EVALUATING COMPLIANCE WITH MANDATORY STANDARD OPERATING PROCEDURES BY COMMUNAL CONSERVANCIES IN NAMIBIA

by

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DEDICATION

I dedication this dissertation to my dear son, Desmond Ndeshipanda Kambuli. He has been my pillar of strength throughout my study.

DECLARATION

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Evaluating compliance with mandatory standard operating procedures by communal conservancies in Namibia

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I declare that the above dissertation is my own work, and that all the sources that I have used or quoted have been indicated and acknowledged by means of complete references.

I further declare that I submitted the dissertation to originality checking software, and that it falls within the accepted requirements for originality.

I further declare that I have not previously submitted this work, or any part of it, for examination at Unisa for another qualification, or at any other higher education institution.

17 December 2021

SIGNATURE DATE

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Abstract

The study evaluated the compliance of Namibian communal conservancies with mandatory Standard Operating Procedures (SOPs) set by the Ministry of Environment, Forestry and Tourism (MEFT). The specific objectives of the study were to (1) Compile an inventory of all the communal conservancies in Namibia, (2) establish and determine the performance and level of compliance, (3) select case studies for further investigation, based on the level of compliance, to understand obstacles and challenges, and (4) recommend interventions to improve the compliance. Both qualitative and quantitative research methods were used, comprising secondary data and a cross-case analysis of four case studies, through interviews. Findings indicated that the number of conservancies in Namibia grew from four in 1998 to 86 conservancies and one association in 2018, with Kunene region having the highest number of conservancies. This increase resulted in an increase in the total area under conservation. Tourism and trophy hunting are the main sources of income for most of the conservancies, complemented by indigenous natural products.

Results indicated that Nyae Nyae and Ehirovipuka were found to be more compliant, compared to Eiseb and Ovitoto in terms of holding AGMs per constitution, conducting conservancy management committee (CMC) elections, managing wildlife according to the Game management and Utilisation Plan, distributing benefits as per the Benefit Distribution Plan, and producing annual financial reports. According to the respondents, lack of funds or income, level of awareness and understanding of conservancies' constitutions, lack of zonation plans, and poor management by the CMC, were some of the reasons why conservancies failed to comply with requirements. The study suggested that local governance structures need more external support from MEFT and NGOs, in order to ensure compliance. It was recommended that capacity building within conservancies' governance structures needed strengthening, and member engagement and awareness required for better understanding of conservancies' constitutions by members. Finally, compliance can be achieved in the long term, if there is collaboration between stakeholders.

KEY TERMS:

Communal conservancies; Compliance, Community-based natural resource management; Standard operating procedures; Governance; Namibia; Benefit distribution; Conservation; Constitutions; Conservancy management committee

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LIST OF ACRONYMS AND ABBREVIATIONS

ADMADE	Administrative management design
AFS	Annual financial statements
AGM	Annual general meeting
BDP	Benefit Distribution Plan
BNP	Bwabwata National Park
CAMPFIRE	Communal Areas Management Programme for Indigenous Resources
CBNRM	Community-based natural resource management
CBO	Community-based organisation
CMC	Conservancy management committee
ENP	Etosha National Park
GMA	Game management areas
GMUP	Game Management and Utilisation Plan
IDWG	Institutional Development Working Group
INPs	Indigenous natural products
IRDNC	Integrated Rural Development and Nature Conservation
KI	Key informant
MEFT	Ministry of Environment, Forestry and Tourism
MET	Ministry of Environment and Tourism
NACSO	Namibian Association of CBNRM Support Organisations
NGO	Non-governmental organisation
NNDFN	Nyae Nyae Development Foundation of Namibia
NNF	Namibia Nature Foundation
NRMP	Natural resources management project
PRA	Participatory rural appraisal
SOP	Standard operating procedure

CHAPTER ONE

1. INTRODUCTION

1.1. Background of the Study

The majority of the world's biodiversity is found in developing countries, but rapid decline has been observed during the past decade (Calfucura, 2018; Lammers *et al*., 2017), due to different challenges. Among the driving factors included are habitat loss resulting from anthropogenic pressure, due to conflicting land uses and climate change. Natural resource extraction forms the core of livelihoods for the majority of rural communities in the developing world, hence the importance of finding the balance between utilisation and conservation.

To address these challenges, several approaches have been introduced, of which the community-based natural resource management (CBNRM) programme is the most common, with notable successes despite several challenges. Botswana, Kenya, Madagascar, Namibia, Malawi, Zambia and Zimbabwe adopted this approach (Blaikie, 2006; Dyer *et al*., 2014; Lammers *et al*., 2017; Mariki, 2018). CBNRM success hinges on inclusivity and the participation of resource users, in order to address resource governance and conservation aimed at achieving economic, social and environmental goals (Dyer *et al*., 2014).

It's noted by Chirenje, Giliba and Musamba (2013) that, in African countries, community participation in natural resource management is shown to be effective when local communities are involved – not as co-operating users, but as natural resource managers or owners. For example, a study conducted in Indonesia indicated that engaging communities in local decision-making has shown that participation, accountability and equity has proved to increase the programme's successes and long-term sustainability (Widianingsig & Morrel, 2007). The authors further observed that CBNRM can successfully benefit the poorest members of the communities when it empowers them to play a full, decision-making role in natural resource management and take accountability.

According to Shackleton et al. (2002) and Turner (2013), a case study conducted in Asia indicated that devolution policies have only yielded limited benefits for the communities, while access to other important local natural resources such as firewood or game continued to be restricted. They further observed that in the Makuleke case in the Kruger National Park, South Africa, local community members only gained rights to non-consumptive benefits such as tourism. In India, parts of Zimbabwe, China and the Philippines, however, valuable resources were reserved for the government, instead of the local communities (Shackleton et al., 2002).

Jones (1999) indicated that, similar to other countries implementing CBNRM, in Namibia the programme is state driven, through which the government provides an enabling framework for communities to manage their resources sustainably, and provides certain extension and other services to communities. National- and local-level non-governmental organisations (NGOs) provide communities with funding support and management, as well as institutional and organisational capacity building.

Jones (1999) observed that a considerable amount of time is spent on carrying out socio-economic surveys and participatory rural appraisals (PRA), developing community enterprises, facilitating community decision-making and institution building – all activities which would normally be associated with a rural development project, rather than a wildlife conservation programme. In other words, CBNRM attempts to help communities to develop institutions which can manage common property resources successfully.

In Southern Africa, according to Jones and Murphree (2004) and Corbett and Daniels (1996), Namibia and Zimbabwe were at the forefront in developing enabling CBNRM policies and legislative frameworks. In 1996, the Namibian government amended Nature Conservation Ordinance 4 of 1975, to give user rights of wildlife and tourism to residents in communal areas, provided that they establish common property resource management institutions called conservancies (Jones, Diggle & Thouless, 2015; MET, 2013a; Suich, 2010).

Namibia's CBNRM approach has gained worldwide recognition as a tool that strives to balance rural development and biodiversity conservation (Borrini & Jaireth, 2007). CBNRM was initiated in Namibia with the aim to improve rural livelihoods while at the same time ensuring the sustainable utilisation of natural resources, protection and management of the environment (Bandyopadhyay, Humavindu, Shyamsundar, & Wang, 2004; MET, 2013a; Mufune, 2015; Namibian Association of CBNRM Support Organisations (NACSO), 2016; Suich, 2010).

Despite all the successes and achievements, conservancies in Namibia still face some challenges, particularly in their governance and management. Over the years, the Conservancy Management Committees (CMC) failed to give feedback to the members on issues relating to the management of the conservancies, such as conservancy governance, income generation, benefit distribution, and game management and utilisation.

The Ministry of Environment and Tourism (MET)[1] introduced the guidelines for management of conservancies and standard operating procedures (SOPs) in 2013 (MET, 2013b) in response to management and governance weaknesses observed in many conservancies. Conservancies are required to meet specific requirement or conditions, some of these conditions are 'once off' but others requirements are recurrent and have to be met every year. It's the Ministry responsibility to ensure that conservancies continue to be compliant. Therefore, the Ministry put in place the compliance monitoring measures to improve conservancy management and to ensure the sustainability of the CBNRM program (MET, 2013b). However, since the introduction of SOPs, not much work has been conducted on the conservancies' level of compliance with the SOPs. This study will therefore evaluate the compliance of Namibian communal conservancies with mandatory SOPs set by MET, and compare the successes and challenges with the compliance of selected conservancies. The potential interventions in non-compliant conservancies to specific SOPs legal requirements, and the support that conservancies require, will be identified and recommended during this study.

[1] In March 2020, the Ministry of Environment and Tourism changed to Ministry of Environment, Forestry and Tourism

1.2. Research Problem Statement

Communal conservancies in Namibia were formed on the premise that they would contribute to biodiversity conservation efforts, generate income, create employment and reduce poverty for residents living within conservancy boundaries, as stipulated in the CBNRM policy (NACSO, 2015).

In the context of the challenges noted with communal conservancies, and to enable good governance by members and supporting partners, MEFT developed the “Guidelines for the Management of Conservancies and Standard Operating Procedures” (SOPs) in 2013, to improve the organisational performance of conservancies (MET, 2013b). It is within MEFT’s mandate to ensure that Conservancies comply with the performance and governance standards outlined in the SOPs and the CBNRM Policy (MET 2013a).

However, nearly all the conservancies in Namibia fall short of complying to the set SOPs, with reasons varying between conservancies (MET, 2013b). Such reasons can be conservancies not conducting management committee elections according to the procedures set in the Constitutions, or not managing wildlife as per the approved Game Management and Utilisation Plan (GMUP) which includes producing and providing the Wildlife Utilisation Report annually. Since the development of SOPs in 2013, however, not much work has attempted to assess the extent and level of compliance of Namibian conservancies with the mandatory SOPs for CBNRM within communal conservancies.

1.3. Justification and Rationale

The CBNRM programme was initiated with a view to shifting from government-centred control and management responsibility of natural resources to a conservation and management system operated by rural local communities. In order to manage the resource sustainably, it requires some degree of devolution of decision-making power and authority. According to Mariki (2018), different factors have been reported to affect

the management and performance of community-based organisations (CBO), such as communities involved, resource governance, members' engagement, effectiveness of the institutional framework, availability of experienced personnel and sharing of benefits.

The government of the Republic of Namibia adopted the CBNRM approach as an attempt to promote rural livelihoods and participation in conservation in previously disadvantaged communities. The approach resulted in increased rural conservation and, to an extent, rural development. SOPs have been established as a governance tool for the conservancies in relation to conducting annual general meetings (AGM) in compliance with their Constitution, adherence to the Conservancy Benefit Distribution Plan and Procedure (BDP), financial accountability, and the Game Management and Utilisation Plan (GMUP) (MET, 2013b).

It's mandatory for all registered conservancies in Namibia to adhere to the following procedures as outlined in the SOPs: 1) Holding AGMs in compliance with their Constitution; 2) Following the benefit distribution procedure in the Constitution and as per the Benefit Distribution Plan (BDP); 3) Producing and providing annual financial statements (AFS); 4) Managing wildlife according to the GMUP and providing the Wildlife Utilisation Report; and 5) Conducting management committee elections as per the Constitution. If conservancies fail to meet the above key requirements, even after support from MEFT and NGOs, the Minister can withdraw recognition of the conservancy as mandated by the Nature Conservation Amendment Act No. 5 of 1996 (MET, 2013b). The CBNRM programme in Namibia is often cited as a success (Mariki, 2018); however, several shortcomings have been documented in the efficiency and accountability of conservancies' management committees and their operations (NACSO, 2017). In order to assess the level of compliance of communal conservancies in Namibia with the mandatory SOPs for CBNRM, this study was initiated. The extent of the challenges conservancies' operations faces for them to adhere to the SOPs, is also investigated.

1.4. Research Aims and Objectives

The overall aim of the study was to determine the level of compliance of communal conservancies with the mandatory SOPs for CBNRM, as well as to understand obstacles and challenges faced by conservancies. The specific objectives of the study were to do the following:

- Compile an inventory of all the communal conservancies in Namibia.
- Determine the level of conservancies compliance with the SOPs.
- Determine the obstacles and challenges faced by conservancies to comply with mandatory SOPs.
- Recommend interventions to improve the compliance of conservancies.

1.5. Research Process

Chapter One gives the background on why the CBNRM programme was introduced in various African countries – which was mainly to address the decline in biodiversity. The research problem, aim and objectives of the study are also presented in this chapter.

Chapter Two discusses a review of the literature that is vital for the investigation of the aim and objectives of this study.

Chapter Three describes the study areas, research design and methodologies, as well as the method of selecting case studies for further investigations.

Chapter Four presents the results and findings of the investigation of the case studies.

Chapter Five provides a cross-case analysis of the findings of the investigations.

Chapter Six provides a synthesis and recommendations that can be applied to improve the compliance of conservancies with the SOPs. The research process and chapter breakdown are shown in Figure 1.1:

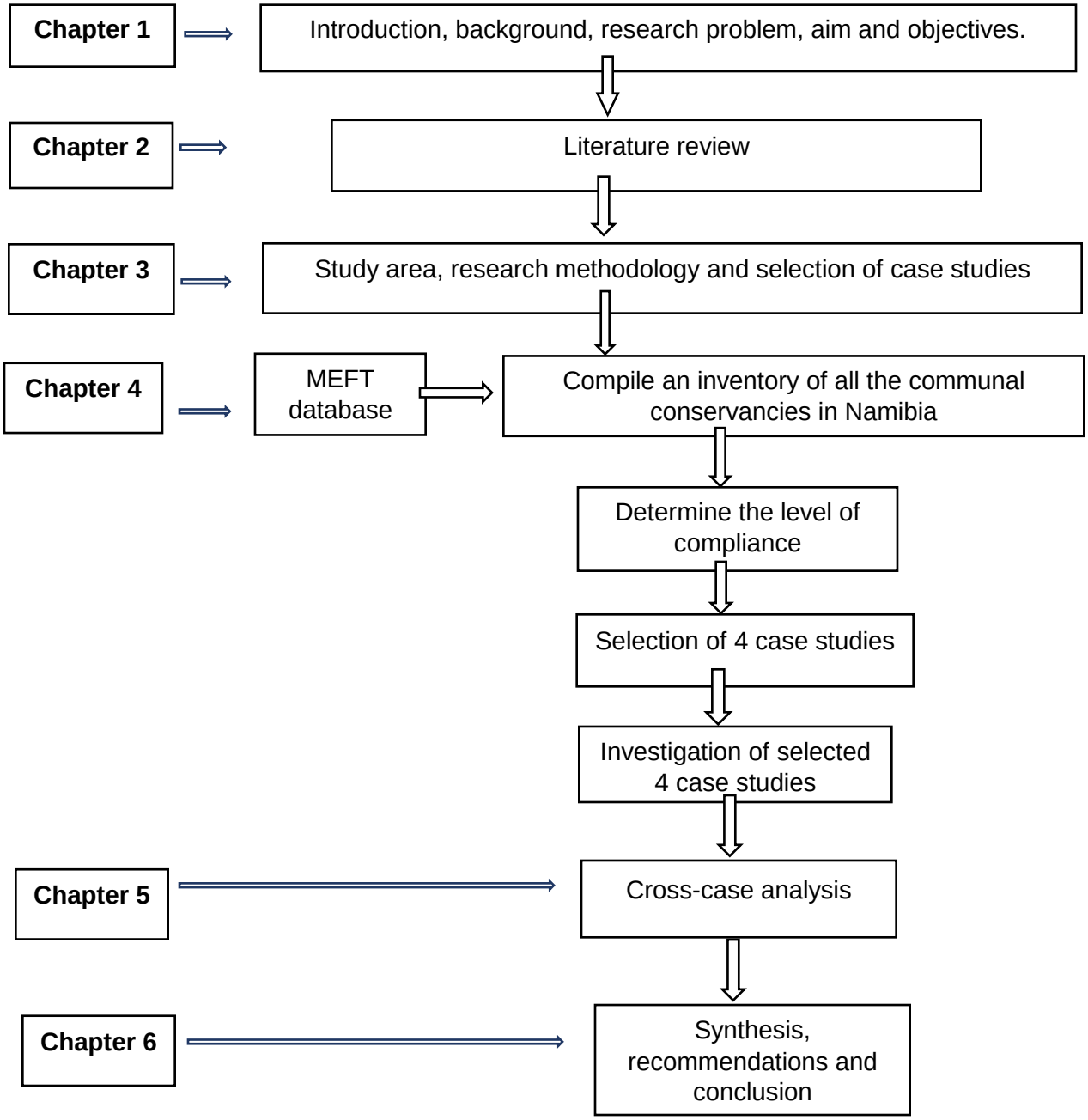


Figure 1.1: Chapter breakdown and research process.

This chapter discussed the background of the study, and explained the aim and objectives of the study. The next chapter, Chapter Two, describes the theoretical aspect of the literature review, the definition of key concepts, and also highlights certain gaps in the literature.

CHAPTER TWO

2. LITERATURE REVIEW

2.1. Introduction

This chapter presents a literature review relating to the communal conservancies programme, with emphasis on the historical development of the CBNRM programme, CBNRM programmes in an African and Namibian context, as well as approaches used by different countries. The chapter further describes the role and involvement of government, NGOs and the private sector. The impacts of the CBNRM programme on wildlife, tourism, and on socio-economic development in Namibia, is assessed. Finally, the chapter examines how conservancies in Namibia are governed, and reasons are given for conservancies in Namibia to comply with SOPs.

2.2. Theoretical and Conceptual Framework of the Literature Review

The research focused on evaluating compliance by communal conservancies in Namibia with mandatory SOPs. Compliance is part of the SOPs, to ensure that natural resources are not exploited and that communal conservancies are properly established, managed and administered. The research especially focused on evaluating the level of compliance of communal conservancies with the mandatory SOPs for CBNRM. The research focused on several components. The first component of the investigation was how the CBNRM concept originated and developed historically. The second component specifically focused on CBNRM in Africa as well as Namibia. The third component focused on the impact that CBNRM has had on wildlife, tourism and the Namibian economy and socio-economics. The fourth component investigated the important role that government and the private sector play in the CBNRM programme. Lastly, accountability and good governance as the most important aspect of the CBNRM programme, was investigated.

Natural resources were previously managed and regulated through traditional governance systems, and after the arrival of the colonial powers, wildlife population uses were uncontrolled. The wildlife and other resources started to decline, and in an attempt

to address the decline, countries developed strategies to manage and conserve wildlife. The CBNRM concept is viewed as a specific system which is centralised, where local people are involved in decision-making and control of the natural resources. This approach was shown to be effective in most African countries, when local communities are involved as natural resources managers or owners, and not users.

In Namibia, the CBNRM approach was implemented through the establishment of communal conservancies. Conservancies are areas with defined borders, governance and management structures, outside of national parks, where communities have the right to manage, utilise and benefit from the wildlife. Since the establishment of conservancies, the key wildlife species numbers have increased, the number of poaching incidences have decreased, and there has been an increase in direct and indirect benefits and generation of revenue from tourism and hunting operations.

The establishment and management of conservancies requires the involvement of the government and private sectors, which includes developing and enforcing laws and policies, as well as providing technical and financial support. Developing accountability and good governance is one of the important aspects of the CBNRM programme, for long-term institutional stability. Poor governance and accountability can be an obstacle to the success of the programme; therefore, MEFT developed SOPs to promote good governance and accountability among the conservancies in Namibia. This study aims at evaluating compliance of communal conservancies with the SOPs in Namibia.

Figure 2.1 indicates the conceptual framework of the literature review and the relation of the theoretical aspects. The following sections provides a description and explanation of the components as identifies in the conceptual framework.

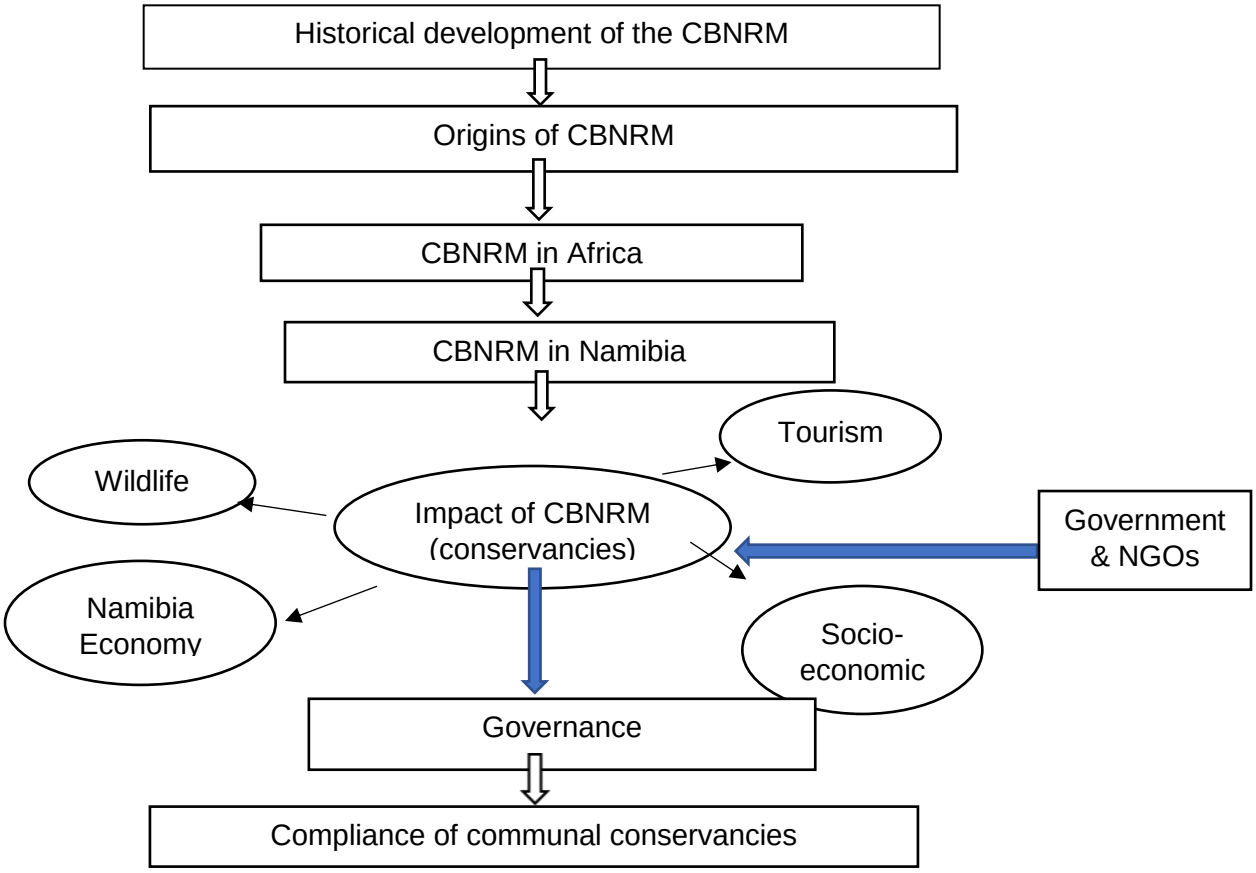


Figure 2.1: Conceptual framework for the literature review.

2.3. Historical Development of the CBNRM Concept

Long ago there was a belief system and spiritual links between rural people and their natural resources. In the past, natural resource use was regulated and monitored by traditional systems and local institutions such as kings, chiefs, headmen and healers who played a major role, even though it was not well documented (Fabricius, 2013). These traditional governance systems included rules, practices and procedures intended to regulate the use and management of natural resources. According to Feely (1986) and Kepe and Scoones (1999), as cited by Fabricius (2013), the practices that were geared towards enhancing ecosystem services and maintaining their resilience were developed through adaptive management or 'trial and error'. The levels of people's resilience-enhancing practices covered customs that created small-scale disturbances – for example, 'pulse' hunting, the place where animals had been closely hunted all over and

then left alone for the rest of the year to recover. Patch burning was practised to rejuvenate grazing for wildlife. Taboos were also used as a sort of natural resource management in the rural communities; for example, in Ghana, according to Diawuo and Issifu (2015) and Osei-Tutu (2017), two types of taboos were identified. The first prohibited the killing, eating and harming of sacred animals in the local forest; and the second restricted any entry into the local forest for any purpose.

Sacred forests are scattered all over the Southern African landscape (Barrow (1996), as cited by Fabricius, 2013). These forests, collectively, with abandoned fields and settlements, resulted in a rich mosaic of habitat patches that are strongly influenced by human impacts. In Botswana, hunter-gatherer Basarwa were able to move in response to ecosystem change and flora and fauna dynamics, burn vegetation selectively, and choose a livelihood method from a range of possibilities that would suit their unique situations (Masego & Christo, 2013). Although many of these practices nonetheless exist, they are not being practised, due to high human population densities, people's minimal impact on the land, and their lifestyles – which have been often nomadic.

Changes in the hunting system and tools used by nomadic people to modern tools and the type of living implemented by Europeans, have, however, changed the whole system that communities have used, compared with the past.

After the arrival of colonial powers in most of the African countries, uncontrolled hunting in large quantities of game started for game products such as ivory. According to Fabricius (2013), the local people in some regions also began intensifying their hunting efforts in order to be part of the growing trade in ivory and other animal products, which caused a severe drop in wildlife numbers, especially in Southern Africa. In most African countries, the governments started controlling natural resources, where hunting and trading of natural resource products to make a living without permits, was prohibited.

The decline in wildlife numbers made the lawmakers realise that natural resources would decline, and that something needed to be done to manage and conserve the resources.

Different countries developed multiple top-down approaches and policies and that stimulated local ownership and devolution of decision-making power (Dressler *et al.*, 2010; Fabricius, 2013; Jones, 2004b). This new approach focused on decentralisation of management responsibilities, with the objective of increasing public participation and benefits (Rihoy & Maguranyanga, 2007).

The CBNRM programme plays a foremost role in conservation strategies worldwide, and it has sought to return the stewardship of biodiversity and natural resources to local communities through participation, empowerment and decentralisation (Boggs, 2000; Dessler *et al.*, 2010). According to Fabricius (2013), although no longer properly documented, there is some evidence that complicated resource management systems prevailed among indigenous African people earlier than the arrival of European colonialists. Traditionally, human beings relied closely on the ample, wild, natural resources that surrounded them. As a result, people in Africa typically appreciated the value of nature and included nature in their worldviews, metaphors and belief systems.

This section concludes that the CBNRM concept has developed over the years, with many countries using different approaches to ensure that communities are involved in the management and benefit from utilisation of natural resources.

2.4. Origins of CBNRM/Conceptual Foundation for CBNRM

The past two decades have witnessed a paradigm shift in natural resource management from state-centred control towards local level participatory approaches. This shift particularly aimed at transferring, to an extent, decision-making power to the local communities through a legal entity with defined structures and membership (De Beer, 2013; Shackleton *et al*., 2002). Innovative decentralised approaches to wildlife management that emerged in Southern Africa, starting in the 1960s, played a key role in the development of CBNRM throughout the region, and influenced CBNRM across sub-Saharan Africa. The devolution of rights to communal communities was delayed by political changes in Southern Africa, and and this only occurred in the 1980s in Zimbabwe,

in 1990 in Namibia, and in 1994 in South Africa (Child, 2003; Mbaiwa, Mbaiwa & Siphambe, 2019).

The main goal of CBNRM is to facilitate conservation and rural economic development through local community participation in natural resource management; however, countries had different approaches. For example, in Botswana the formation of wildlife trusts started in 1989, initially driven by USAID Natural Resources Management Project (NRMP) II. In Zambia, a revenue-sharing scheme focused mainly on game management areas (GMA), while in Namibia CBNRM was implemented through the formation of communal conservancies. In Zimbabwe, the Communal Areas Management Programme for Indigenous Resources (CAMPFIRE) was the mechanism for CBNRM implementation (De Beer, 2013; Gujadhur, 2000; Jones, 2004a; Lyons, 1998; Mbaiwa *et al.,* 2019; Shackleton *et al*., 2002).

2.5. CBNRM Programmes

2.5.1. CBNRM programmes in Africa

Different African countries use several different approaches to implement CBNRM, as indicated in Table 2.1. In Zimbabwe, for example, CAMPFIRE is used, which is aimed at incentivising and involving local communities and private landowners in wildlife conservation by establishing conservation areas (Tchakatumba *et al.*, 2019). Some of the benefits derived from CAMPFIRE include direct and indirect economic benefits of increase in wildlife populations, cash and meat distribution to households, and physical infrastructure development. The establishment of infrastructure contributes to tourism facilities and local employment on one hand; while on the other hand, it reduces human wildlife conflicts. In Zambia, the Administrative Management Design (ADMADE) is a government policy initiated in 1987, which recognises the need for local communities to have stewardship over, and receive economic benefits from, sustainable use of wildlife resources. ADMADE is applied within Zambia's 34 GMAs, acting as a buffer between GMAs and national parks (Balint & Mashinya, 2008; Kamphorst, Koopmanschap & Oudwater*,*1997; Virtanen, 2003). Despite the benefits accrued from these initiatives, their

dependence on donor funding has been a major drawback. In Zimbabwe, for example, the quality of governance and community benefits declined sharply at the end of funding to CAMPFIRE; however, the project revenues to households, and their contributions to conservation, have been largely sustained by the project (Balint & Mashinya, 2008; Tchakatumba *et al*., 2019). This does not imply that CBNRM does not provide tangible benefits for rural development and natural resources conservation. Furthermore, according to (Nyamayedenga *et al.*, 2021) the 2014 United States of America imposed ban on the importation of elephant (Loxodonta africana) hunted trophies from Zimbabwe caused the elephant population, with low utilisation of elephants, which resulted in more human wildlife conflict incidences and less benefits to land owners and local communities.

Table 2.1: Institutional comparisons in selected countries' CBNRM.

Design principle	**Zimbabwe's CAMPFIRE programme**	**Zambia's ADMADE programme**	**Namibia's CBNRM programme and conservancies**
Clearly Defined Boundaries for Resources Used or Managed	Wildlife is migratory and distributions do not conform to boundaries of rural district wards and protected areas.	Wildlife is migratory and distributions do not conform to Game Management Areas and protected areas.	Wildlife is migratory and distributions do not conform to conservancy boundaries and protected areas.
Clearly Defined Boundaries for Social Groups involved	Established rural district ward boundaries applied; no local community definition.	Established Game Management Area boundaries applied; no definition by local community.	Local communities negotiate and self-define conservancy boundaries.
Agreed Rules for Resource Access and Use	Wildlife laws and quotas set by central government; certain wildlife management and benefits devolved to rural district councils; revenues shared between rural district councils and ward/village levels.	Wildlife laws and quotas set by central government; benefits & revenues shared between central government and community chiefs.	Central government assigns wildlife quotas to conservancies; all revenues and benefits accrue to conservancies.
Collective Choice Arrangements	Rural district management; limited to no local community institutions for wildlife.	Chiefs and headmen make decisions for the community.	Conservancy committees elected to represent community members.

Provisions for Conflict Resolution.	Central government and rural district councils.	Central government; chiefs and headmen.	Conservancy committees prepare management and benefits distribution plans; annual general meetings of members.
Provisions for Monitoring Resource and Use.	Central government monitors the state of wildlife and use.	Central government monitors state of wildlife and use.	Community game guards recruited by conservancies; report state of wildlife and violations to central government.
External Recognition of Local Institutions.	Programme defined top-down, with recognition of rural district council level.	Top-down programme; community chiefs recognised by central government.	Conservancies legally recognised by central government; boundaries and members legally registered.

CBNRM plays a foremost role in conservation strategies worldwide, and it has sought to return the stewardship of biodiversity and natural resources to local communities through participation, empowerment and decentralisation (Boggs, 2000; Dressler *et al*., 2010). It is noted by Chirenje *et al*. (2013) that in most African countries, a community's participation in natural resource management was shown to be effective when the local communities were involved – not as co-operating users but as natural resource managers or owners. For example, a study conducted in Namibia and Kenya indicated that engaging communities in local decision-making has shown that participation, accountability and equity has proven to increase the programmes successes and long-term sustainability (Ashley, 2000). The study further showed that CBNRM can successfully benefit the poorest members of the communities when it empowers them to play a full decision-making role in natural resource management and take accountability.

2.5.2. CBNRM programme in Namibia

Article 22 of the Covenant of the League of Nations mandated South Africa to rule Namibia (then South West Africa) on 17 December 1920, and on 21 March 1990, Namibia became a free country (Zaire, 2014). After the end of apartheid (in 1990), the government of the Republic of Namibia adopted the CBNRM approach as a measure to promote rural

livelihoods and inclusive participation in conservation by previously disadvantaged communities (MET, 2013a). The CBNRM policy was developed in 1995, and was preceded by the Nature Conservation Amendment Act No. 5 of 1996, which led to the establishment of conservancies. The approach resulted in a significant increase in wildlife numbers in rural areas, poverty eradication, and, to an extent, rural development (Jones & Murphree, 2004; MET, 2013a).

