCA borders and zoning including possible inclusion of adjoining open areas, establishment of permanent wildlife corridors to access the Zambezi River and exclusion of areas zoned for agriculture.</p>	ZAWA, CLZ, PCV	Staff organize 10 2-day village level meetings Yr 2; 8 meetings with contiguous open areas communities to explore their possible inclusion Yr 2
		<p>Activity 3.12.4 Review lessons learned in Zambia and the sub-region on appropriate forms of community management structures (with particular emphasis on the principle of subsidiarity) and create or modify the community management structure or structures for the new CCA.</p>	WWF, CLZ	Review by project staff Yr 2; 6 1-day workshops Yr 2 Structures functional Yr 2; CCA management structures registered Yr 4
		<p>Activity 3.12.5 Apply the legal procedures for gazetting of the new CCA and registration of the CCA management structure(s) as specified under the new legislation and policies on reclassification and new categories of PA</p>	ZAWA, CLZ	Gazetting process in Yr 4 & 5; Legal certificate obtained Yr 5
		<p>Activity 3.12.6 Organize formal inauguration ceremonies for the new/reclassified PA.</p>	ZAWA, CLZ, WWF	Ceremony Yr 5
		<p>Activity 3.12.7 Assist/support the negotiation of formal partnerships in support of PA managers (CCA&CLZ&ZAWA?& trophy hunting company?)</p>	ZAWA, CLZ	MOU completed Yr 2
<p>Output 3.13 Sustainable natural resource management systems are developed for the new CCA</p>	<p>Adaptive management systems are functional for the wildlife and other natural resources of the CCA(s). The CCA M&E systems shows that the populations of large herbivores in the CCA has increased by 40% since the beginning of the project.</p>	<p>Activity 3.13.1 Evaluate the strengths, weaknesses and effectiveness of the present PA enforcement system using ZAWA WPO and CRB community scouts, review lessons learned from other PA managers in Zambia and develop a cost-effective, incentive-based enforcement plan for Chiawa GMA that is integrated with LZNP enforcement.</p>	ZAWA, CLZ WWF	Evaluation completed by staff plus local consultant 1 mo. Yr 1 Qtr 2 Enforcement Plan completed by staff Yr 1 Annual enforcement workshops Yrs1-6
		<p>Activity 3.13.2 Recruit/redeploy and equip additional community and WPO scouts as needed (including transport, equipment and accommodation, management support and incentives.) and implement enforcement plan</p>	ZAWA, CLZ	ZAWA (4 scouts), CRB Community scouts (20) deployed & equipped

Outputs	Output Indicator	Activities	Responsibilities	Annual Targets
	<p><i>Baseline:</i> Wildlife populations are excellent in the vicinity of the CLZ camp in eastern Chiawa. Although generally depleted in the rest of the GMA, but they do support trophy hunting. The CRB has recently participated in quota setting for the first time. Most resources of commercial value are heavily exploited but not sustainably managed.</p> <p><i>MT:</i> NR management techniques are being tested, monitored and adaptively modified. The plan for NRM-based revenue generation is being implemented.</p>	<p>Activity 3.13.3 Provide training of community scouts and WPOs</p>	<p>ZAWA</p>	<p>2 x 6-week local courses Community Scout Training for 15 scouts each Yr 1-Yr4; 4 community scouts attend 6 wk external training in Zambia Yr s3-4 3 ZAWA WPO specialized external training in Zambia Yrs 2-5 Annual 1-week workshop for Community ZAWA managers of scouts for co-ordination and education on newly developing PAs and enforcement systems</p>
<p>Activity 3.13.4 Implement enforcement plan</p>		<p>ZAWA, CLZ</p>	<p>CCA assumes full responsibility for enforcement Yr 5 Project subsidies for enforcement diminish progressively to 0 by Yr 6</p>	
<p>Activity 3.13.5 Identify game management/investment options, conduct economic/financial analyses to determine the viability and profitability, and develop a wildlife management and investment plan for the new CCA including establishment of zones for photo safaris and trophy hunting.</p>		<p>WWF, ZAWA, CLZ</p>	<p>Project staff + 1 local consultants x 1 mos Yr 2</p>	
<p>Activity 3.13.6 Identify, analyze and prioritize other biodiversity products and markets chains for the current and potential economic uses of the CCA.</p> <ul style="list-style-type: none"> o Identify user groups, their organizational structures and their capacities; o Analyze the traditional resource access rights; o Analyze the sustainability of current uses; o Identify value-added opportunities through better storage, processing, transport, respect for market standards, etc. o Identify priority products and market chains for development 		<p>CLZ, PCV</p>	<p>Project staff Yr 1&2</p>	