Based on the legislation (Nature Conservation Amendment Act of 1996) and the policy on CBNRM guidance, CBNRM is initiated by communities themselves living with natural resources, seeking ways to manage common-pool resources because it is believed that communities have sufficient local knowledge and experience (Mariki, 2018). CBNRM is implemented in a geographical area that is known as a conservancy. A conservancy is a clearly defined area overseen by an institution that represents a specific group of people (with a common interest towards a resource), having the authority to, and the responsibility for, managing the resources within that specific area. Each conservancy is self-governing, applying principles for common property resource management.

Namibia's CBNRM programme initially focused on the north-eastern and north-western communal lands of Namibia, where there are still substantial wildlife numbers; however, most regions in the country now implement the programme. The first communal conservancies were established in 1998, comprising Nyae Nyae, Salambala, ≠Khoadi-//Hôas and Torra conservancy (NACSO, 2017). Since then, several other conservancies have been established, totalling 86 officially registered by the end of 2018. Additionally, 5 620 people are represented by the Kyaramacan Association, which operates in a similar manner to a conservancy, but is located within the managed resource use zone of Bwabwata National Park (BNP) (Paksi & Pyhala, 2018). The national protected-area network now covers a total of 362 197km², which is 43.87% of Namibia's surface area. Of that total, communal conservancies cover and manage 166 179km² (20.2%) (MET/NACSO, 2020). These figures illustrate the important role communal conservancies play in wildlife conservation in the country.

The Kunene and Zambezi regions comprise some of the highest conservancy densities in Namibia, with a total of 38 conservancies in Kunene and 15 in Zambezi, respectively (see Figure 3.2). Despite the high financial returns of conservancies in these regions, these areas remain classified as the poorest regions in Namibia. The National Planning Commission's poverty and deprivation study, conducted in 2016, found that 53.2% of the people in Kunene and 39.3% in the Zambezi were found to be poverty stricken (National Planning Commission, 2016). As mentioned earlier, communal conservancies are self-governing, democratic entities with management responsibility for wildlife and associated natural resources within fixed geographical boundaries. These resources are managed through Conservancy Management Committees, which are elected by the conservancy membership and technically supported by MEFT, donors, the private sector and non-governmental organisations (NGO). Figure 2.2, below, shows the typical management structure of conservancies in Namibia.

The annual general meeting (AGM), comprising all registered conservancy members, is the highest decision-making body, with key mandates including the approval of reports, policies and plans on a yearly basis, as tabled by the Management Committee. The conservancy manager oversees the implementation of the conservancy activities by the staff, such as game guards/resource monitors and bookkeepers.

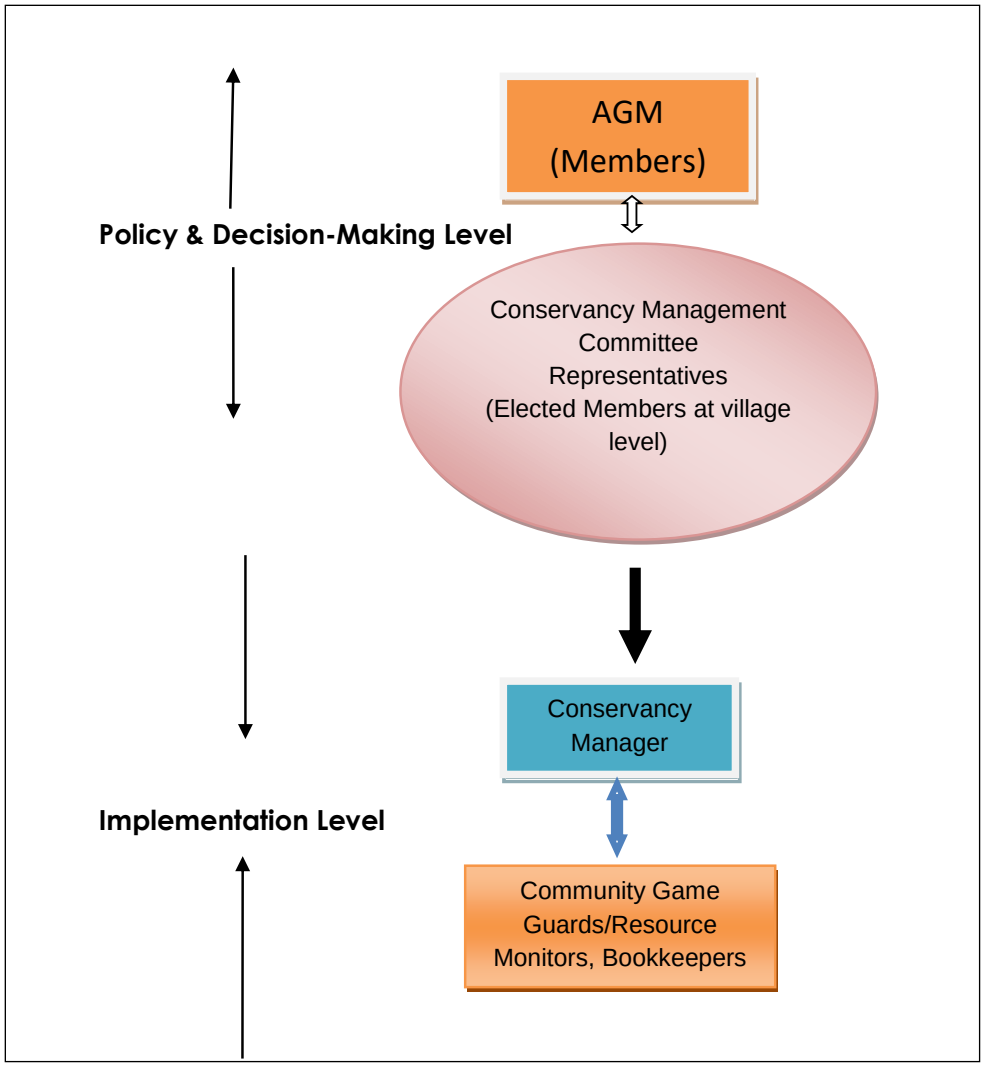


Figure 2.2: An illustration of a typical conservancy management structure in Namibia.

2.6. Importance of CBNRM Programme

2.6.1. Impact of CBNRM on wildlife

CBNRM programmes seek to link rural communities with benefits derived from the natural resources' management, and how communities perceive and value wildlife. Furthermore, adaptive and improved management is critical to the success of communal conservancies and their contribution to conservation. The development of conservancies has contributed to the maintenance of wild habitat, and has helped to promote wildlife and tourism as legitimate land uses.

In Lupande, Zambia, for example, the number of poaching incidences declined because people had begun to appreciate wildlife and the benefit derived from conservation (Magome & Fabricius, 2004). MET (2013b) and Roe, Nelson and Sandbrook (2009) have stated that due to the commitment shown by rural communities, Namibia's key wildlife species such as predators, and endangered species such as the black rhinoceros, have increased and recovered. The illegal use of wildlife has declined since the formation of conservancies. Jones (2004a) and Shilongo and Simuela (2018) add that the population growth of such endangered species such as black rhino and Hartmann's zebra are well documented in north-western Namibia, while elephant ranges are expanding in both the north-west and north-east. According to the census data, Namibia's elephant population grew from around 7 500 to around 22 800 between 1995 and 2016 (MET/NACSO, 2020). Moreover, since 1999, more than 2 500 mixed plains game animals have been re-introduced into communal conservancies in Namibia (Jones, 2004b).

Even though CBNRM has positive impacts on biodiversity and conservation, in extreme cases local people still experience human-wildlife conflicts, and are often expected to tolerate conflict with dangerous species such as elephants that damage crops and predators that kill their livestock and endanger their lives (Magome & Fabricius, 2004). For rural people, living with wildlife comes at a cost; for example, in South Africa, rural people living adjacent to the Kruger National Park lost livestock due to stray lions moving freely in and out from the park, and as a result, they became anti-conservation. In Namibia, by end of 2019, seven (7) people were reported killed and 37 injured by wildlife such as crocodiles, leopard, buffalo and hippopotamus (MEFT, 2020a).

2.6.2. Impact of CBNRM on tourism and the Namibian economy

Tourism and hunting both generate substantial revenues for communities and private operators in Africa (Naidoo *et al*., 2016). Tourism is described as the world's fastest growing economic sector, and tourists visiting Namibia are mainly interested in wildlife and nature-related attractions. From the beginning of 1990 to the end of 2018, the

community conservation contributed an estimated 8 billion Namibian dollars (NAD) to Namibia's net national economy. The Tourist Statistical Report for 2019 indicated a slight increase of 1.3% of 1 681 336 foreign travellers to Namibia, compared to the 2018 figures (MEFT, 2020b). Tourist arrivals increased by 2,5% from 1 557 279 in 2018 to 1 595 973 in 2019, generating more than NAD[2] 20 billion and contributing 120,000 thousand direct jobs. However, the 2020 arrival statistics showed a significant decline of 89% in tourism arrivals, with only 169 565 tourists, from 1 595 973 tourists recorded in 2019 (MEFT, 2021). At the end of 2019, conservancies generated about NAD 105 million from tourism, and about NAD 34 million from conservation hunting, while community conservation facilitated about 5178 jobs (MEFT/NACSO, 2021). Jones (2003) argued that due to its special characteristics, tourism has a high potential to contribute to rural poverty reduction by doing the following:

- Contributing to poverty alleviation through direct and indirect employment.
- Contributing additional income to local communities through joint venture and conservation hunting operations.
- Inspiring local enterprises based on tourism (traditional villages, camp sites, boat cruises, etc.) or on providing services (tyre repairs, cooldrink sales, etc.).
- Improving the earning capability of rural women by stimulating trade in traditional crafts, basketry and pottery.
- Providing employment close to home in rural areas so that wage earners can still engage in other household livelihood activities.

2.6.3. Socio-economic impacts of CBRNM programme

In Namibia, the CBNRM programme makes provision that any registered member of a conservancy is entitled to receive a portion of the benefits generated within the conservancy. These benefits can be defined as direct and non-direct. Direct benefits include financial, wildlife meat and jobs, while non-direct benefits refer to infrastructure development (schools, water, electricity, roads, etc). Namibian CBNRM 's philosophy is

[2] USD 1 = NAD 13.79 as at 15 June 2021

similar to that of the CAMPFIRE and ADMADE initiatives, which both aim for local communities to realise commercial benefits as an incentive for sustainably managing local natural resources (Mapedza, 2009). These philosophies therefore attempt to link the costs of managing the resource with the benefits derived from the natural resource.

Jones (1999) and Turner (2013) indicate that the perceived benefits of CBNRM include the following:

- Provision of certain user rights over wildlife and tourism to the representative community towards natural resource over which managements unit are being formed.
- Rural communities gaining opportunities to diversify their economies through the use and management of wildlife, tourism, and veld products.
- Rural communities beginning to realise a significant income from wildlife, tourism, and some veld products.
- Rural communities gaining new skills in negotiating with the private sector and developing their own enterprises.
- Rural communities gaining new experience and skills in local-level collective decision-making, representation and accountability.
- Government, donors, private sector and development NGOs beginning to accept CBNRM as a legitimate rural development process.

According to Suich (2012), incentives are vital to attracting and maintaining participation in community-based natural resource management, but incentives will only work if they are sufficiently large and distributed equitably (Mbaiwa & Stronza, 2011). Often, the incentives are offered in terms of income from hunting and tourism activities, jobs, meat and skills development. Studies conducted in the Tchuma Tchato project in Mozambique and the Kwandu Conservancy in Namibia indicate that few people benefited directly, and that the level of benefits generated is generally too low (DeGeorges & Reilly, 2009; Suich, 2012) to raise much interest among the local populations. It was further found that members feel that benefits have not always been equitably distributed, and that the direct costs of living with wildlife have not always been adequately addressed.

In contrast, a survey conducted by Bandyopadhyay *et al.* (2004) in Kunene conservancies suggested that communal conservancies have a positive impact on household livelihoods, and that benefits from conservancies are evenly distributed between member and non-member households. In Botswana, a study conducted by Mbaiwa and Stronza (2011) in Khwai, Mababe and Sankoyo villages concluded that there was a change in residents' attitudes from being negative to becoming positive towards tourism and conservation. This was triggered by the economic benefits derived from CBNRM. Chirenje *et al*. (2013) recommend that mechanisms for benefit-sharing should be instituted, as this improves commitment towards sustainable natural resources management and helps to ensure accountability and transparency. In Namibia, conservancy benefits are distributed as per an individual conservancy Benefit Distribution Plan and procedures approved by the conservancy members at the AGM (MET, 2013b). Benefits are distributed in a transparent manner, and have resulted in positive impacts at household level.

2.7. The Role of Government and the Private Sector in CBNRM

During the last three decades, many African countries have developed policies, laws and strategic actions to address issues of management and trade of natural resources. This was a result of the high interests of stakeholders involved in the management, use and trade of these products (Ndeinoma & Wiersum, 2017). Namibia is one of the countries in which natural resources policies and law development have received specific attention. The success of CBNRM is greatly influenced by the interface between communal residents, government and non-government agencies. The role of government and the private sector in community conservation may vary from country to country, depending on their respective policies or legislation, and agreements regarding resource management. In most countries, governments are mandated to develop and enforce laws and policies relating to wildlife conservation, and to protect, conserve and restore wildlife resources.

Private sector organisations, on the other hand, are responsible for providing technical and financial support. It has become clear, however, that the sustainability of the CBNRM programme can only be achieved if local communities play an active role in decision-making processes during both project formulation and implementation (Chirenje *et al*., 2013). To that end, it is necessary to create awareness among communities to participate, manage and assume ownership of their natural resources.

In the conceptual framework for CBNRM presented in Figure 2.2, the CBNRM stakeholders interact as they derive benefits from the natural resource utilisation, which is mostly wildlife and forest products. Generally, a resource must have a measurable value to the community, so that the benefits of managing a resource exceeds its costs, and so that sufficient revenue can accrue to local individuals mainly at the household level. This is in order to raise and maintain their interest in resource management and conservation (Tchakatumba *et al*., 2019).

The stakeholders of the CBNRM are the national government, park authorities, conservancy, safari operators, hunters, communities, households and donors/NGOs. Figure 2.3 illustrates that CBNRM benefits are derived from wildlife resources and shared among conservancy members. It is that revenue allocated to communities through the Conservancy Management Committee, which is intended to provide the economic incentive for households to participate in the collective management of wildlife. These benefits can either be direct (cash, meat, employment or subsidised services by donors) or indirect, such as infrastructure development for the general community.

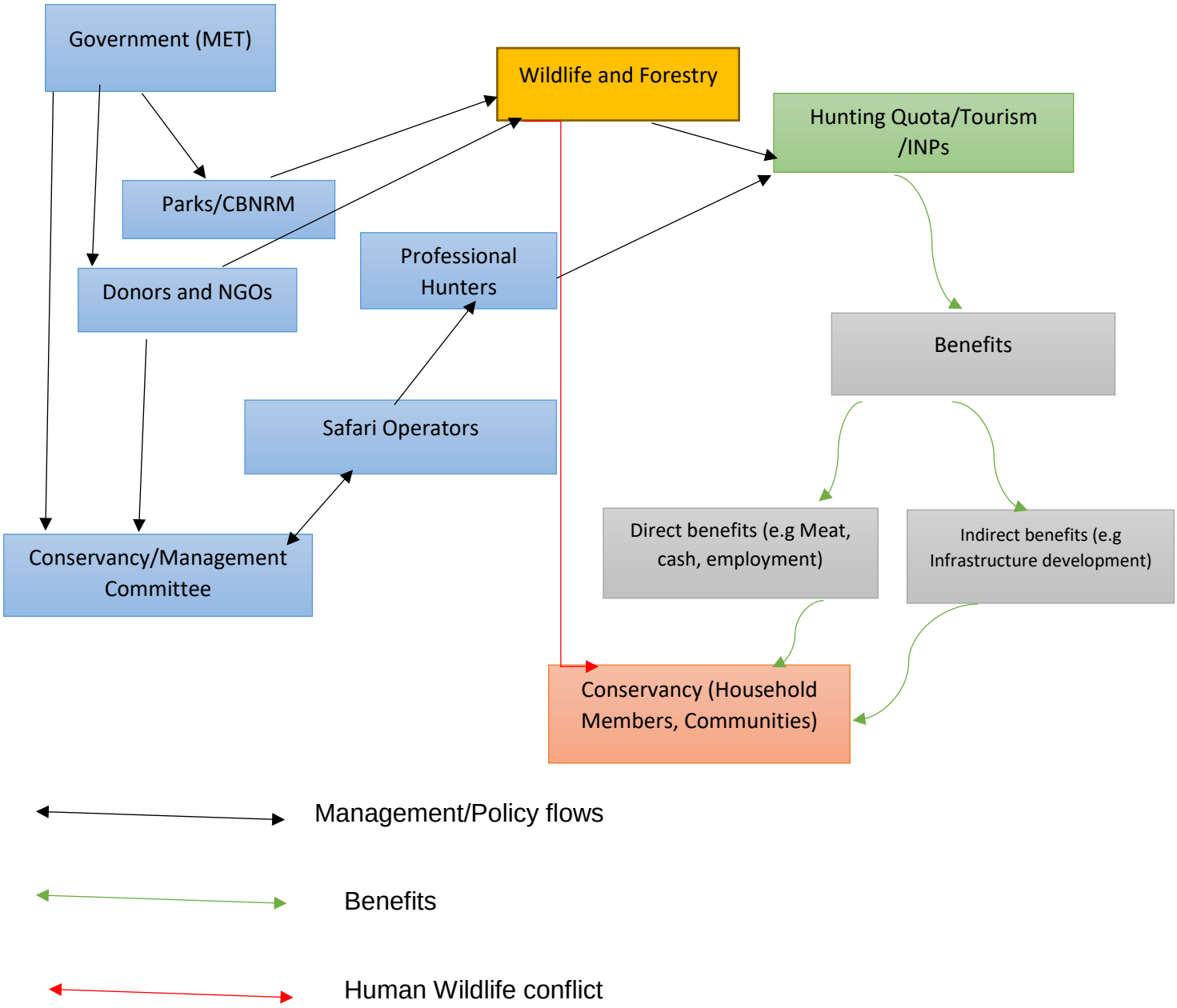


Figure 2.3: CBNRM resource, stakeholder and revenue flow.

Benefits accrued to conservancies do come at a cost, mainly in the form of human-wildlife conflicts, where wildlife trample crops, damage infrastructure, cause death to human life, compete for available resources, or bring about livestock predation and losses. Thus, in order to ensure the sustainability of the CBNRM programme, there is a need for

mechanisms that accrue benefits from wildlife, and at the same time mitigate the extent of human-wildlife conflicts, compensate for loss or damages, and respond to land-use disputes. Without such provisions, the CBNRM programme can cause resentment among local populations – even when it contributes to the objectives of the state's conservation programme.

2.8. The Community Conservation Governance and Required Compliance

Governance is about power, relationships and accountability. Developing accountability and good governance in conservancies is one of the most vital aspects, and is essential for the long-term institutional stability of conservancies in Namibia. Resources can only be utilised sustainably if effective management structures are in place to guide their use. In Namibia, conservancies, community forest and other legally recognised conservation initiatives have created some effective formal structures for democratically managing resources. Democratic governance means that members participate in the most important decisions, and that when committees are not accountable or transparent, members are able to remedy the situation (MET, 2013a; NACSO, 2020).

In Namibia, effective accountability and governance within the CBNRM programme is hinged on three pillars of community conservation: (1) Institutional development; (2) Natural resources management; and (3) Business, enterprise and livelihoods development. The institutional development pillar facilitates good governance to create the basis for resource management, and the capture and distribution of returns. The natural resources management pillar aims for innovative resource management to promote biodiversity conservation; and the business, enterprise and livelihoods development aims to achieve market-based access to derive financial benefits for the institution (NACSO, 2015).

It is important to note that despite empowerment intentions of the CBNRM and other similar initiatives, community-based decision-making institutions cannot function independently. Balint and Mashinya (2006) found that in Mahenye, Zimbabwe, even in

apparently successful conservation and development projects, local participatory decision-making institutions are fragile, and require continuing external support for sustainability. Their findings are similar to those of Sommerville *et al.* (2010) in Menabe, Madagascar, who concluded that that poor governance can be a barrier to success in some communities' programmes; therefore, CBNRM cannot operate independently without external support, as a result of limited capacity and resources (in establishing effective governance schemes).

Because conservancies attract external funding, generate their own revenue and should provide benefits to their members, MEFT in 2013 passed the Guidelines for Management of Conservancies and Standard Operating Procedures. Among others, the guidelines aim to promote good governance and accountability among conservancies, oblige them to comply with the requirements, and ensure monitoring. The above is in line with the powers vested in the Minister, as stipulated in the Nature Conservation Amendment Act No. 5 of 1996, through which the Minister can give any other directives to the conservancies.

With regard to accountability and good governance, the conservancies are mandated to serve the interests of local residents by making commonly acceptable decisions which need to be supported by the majority of members. The abovementioned documents also call for record keeping that can be verified, to enable the Ministry to effectively administer conservancies. The conservancies are also expected to develop accountable and transparent decision-making processes through participatory development of Constitutions by local residents, community approval of budgets, spending on benefits, and financial statements at AGMs. Regarding resource management, every conservancy is expected to be compliant with all MEFT requirements for conservancies. These requirements fall into two general categories: wildlife management and utilisation, and institutional – that is, reporting on the functional requirement of the conservancy as a legal institution. Conservancies are required to report back on any utilisation of the past year by 30 January of the preceding year or as it may be specified in conditions attached to the approved quota.

The Conservancy Management Committee (CMC), among others, fulfils the responsibilities of establishing and implementing conservancy governance tools formulated in close consultation with MEFT. To ensure transparency and accountability, the CMC should, at the end of the year, conduct an AGM to present the annual work plans, the GMUP (which stipulates how the conservancies should manage their wildlife resources), the annual budget, annual financial reports, annual conservancy report and the BDP and report, for communities' members' approval. Namibian CBNRM legislation requires that the conservancy governance systems develop a benefit sharing plan that determines the types and amounts of benefits that community members receive (MET, 2013b, Mosimane & Silva, 2015).

Compared to CAMPFIRE and ADMADE, the above expectations within the CBNRM governance seem to be influenced by a lack of, or poor, governance and accountability among conservancies. For example, each conservancy is required to report to members and submit reports to MEFT on an annual basis. However, over the years, the CMC failed to give feedback to the members on issues relating to the management of the conservancies, such as conservancy governance, income generation, benefit distribution and game management and utilisation. The above seem to be the motivation why MEFT introduced the Guideline for Management of Conservancies and Standard Operating Procedure (SOPs) in 2014. This was in response to management and governance weaknesses observed in all conservancies. However, since the introduction of SOPs, not much work was conducted on the conservancies' level of compliance. It is therefore imperative to establish why conservancies fail to comply with the established SOPs – which forms the core of this study.

2.9. Summary

The literature review has highlighted how the CBNRM programme has developed over the past years; the traditional governance systems were maintained until the modern systems took over. However, the wildlife number started to decline, and the lawmakers

realised that a new approach was needed, that devolved natural resource management decision-making rights and control to local communities.

In Africa, CBNRM was implemented in different countries, such as Zimbabwe with CAMPFIRE programme, Zambia with ADMADE programme, and Namibia with the conservancies programme. All these programmes are managed differently, and have their own challenges. Despite all the challenges, these programmes still provide tangible benefits for rural development and natural resources conservation. The importance and impact of the CBNRM programme on wildlife, people and the economy were identified as a result of the review of the literature. These impacts include decline in poaching incidences, increase in key wildlife species, and direct and indirect benefits such as employment and substantial revenues being generated from tourism and hunting for communities and private operators. Even though the programme has positive impacts on biodiversity and conservation, local people still experience human-wildlife conflict, especially livestock losses, crop and human life loss, which means the wildlife comes at a cost.

In Namibia, different stakeholders were involved in development of policies, laws and strategic actions to address issues of management and trade of natural resources. The role of government and the private sector in CBNRM were identified, including developing and enforcing laws and policies, and providing technical and financial support. In conclusion, good governance and accountability is one of the important aspects of the CBNRM programme. Poor governance and accountability can be an obstacle to the success of the programme; therefore, MEFT developed SOPs to promote good governance and accountability among the conservancies in Namibia.

The next chapter, Chapter Three, will describe, and provide a summary of Namibia, the study area, with a focus on the four (4) selected case studies' areas. In addition, the methodologies used to collect the data in the case studies will be explained. The chapter further addresses the data analysis used to obtain the study results.

CHAPTER THREE

3. STUDY AREA, RESEARCH DESIGN AND METHODOLODY

3.1. Introduction

This chapter provides a description of Namibia and the study area of the selected case studies. The chapter further addresses the research design and methodology of the study. Interviews were used to collect data for this study. The collected data was analysed in Excel and SPSS software, using descriptive statistical techniques.

3.2. Climate and Ecological Overview of Namibia

Located in Southern Africa, Namibia occupies a total of 825 615 km^2 of Africa's surface, and has an estimated population of 2.5 million people (Namibia Statistics Agency, 2011). Based on its landforms and soils, Namibia can distinctly be divided into three major physiographical regions: the Namib Desert, the Central Highlands and the Mega Kalahari (Okitsu, 2005). Precipitation in the country is highly variable and unpredictable (Okitsu, 2005), making Namibia one of the driest countries in sub-Saharan Africa (Reid *et al.,* 2008). The average annual rainfall varies across the country, with the lowest annual rainfall of less than 10 mm recorded in the Namib Desert, and increasing significantly towards the north-eastern part of the country, receiving an annual average rainfall of 600 mm (Mendelsohn *et al.,* 2002). Furthermore, despite the low annual rainfall, the mean annual evaporation rates are considerably high, ranging from 3 700 mm in the central-southern area to 2 600 mm in the northern part of the country (Erkkilä & Siiskonen, 1992). Temperature in the country varies throughout the year and between regions. Generally, maximum temperature ranges from 34-36°C, with the hottest months being September and October in most parts of the country (Mendelsohn *et al.,* 2002). June and July are the coldest months in the country, with temperatures dropping below freezing point (-1°C to -5°C).

Giess (1971) classified the vegetation of Namibia into three major types: desert, savanna and woodland (see Figure 3.1). The desert covers 15% of Namibia's surface and is primarily dominated by scattered non-woody vegetation and succulent plants, while woody species in the desert are restricted to the riverbeds (Okitsu, 2005). Namibia's savannah biome covers approximately 65% of the country's surface (Okitsu, 2005).

The savannah vegetation type in the country varies, and is considered the most complex vegetation type in Namibia. The savannah in the north-eastern part of the country is characterised by tall trees with continuous crown covering the land with an undergrowth of grasses (Okitsu, 2005). In the central parts of the country the savannah is characterised by a mixture of trees and shrubs, with a continuous layer of grass. The savannah in the southern part of the country is referred to as the Nama-karoo, characterised by short shrubs and succulent plants (Okitsu, 2005).

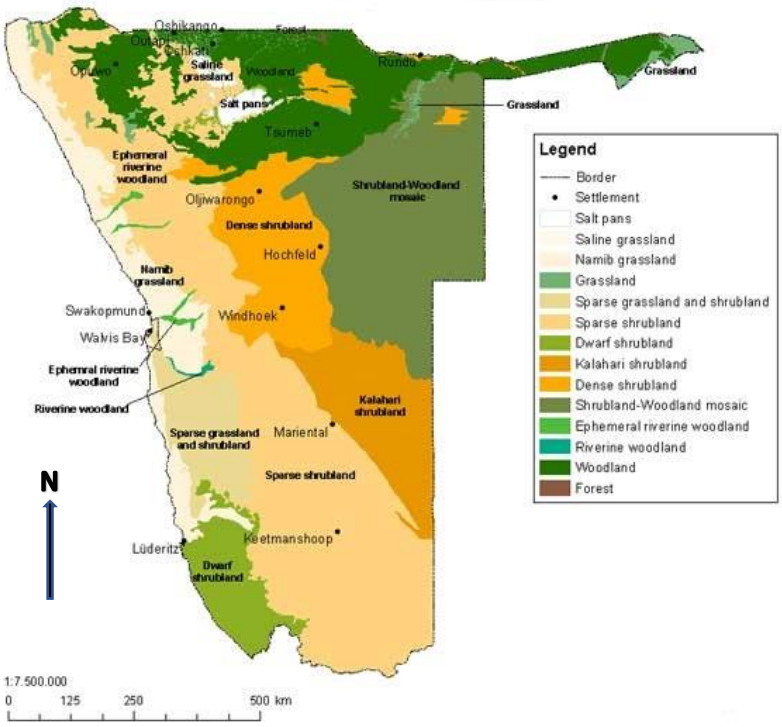
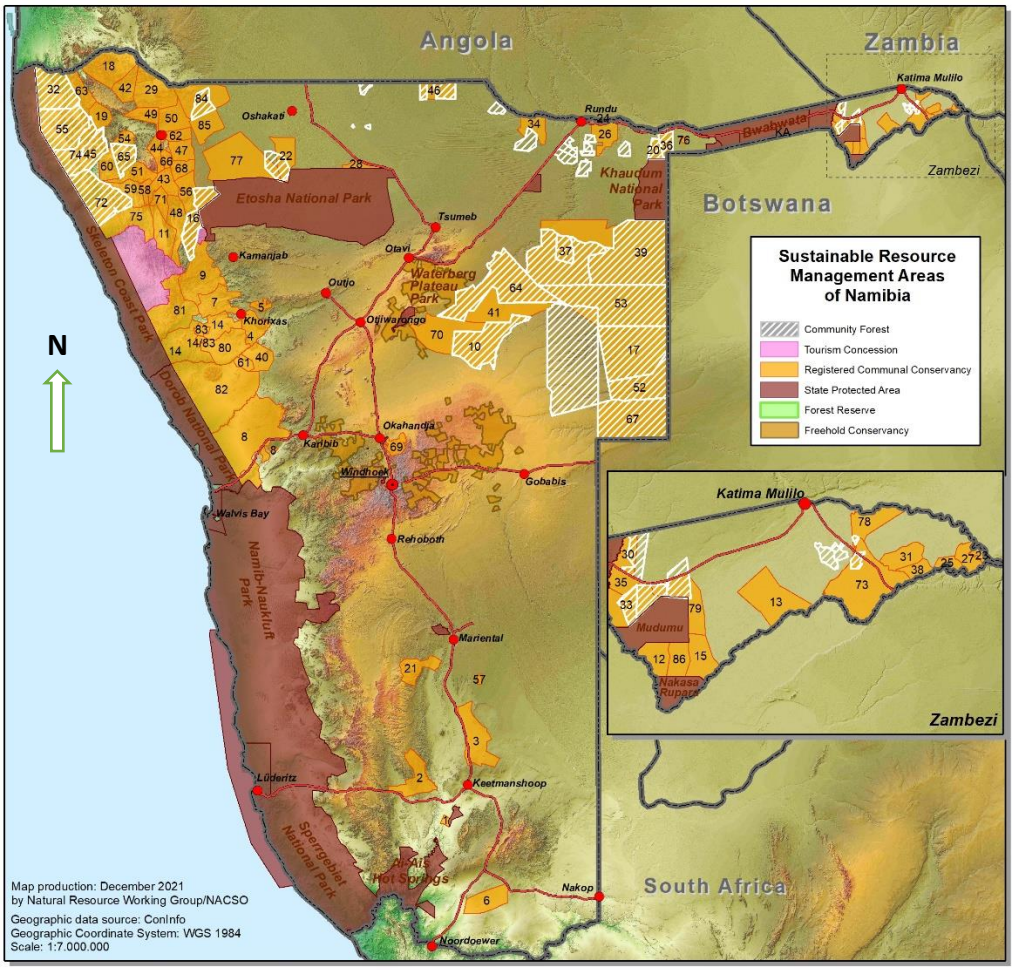


Figure 3.1: The vegetation types in Namibia. **Source**: *Atlas of Namibia Project*, 2002.

3.3. Communal Conservation in Namibia

The Republic of Namibia adopted the CBNRM approach as a measure to both promote rural livelihoods and inclusive participation in conservation by previously disadvantaged communities (MET, 2013a). The CBNRM policy was developed in 1995 and was preceded by the Nature Conservation Amendment Act of 1996, which led to the establishment of conservancies. The approach resulted in a significant increase in wildlife numbers in rural areas, poverty eradication and, to an extent, rural development (MET, 2013a; Jones & Murphree, 2004).

At present, there are 86 communal conservancies and one (1) association registered by MEFT in Namibia, within 13 constituencies, as indicated in Figure 3.2. About 227 941 people are estimated to reside within conservancy areas. Kunene (38) and Zambezi (15) regions, as presented in Figure 3.3, have the highest number of conservancies (NACSO, 2017). Although tourism and hunting provide important income diversification, subsistence agriculture (farming) is still the main source of livelihood for most conservancy members – mainly crop farming and, to a lesser extent, livestock farming.



ID	CONSERVANCY	YEAR REG	ID	CONSERVANCY	YEAR REG	ID	CONSERVANCY	YEAR REG	ID	CONSERVANCY	YEAR REG
1	!Gawachab	2005	22	!ipumbu ya Tshilongo	2012	44	Okatjandja Kozomenje	2012	66	Otjombande	2012
2	!Han /Awab	2008	23	!mpalila	2005	45	Okondjombo	2008	67	Otjombinde	2011
3	!Khob Inaub	2003	24	Joseph Mbambangandu	2004	46	Okongo	2009	68	Otuzemba	2012
4	!Khoro !goreb	2011	25	Kabulabula	2011	47	Okongoro	2012	69	Ovitoto	2008
5	//Audi	2006	26	Kapinga kaMwalye	2018	48	Omatendeka	2003	70	Ozonahi	2005
6	//Gamaseb	2003	27	Kasika	2005	49	Ombazu	2012	71	Ozondundu	2003
7	//Huab	2003	28	King Nehale	2005	50	Ombombo	2014	72	Puros	2000
8	#Gaingu	2004	29	Kunene River	2006	51	Ombujokanguindi	2012	73	Salambala	1998
9	#Khoadi-//H┼as	1998	30	Kwandu	1999	52	Omuramba ua Mbinda	2011	74	Sanitatas	2003
10	African Wild Dog	2005	31	Lusese	2014	53	Ondjou	2006	75	Sesfontein	2003
11	Anabeb	2003	32	Marienfluss	2001	54	Ongongo	2012	76	Shamungwa	2005
12	Balyerwa	2006	33	Mashi	2003	55	Orupembe	2003	77	Sheya Shuushona	2005
13	Bamunu	2011	34	Maurus Nekaro	2017	56	Orupupa	2011	78	Sikunga	2009
14	Doro !nawas Area2	1999	35	Mayuni	1999	57	Oskop	2001	79	Sobbe	2006
14/83	Doro !nawas/Uibasen Twyfelfontein JMA	1999	36	Muduva Nyangana	2005	58	Otjambangu	2009	80	Sorris Sorris	2001
15	Dzoti	2009	37	N#a Jaqna	2003	59	Otjikondavirongo	2013	81	Torra	1998
16	Ehi-Rovipuka	2001	38	Nakabolelwa	2014	60	Otjikongo	2018	82	Tsiseb	2001
17	Eiseb	2009	39	Nyae Nyae	1998	61	Otjimboyo	2003	83	Uibasen Twyfelfontein	1999
18	Epupa	2012	40	Ohungu	2006	62	Otjindjerese	2018	84	Uukolonkadhi Ruacana	2005
19	Etanga	2013	41	Okamatapati	2005	63	Otjitanda	2011	85	Uukwaluudhi	2003
20	George Mukoya	2005	42	Okanguati	2012	64	Otjituuo	2005	86	Wuparo	1999
21	Huibes	2009	43	Okangundumba	2003	65	Otjiu-West	2012	KA	Kyaramacan Association	

Figure 3.2: Map of conservancies in Namibia. **Source**: NACSO, 2017.

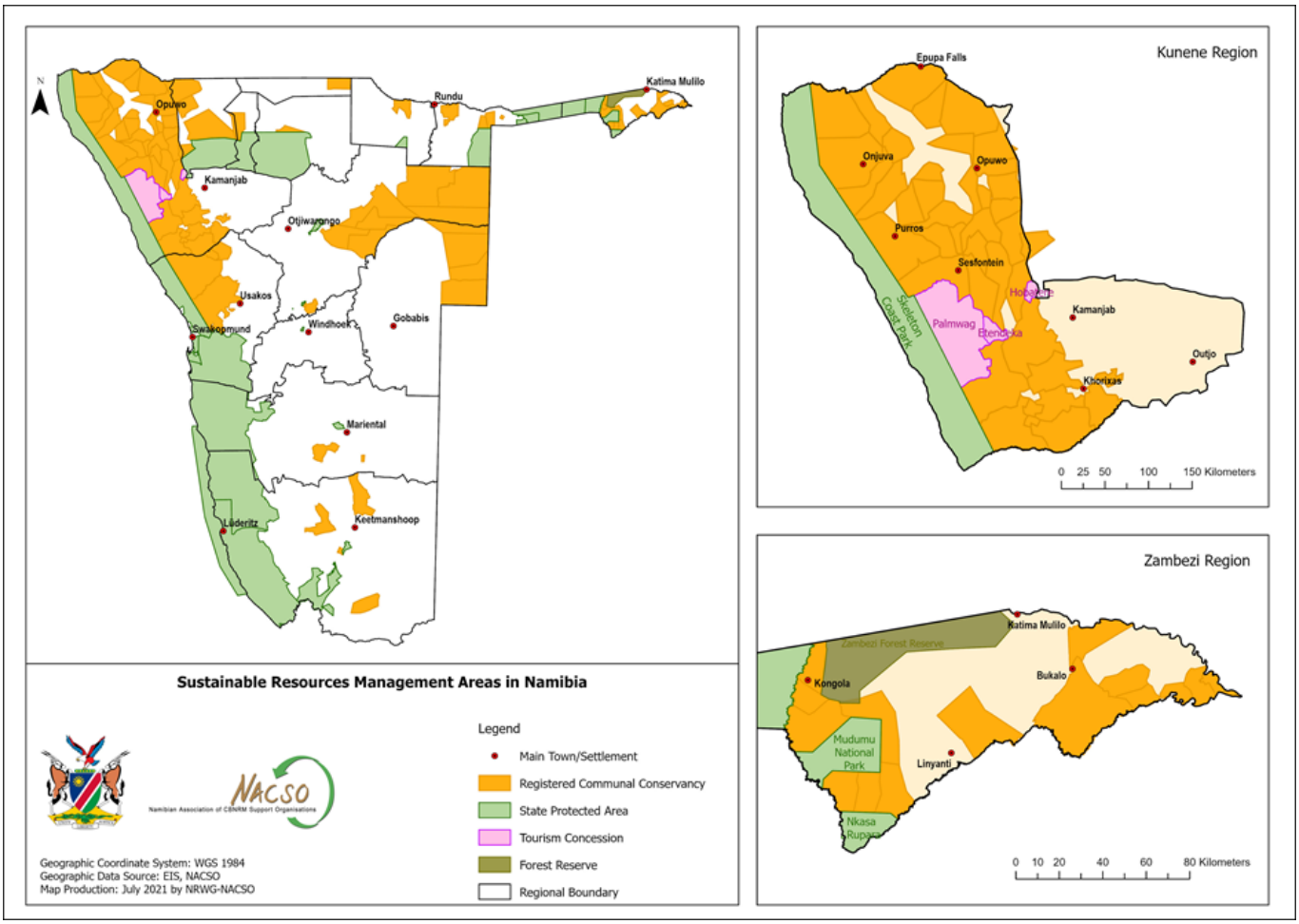


Figure 3.3: Zambezi and Kunene conservancies. **Source**: Natural Resource Working Group/NACSO, 2017.

3.4. Selection of Case Study Areas

To ensure that conservancies and associations are accountable to their members and government, MEFT passed a Guidelines for Management of Conservancies and Standard Operating Procedures in 2013. Among others, the guidelines aim to promote accountability among conservancies, promote good governance, obligation to comply and ensure monitoring. The above is in line with the powers vested in the Minister as stipulated in the Nature Conservation Amendment Act No. 5 of 1996, through which the Minister can give any other directives to the conservancies.

To guide the study areas selection, the annual reports for the 86 conservancies and one (1) association were reviewed, dating from the period 2014-2019. Additionally, the Ministry of Environment, Forestry and Tourism conservancies compliance annual reports for the period were reviewed, to determine which conservancies were deemed to be fulfilling requirements stipulated in the Guidelines for Management of Conservancies and Standard Operating Procedures. It was found that Nyae Nyae and Ehirovipuka are the most compliant conservancies, with Eiseb and Ovitoto being the least compliant. The researcher therefore focused on the above conservancies for the study, as presented in the methodology. Figure 3.4 provides the location of the four study areas, while individual conservancies' descriptions are provided:

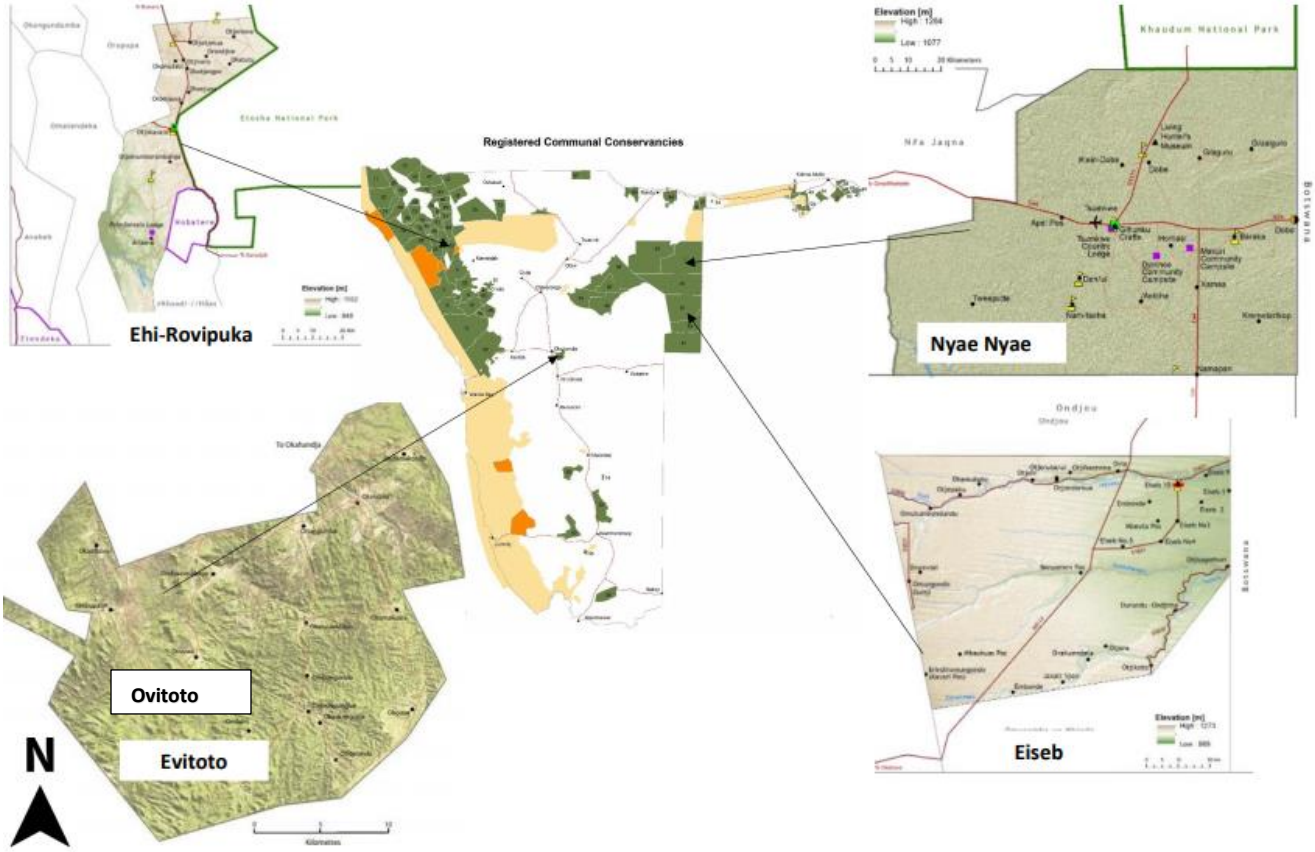


Figure 3.4: Map showing the boundaries and location of the four case study conservancies. **Source**: Adapted from NACSO, 2017.

3.5. Research Design and Methodologies

According to Newing (2010), data can be categorised into qualitative and quantitative, depending on the method of data collection and analysis. Newing (2010) and Ashcroft and Pereira (2002), further stated that two or more methods can be used to collect data on a single issue for the purposes of cross-methods triangulation. A mixed-method (qualitative and quantitative) data collection was adopted for this study. The initial phases of the research were of a quantitative nature. During the secondary data analysis and the later phases of the research it involved a case study which was more of a qualitative nature, and included interviews with key informants during a survey.

Objectives 1 and 2: The inventory of communal conservancies was compiled, and to determine the level of compliance of Namibian conservancies, a secondary data analysis was conducted by reviewing MEFT annual reports (2014-2019) and archival files of all the conservancies. Based on the outcome of the inventory and compliance determination, four conservancies (two complying and two non-complying) were selected for an in-depth review (survey).

Objective 3: In order to achieve Objective 3, a field interview survey was carried out at the four (4) randomly selected conservancies, based on the level of compliance outcome, as well as to represent different regions in Namibia (conservancies which were fully compliant and least compliant to collect data using semi-structured interviews, Appendix I, as indicated in section 3.4). The semi-structured interviews (qualitative interviews) were guided by a set of open-ended questions, as guided by Newing (2010), to ensure maximum information gathering from targeted conservancies. Eighty-six (86) respondents in total were interviewed in four conservancies. The sample size was based on the number of members per each conservancy; the conservancy with the highest number of members has the high number of people interviewed. The interviews were conducted with staff, management committee and general conservancy members of Nyae Nyae (24), Ehirovipuka (21) Ovitoto (21) and Eiseb (20) conservancies. Individuals were asked how the conservancy complied and performed between 2014 and 2019.

Additional data was obtained through semi-structured interviews from key informants (KI) such as MEFT (CBNRM regional offices), and other key stakeholders, including NGOs, to get an insight on the conservancy compliance on five key requirements (holding AGM, managing conservancy according to GMUP, conducting elections, producing annual financial statements and distributing benefit as per the BDP), and to achieve Objectives 3 and 4. The key informant interviewees were purposively selected using the expertise-oriented approach. The selection of respondents was based on their knowledge and expertise of conservancies operations and management. Seven (7; 4 females and 3 males) key informants with knowledge on conservancies management were selected. The respondents had at least five years of experience in the study area. Furthermore, audio recording was also used to check any sections where field notes of the interview were unclear or incomplete during data analysis.

3.6. Data Analysis

Field data was entered in Microsoft Excel, categorised according to compliance requirements stipulated by MEFT, and cleaned before analysis. Descriptive analysis was conducted to establish why a conservancy is compliant or non-compliant within the categories stipulated in the SOPs. Data was used to produce graphs and summarised tables, in order to present the inventoried conservancy information (Objective 1). In order to determine the level of compliance of Namibian conservancies (Objective 2), data collected was tested for normality using SPSS software. Where data was found to be normally distributed, a parametric equivalent test, namely the one-way ANOVA, was used to test for significant difference. Where data was not normally distributed, a non-parametric equivalent test, namely the Kruskal-Wallis, was used to test for significant difference. The graphs and statistical results were also the basis for a comparative analysis on compliance between the four selected conservancies (Objective 3). This was leveraged with KIs' findings as to why stakeholders perceive a specific conservancy to be complying or not complying with requirements. The comparisons across the four conservancies sought to determine where similarities and differences existed, and to

identify “best practices”. Lastly, recommendations for each conservancy are provided, based on the resultant findings (Objective 4).

3.7. Potential risk of the study

Due to COVID-19, the Namibian government introduced measures to prevent the spread of the virus. Meetings were limited to ten (10) people for two hours. The methodology was slightly adjusted from focus group discussions (FGD) to interviews and to a limited number of people.

3.8. Pilot test study of the questionnaires

The questionnaires were piloted at the Ehirovipuka Conservancy, and three conservancy members were interviewed. The pilot interview was undertaken to find out how long the interview would take, and whether the responded would clearly understand the questions and provide information relevant to the study. The respondent could not understand some of the questions, and some information was not really necessary for the study. The questionnaire was amended by rewording it, as well as removing some of the questions irrelevant to the study.

3.9. Interview of case studies

A total of 86 respondents were interviewed, ranging in age from 18 to 75 years, from the four conservancies. The conservancies’ Constitutions stipulate that only people who are 18 years and above can take part in the decision-making in the conservancy, hence interviews were only conducted with those 18 years old and above. The results from the interview are shown in Table 3.1.

Table 3.1: Number of people interviewed.

Conservancy name	No. of respondents		Age group
	Male	female	
Ehirovipuka	13	8	18-75 years
Nyae Nyae	14	10	
Ovitoto	11	9	
Ehirovipuka	10	11	
Total	86		

3.10. Ethical Research Design

Before conducting the interviews or questionnaires, all participants in the research gave their consent to take part in the study. The researcher explained the aim and objectives of the study to all the participants. The participants were informed that the information provided would be solely used for research purposes, and that their confidentiality would be protected. The researcher further informed the participants that ethical clearance was obtained from the University of South Africa before the study was undertaken.

3.11. Summary

This chapter described the research design and methodology used, and also gave a short description of the study area. In the next chapter, Chapter Four, the results of the interview questionnaires from the four case studies that were further investigated, are presented.

CHAPTER FOUR

4. LEVEL OF COMPLIANCE AND FOUR CASE STUDIES ANALYSIS RESULTS

4.1. Introduction

This chapter presents the findings of the study based on data analysis. The findings are presented in line with the objectives of the study. The results are presented in the form of graphs and tables. Although the results presented are general, the results of the four case studies interviews questionnaires are discussed at the end of this chapter. Each case study commences with a short description of the conservancy.

4.2. Level of Compliance

4.2.1. Resultant inventory of all the communal conservancies in Namibia

The Kunene Region has the highest number of registered conservancies in Namibia, with a total of 38 conservancies, followed by the Zambezi and Otjozondjupa regions, each with 15 and eight (8) conservancies, respectively (Figure 4.1). In addition, the Kavango East Region has five registered conservancies, while //Karas and Erongo regions each has four registered conservancies. Moreover, Omaheke and Omusati regions each have three registered conservancies, while Hardap has two conservancies. Oshikoto, Oshana, Ohangwena and Kavango West regions have only one conservancy each.

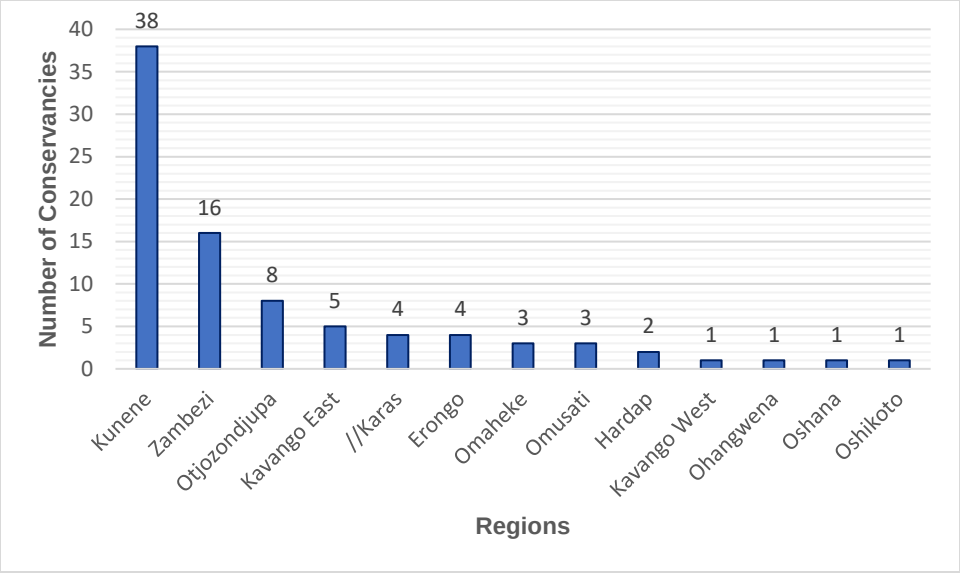


Figure 4.1: Number of registered conservancies per region in Namibia.

The Nyae Nyae (Otjozondjupa Region), Salambala (Zambezi Region), ≠Khoadi-//Hôas and Torra (Kunene Region) are among the first and oldest conservancies to be registered in Namibia, with all the above-mentioned registered in 1998 (Figure 4.2). Four conservancies, namely Maurus Nekaro in Kavango West, Kapinga Kamwalye in Kavango East, Otjikongo, and Otjindjerese in the Kunene Region, are the newly registered conservancies and are not more than three years old, having been registered between 2017 and 2018.

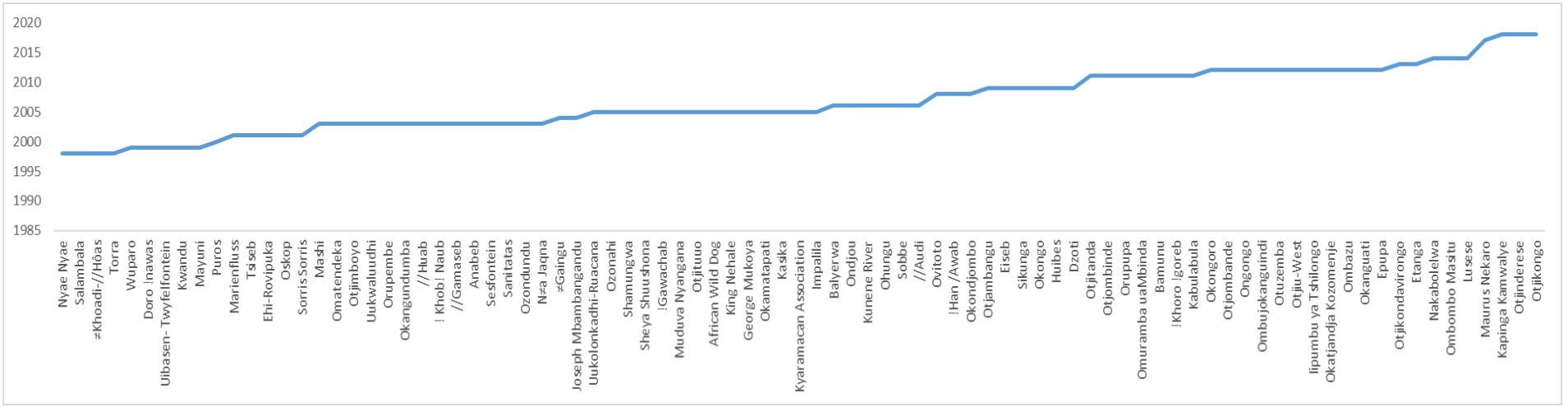


Figure 4.2: Registration period of conservancies in Namibia.

In terms of size, the largest conservancy in Namibia covers a total area of more than 9 000 km^2 while the smallest covers an area of less than 50 km^2. The N≠a Jaqna Conservancy in the Otjozondjupa Region is the largest conservancy, covering a total area of 9 120 km², followed by Nyae Nyae (8 994 km²) and Ondjou (8 729 km²) which are both also in the Otjozondjupa Region. Other conservancies covering an area more than 6 000km^2 are ≠Gaingu in the Erongo Region 7 731 km², Eiseb in the Omaheke Region (6 625 km²) and Otjituuo in the Otjozondjupa Region (6 133 km²). The smallest conservancies in Namibia are Joseph Mbambangandu in the Kavango East Region and Uukolonkadhi-Ruacana in the Omusati Region, each with a total area of 43 km² (Figure 4.3).

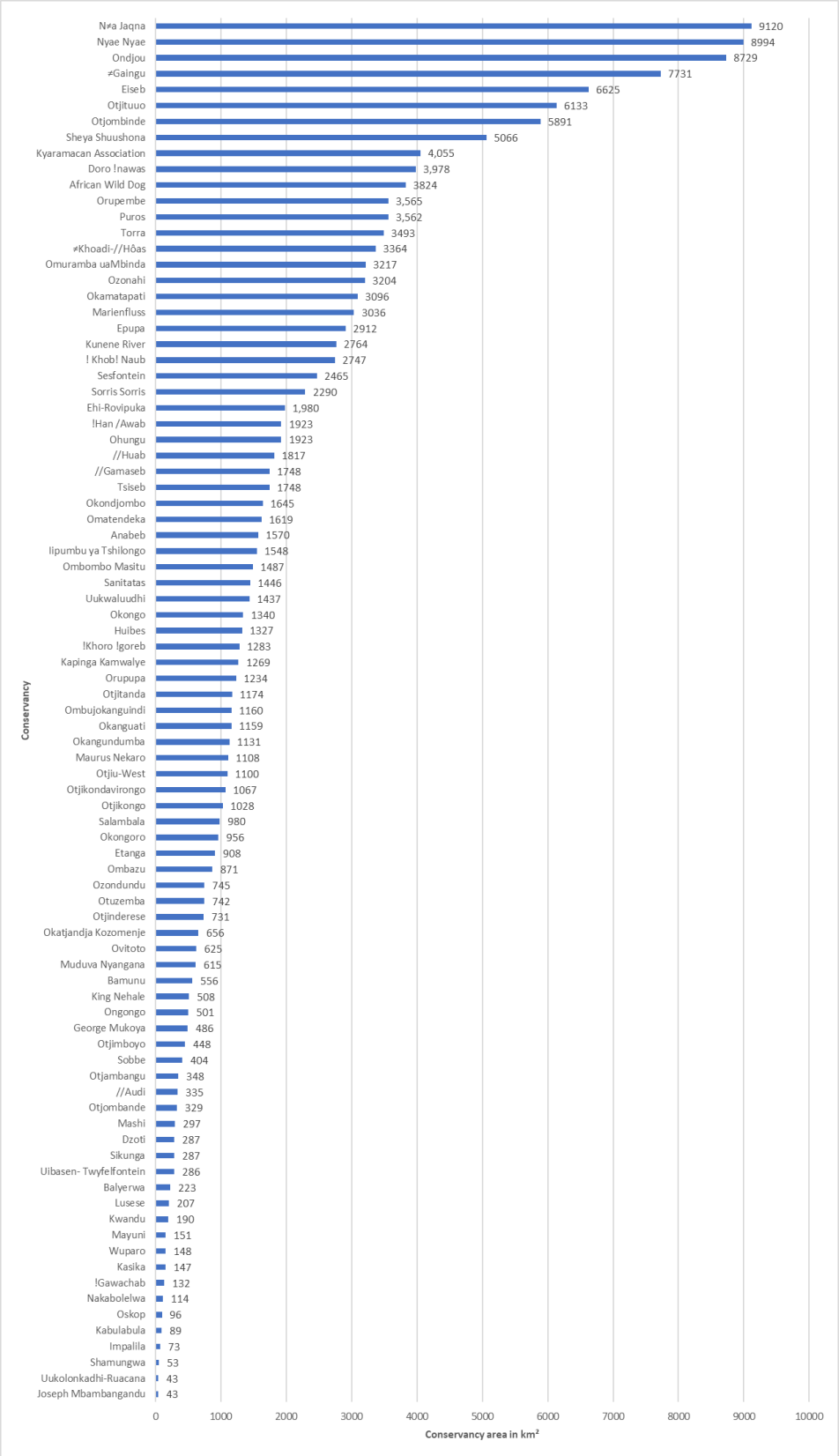


Figure 4.3: Area size of conservancies in km².

Since the first conservancy registration in 1998, the number of registered conservancies in Namibia have increased drastically, from just four conservancies in 1998 to 86 conservancies and one (1) association within a period of 20 years (1998-2018), as presented in Figure 4.4. With the increase in the number of registered conservancies, the total area covered by conservancies countrywide increased from 16 831 km² to 161 742 km² during that same period.

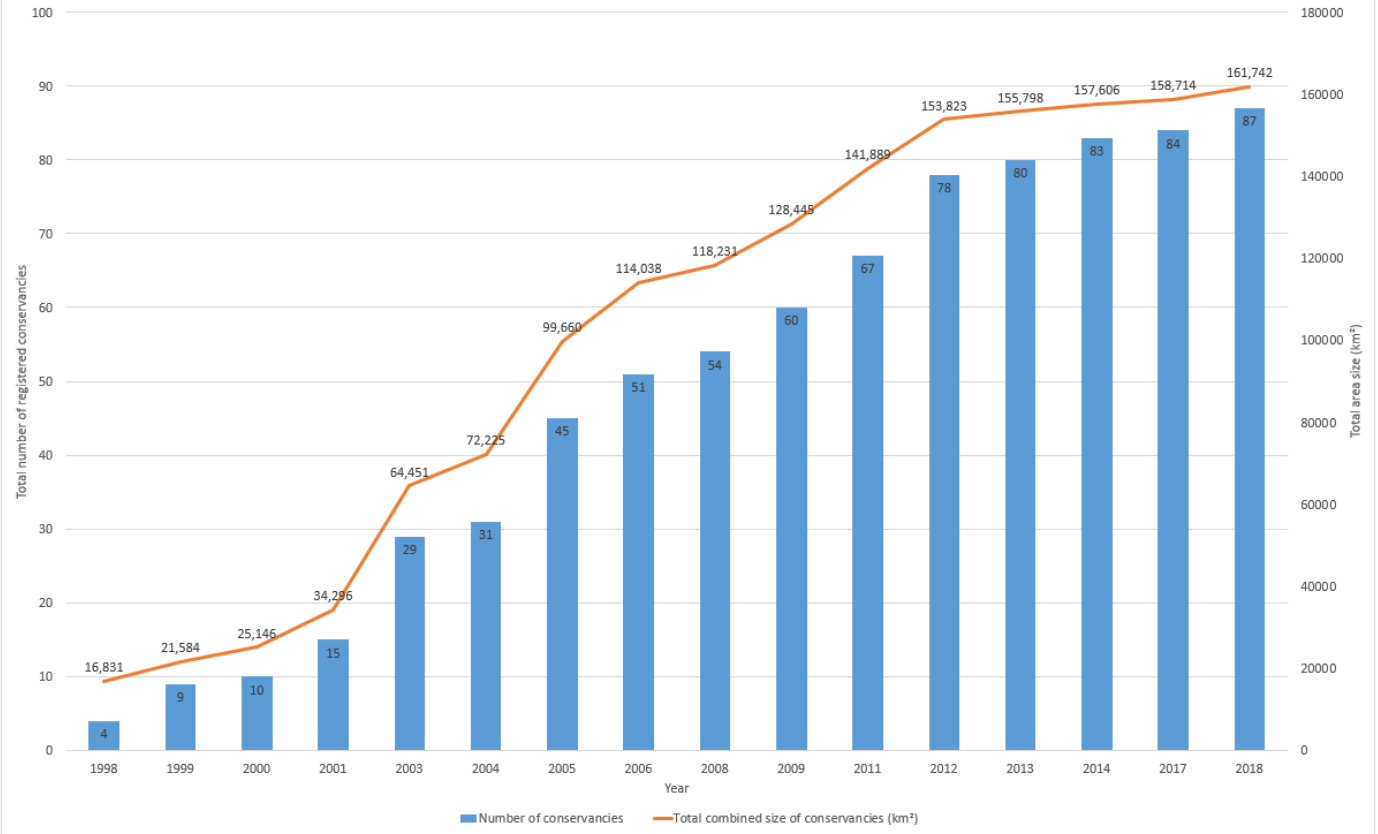


Figure 4.4: Total number of conservancies and total area (km²) covered by conservancies in Namibia from 1998 to 2018.

The total number of people living within the registered conservancies is estimated to be 227 802 (6 526 residents supported by the Kyaramacan Association live in BNP). Uukolonkadhi-Ruacana Conservancy has the highest human population among all the conservancies in Namibia, with a total of 33 534 people, followed by Maurus Nekaro (12 446 people), Ozonahi (11 399 people), Salambala (8 923 people) and Kunene River (6 906 people) as indicated in Figure 4.5. Oskop and Okondjombo are the least populated conservancies, with a total of 75 and 100 people, respectively.