Outputs	Output Indicator	Activities	Responsibilities	Annual Targets
		<p>Activity 3.13.7 Develop adaptive management systems for testing and developing natural resource management techniques for the priority biodiversity products and for their integration with the wildlife management of the CCA.</p> <ul style="list-style-type: none"> o Select traditional/modern NRM techniques for testing; o Apply the techniques, monitor periodically evaluate the results and modify local code/rules/systems for NR management accordingly 	ZAWA, CLZ, PCV	Study on traditional and modern techniques by project staff with 1 mos local consultant Yr 2; Study to develop of protocol/plans for adaptively testing management techniques staff plus local consultant 2 mos Yr 2 (same contract as above); Implementation Yr 2-5 staff time + 3 mos local consultant
		<p>Activity 3.13.8 Develop and implement a plan for the development of natural resource-based revenue generating activities (including opportunities for improved processing, storage, transport and marketing of products)</p>	CLZ, PCV	Plan completed Yr 2; Implementation Yr 2-5 Local consultants 50 days
		<p>Activity 3.13.9 Assist the CCA managers to negotiate the roles and responsibilities of other institutions (Chieftainness, District, DF, DoF and stakeholder institutions and to formalize the agreements as written MOU.</p>	ZAWA, CLZ	MOU signed Yr 2-3
		<p>Activity 3.13.10 Support/assist the negotiation/development of joint ventures between the CCA managers and private sector partners</p>	CLZ	Ongoing Yrs 3-6
<p>Output 3.14 The needed capacities for sustainable management of the new CCA are developed</p>	<p>A portion of the revenues from all commercial NR-based products are reinvested in a natural resource management fund. The CCA managers have mastered basic bookkeeping and record keeping skills. Accounts and records are openly accessible to all CCA members. Trophy hunting quotas are based on the CCA's wild life monitoring system. The CCA is reinvesting some of their income in ways specified</p>	<p>Activity 3.14.1 Conduct village-level workshops on strategic capacities needed during reclassification planning, e.g. participatory planning processes, good governance principles of transparency, accountability, equity, involvement of women and minority groups, systems of checks and balances, etc.</p>	WWF, CLZ, PCV	9 x 2-day village-level workshops run by project staff Yr 1
		<p>Activity 3.14.2. Develop administrative and financial management capacities of the CCA managers (including management structures at village and CCA levels)</p> <ul style="list-style-type: none"> Accounting & bookkeeping skills Record keeping General management skills including adaptive management Business management 	CLZ, PCV	Development of training modules by project staff Yr 1; 10 3-day workshops per yr Yr 2 to 6, 1 exchange visit in Zambia per yr for 5 participants each Yr 1, 2, 3, 4, 1 exchange visit subregion Yr 2 5 participants

Outputs	Output Indicator	Activities	Responsibilities	Annual Targets
	by their business plan. <i>Baseline:</i> The CRB has no M&E capacity and no business plan. It has no management fund. Basic administrative and financial management capacities of are very low.	Activity 3.14.3 Development of capacities for good governance (transparency, representation, inclusion of women and minority/disadvantaged groups, financial safeguards, etc.) for managers and community members	CLZ, PCV	28 1-day workshops /yr Yr 2-6
		Activity 3.14.4 Develop self-financing mechanism(s) (management funds fed by a portion of revenues derived from NR use) for CCA/natural resource management	CLZ, PCV	Procedures/guidelines for management fund Yrs 2 & 3; Fund operational Yr 2-3
		Activity 3.14.5 Develop and implement a business plan for the management of the CCA and village including plans for joint ventures, reinvesting profits into profitable activities, etc.	WWF, CLZ	Business plans prepared by staff and local consultant 1 mo. Yr 3; Implementation Yr 3-5
		Activity 3.14.6 Develop community capacities for monitoring and evaluation of: <ul style="list-style-type: none"> ○ biodiversity, fisheries, wildlife ○ management structure(s) ○ partnerships and joint ventures 	ZAWA, WWF, CLZ, PCV	Staff plus 4 man-months consultant time Yr. 2-6 (mostly Yr 2)
		Activity 3.14.7 Develop an HIV/AIDS awareness and prevention program and understanding of links to environmental degradation for CCA managers, scouts and members	CLZ, PCV	Awareness and prevention program implemented Yr 2-5
Output 3.15 Opportunity to create ZAWA-managed Safari Hunting Area out of the mountainous portion of LZN assessed.		Activity 3.15.1 Conduct a SHA options workshop including stakeholders from national level and Lower Zambezi area to provide stakeholder inputs on the options for creation of a SHA in LZNP.	ZAWA, CLZ, WWF, PCV	3-day workshop Yr 3
		Activity 3.15.2 Undertake the formal gazettement/reclassification of LZNP/SHA in lines with the new legislation/policies on reclassification and creation of SHA	ZAWA	SHA registered Yr 4
		Activity 3.15.3 Develop and implement modified enforcement plan specific to the needs of the new SHA	ZAWA CLZ	Plan developed yr 3; Implemented Yr 4-6
		Activity 3.15.4 Establish wildlife monitoring system for science-based setting of hunting quotas.	ZAWA, CLZ	System developed in collaboration with IO 2 at national level Yr 2-6