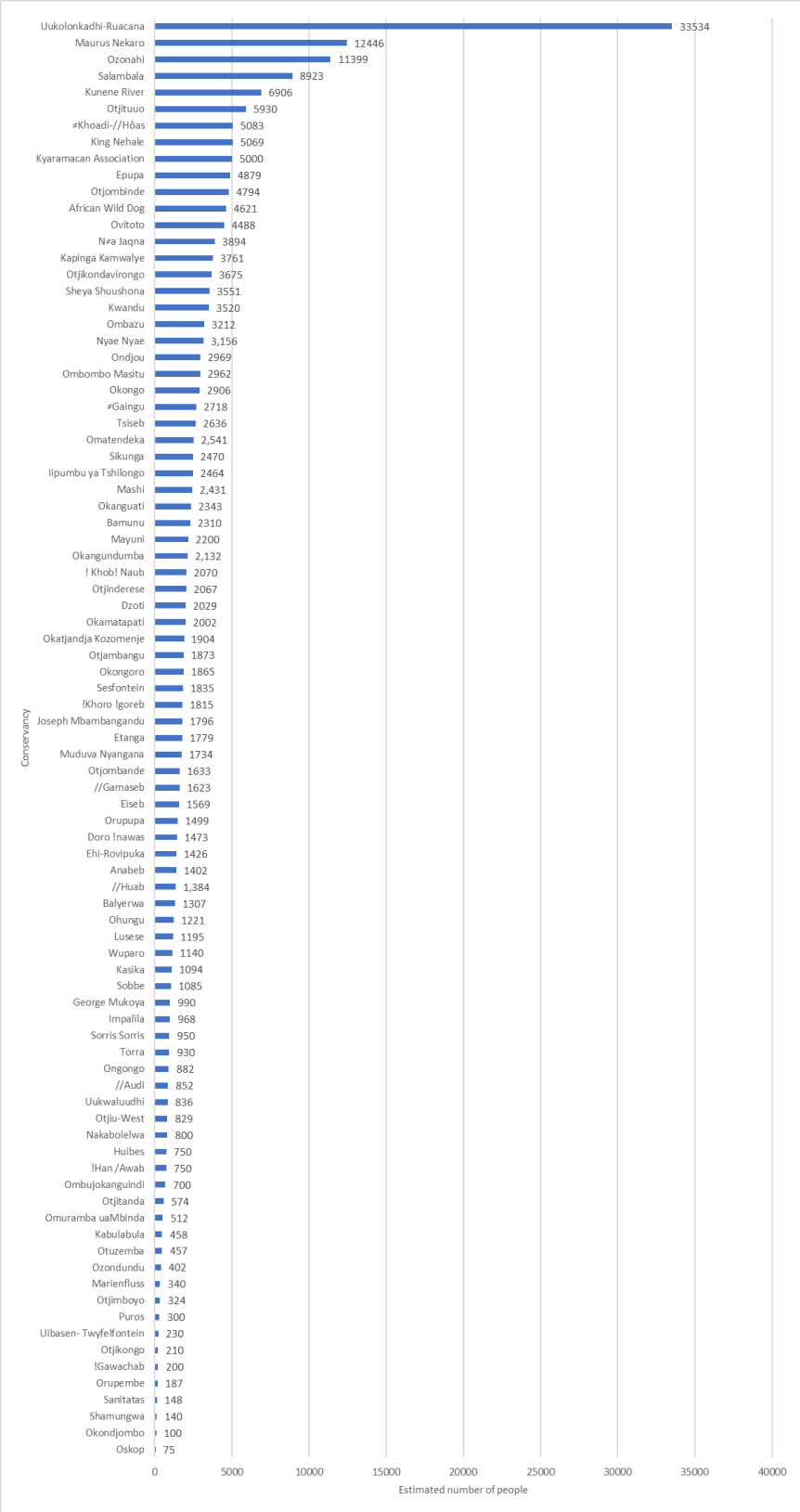


Figure 4.5: Approximate population of conservancies.

On average, a total income of NAD 271,616,013 was generated by conservancies between 2014 and 2019. Tourism and trophy hunting are the main sources of income for many conservancies countrywide, coupled with indigenous natural products (INP), harvesting such items as Devil's Claw and thatch grass (Figure 4.6). Despite the increase in registered conservancies, a total of 36 out of the 86 registered conservancies countrywide do not generate an income, with conservancies in the //Karas, Hardap, Kunene, Otjozondjupa and Erongo Regions being the majority that do not generate an income (Table 4.1). Tourism, trophy hunting and INPs form the biggest income source in Nyae Nyae, N≠a Jaqna, Ondjou, Orupupa, Muduva Nyangana, George Mukoya, Maurus Nekaro, Bamunu conservancies, and the Kyaramacan Association.

Table 4.1: Income sources of conservancies in Namibia.

Conservancy name	Region	Source of income
!Khob! Naub	//Karas	No income
//Gamaseb	//Karas	No income
!Han /Awab	//Karas	No income
!Gawachab	//Karas	No income
Otjimboyo	Erongo	No income
Tsiseb	Erongo	Tourism, trophy hunting
≠Gaingu	Erongo	Tourism, trophy hunting
Ohungu	Erongo	No income
Oskop	Hardap	No income
Huibes	Hardap	No income
Joseph Mbambangandu	Kavango East	No income
Shamungwa	Kavango East	No income
Muduva Nyangana	Kavango East	Trophy hunting, devil's claws
George Mukoya	Kavango East	Trophy hunting, devil's claws
Kapinga Kamwalye	Kavango East	No income
Maurus Nekaro	Kavango West	Trophy hunting, devil's claws
≠Khoadi-//Hôas	Kunene	Tourism, trophy hunting
Torra	Kunene	Tourism, trophy hunting
Doro !nawas	Kunene	Tourism, trophy hunting
Uibasen- Twyfelfontein	Kunene	Tourism
Puros	Kunene	Tourism, trophy hunting
Marienfluss	Kunene	Tourism, trophy hunting
Ehi-Rovipuka	Kunene	Tourism, trophy hunting
Sorris Sorris	Kunene	Tourism, trophy hunting
Omatendeka	Kunene	Trophy hunting
Orupembe	Kunene	Tourism, trophy hunting, Commiphora

Table 4.1: Income sources of conservancies.

Ozondundu	Kunene	Trophy hunting, Hoodia
Okangundumba	Kunene	Tourism, trophy hunting
//Huab	Kunene	Trophy hunting
Anabeb	Kunene	Tourism, trophy hunting
Sesfontein	Kunene	Tourism, trophy hunting
Sanitatas	Kunene	No income
Kunene River	Kunene	Tourism
//Audi	Kunene	No income
Okondjombo	Kunene	No income
Otjambangu	Kunene	Trophy hunting
Otjitanda	Kunene	Trophy hunting
Orupupa	Kunene	Trophy hunting, devil's claws
!Khoro !goreb	Kunene	Trophy hunting
Okongoro	Kunene	No income
Otjombande	Kunene	No income
Ongongo	Kunene	No income
Ombujokanguindi	Kunene	Trophy hunting
Otuzemba	Kunene	Trophy hunting
Otjiu-West	Kunene	No income
Okatjandja Kozomenje	Kunene	No income
Ombazu	Kunene	No income
Okanguati	Kunene	No income
Epupa	Kunene	Tourism, trophy hunting
Otjikondavirongo	Kunene	No income
Etanga	Kunene	No income
Ombombo Masitu	Kunene	No income
Otjinderese	Kunene	No income
Otjikongo	Kunene	No income
Okongo	Ohangwena	No income
Otjombinde	Omaheke	No income
Omuramba uaMbinda	Omaheke	No income
Eiseb	Omaheke	Trophy hunting
Sheya Shuushona	Omusati	Tourism, trophy hunting
Uukolonkadhi-Ruacana	Omusati	Tourism, trophy hunting
Uukwaluudhi	Omusati	Tourism, trophy hunting, crafts
Iipumbu ya Tshilongo	Oshana	No income
King Nehale	Oshikoto	Tourism, trophy hunting
Otjituuo	Otjozondjupa	No income
Nyae Nyae	Otjozondjupa	Tourism, trophy hunting, crafts, devil's claw
African Wild Dog	Otjozondjupa	No income
N≠a Jaqna	Otjozondjupa	Tourism, trophy hunting, devil's claw
Ozonahi	Otjozondjupa	No income
Okamatapati	Otjozondjupa	No income
Ondjou	Otjozondjupa	Trophy hunting, devil's claw
Ovitoto	Otjozondjupa	No income
Salambala	Zambezi	Tourism, trophy hunting
Wuparo	Zambezi	Tourism, trophy hunting
Kwandu	Zambezi	Tourism, trophy hunting
Mayuni	Zambezi	Tourism, trophy hunting

Mashi	Zambezi	Tourism, trophy hunting, crafts, thatch grass
Kasika	Zambezi	Tourism, trophy hunting
Balyerwa	Zambezi	Tourism, trophy hunting
Impalila	Zambezi	Tourism, trophy hunting
Sikunga	Zambezi	Trophy hunting
Sobbe	Zambezi	Trophy hunting, crafts
Dzoti	Zambezi	Tourism, trophy hunting
Bamunu	Zambezi	Trophy hunting, devil's claws
Nakabolelwa	Zambezi	No income
Lusese	Zambezi	Trophy hunting
Kyaramacan Association	Zambezi and Kavango East	Tourism, trophy hunting, devil's claw

Figure 4.6: Devils Claw drying in Nyae Nyae**. Source**: Jones, 2004b.

Hoodia and *Commiphora* are the biggest sources of income for Ozondundu conservancy and Orupembe conservancy, respectively. Thatch grass in Nyae Nyae and Mashi conservancies also serves as a major income source. Moreover, conservancies such as Nyae Nyae, Mashi, Uukwaluudhi and Sobbe also derive income from crafts.

4.3. Establish and Determine the Conservancies' Performance and the Level of Compliance with the SOPs

4.3.1. Compliance of conservancies with the SOP requirements

The Ministry of Environment, Forestry and Tourism introduced Guidelines for Management of Conservancies and SOPs in 2014. According to the SOPs, conservancies are obliged to do the following: (1) Hold an AGM, in line with their

Constitutions; (2) Conduct elections for management committee members, in line with their respective Constitutions; (3) Distribute benefits to members, in line with their respective benefits distribution plans and procedures; (4) Produce annual financial reports to account for financial resources; and (5) Manage Wildlife in accordance with their respective GMUPs, and submit game utilisation reports. These requirements are aimed at enforcing accountability among conservancies and associations among their members, government and supporting agencies, as to how resources are accounted for and utilised.

To establish the level of compliance of individual conservancies with the above requirements, a score of two points was assigned to every requirement target being met. The highest score a conservancy can achieve for meeting all SOPs in a single year is 10 points, while the lowest is zero. Therefore, for the period 2014-2019 (6 years) the highest points a conservancy can score is 60 points (10 points per year if the conservancy is fully compliant) per SOP category. As can be observed in Figure 4.7, George Mukoya and Muduva Nyangana conservancies (Kavango East Region), Ehirovipuka, Marienfluss and Torra (Kunene Region), Balyerwa, Dzoti, Kabulabula, Salambala, Sobbe and Wuparo (Zambezi Region) and Nyae Nyae Conservancy (Otjozondjupa Region) yielded the highest average compliance from 2014 to 2019, while Eiseb and Otjombinde (Omaheke Region), Okamatapati, Otjituuo, Ozonahi and Ovitoto (Otjozondjupa Region) and Shamungwa (Kavango East Region) yielded the lowest average compliance over the period considered. However, Maurus Nekaro, Kapinga Kamwalye, Otjikongo and Otjindjerese were only assessed for the period 2017 and 2018, respectively, as they had only been registered then, hence they are exceptions to the rest of the conservancies.

The highest average of all conservancies meeting compliance level was recorded in 2017 and 2019, with a score of 738 and 760, respectively. The period with the least average compliance was year 2014, recording a score of 621 (Figure 4.8).

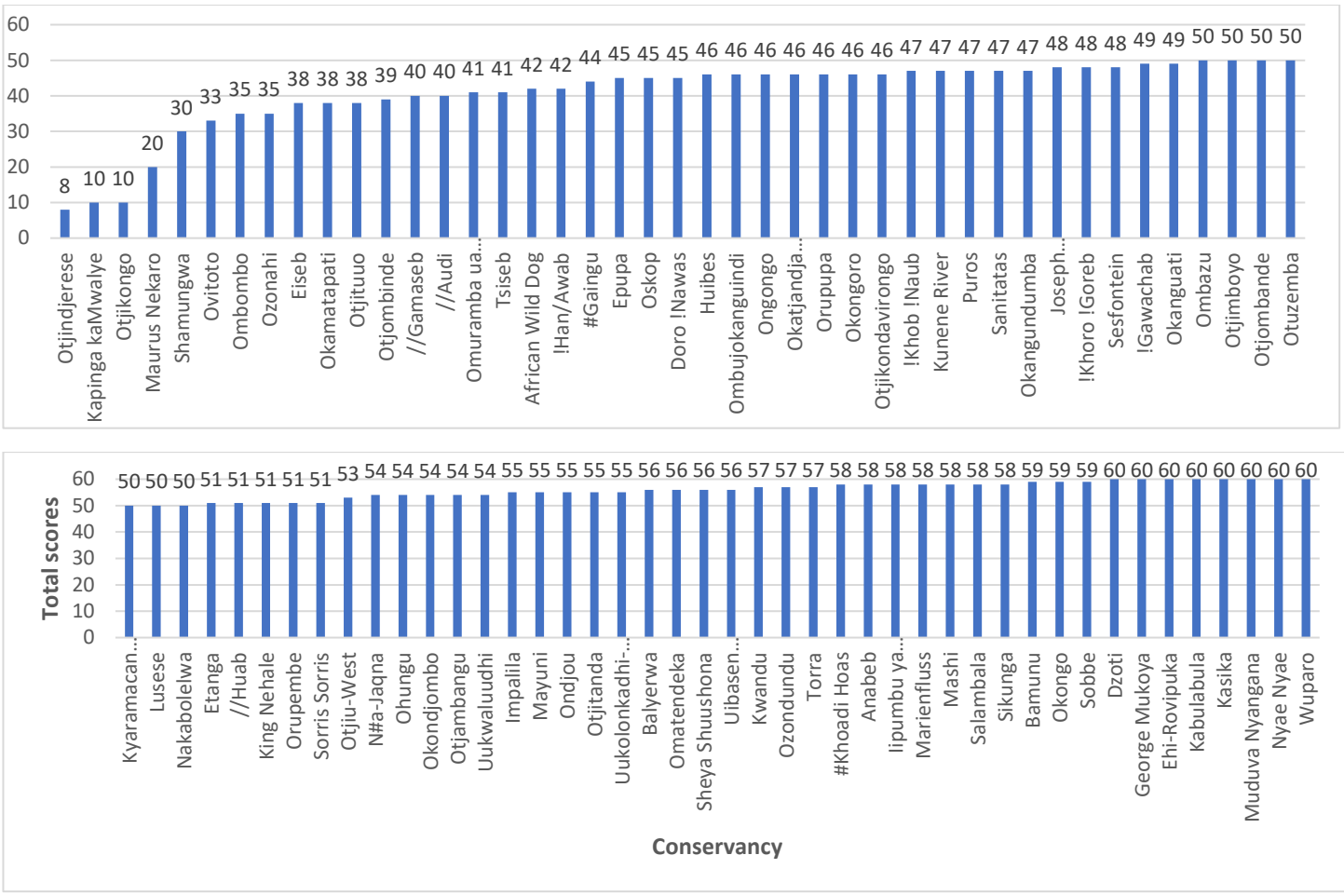


Figure 4.7: Average compliance of conservancies with the SOP requirements from 2014-2019.

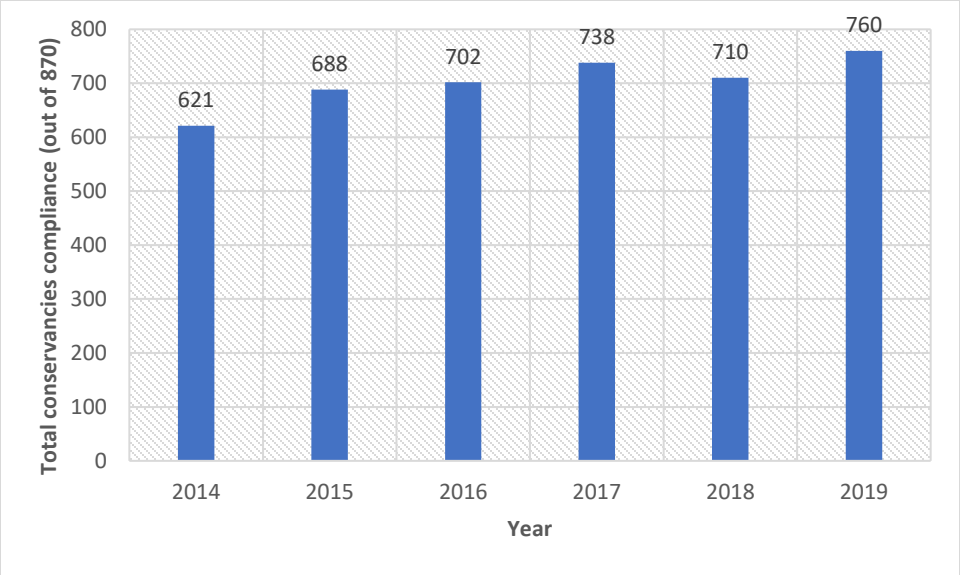


Figure 4.8: Average annual rate of conservancies' compliance between 2014 and 2019.

To establish whether there was a significant difference between different conservancies being compliant with SOPs, a Kruskal-Wallis statistical test was performed. The result shows that there was a significant difference (*p 0.0003887<0.05*) in terms of compliance between conservancies, for the period assessed. This suggests that while some conservancies such as George Mukoya and Ehirovipuka performed well in terms of compliance, adhering to good governance standards as established by MEFT, others, such as Ovitoto and Ozonahi, failed to meet compliance over the assessed time period.

4.3.2. Conservancies' compliance with the SOP requirements per region

In terms of SOP compliance at regional level, Ohangwena, Omusati, Oshana and Zambezi regions had a relatively higher average compliance, compared to the rest of the regions. Ohangwena region had the highest SOP compliance, followed by Oshana region. Omaheke region had the least compliance, followed by Otjozondjupa region (Figure 4.9).

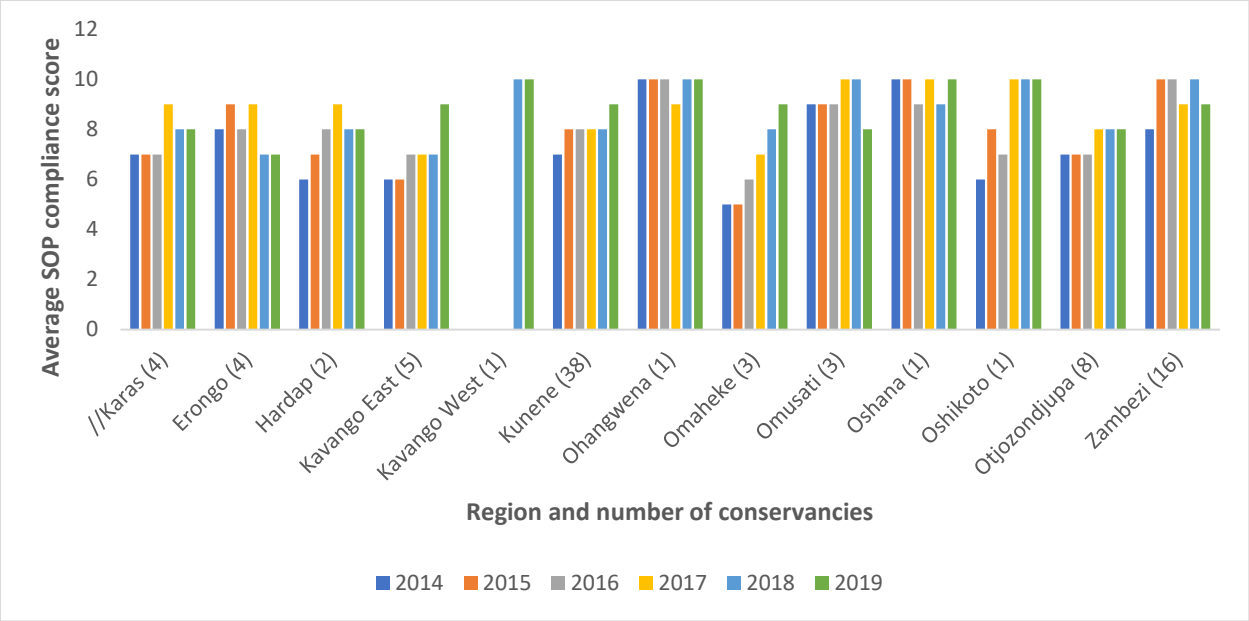


Figure 4.9: Conservancies' compliance with the SOP requirements per region from 2014 to 2019.

To establish whether there was a statistically significant difference in terms of compliance between regions, a One-Way ANOVA test was performed. Results shows that there was no significant difference in compliance between conservancies per region: *p 0.1523 > 0.05*.

4.4. Results of the Four Conservancies Case Studies for Further Investigation

4.4.1. Nyae Nyae Conservancy

Background

The conservancy is among the first four communal conservancies gazetted by MEFT in February 1998, and is located in the Otjozondjupa region, the central north-east part of Namibia, in former 'Bushmanland'. Nyae Nyae Conservancy lies south of Khaudum National Park and west of Botswana, as indicated in Figure 4.10. It covers an area of 8 992 km² with a population of about 3 156 residents of which the majority are San or Bushman (MET/NACSO, 2020). With the advent of the conservancy, the members were

empowered to generate an income from conservation hunting, various crafts and Devil's Claw harvesting. The conservancy is managed by a Conservancy Board of six women and 13 men, a management committee of six members, a staff of ten community rangers, a CBNRM field officer, a project manager, and a public relations manager who implements the conservancy activities. However, the Nyae Nyae Development Foundation of Namibia (NNDFN) and MEFT are the main supporting partners for the Nyae Nyae Conservancy (Koot & Van Beek, 2017).

Geographical features include a mix of broad-leafed and acacia woodlands around a series of large pans that fill after good rains. The Aha Hills in the east are prominent in the flat landscape. Lion, reedbuck, buffalo, elephant, leopard, roan, cheetah, wild dog, hartebeest, kudu, duiker, warthog, steenbok, gemsbok, springbok, blue wildebeest, eland and giraffe are some of the wildlife found within the conservancy area. Hunting was traditionally done sustainably by San people, and under MEFT quota system, sustainable conservation hunting in the conservancy is carried out via a concession contract.

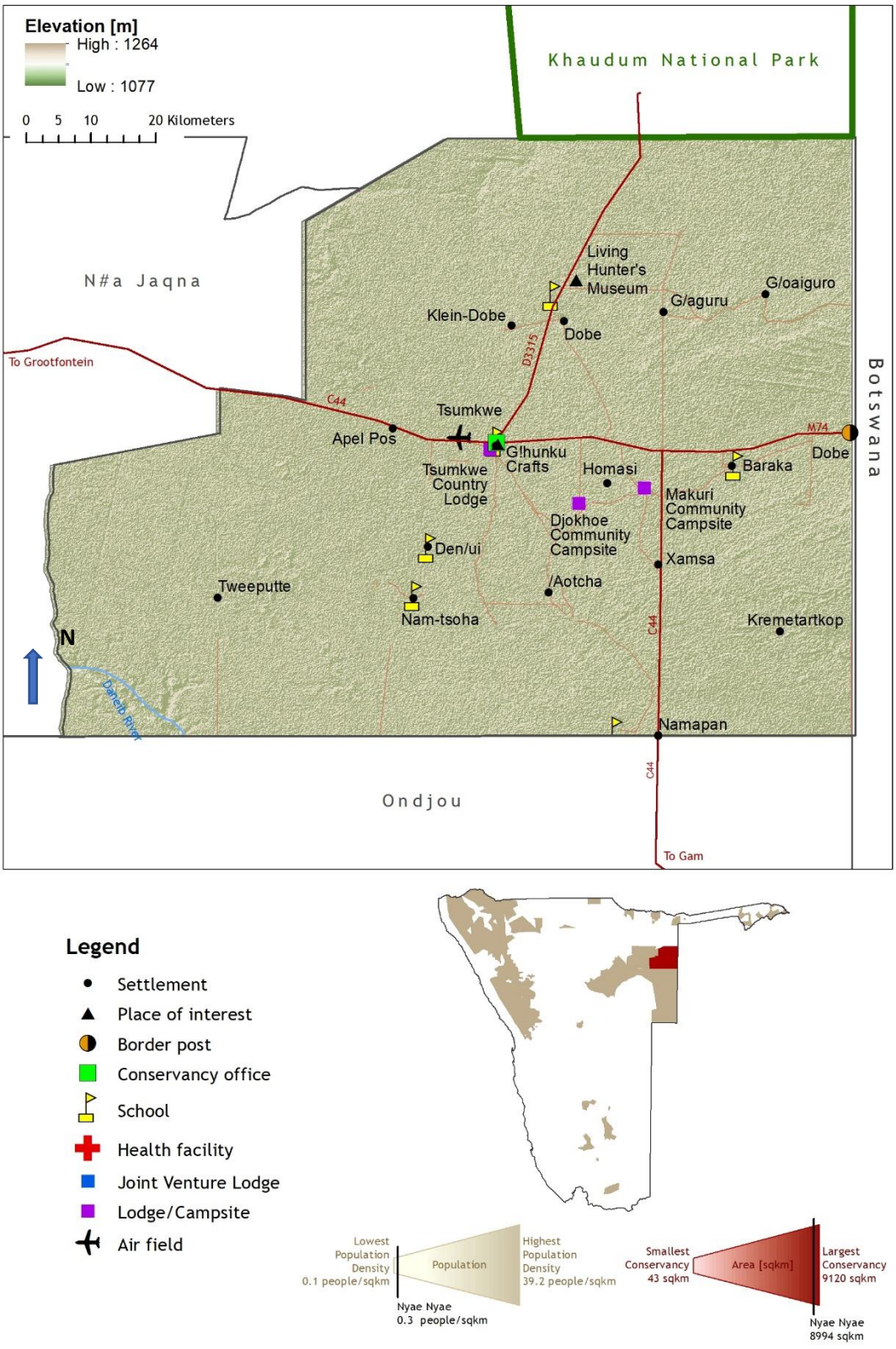


Figure 4.10: Map of Nyae Nyae Conservancy. **Source**: Adapted from NACSO, 2017.

Issue 1: What are your conservancy sources of income?

Most of the people who participated in the interview responded with multiple answers to this question. Seventy-one percent (71%) of respondents indicated that the conservancy generates income from trophy hunting, forty-three percent (43%) responded that the conservancy generates income from tourism, and fourteen percent (14%) indicated INPs as indicated in Figure 4.11, below. A low number of people (7%) replied that the conservancy does not generate any income.

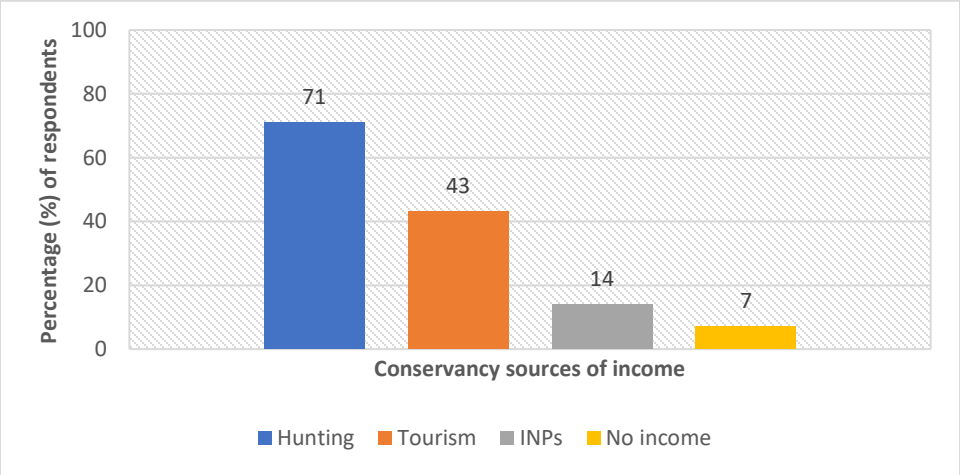


Figure 4.11: Conservancy sources of income.

Issue 2: AGM held
Was the conservancy AGM held between 2014 and 2019?

Fifty percent (50%) of the respondents interviewed indicated that the AGM was held in 2014, 2016 and 2018, while one percent (1%) in 2015, sixty-three percent (63%) in 2017 and seventy-five percent (75%) replied that the AGM was held in 2019, as shown in Figure 4.12.

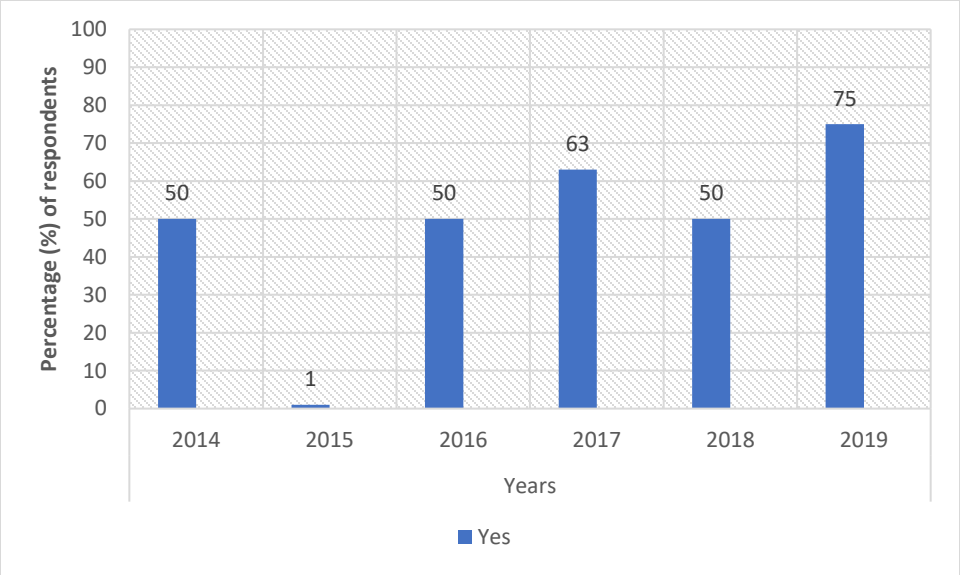


Figure 4.12: Conservancies' success with holding AGMs.

Why was the AGM not held?

A low percentage (less than 50% each year) responded that the AGMs were not held, except for a high percentage (99%) in 2015. When asked to elaborate on the reasons for not holding AGMs, failure in logistical arrangements, lack of funds, failure to give notice, and a quorum were mentioned as reasons why AGMs were not held.

Issue 3: Conservancy Management Committee elections

What is the tenure of the CMC?

Sixty-seven percent (67%) of respondents indicated that the CMC tenure of office is three years. Five percent (5%) of respondents indicated one year, while 28% indicated three years as the tenure period of the CMC, as indicated in Figure 4.13.

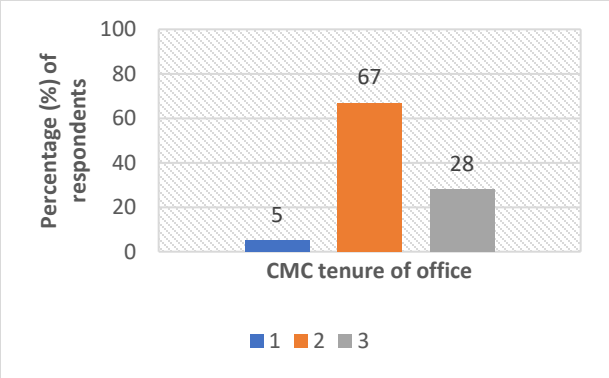


Figure 4.13: CMC's tenure of office.

Were the CMC elections required by the Constitution and held between 2014 and 2019?

More than fifty percent (50%) of respondents indicated that the CMC elections were required by the Constitution in 2015 (59%), 2016 (63%), 2017 (59%), 2018 (63%) and 2019 (71%). Only fifty percent (50%) replied that CMC elections were not required in 2014, as shown in Figure 4.14.

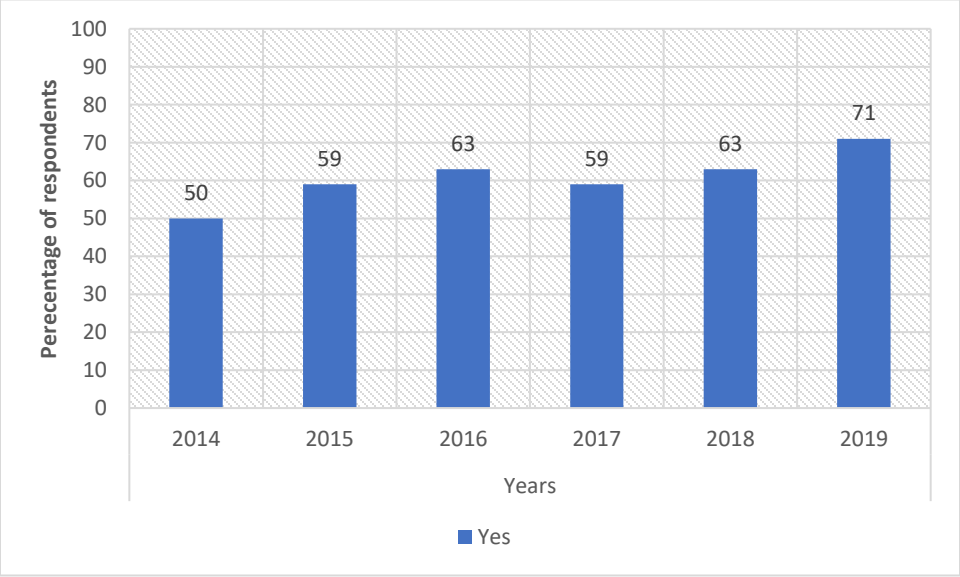


Figure 4.14: Conservancy election requirements and held as per Constitutions.

Why were the elections not conducted?

The majority of the respondents (74%) indicated that they did not have any comment as to why the elections were not held. Thirteen percent (13%) indicated that the AGM was not held, and therefore there was no election of the CMC. Others gave lack of funds as a reason why the election of the CMC was not held.

Issue 4: Benefit Distribution Plan

Were benefits distributed between 2014 and 2019?

All the respondents (100%) indicated that benefits were distributed to the members between 2014 and 2019.

Types of benefits distributed between 2014 and 2019

Respondents were given multiple options/choices to select, in terms of types of benefits distributed. Ninety-two percent (92%) of people interviewed indicated cash handouts as the main type of benefits distributed to members. Seventy-one percent (71%) of members responded that meat was one of the benefits distributed, while 8% believed that community development projects also benefited the members, as indicated in Figure 4.15. Funeral assistance and scholarships were also some of the benefits that 13% of the responded believed were distributed to members.

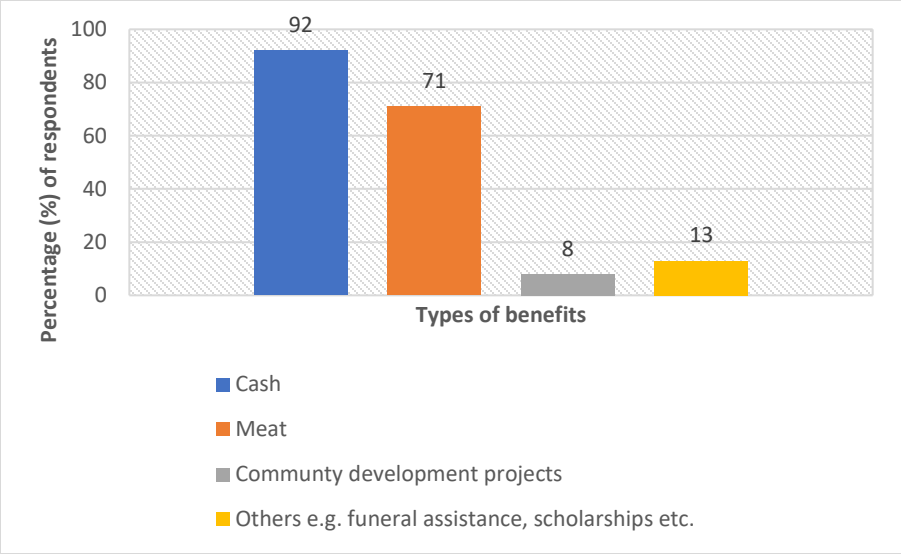


Figure 4.15: Types of benefits distributed.

Were the benefits distributed as per the BDP and procedures?

The majority of the respondents (96%) indicated that they were satisfied with the way in which the benefits were distributed, because it was as per the plan and procedures approved by the members. Only 4% indicated that the benefits were not distributed as per the plan and procedures. Some respondents also indicated that the lack of income was the reason why benefits were not distributed as per the plan and procedures.

Issue 5: Game Management and Utilisation Plan

Did the conservancy implement the Event Book System to manage its wildlife according to the GMUP between 2014 and 2019?

More than seventy percent (70%) of the respondents indicated that the conservancy has implemented the Event Book System according to the GMUP in 2014, 2015, 2016, 2017 and 2019, as indicated in Figure 4.16. The respondents stated that monitoring of wildlife by community game guards was done by conducting regular patrols, annual game counts as well as utilisation of wildlife. A low percentage of respondents indicated that the Event

Book System was not implemented as per the GMUP, because the CMC failed to ensure that the activities were implemented in 2018.

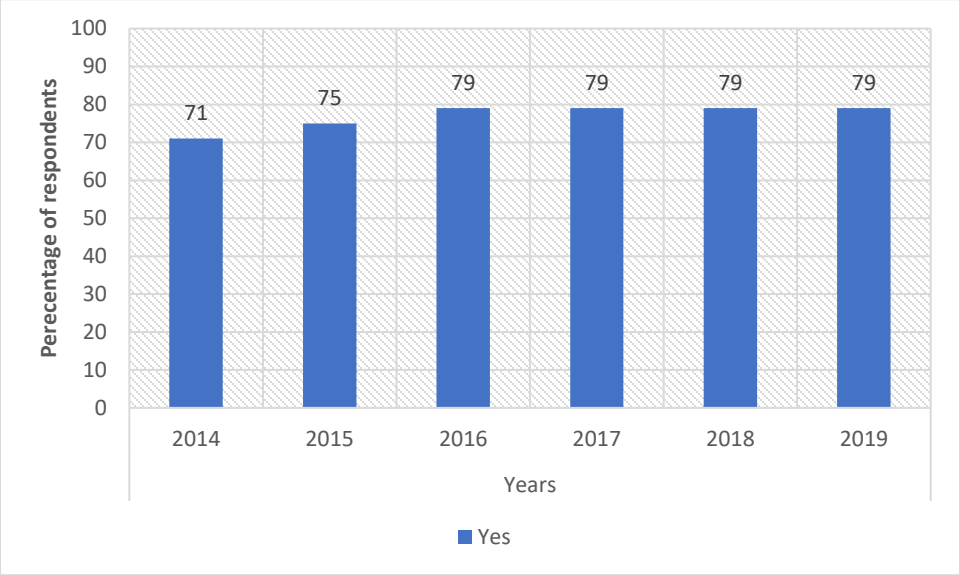


Figure 4.16: Conservancy success with implementing the Event Book System.

Did the conservancy follow the zonation plan between 2014 and 2019?

The majority of respondents (above 70%) stated that the conservancy zonation plan was followed (Figure 4.17). The respondents who indicated that the zonation plan was not followed, stated poor management by the CMC as the reason.

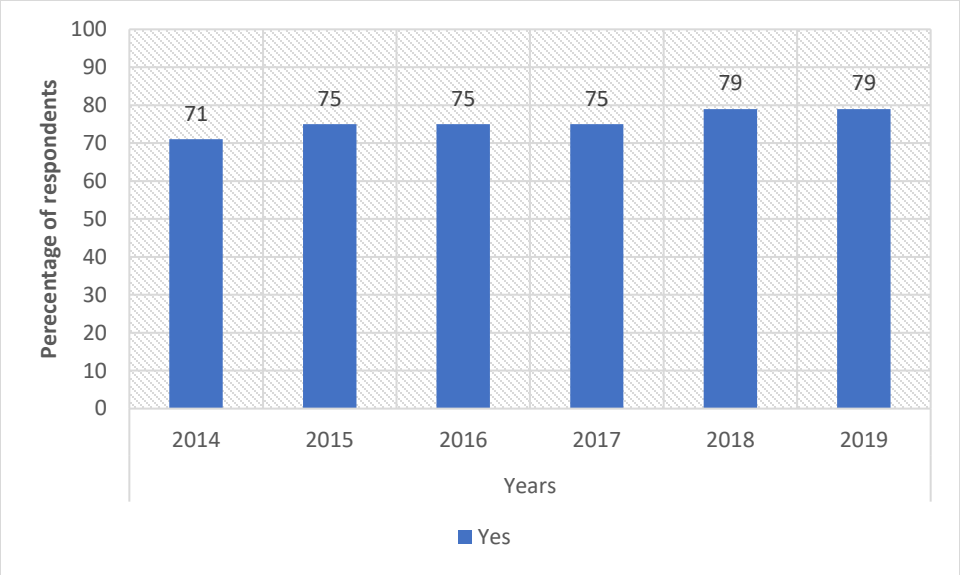


Figure 4.17: Conservancy success with following their zonation plans.

Did the conservancy submit the wildlife utilisation report?

The majority of the respondents indicated that the conservancy submitted the utilisation reports in 2014 (63%), 2015 (67%), 2016 (71%), 2017 (83%) and 2018 (83%), as shown in Figure 4.18. However, 95% of the respondents indicated that the utilisation report was not submitted in 2019, lack of funds being given as the reason.

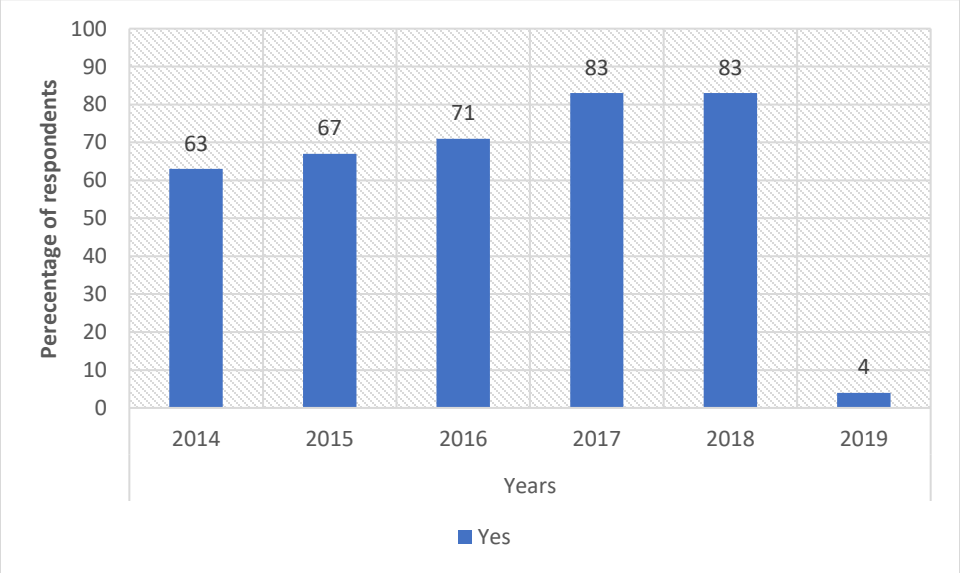


Figure 4.18: Conservancies' success with submitting wildlife utilisation reports.

Issue 6: Annual Financial Statements

Has the CMC produced annual financial reports between 2014 and 2019?

The majority of respondents indicated that the CMCs produced annual financial reports in 2014 (67%), 2015 (75%), 2016 (75%), 2017 (79%), 2018 (79%) and 2019 (79%), as illustrated in Figure 4.19. Respondents who indicated that no financial reports were produced, stated that the CMCs failed to prepare the reports.

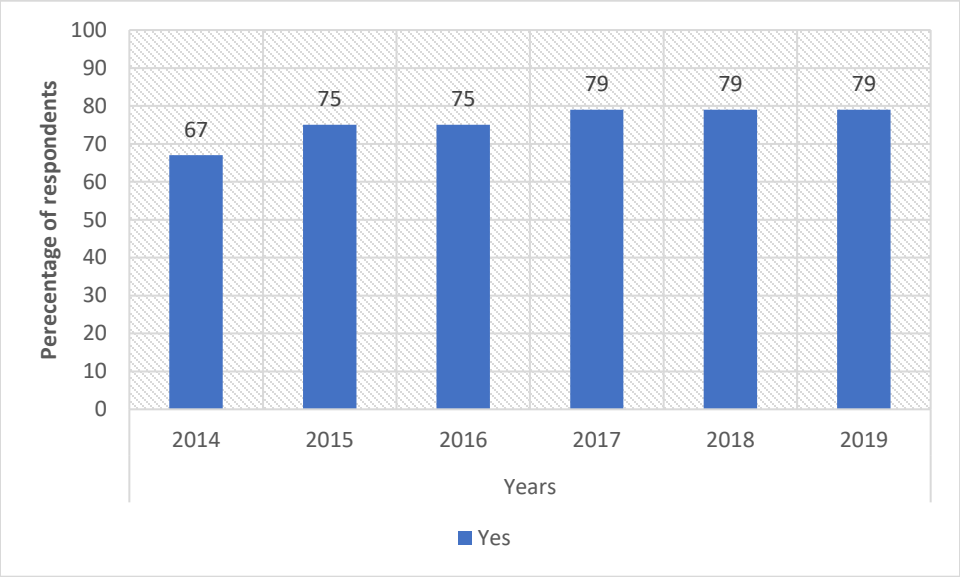


Figure 4.19: Conservancy success with producing annual financial statements.

Issue 7: Did you apply any remedies to enforce compliance with SOPs?

As indicated in Figure 4.20, forty-one percent (41%) of the respondents indicated that the conservancy did apply remedies to enforce compliance, such as building capacity of the CMC and raising awareness among the members. However, 54% of the people interviewed responded that there were no remedies applied to enforce compliance by the conservancy CMC.

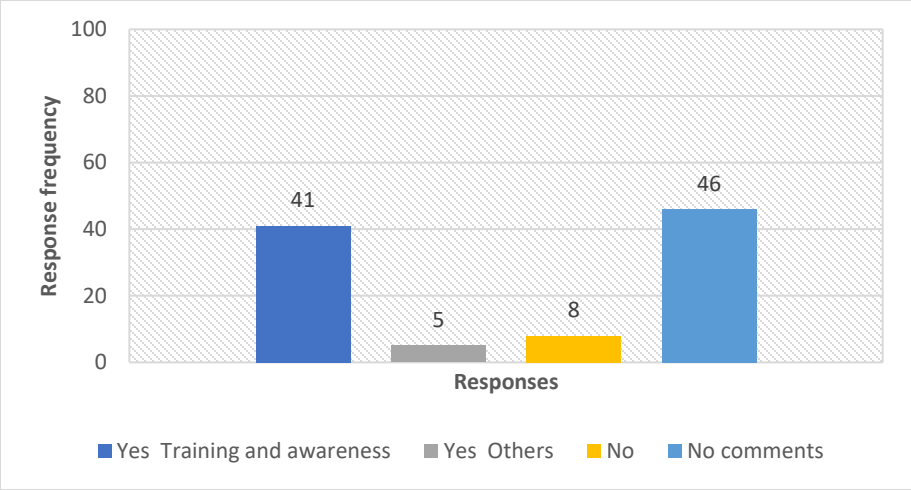


Figure 4.20: Conservancy success with applying remedies to enforce compliance**.**

As per the results presented for this case study, the majority of respondents believed that the conservancy complied with, and adhered to, the SOP, as they believed that the conservancy met most of the requirements for the reporting period.

Most of the requirements were adhered to consistently in the opinion of the respondents; however, where the requirements were not applied, the major reasons provided by the interviewees were mainly failure to hold AGMs, logistical arrangements, and, to an extent, lack of funds. The results of the second case study, Ehirovipuka, is discussed next.

4.4.2. Ehirovipuka

Background

Ehirovipuka Conservancy was registered in January 2001, and is located within the communal area in the north-western part of Namibia, Kunene region. The conservancy shares borders with Etosha National Park (ENP) on the east (see Figure 4.21). It covers an area of 1 980 km², with approximately 1 426 inhabitants, most of whom are Otjiherero speaking people mainly of the Ovahimba origin. Land use practice in this conservancy mainly focuses on traditional livestock husbandry, with limited crop farming (MET/NACSO, 2020; Lendelvo & Nakanyala, 2012). The conservancy is run by a management committee of ten members, who represent different areas within the

conservancy, to ensure equal representation of all members. Seven employees – five community game guards, one field officer and a community mobiliser – are employed full-time and paid by the conservancy. Integrated Rural Development and Nature Conservation (IRDNC) and MEFT are the main supporting partners for the conservancy.

The vegetation in Ehirovipuka Conservancy forms part of the western Kalahari woodlands. The area is dominated by Mopane (*Colophospermum mopane*) shrubs and trees (Mendelsohn *et al*., 2002). The conservancy also maintains a large wildlife population, notably elephant, leopard, lion, cheetah, eland, kudu, duiker, warthog, steenbok, oryx, giraffe, springbok, ostrich and mountain zebra, since wildlife move from the ENP to the conservancy – which is a wildlife dispersal area (and repopulates the conservancy). The wildlife moves from the park to the conservancy, and increases the animal populations, but increasingly causes human-wildlife conflict. The income is mainly generated through tourism, conservation hunting, craft production and live sales of wildlife. The climate is classified as semi-arid, with rain falling mainly in the summer months (December to March) when the temperature is at its highest. The rainfall ranges from 250 mm (in the west) to 300 mm (in the east) (Lendelvo & Nakanyala, 2012; Mendelsohn *et al*., 2002).

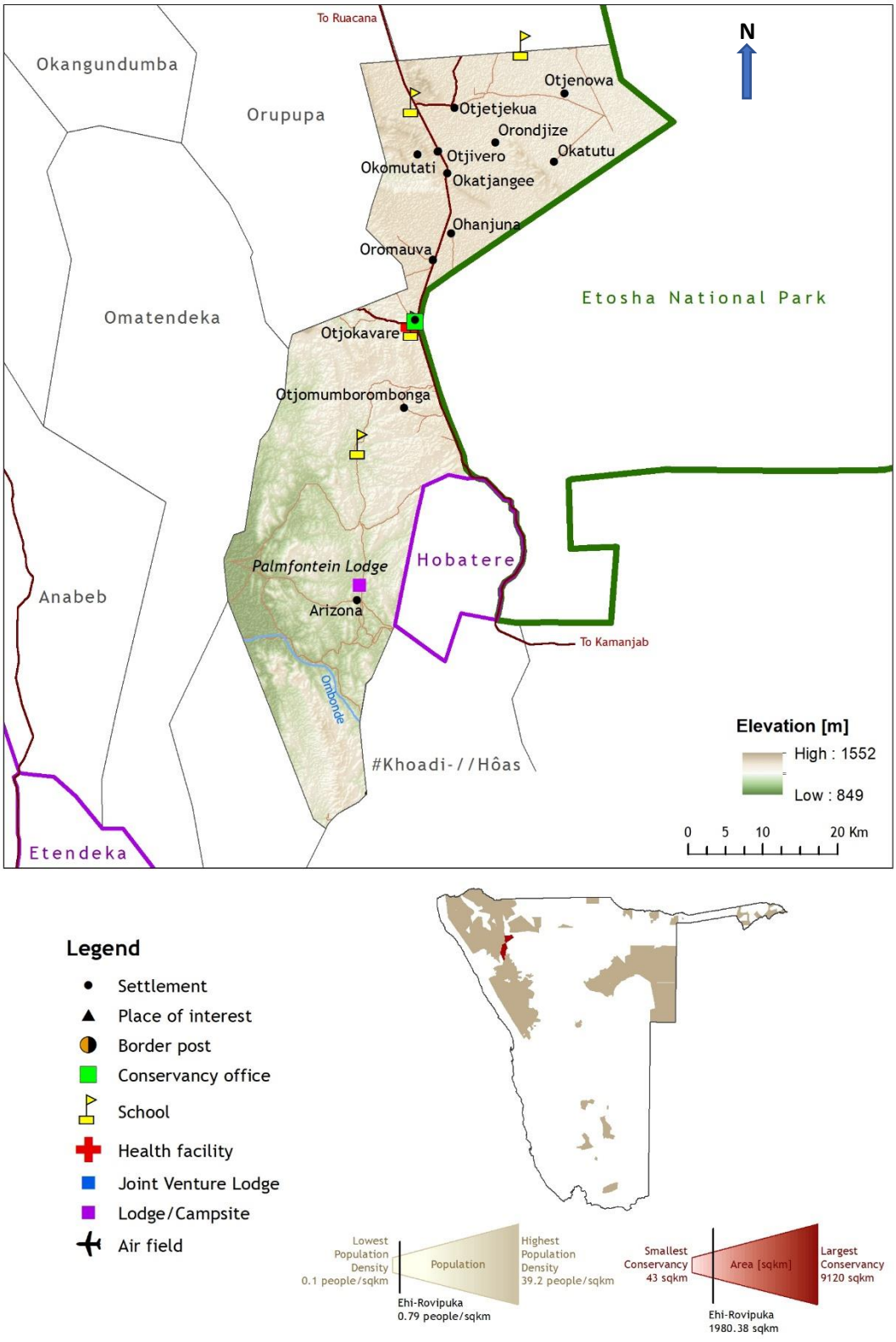


Figure 4.21: Map of Ehirovipuka conservancy. **Source**: Adapted from NACSO, 2017).

Issue 1: What are your conservancy sources of income?

The majority of the respondents (60%) indicated that the main source of conservancy income is from conservation hunting, followed by tourism (29%) and lastly, INPs (12%) as illustrated in Figure 4.22.

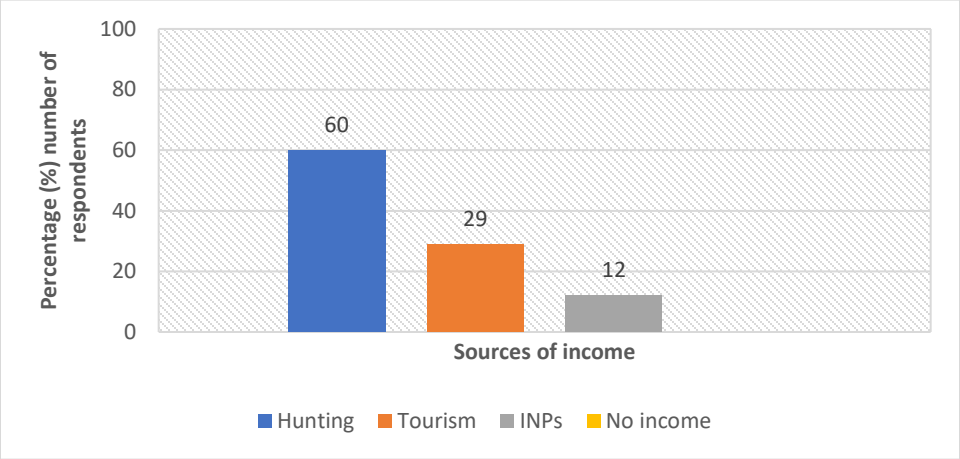


Figure 4.22: Conservancy sources of income.

Issue 2: AGM held

Was the conservancy AGM held between 2014 and 2019?

All the respondents (100%) indicated that the conservancy managed to hold the AGMs from 2014 to 2019, as shown in Figure 4.23. This shows that the members are engaged in the conservancy activities by the CMC, as they seem to know the conservancy.

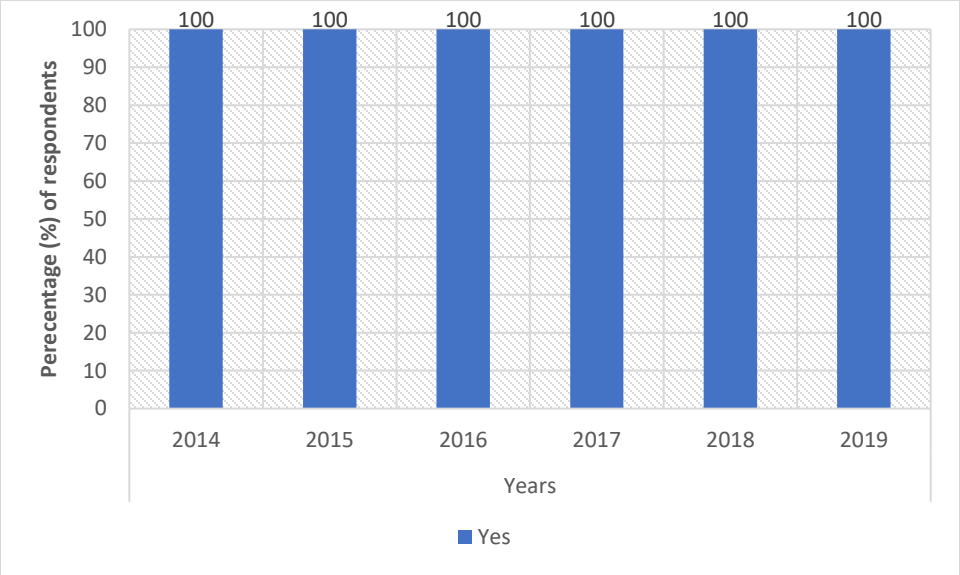


Figure 4.23: Conservancies' success with holding AGMs.

Why was the AGM not held?

No respondents indicated that the conservancy has not held the AGMs.

Issue 3: Conservancy Management Committee elections

What is the tenure of the CMC?

All the respondents (100%) indicated that the tenure of office for the CMC is three years, as shown in Figure 4.24.

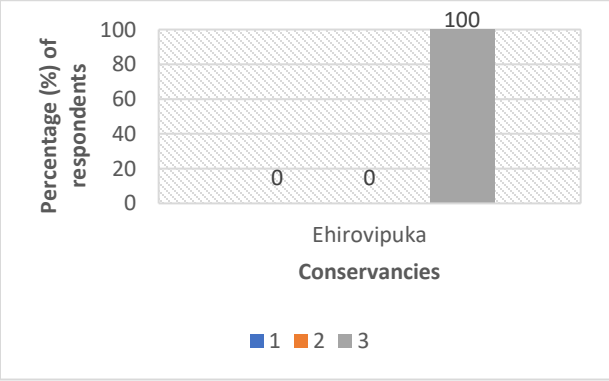


Figure 4.24: CMC's tenure of office.

Were the CMC elections required by the Constitution and held between 2014 and 2019?

All the respondents (100%) indicated that CMC elections were required and held in 2014 and 2017. As per the Constitution, the conservancy CMC elections are required every three years, as indicated by most respondents that they were held in 2014 and 2017. Only five percent (5%) of the respondents believed that the CMC elections were required, and in 2015, 2016, 2018 and 2019 as indicated in Figure 4.25.

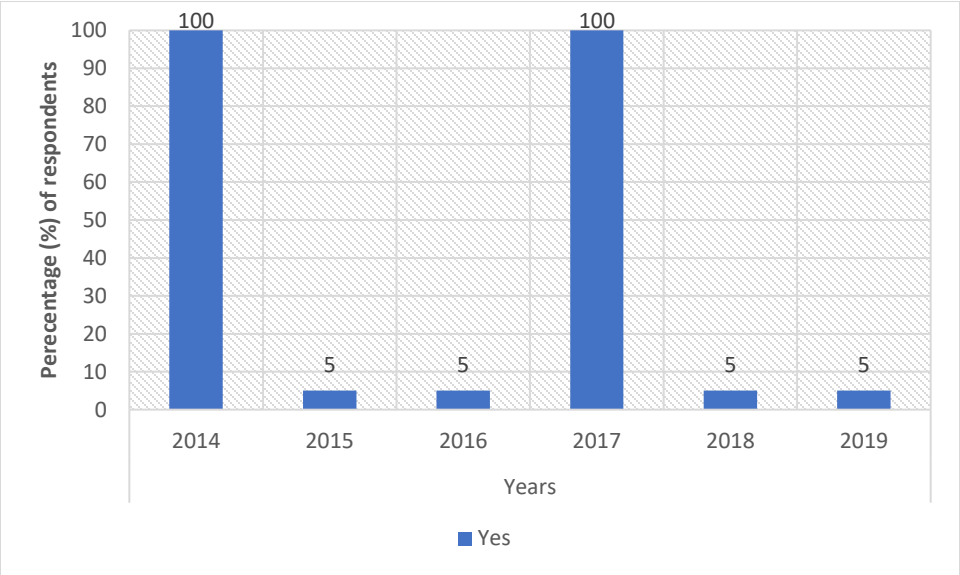


Figure 4.25: Conservancy election requirements and held as per Constitutions**.**

Why were the elections not conducted?

No reasons were given by the respondents, who indicated that the CMC elections were not required, and were held in 2015, 2016, 2018 and 2019.

Issue 4: Benefit Distribution Plan

Were benefits distributed between 2014 and 2019?

There was general consensus (100%) among the members interviewed, that benefits were distributed to the conservancy members between 2014 and 2018. Only 5% of the respondents believed that there were no benefits distributed to members in 2019.

Types of benefits distributed between 2014 and 2019

All the people (100%) interviewed indicated that meat was distributed to members as benefits. Some indicated that cash (91%), community development projects (91%), as well as other benefits such as scholarships and funeral support (43%), were given to members, as indicated in Figure 4.26. Most of the people interviewed gave multiple answers in terms of the benefits distributed to members.

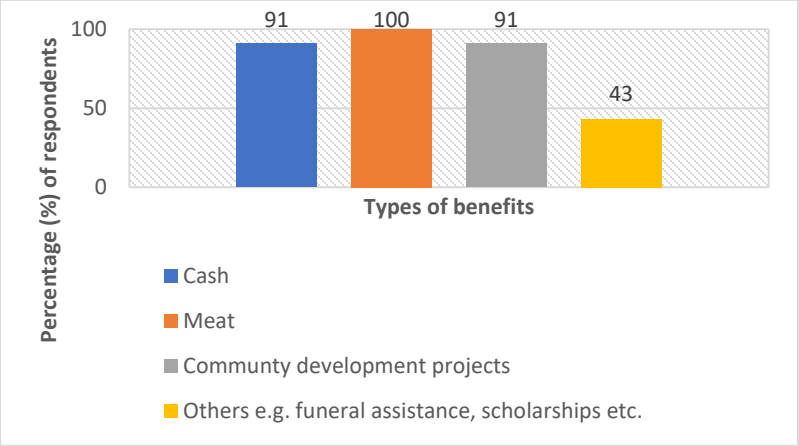


Figure 4.26: Types of benefits distributed.

Were the benefits distributed as per the BDP and procedures?

The majority of the respondents (100%) indicated that they were satisfied with the way in which the benefits were distributed, because it was as per the plan and procedures approved by the members.

Issue 5: Game Management and Utilisation Plan

Did the conservancy implement the Event Book System to manage its wildlife according to the GMUP between 2014 and 2019?

All the people (100%) interviewed believed that the conservancy implemented the Event Book System and managed its wildlife according to the approved GMUP, as indicated in Figure 4.27.

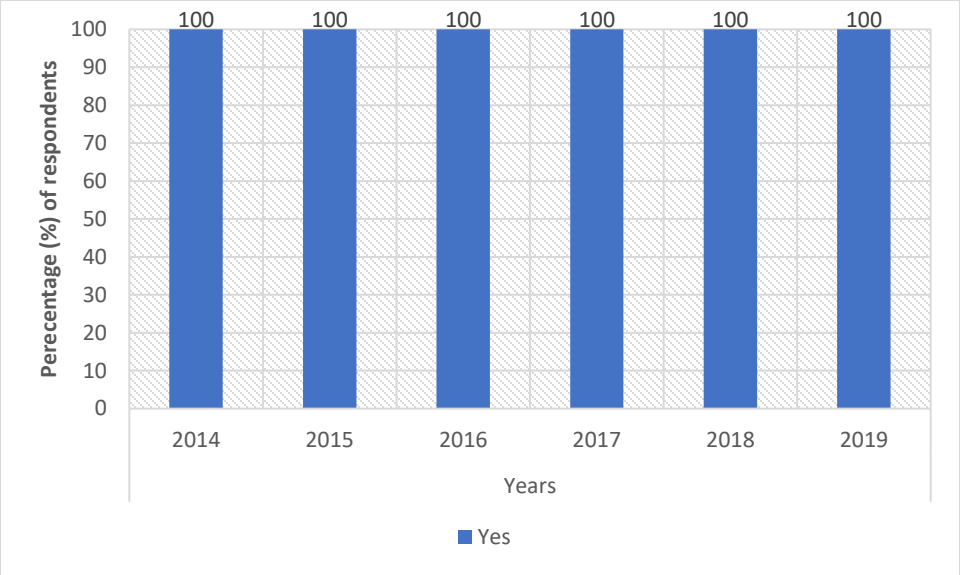


Figure 4.27: Conservancy success with implementing the Event Book System.

Did the conservancy follow the zonation plan between 2014 and 2019?

All the respondents (100%) stated that the conservancy zonation plan was followed as approved in the plan by the members, as shown in Figure 4.28.

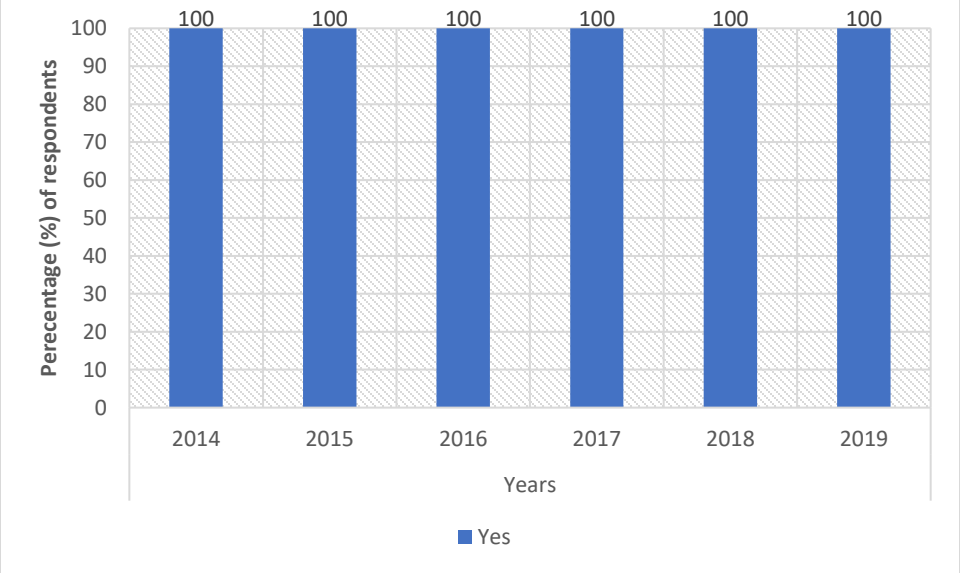


Figure 4.28: Conservancy success with following their zonation plans.

Did the conservancy submit the wildlife utilisation report?

All the people (100%) interviewed indicated that the conservancy submitted the wildlife utilisation reports, as shown in Figure 4.29.

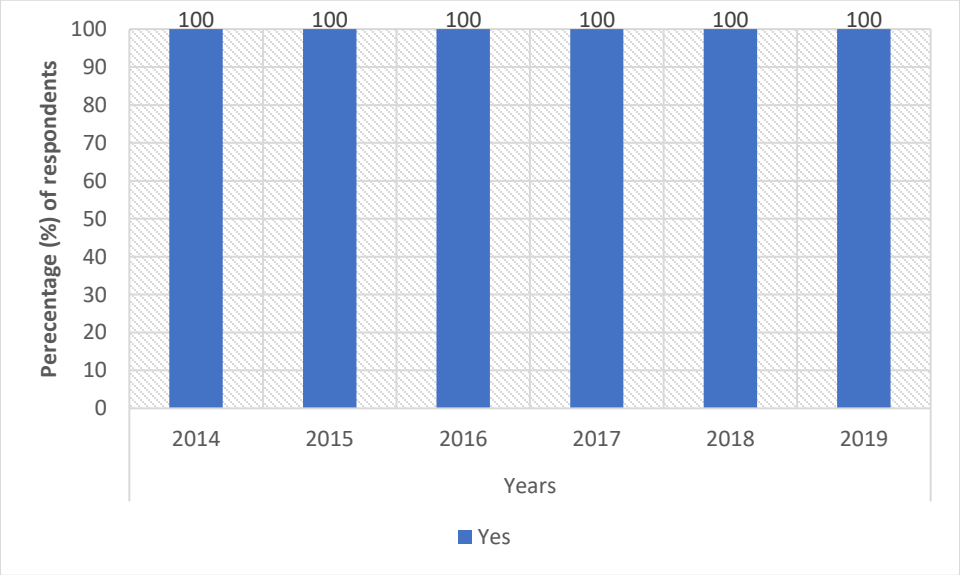


Figure 4.29: Conservancies' success with submitting wildlife utilisation reports.

Issue 6: Annual Financial Statements

Has the CMC produced annual financial reports between 2014 and 2019?

All of the respondents believed that the CMC has produced the annual financial statements/reports, as indicated in Figure 4.30.

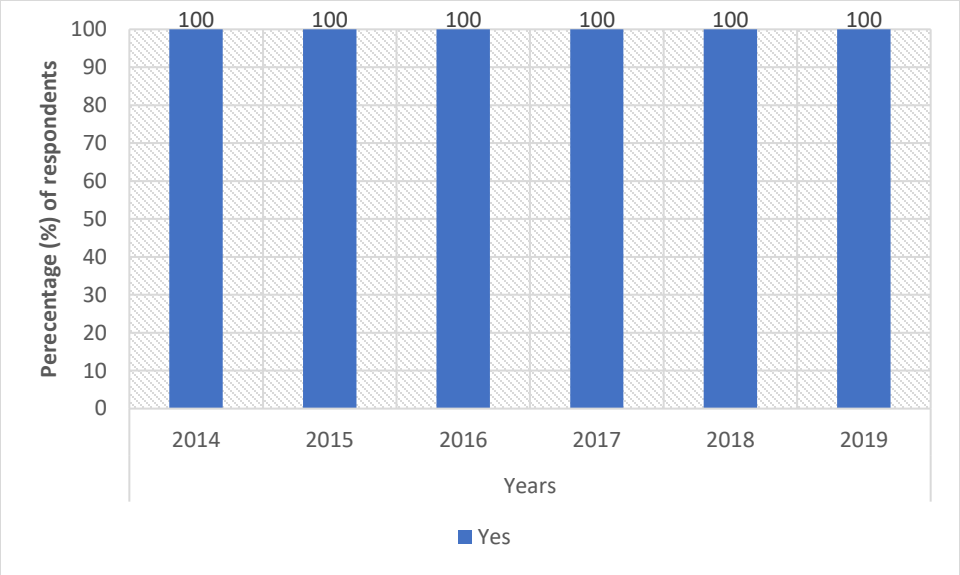


Figure 4.30: Conservancies' success with annual financial statements/reports.

Issue 7: Did you apply any remedies to enforce compliance with SOPs?

The majority (86%) of the respondents indicated that the conservancy has applied remedies to enforce compliance, such as building the capacity of the CMC and raising awareness among the members. However, only 14% of the people interviewed responded that they believed that there were no remedies applied to enforce compliance by the conservancy CMC as indicated in Figure 4.31.

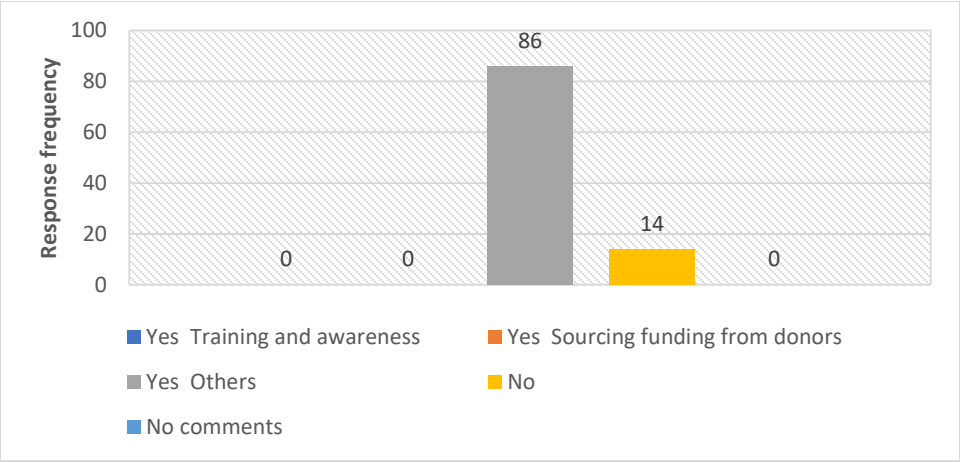


Figure 4.31: Conservancy success with applying remedies to enforce compliance.

In summary, the results of this case study indicated that almost all of the people interviewed believed that the conservancy has met all the requirements and complied with the SOPs between 2014 and 2019. The availability of funds, capacity building of the CMC, accountability, and support from the support organisation might be reasons for conservancy compliance. The members were also engaged in village meetings to understand the conservancy operations. The Eiseb conservancy results are described in the next section.

4.4.3. Eiseb conservancy

Background

Eiseb Conservancy was registered in March 2009, and is located in Omaheke region, bordering Botswana on the east, and covers an area of 6 625 km², with approximately 1 569 residents (MET/NACSO, 2020) as indicated in Figure 4.32. This conservancy is run and managed by a management committee of seven men and five women who oversee the implementation of the conservancy activities by the game guards. The management committee is supported by MEFT and the Namibia Nature Foundation (NNF) who provide technical support and capacity building. The conservancy is neighbouring Ondjou Conservancy on the north side and Omuramba ua Mbinda on the southern side.

The vegetation of the conservancy is classified as Kalahari woodland and grassland with an average annual rainfall of 350-400 mm (Mendelsohn *et al*., 2002). Species such as elephant, leopard, giraffe, eland, kudu, gemsbok, steenbok, wild dog, spotted hyaena, cheetah, black-backed jackal are found within the conservancy area. Wildlife monitoring is being implemented using the Event Book monitoring system by the conservancy game guards. The conservancy generates its income from conservation hunting, mainly from trophy-hunting elephants through a concession contract.

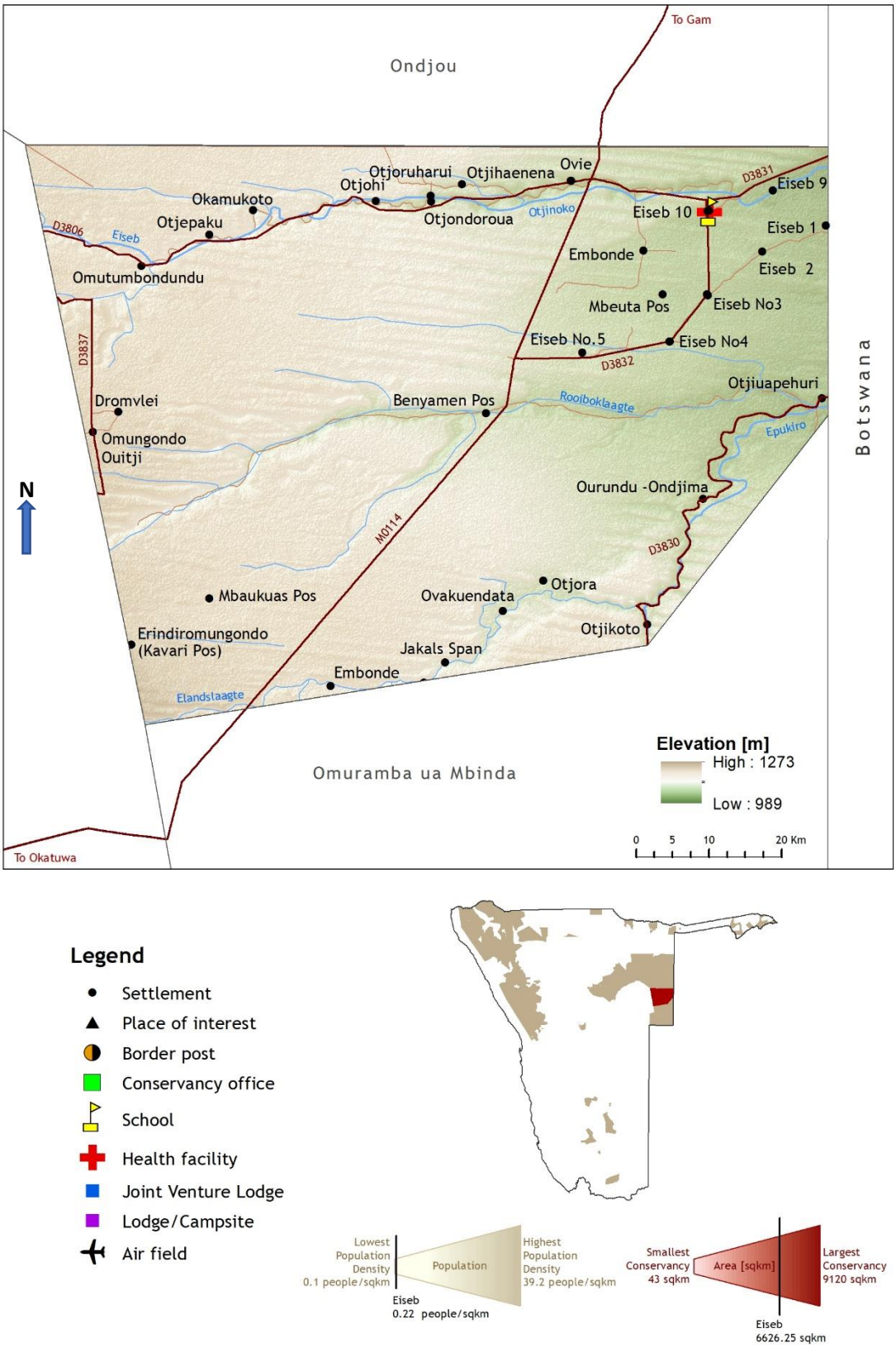


Figure 4.32: Map of Eiseb Conservancy. **Source**: Adapted from NACSO, 2017.

Issue 1: What are your conservancy sources of income?

The majority (77%) of people interviewed believed that the conservancy generated income from hunting, while 9% was from INPs, and 14% believed that the conservancy has not generated an income at all, as shown in Figure 4.33.

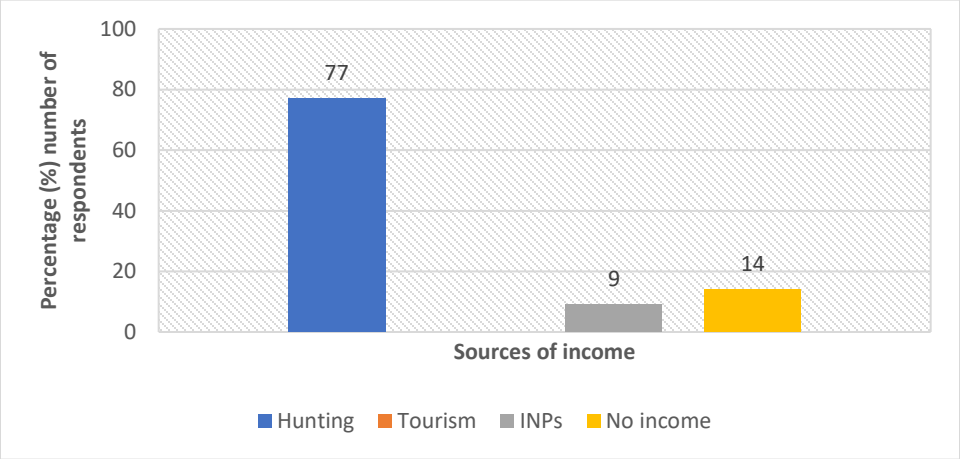


Figure 4.33: Conservancy sources of income.

Issue 2: AGM held

Was the conservancy AGM held between 2014 and 2019?

Only five percent (5%) of the respondents believed that the AGMs were held in 2014, 2015, 2016 and 2018, while 95% of the respondents replied that the conservancy failed to hold the AGMs. More than 60% of the respondents indicated that the conservancy held the AGMs in 2017 and 2019, as indicated in Figure 4.34.

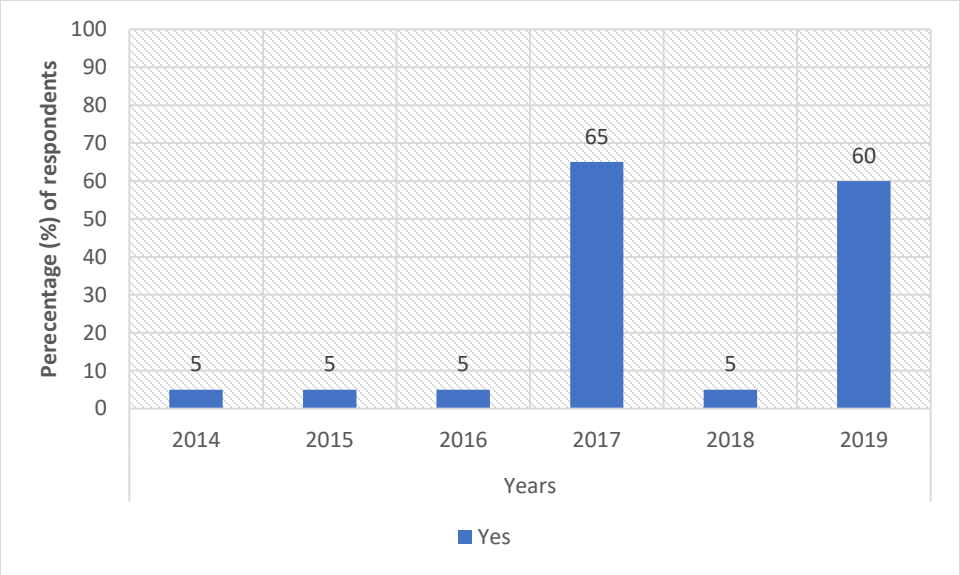


Figure 4.34: Conservancies' success with holding AGMs.

Why was the AGM not held?

As per Figure 4.35, respondents gave multiple answers to why AGMs were not held. Fifty-five percent (55%) believed that the CMC failed to make logistical arrangements for the AGMs, 30% believed the quorums were not met to allow the meetings to take place, while 25% indicated that the notices to the members were not given, and 15% replied that the conservancy did not have funds to ensure that the AGMs were held.

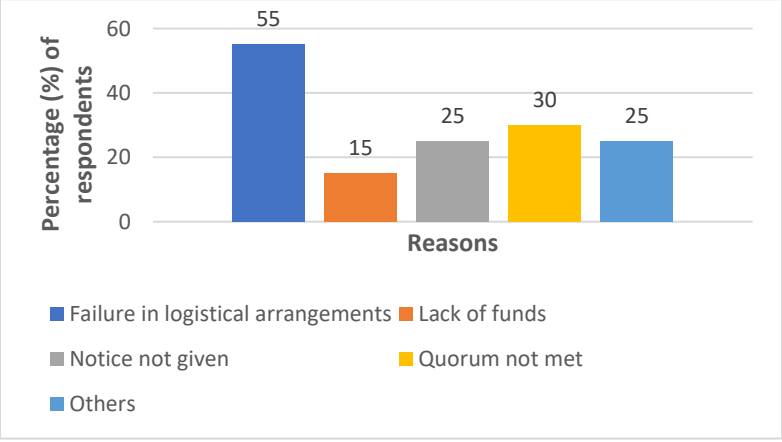


Figure 4.35: Reasons why AGMs were not held.

Issue 3: Conservancy Management Committee elections

What is the tenure of the CMC?

People interviewed gave conflicting answers: 90% of the respondents believed that the CMC tenure of office is three years, while 10% believed it is two years, as shown in Figure 4. 36.

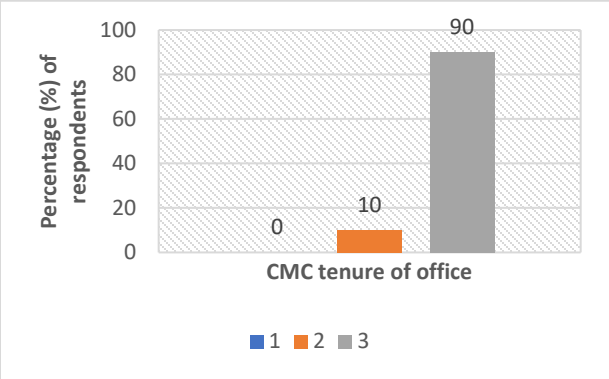


Figure 4.36: CMC's tenure of office.

Were the CMC elections required by the Constitution and held between 2014 and 2019?

Seventy-five percent (75%) of the respondents indicated that elections were required and conducted in 2014 and 70% in 2016, whilst 100% of the respondents believed that elections were not required and not held in 2019, as indicated in Figure 4.37. Only 15% of the people interviewed agreed that elections were required in 2018, and 5% in 2016 and 2017, respectively.

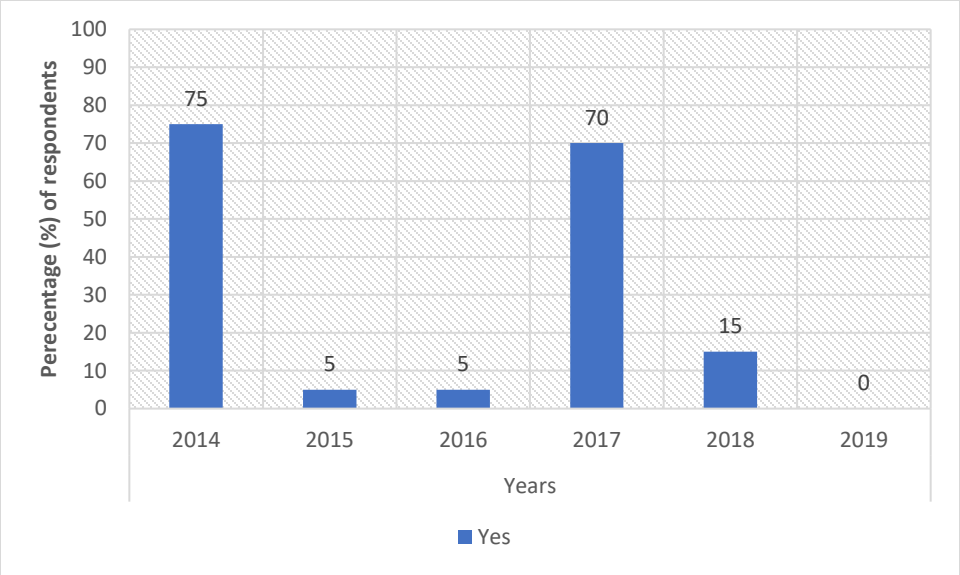


Figure 4.37: Conservancy election requirements and held as per Constitutions.

Why were the elections not conducted?

Eighty-five percent (85%) of the respondents did not indicate reasons why they believed the CMC elections were not conducted. Only 5% of the people interviewed indicated that the reasons why elections were not conducted was because the AGMs were not held, and notice was not given to members.

Issue 4: Benefit Distribution Plan

Were benefits distributed between 2014 and 2019?

Only five percent (5%) of the respondents believed that the benefits were distributed to members in 2014, 2015, 2016 and 2019. Furthermore, 70% and 65% of the people interviewed indicated that benefits were distributed 2017 and 2018 respectively.

Types of benefits distributed between 2014 and 2019

Most of the people interviewed gave multiple answers in terms of the types of benefits distributed to members. Seventy percent (70%) of the respondents indicated meat, 55%

indicated others, such as tyres for the police vehicle, 25% indicated cash benefits, and only 5% indicated community development projects as benefits that were distributed to conservancy members as shown in Figure 4.38.

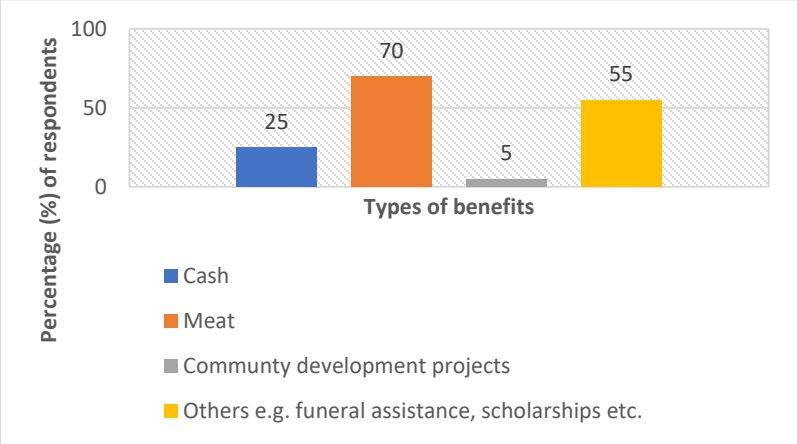


Figure 4.38: Types of benefits distributed.

Were the benefits distributed as per the BDP and procedures?

The majority of the respondents (55%) indicated that the benefits were distributed to members as per the plan, and 45% believed that benefits were not distributed as per the plan and procedures.

Issue 5: Game Management and Utilisation Plan

Did the conservancy implement the Event Book System to manage its wildlife according to the GMUP between 2014 and 2019?

About seventy percent (70%) of the people interviewed responded that the conservancy implemented the Event Book System between 2014 and 2019, as shown in Figure 4.39. However, 30% of the people interviewed believed that the conservancy did not implement the Event Book fully, because they did not conduct annual game counts in the conservancy, due to lack of game count routes.

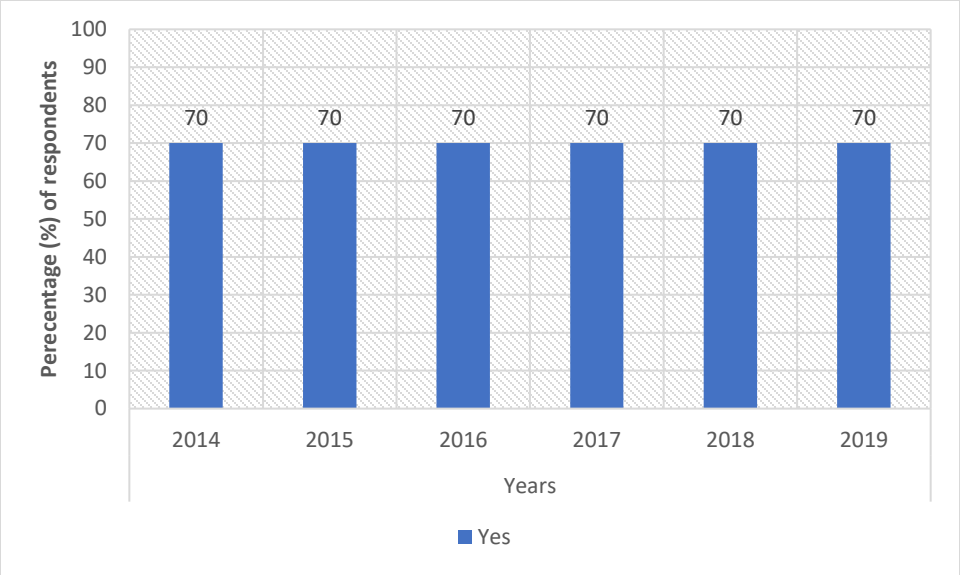


Figure 4.39: Conservancy success with implementing the Event Book System.

Did the conservancy follow the zonation plan between 2014 and 2019?

The majority of the respondents indicated that the conservancy had no zonation plan, as shown in Figure 4.40.

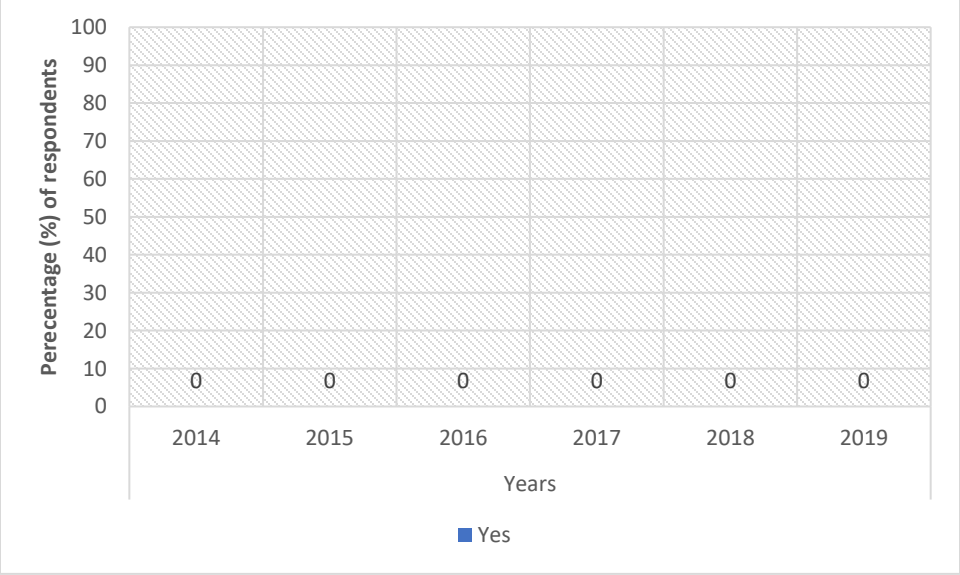


Figure 4.40: Conservancy success with following their zonation plans.

Did the conservancy submit the wildlife utilisation report?

As indicated in Figure 4.41, more than fifty percent (50%) of people interviewed believed that the conservancy submitted the annual utilisation report to MEFT in 2014, 2015, 2016, 2017 and 2018. However, only 45% of respondents believed that the utilisation report was submitted to MEFT in 2019.

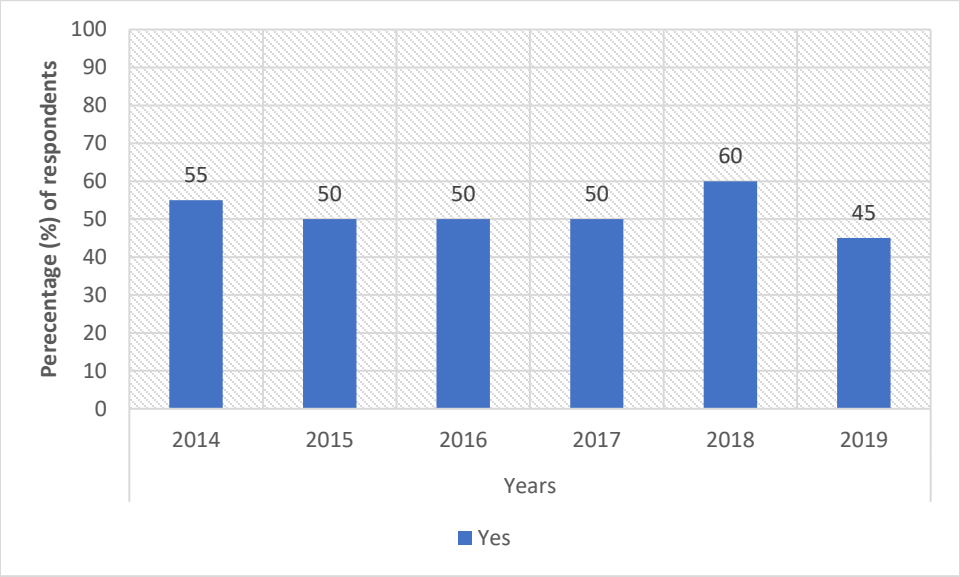


Figure 4.41: Conservancies' success with submitting wildlife utilisation reports.

Issue 6: Annual Financial Statements

Has the CMC produced annual financial reports between 2014 and 2019?

About eighty percent (80%) of the respondents believed that the annual financial statements were produced and presented to members in 2019. However, 90% disagreed that the annual financial statements were produced in 2014, 2015, 2016 and 2018 as shown in Figure 4.42. Some people also cited financial mismanagement as a reason why reports were not produced. One of the people interviewed indicated that the conservancy received a letter of non-compliance from MEFT for not producing satisfactory financial statements for 2018.

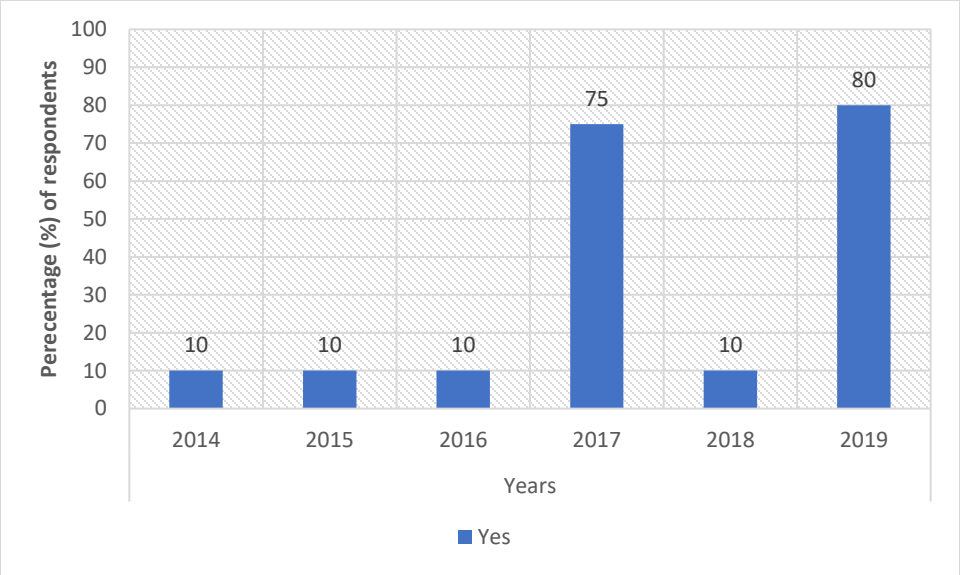


Figure 4.42: Conservancy success with producing annual financial statements.

Issue 7: Did you apply any remedies to enforce compliance with SOPs?

About forty percent (40%) of the respondents indicated that the conservancy CMC sourced funds in order to ensure that they complied with certain requirements. As shown in Figure 4.43, twenty-five percent (25%) of respondents believed that the conservancy did not apply any remedies to enforce compliance.

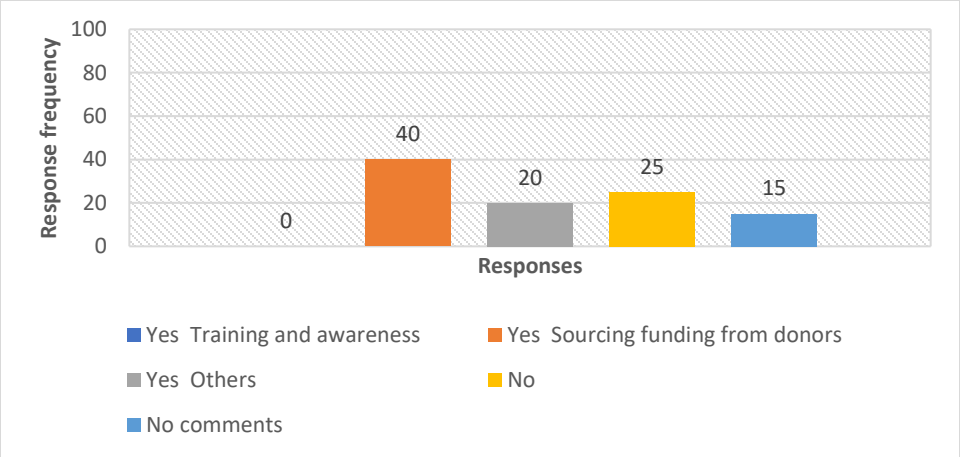


Figure 4.43: Conservancy success with applying remedies to enforce compliance.

The results of this case study show that the conservancy members believed that the conservancy failed to comply with some SOP requirements, and lack of funds, failure in logistical arrangements and conflict were reasons for the conservancy's failure to comply with the requirements.

4.4.4. Ovitoto conservancy

Background

Gazetted in May 2008, this conservancy covers an area of 625 km² with an approximate population of 4 488 people, and is situated close to Von Bach Game Park in Otjozondjupa Region, as shown in Figure 4.44. The conservancy is run by a management committee of three women and four men, and volunteer game guards who conduct wildlife monitoring.

The vegetation in this conservancy is classified as thorn bush covering hilly areas, while the river valleys support taller trees. The average annual rainfall ranges from 300-350 mm. Wildlife species such as kudu, steenbok, warthog, black-backed jackal, baboon and occasionally gemsbok occur within the conservancy area. At present, the conservancy does not generate any income, and MEFT is the main supporting partner for this conservancy.

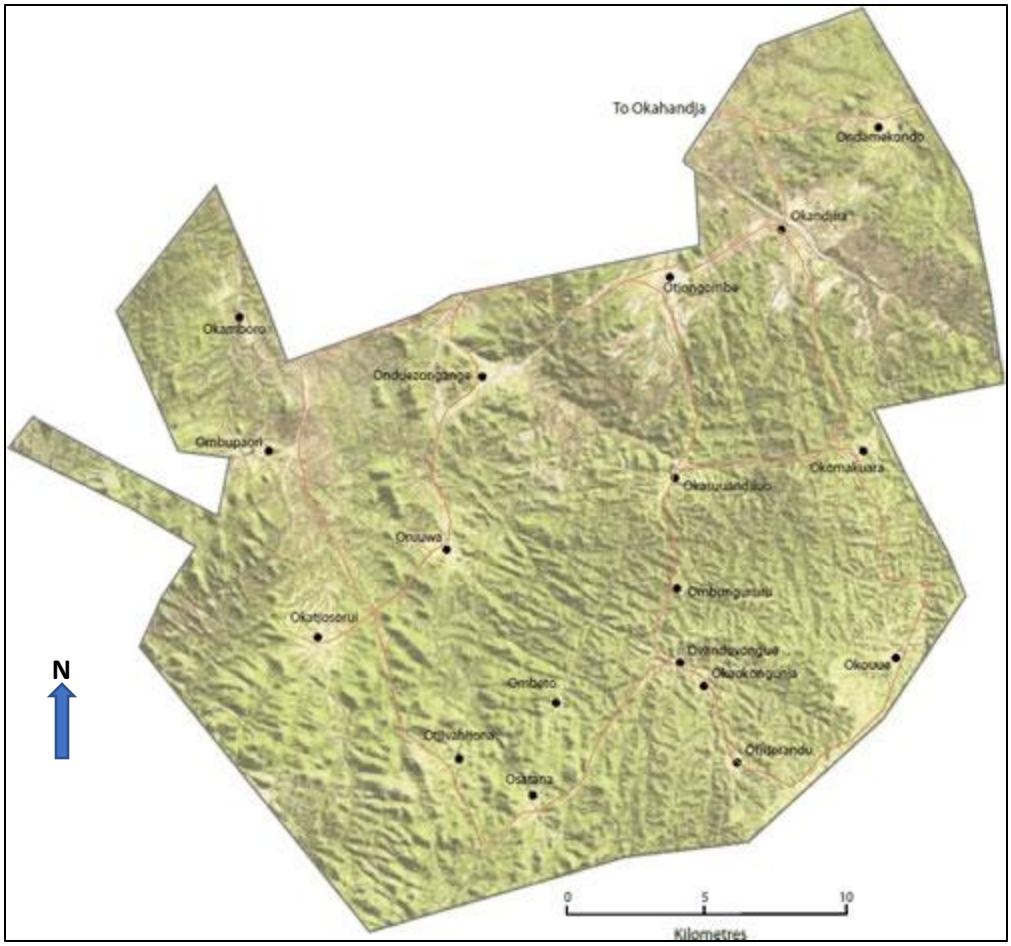


Figure 4.44: Map of Ovitoto Conservancy. **Source**: Adapted from NACSO, 2017.

Issue 1: What are your conservancy's sources of income?

All the respondents (100%) indicated that the conservancy has not generated any income, as shown in Figure 4.45, below.

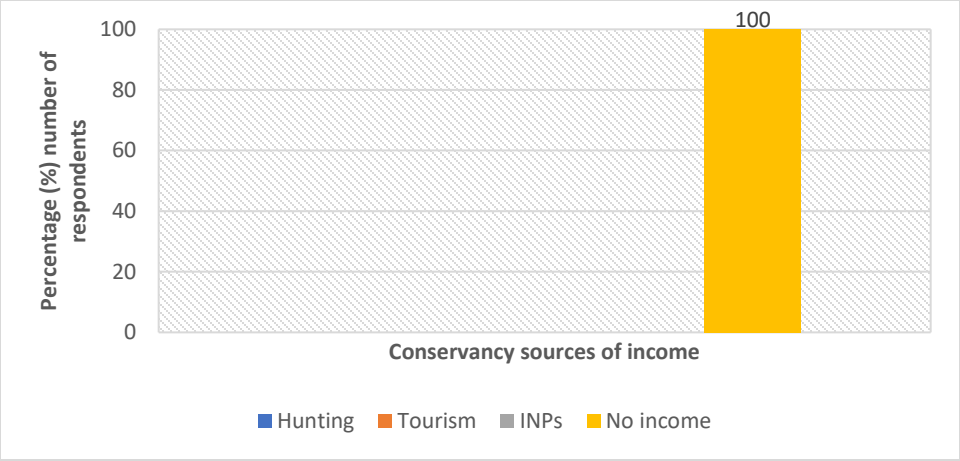


Figure 4.45: Conservancy sources of income.

Issue 2: AGM held

Was the conservancy AGM held between 2014 and 2019?

All the respondents (100%) indicated that there were no AGMs held in 2016, 2017, 2018 and 2019, as shown in Figure 4.46, below. Only 5% and 10% of the people interviewed believed that the AGMs were held in 2014 and 2015, respectively.

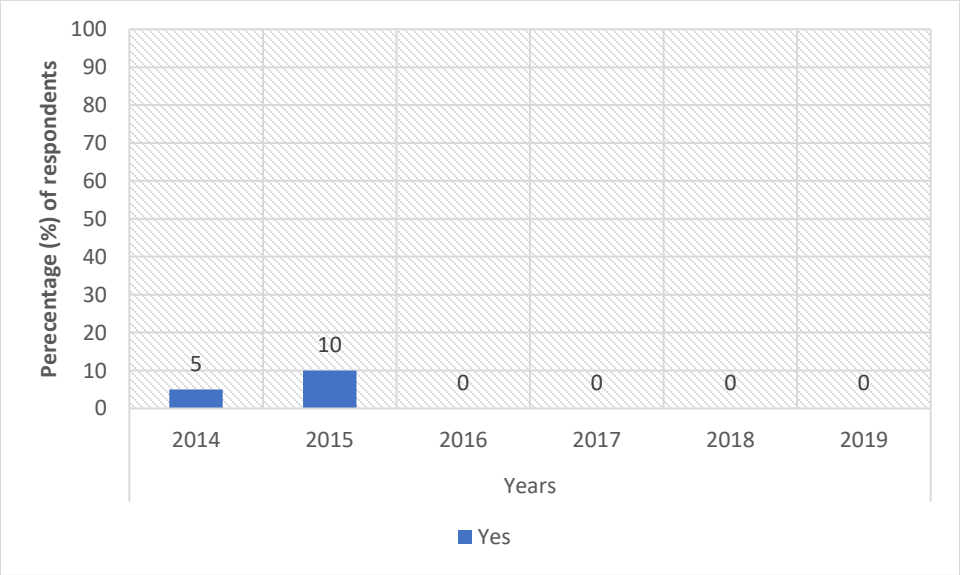


Figure 4.46: Conservancies' success with holding AGMs.

Why was the AGM not held?

Fifty-two percent (52%) of the respondents believed that the CMC failed to give notice to members to attend the AGMs, as shown in Figure 4.47. Forty-three percent (43%) of the respondents indicated that logistical arrangements and a lack of funds were the reasons why AGMs were not held.

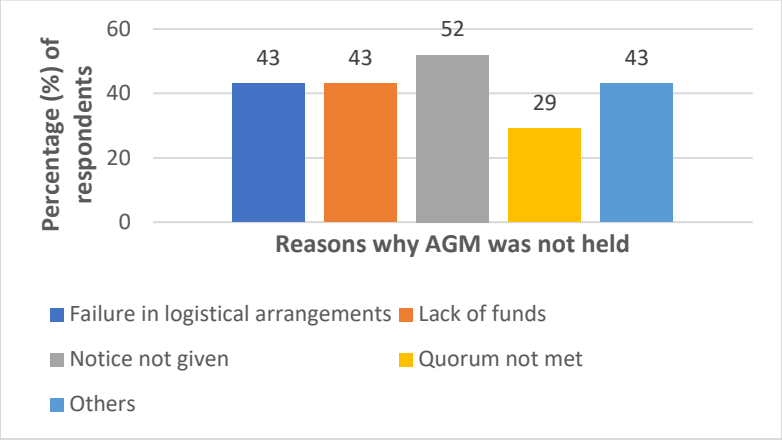


Figure 4.47: Reasons why AGMs were not held.

Issue 3: Conservancy Management Committee elections

What is the tenure of the CMC?

As shown in Figure 4.48, all the respondents (100%) indicated that the CMC tenure of office is three years. This shows that they are all aware that a committee should only serve for three years.

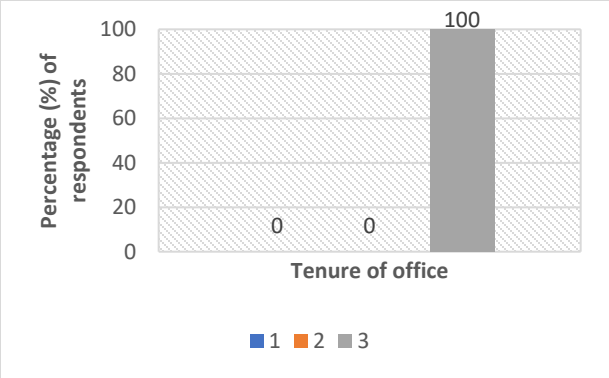


Figure 4.48: CMC's tenure of office.

Were the CMC elections required by the Constitution and held between 2014 and 2019?

Only 57% of the people interviewed believed that elections were required and held in 2018 as shown in Figure 4.49. Furthermore, 5% and 10% of the respondents indicated that elections were required and held in 2014 and 2015, respectively.

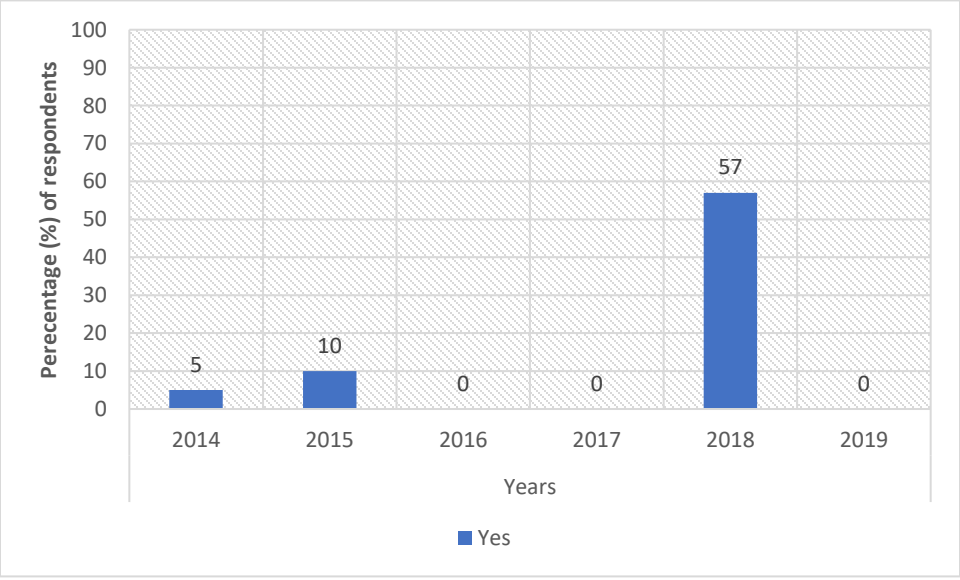


Figure 4.49: Conservancy election requirements and held as per Constitutions.

Why were the elections not conducted?

The majority of the respondents cited AGMs not being held as the reason why elections of the CMC were not conducted. Disputes/conflicts and lack of notice to members were also some of the reasons why respondents believed elections were not held.

Issue 4: Benefit Distribution Plan

Were benefits distributed between 2014 and 2019?

All the respondents (100%) indicated that no benefits were distributed between 2014 and 2019, and only 5% of the people replied that benefits were distributed in 2014.

Types of benefits distributed between 2014 and 2019

All the respondents (100%) indicated that only other benefits were distributed, as shown in Figure 4.50.

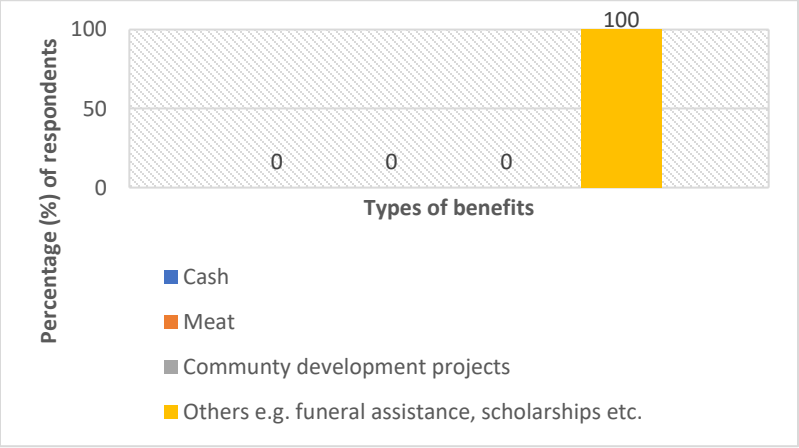


Figure 4.50: Types of benefits distributed.

Were the benefits distributed as per the BDP and procedures?

Respondents believed that benefits were not distributed as per the plan and procedures.

Issue 5: Game Management and Utilisation Plan

Did the conservancy implement the Event Book System to manage its wildlife according to the GMUP between 2014 and 2019?

All the respondents (100%) indicated that the conservancy did not implement the Event Book System to manage its wildlife according to the GMUP, as shown in Figure 4.51. The respondents further indicated that the conservancy did not employ community game guards to implement any activities, due to lack of funds.

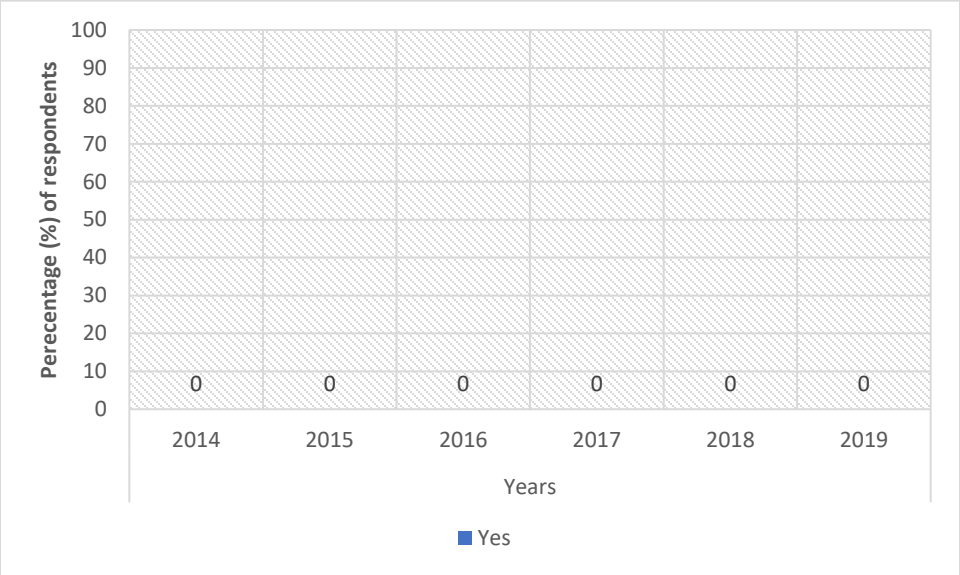


Figure 4.51: Conservancy success with implementing the Event Book System.

Did the conservancy follow the zonation plan between 2014 and 2019?

All the people (100%) interviewed responded that the conservancy had no zonation plan to follow, as shown in Figure 4.52.

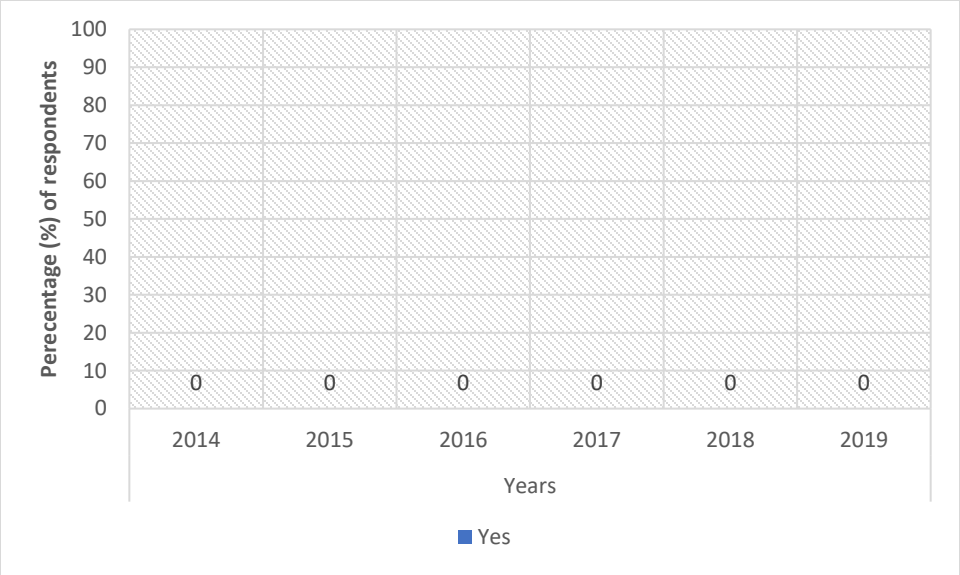


Figure 4.52: Conservancy success with following their zonation plans.

Did the conservancy submit the wildlife utilisation report?

Only ninety-five percent (95%) of the people interviewed indicated that the wildlife utilisation report was submitted in 2014 and 2019, as shown in Figure 4.53. The majority of the respondents (100%) indicated that the conservancy was not awarded a hunting quota, and was unable to submit the annual utilisation report.

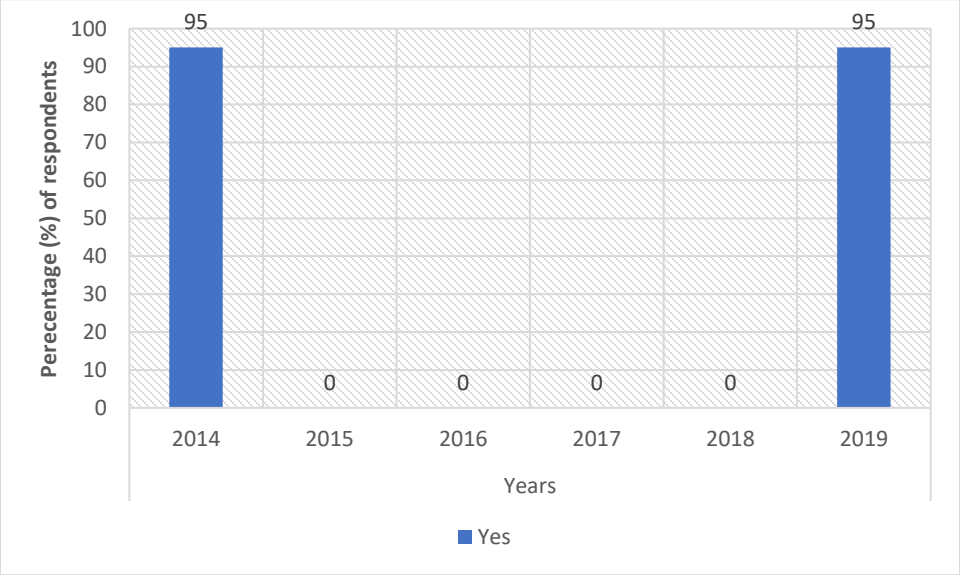


Figure 4.53: Conservancies' success with submitting wildlife utilisation reports.

Issue 6: Annual Financial Statements

Has the CMC produced annual financial reports between 2014 and 2019?

All the people (100%) interviewed indicated that the conservancy had not generated an income, and was unable to produce the annual financial statements, as shown in Figure 4.54.

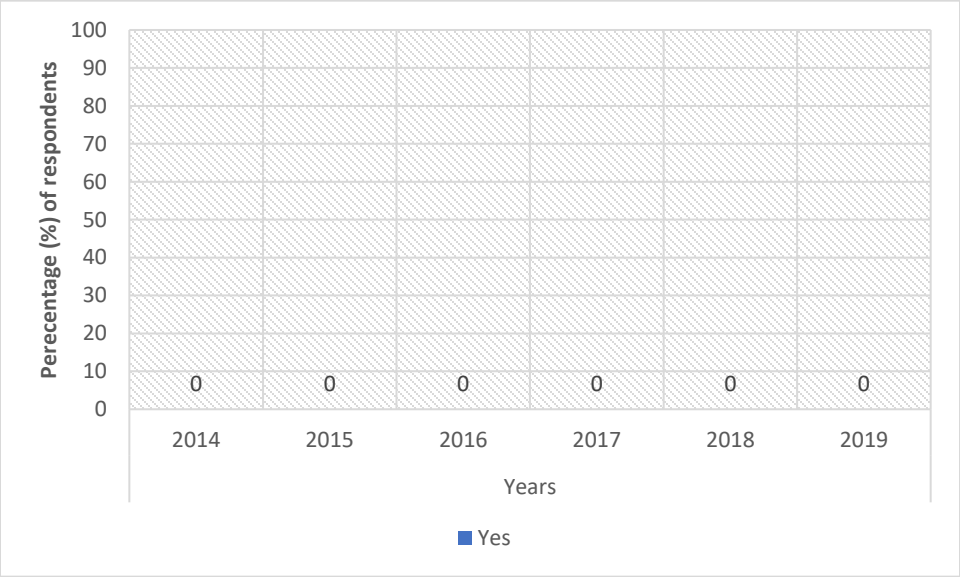


Figure 4.54: Conservancy success with producing annual financial statements.

Issue 7: Did you apply any remedies to enforce compliance with SOPs?

All the people (100%) interviewed indicated that no remedies were applied to enforce compliance, as shown in Figure 4.55.

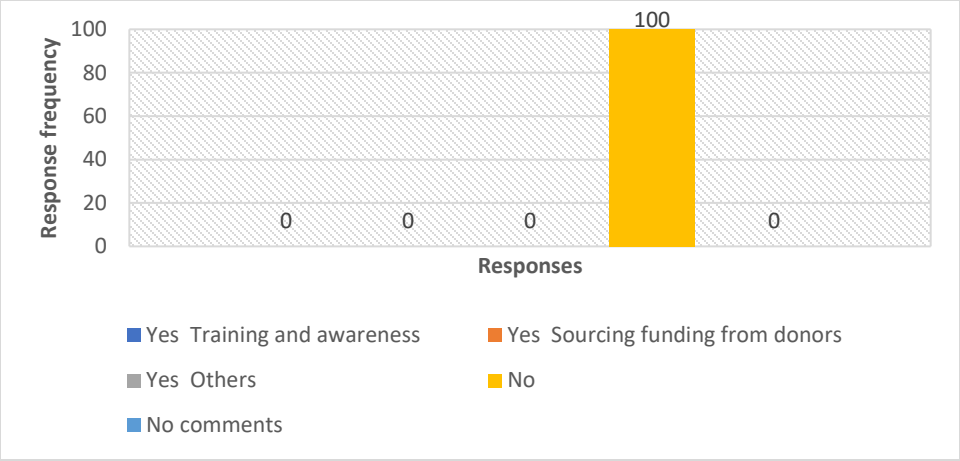


Figure 4.55: Conservancy success with applying remedies to enforce compliance.

In summary, the results show that the conservancy failed to comply with the requirements between 2014 and 2019. Lack of income and reliance on support to manage this conservancy were the main reasons why this conservancy failed to comply with the requirements. The conservancy needs to explore possible ways to generate income, in order to sustain the conservancy's operations.

a **b**

Figure 4.56: Interview in process: (a) Chief, and (b) game guards.

4.5. Summary

This chapter presented a detailed description of the four identified case studies, and of their level of compliance. The next chapter, Chapter Five, will present a cross-case analysis of the four case studies.

CHAPTER FIVE

5. CROSS-CASE ANALYSIS RESULTS AND DISCUSSIONS

5.1. Introduction

This chapter presents a detailed comparison (cross-case analysis) of the four case studies on the compliance with mandatory Standard Operating Procedures of four communal conservancies. The chapter concludes with discussions of the key findings.

5.2. Cross-case results of the four case studies

To establish the extent of the challenges conservancies' operations face in order to adhere to the SOPs, a comparison (cross-case analysis) between four conservancies based in Otjozondjupa (Nyae Nyae and Ovitoto), Kunene (Ehirovipuka) and Omaheke (Eiseb) was undertaken. These conservancies were randomly selected, based on the level of compliance results. Data was collected through interviews targeting registered members of the conservancies (see Annexure I). Interviews were administered among 86 respondents, who are all members of the conservancies in question. Out of the 86 respondents, the youngest respondent was aged 18 years – the legal age established according to conservancies' Constitutions for one to be a registered member. The results of these findings are presented.

5.2.1. Income sources of the four conservancies case studies

Hunting, tourism and indigenous natural products (INPs) were the major sources of income for the four selected conservancies during the period 2014-2019, with the exception of Ovitoto Conservancy which has zero income sources (Figure 5.1 and Table 5.1). In addition, hunting accounted for the larger share of conservancies' income, while INPs were the least income source for Nyae Nyae and Ehirovipuka conservancies. The income from the various sources for these conservancies were NAD 27,578,024 during the 2014-2019 period (Table 5.1). Hunting was the highest source of income for Nyae

Nyae and Ehirovipuka, while grants were the highest income source for Eiseb, followed by tourism. INPs generated the least income for all conservancies. Information for Eiseb was only available for 2019, however, and Ovitoto did not record any income generation, nor did they submit any financial reports for the specified years.

Table 5.1: Income generated between 2014 to 2019 and sources among the case study conservancies.

Conservancy	2014	2015	2016	2017	2018	2019	Total
Ehi-Rovipuka							
Grants				7,788.00		60,000.00	67,788.00
Joint Venture		283,678.00	50,000.00		250,000.00	229,400.00	813,078.00
Other	60,365.00	4,505.00	139,048.00	22,151.00	55,592.00	78,066.00	359,727.00
Plant Utilisation	6,884.00	2,671.00	639.00				10,194.00
Wildlife Utilisation	373,765.00	420,815.00	435,432.00	260,676.00	592,695.00	347,196.00	2,430,579.00
Eiseb							
Grants						428,028.00	428,028.00
Wildlife Utilisation						107,500.00	107,500.00
Nyae Nyae							
Grants		9,737.00					9,737.00
Other	229,997.00	436,493.00	346,431.00	334,699.00	383,786.00	290,487.00	2,021,893.00
Plant Utilisation		287,682.00		98,133.00	341,137.00	215,026.00	941,978.00
Wildlife Utilisation	2,398,048.00	3,526,467.00	3,876,156.00	4,774,503.00	4,582,301.00	1,420,549.00	20,578,024.00
Ovitoto							
Total income	**3,069,059.00**	**4,972,048.00**	**4,847,706.00**	**5,497,950.00**	**6,205,511.00**	**3,176,252.00**	**27,768,526.00**

As per Figure 5.1, the majority of respondents indicated that Nyae Nyae (71%), Ehirovipuka (60%) and Eiseb (77%) conservancies generate income from hunting, while in Ovitoto, 100% of respondents stated that the conservancy does not generate income from any sources. About 43% and 29% of respondents further indicated that Nyae Nyae and Ehirovipuka generated their income from tourism, respectively. In Eiseb (14%) and Nyae Nyae (7%), some respondents also indicated that the conservancies do not generate an income. The results from the four sampled conservancies indicated that not all members have knowledge about conservancies' income sources.

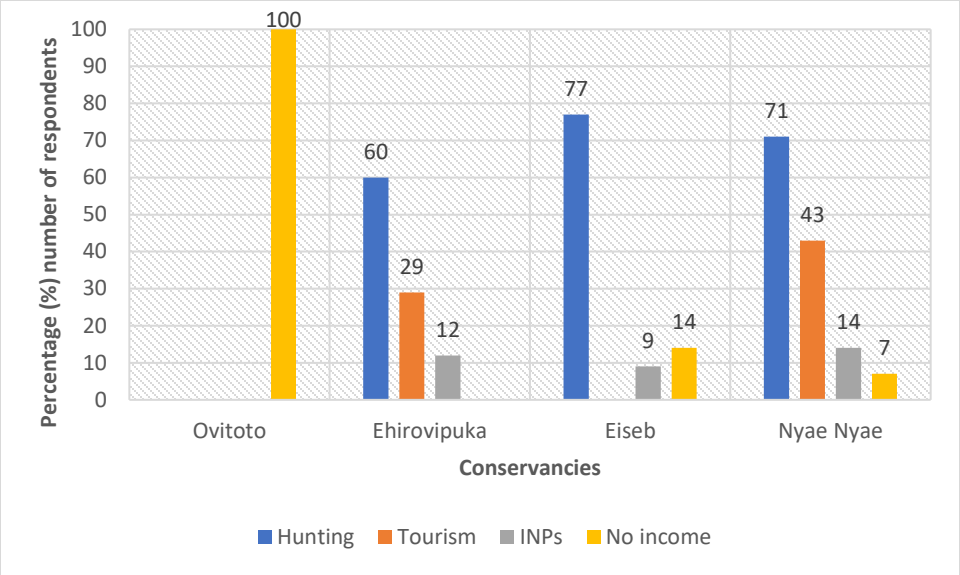


Figure 5.1: Conservancies' income sources between 2014 and 2019.

5.2.2. Conducting conservancy annual general meetings

About 100% of respondents from Ehirovipuka indicated that during the period from 2014-2019, the conservancy successfully held all their AGMs, hence was compliant with this specific SOP. In Ovitoto, all respondents indicated that the conservancy failed to hold an AGM over the same period. Nyae Nyae (75%) and Eiseb (65%) respondents cited that their conservancies only held their AGMs in 2019 and 2017 (Figure 5.2).

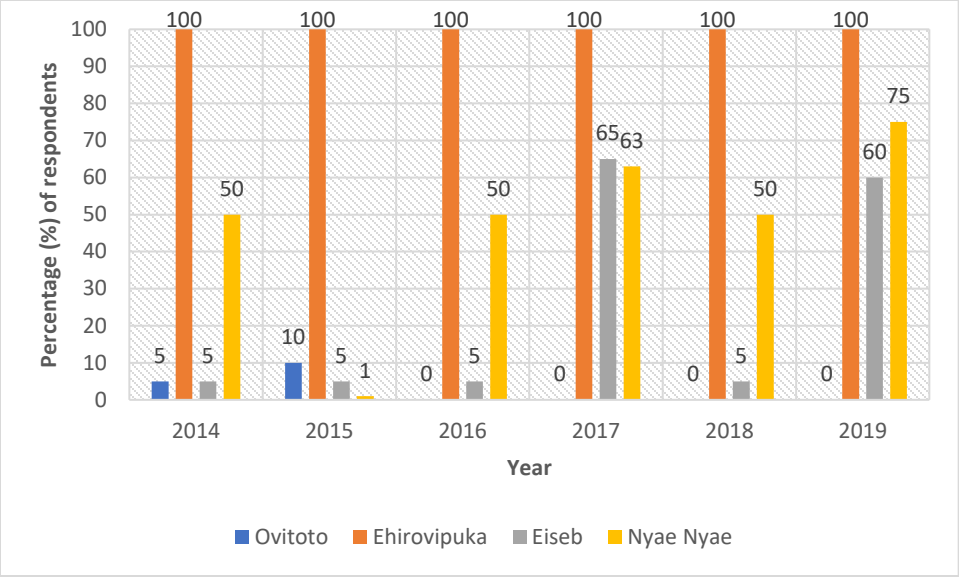


Figure 5.2: Conservancies' success with holding AGMs.

5.2.3. Conservancy Management Committee elections

All respondents interviewed felt that the CMC tenure of office for Ovitoto and Ehirovipuka conservancies was three years, and 90% of respondents in the Eiseb Conservancy indicated that office tenure was two years, while 67% and 28% of the respondents in Nyae Nyae Conservancy indicated that office tenure was two years and three years, respectively (Figure 5.3).

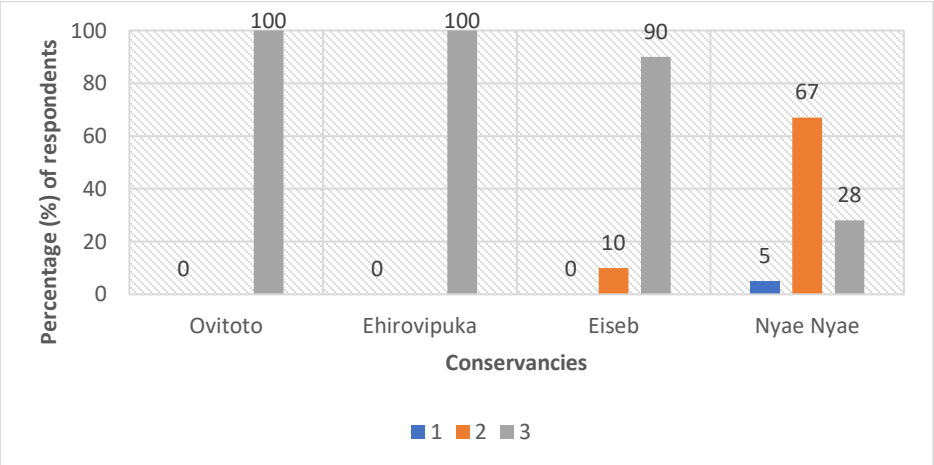


Figure 5.3: CMCs' tenure of office.

With regard to conservancies meeting the SOP regarding CMC elections in their respective conservancies as per Constitutions between 2014 and 2019, in the Ovitoto, Eiseb and Nyae Nyae conservancies there seem to have been no distinct knowledge among residents. Firstly, some respondents indicated that CMC elections were required by the Constitution during that time period, while others said the contrary. Further, 100% of the respondents from Ehirovipuka Conservancy indicated that their Constitution required elections between 2014 and 2019, and they were successfully held during the years 2014 and 2017. Such were not held in 2015, 2016, 2018 and 2019, however, since more than 90% of respondents indicated non-compliance (Figure 5.4).

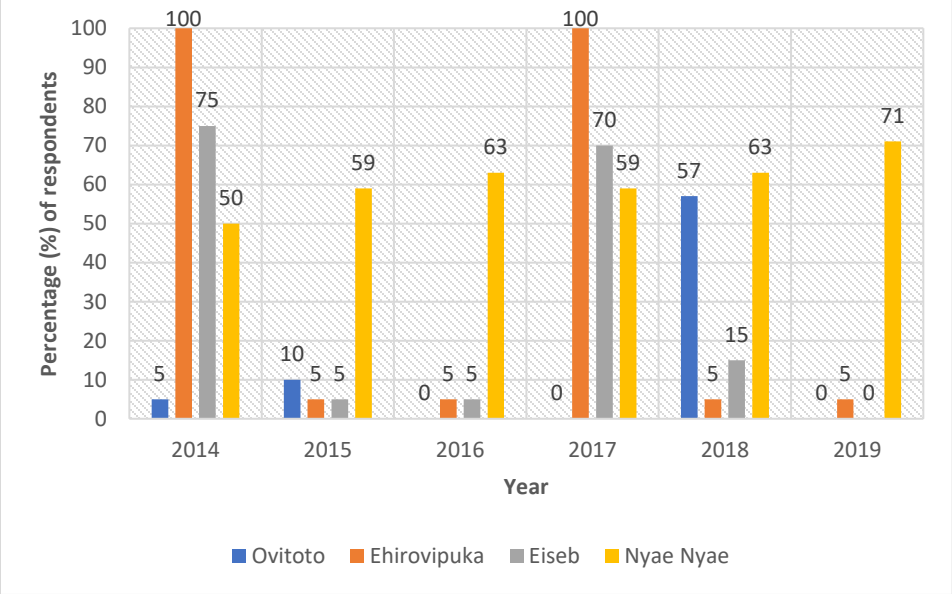


Figure 5.4: Conservancies' election requirements and held as per Constitutions.

An equal number of respondents in Nyae Nyae felt that the CMCs elections were not held during 2014. More than 50% felt such were held in 2015, and more than 60% indicated such were held in 2016, 2018 and 2019, while less than 45% of respondents indicated that the compulsory elections were not conducted for the same period. More than 90% of respondents in Ovitoto felt that the conservancy was not compliant, as it did not hold CMC elections during the 2014-2019 period. Similar opinions were found in Eiseb, with an average of 70% indicating that the conservancy failed during the 2014-2019 period.

5.2.4. Benefit distributed as per BDP and procedures

On average, more than 92% of the respondents from Ehirovipuka and Nyae Nyae indicated that the conservancies were compliant and distributed benefits to their members in all the years between 2014 and 2019 (Figure 5.5). in addition, an average of more than 90% of respondents in Ovitoto felt that their conservancy did not distribute benefits for the 2014-2019 period. On the other hand, an average of 90% of respondents in Eiseb indicated that their conservancy did not distribute benefits during 2014, 2015 and 2019. Less than 35% of respondents from the same conservancy indicated that there were not benefits distributed during 2017 and 2018.

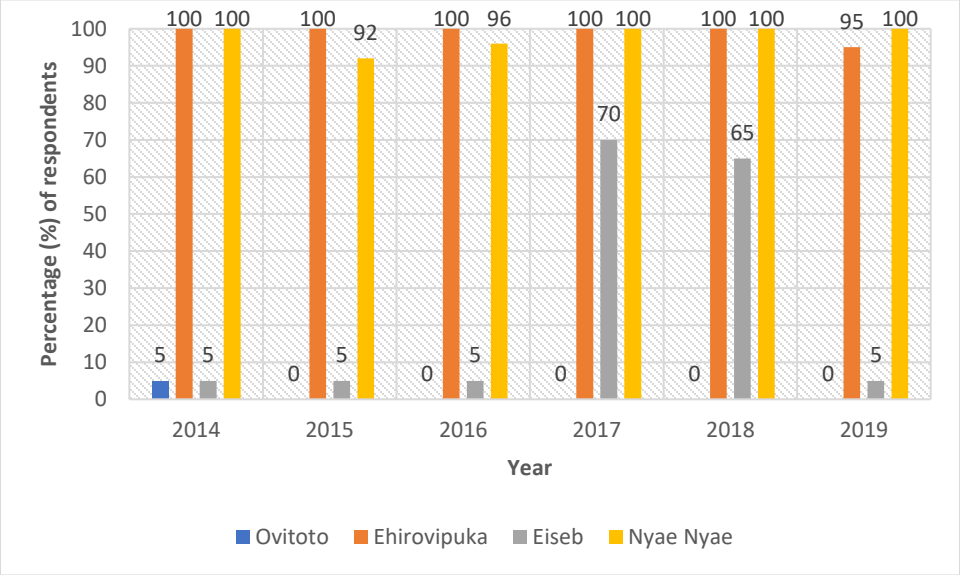


Figure 5.5: Conservancies' success with distributing benefits between 2014 and 2019.

The majority of the respondents, except those in Ovitoto, cited that those distributed benefits were associated with meat and cash in all conservancies. Meat, cash and community projects were the common benefits distributed in Ehirovipuka, while other benefits (funeral and scholarship assistance) were the least (Figure 5.6). Meat and funeral benefits were the most common benefits distributed in Eiseb conservancy. Cash and meat were the most common benefits distributed in Nyae Nyae, while other benefits were the least. Other benefits (such as funeral assistance) were the only benefits distributed in Ovitoto.

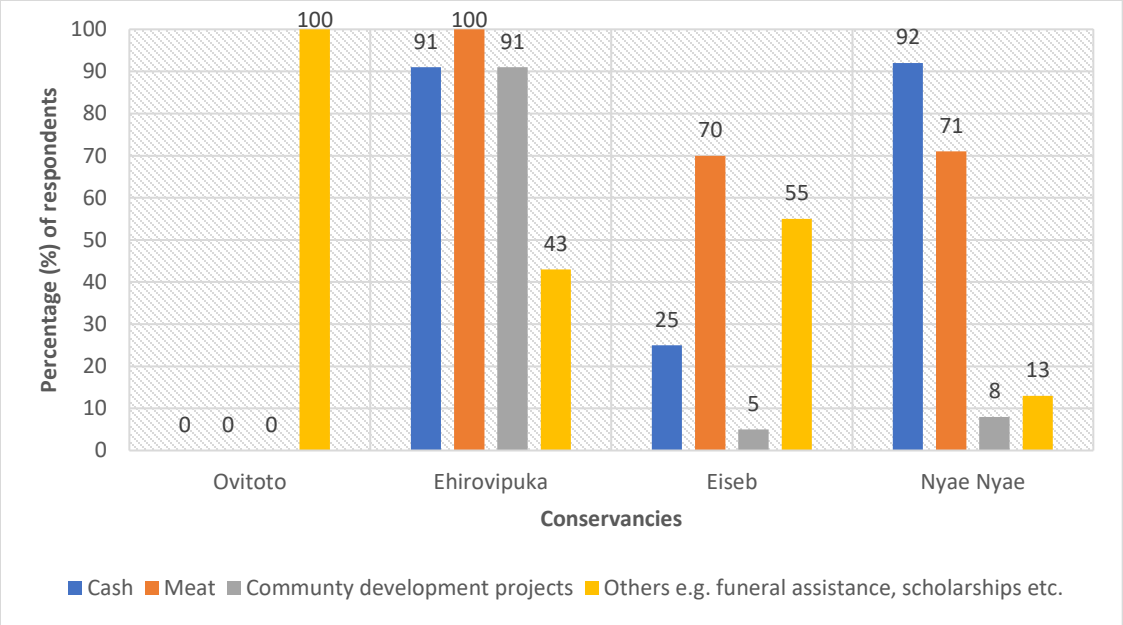


Figure 5.6: Types of benefits distributed by conservancies.

Respondents indicated that the distribution of benefits between 2014 and 2019 in Ehirovipuka (100%), Nyae Nyae (96%) and Eiseb (55%) conservancies was largely done according to the BDP and procedures. Respondents in Ovitoto Conservancy indicated the opposite, with 100% of the respondents citing that those benefits were not distributed according to the plan (Figure 5.7).

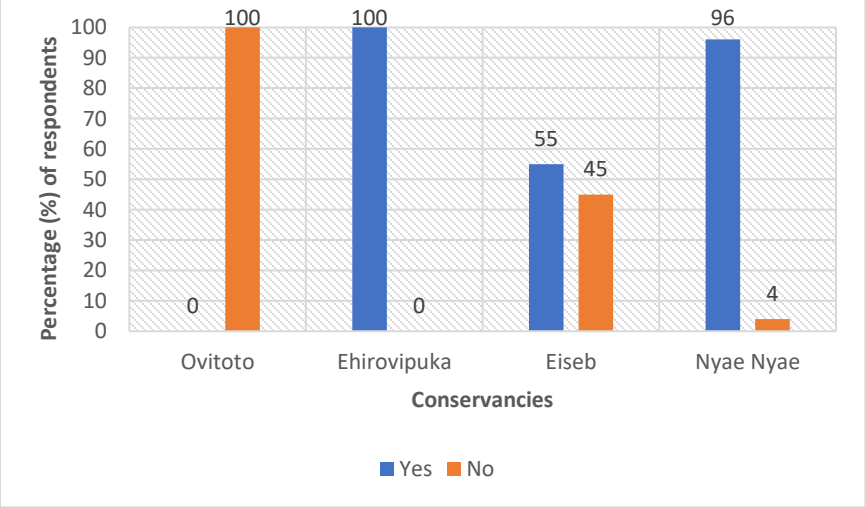


Figure 5.7: Conservancies' success with distributing benefits.

5.2.5. Managing wildlife according to the GMUP and submitting utilisation reports

The majority of respondents in all conservancies except in Ovitoto (100%) indicated that their conservancies managed to implement the Event Book System, and managed their wildlife according to the GMUP between 2014 and 2019 (Figure 5.8). All the respondents in Ehirovipuka indicated that their conservancy implemented the Event Book System and managed their wildlife according to the GMUP for the period under consideration. An average of 70% of respondents in Eiseb and Nyae Nyae conservancies indicated that their conservancy managed to implement the Event Book System, and managed their wildlife according to the GMUP for the same period.

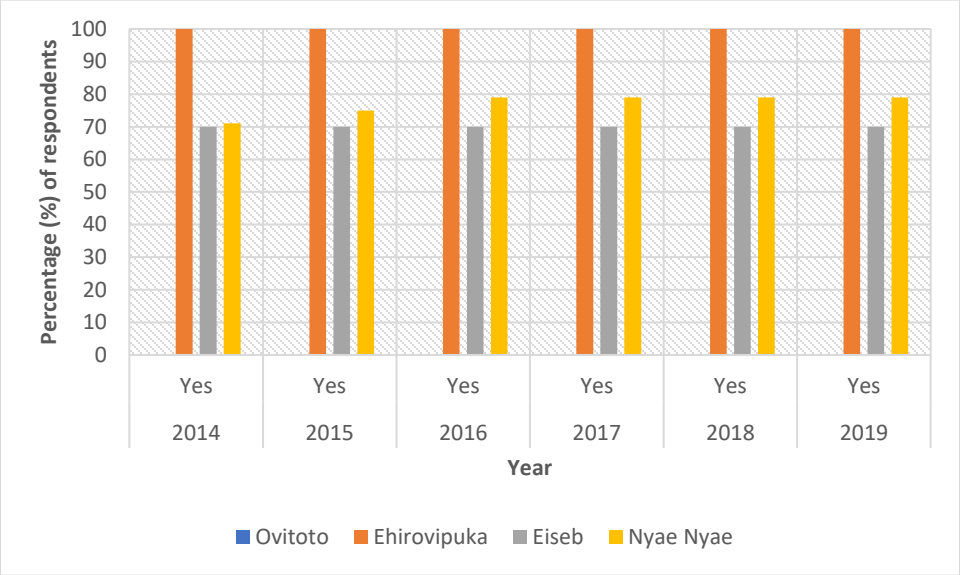


Figure 5.8: Conservancies' success with implementing the Event Book System to manage wildlife according to the GMUP.

Of the respondents from Ehirovipuka conservancy, 100% indicated that their conservancy successfully followed their zonation plans for the period under review. On average, more than 70% of respondents in the Nyae Nyae conservancy had similar opinions during the period under review, and 100% of respondents from Ovitoto and Eiseb conservancies

noted that conservancies failed to follow their zonation plans between 2014 and 2019 (Figure 5.9).

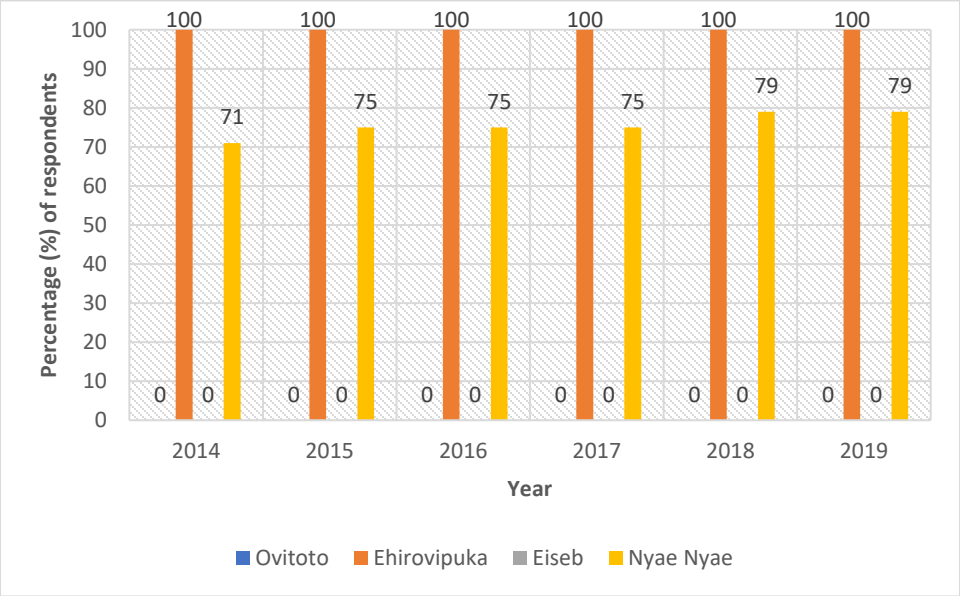


Figure 5.9: Conservancies' success with following their zonation plans.

Apart from implementing zonation plans, conservancies are further obliged to submit wildlife utilisation plans annually. In terms of compliance with such, all respondents in Ehirovipuka and Nyae Nyae (except in 2019) indicated that their conservancies were compliant (Figure 5.10). Respondents in Eiseb Conservancy were of a 'yes and no' opinion that their conservancy complied during the period 2014-2019. The majority of respondents in Ovitoto were of the opinion that their conservancy failed to comply during the period under review. The 2019 period seem to have been a year when most conservancies were less compliant, compared to the rest of the years.

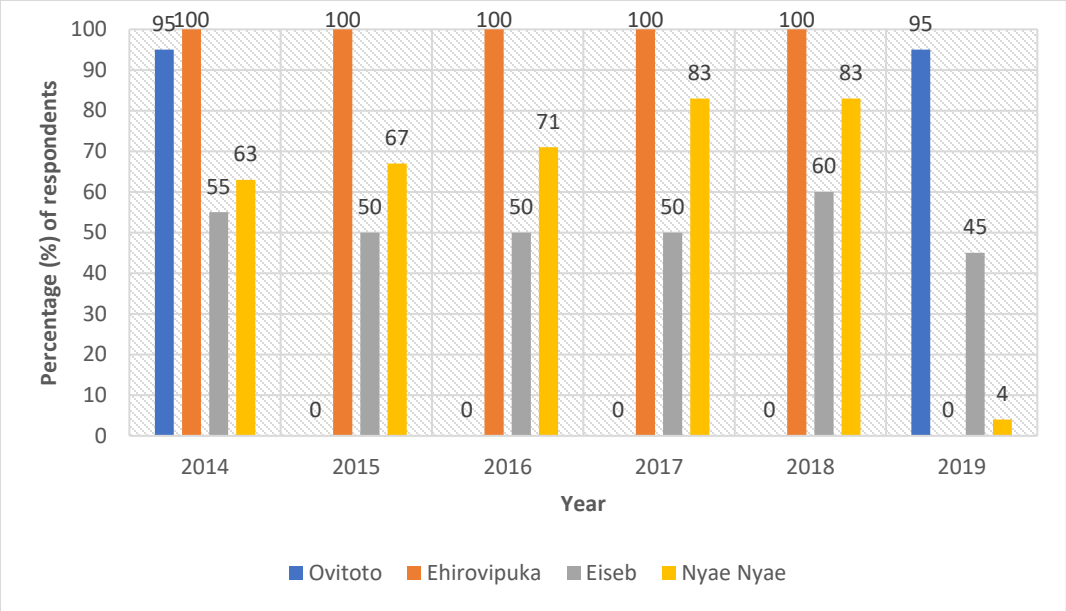


Figure 5.10: Conservancies' success with submitting wildlife utilisation reports.

5.2.6. Producing annual financial report

As can be observed in Figure 5.11, all respondents (100%) in Ehirovipuka agreed that their conservancy submitted annual financial statements for the 2014-2019 period. In addition, on average more than 65% of the respondents in Nyae Nyae agreed that their conservancy submitted annual financial statements for the 2014-2019 period. On the other hand, for all the years under review, all respondents (100%) in Ovitoto indicated that their conservancy failed to submit mandatory annual financial statements for the 2014-2019 period. Furthermore, on average, more than 75% of respondents in Eiseb Conservancy disagreed that their conservancy submitted annual financial statements for the 2014-2018 period. For the 2019 period, 80% of respondents agreed, while 20% disagreed, that Eiseb Conservancy submitted annual financial statements for the 2019 period.

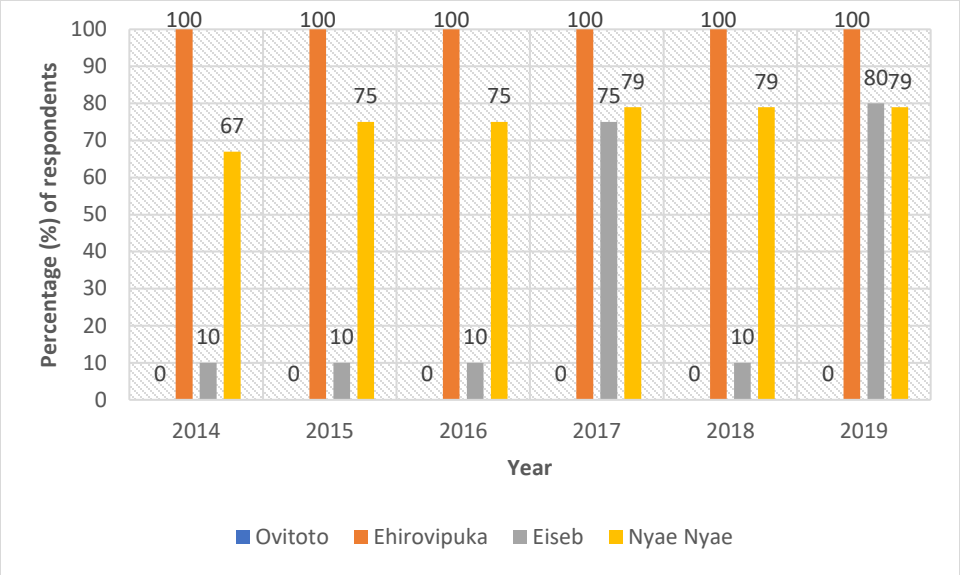


Figure 5.11: Conservancies' success with producing annual financial statements.

5.2.7. Remedies to enforce compliance

In order to address lack of compliance, respondents were further probed as to what remedies their respective conservancies applied, to ensure compliance with preparation and submission of annual financial reports. Excepting Ovitoto (100%), all respondents from all conservancies indicated that various remedies, including training, awareness and sourcing funding from donors, were employed to enforce SOP compliance (Figure 5.12).

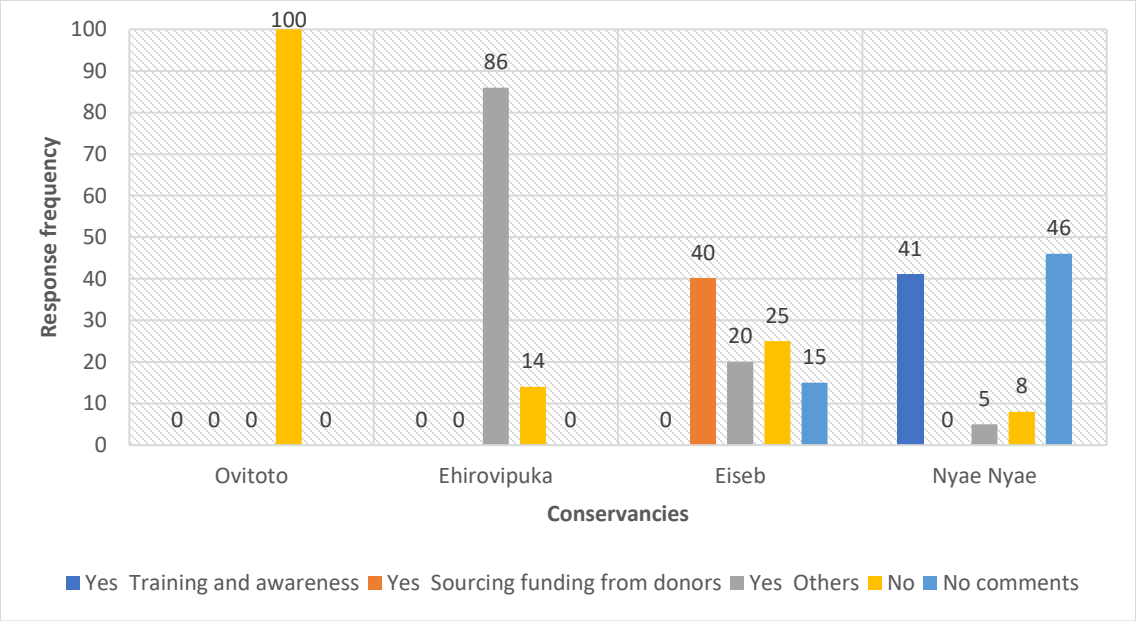


Figure 5.12: Conservancies' success with applying remedies to enforce compliance.

In conclusion, the results from the cross-case analysis show that the conservancies with a high level of income, such as Nyae Nyae and Ehirovipuka, were more compliant with the requirements than conservancies with low to no income (Eiseb and Ovitoto).

5.3. Discussions

5.3.1. Inventory of all the communal conservancies in Namibia

The results show that the Kunene Region has the highest number of registered conservancies in Namibia, and that Nyae Nyae, Salambala and ≠Khoadi-//Hôas were among the first conservancies to be registered in Namibia in 1998. Moreover, the number of registered conservancies in Namibia has grown from just four (4) conservancies in 1998 to 86 conservancies and one association in 2018. The increase in the number of registered conservancies in Namibia since 1998 has resulted in an increase in the total area under discussion, complementing National Parks. This further increased the number of rural communities residing within areas with conservation status.

The increase in the number of conservancies can be attributed to a number of factors. They include, among others, government policy to promote rural development and alleviate poverty while protecting wildlife, and an increase in donor funding to promote wildlife conservation outside national parks (MET, 2013a). This growth in numbers of conservancies has contributed to the increase in benefits to rural communities, such as in the form of cash, game meat from conservation hunting, income from crafts and indigenous plants, provision of services, and actual jobs from tourism operations and conservation hunting.

According to Mufune (2015), benefits from community-based conservation make communities more appreciative of the value of wildlife, and they develop positive attitudes towards wildlife. This has led many rural communities to establish their own conservancies, increasing the number of conservancies in Namibia to 86 plus one (1) community association, spread over 13 regions of the country. Störmer *et al.* (2019) observes that positive attitudes towards wildlife are influenced by having high benefits generated from hunting and tourism. In addition, they believe that costs associated with living with wildlife, and positive attitudes towards wildlife, determine the sustainability of the CBNRM programme.

Tourism and trophy hunting are the main sources of income for over 50 conservancies countrywide, while INPs such as Devil's Claw in Nyae Nyae, N≠a Jaqna help boost income. Despite the higher number of conservancies, not all conservancies generate an income. A total of 36 conservancies countrywide (mostly //Karas, Hardap, Erongo, Kunene, Omaheke and Otjozondjupa) do not generate an income at all. The lack of income could be an attributing factor affecting conservancies' level of compliance over the years. According to Kalvelage, Diez and Bollig (2020), community-based conservation plays a key role in the Global Production Network (GPN) (MEFT/NACSO, 2021). The CBNRM programme investment has been highly beneficial, and has become a valuable part of the Namibian economy, with a net value of about NAD 1.5 billion at present. (Attila & Aili, 2018) conclude that local communities see CBNRM as a model

from which to expect tangible benefits, and find that in Kyaramcan Association alone, all CBNRM-related income accounted for 21.11% of overall household income.

5.3.2. Establish and determine the performance and the level of compliance

The main finding of this study suggests that conservancies overall are not compliant against set SOPs. While there was a significant difference in the level of compliance between conservancies from 2014 to 2019 (*p 0.0003887<0.05),* there was no significant difference in compliance of conservancies per region (*p 0.1523 > 0.05)*. The highest average conservancy compliance rate was recorded in 2017 and 2019. Among others, conservancies do not fully implement their Constitutions to conduct AGMs within reasonable time, conduct elections, manage and utilise game as in line with their GMUP, distribute benefits according to their BDPs, and produce satisfactory annual financial reports. This trend seems to be more prevalent within conservancies that do not generate any income, compared to those that generate some form of income (MEFT/NACSO, 2021). For example, conservancies such as Nyae Nyae, George Mukoya and Uukolonkadhi do generate income, and tend to comply, compared to Otjombinde, Okamatapati and Ombombo – which do not generate any income.

Lack of compliance and non-compliance by some conservancies might be attributed to a number of factors, such as lack of skills, income and benefits, commitment, and accountability by conservancy committees within those conservancies, as well as poor governance at community level, lack of technical capacity to account for resources, lack of support for management committees by their members, poor interventions against lack of compliance, and poor external support to build capacity. Turpie and Letley (2021) suggest that the lack of external oversight contributes greatly to compliance, and proposes that such oversight is required when internal oversight, in terms of financial mismanagement, is lacking, as this creates a high level of mistrust in some communities' management of finance. According to MET/NACSO (2020), human and financial resources remain the biggest challenge for supporting governance work in communal conservancies.

5.4. Discussion of the Four Case results

The case study results from respondents and key informants indicated that Ehirovipuka and Nyae Nyae were found to be more compliant than Ovitoto and Eiseb, in terms of holding AGMs per Constitutions, conducting CMCs according to their Constitution, managing wildlife according to the GMUP, distributing benefits as per the BDP, and producing the annual financial reports. This might be attributed to the fact that these two conservancies generated a significant amount of money from hunting and tourism, compared to Eiseb and Ovitoto, which generated little to no income. Conservancies with a significant amount of money are able to implement their conservancy activities to ensure compliance; for example, respondents from Ovitoto highlighted that the conservancy does not generate any income to aid with implementation of conservancy activities and ensure compliance. Furthermore, lack of benefits to members contributed to lost interest in the conservancy by members and CMC; hence, their level of compliance is low.

The respondents and key informants further cited that governance in Ehirovipuka and Nyae Nyae has improved over the years, because the CMC engage their members during planning and implementation of the conservancy activities – for example, benefit planning and distribution. Nanang and Nunifu (2011) cite that community participation is key to CBNRM, to ensure transparent, accountable and democratic decision-making. Eiseb and Ovitoto failed to engage their members via AGMs and other means, and lack of awareness contributed to members losing interest in the conservancy activities. Furthermore, lack of funds and benefits, poor management from the CMC and conflict among the members were some of the reasons why the conservancies failed to comply. Financial mismanagement was also highlighted as one of the reasons cited by Key Informants why Eiseb could not comply with producing and submitting a satisfactory 2019 annual financial report. To address this, MEFT demanded, through a letter of enquiry, for the CMC to explain the unaccounted-for funds, and restrictions were put on the conservancy bank accounts, so that the CMC could only withdraw money from the bank account with authorisation from MEFT.

The compliance was not consistent between 2014-2019. Inconsistency in SOP compliance could be attributed to lack of funds and income generation that warranted conducting compulsory conservancy activities. In the 2014-2019 period on which the study focused, Namibia experienced drought – which affected income generation in communal conservancies. As a result, lack of income contributed to conservancies' failure to distribute benefits according to the BDP and Procedure between 2014 and 2019, especially in Eiseb, Ovitoto and Ehirovipuka in 2019. Moreover, failure to hold AGMs, and other reasons such as lack of funds, disputes or conflict, and failure to give notice, were attributed to be the main causes of conservancies' failure to hold CMC elections. Other reasons such as unequal distribution, and lack of access to information by members regarding access points to benefits and the CBNRM programme, were found to be other major reasons for conservancies' failure in distributing benefits in line with their BDPs and Procedure.

Most of the conservancies' managers and bookkeepers have a poor level of education and no financial literacy. To address the lack of compliance among conservancies, the Institutional Development Working Group (IDWG) supporting conservancies, and MEFT, secured funding from donors to strengthen the conservancy governance and institutional capacity (MEFT/NACSO, 2021). This support aims to ensure that conservancies comply with SOPs. Firstly, the IDWG is supporting conservancies to review old Constitutions, build capacity, and be able to organise and conduct AGMs, capacitate elected representatives that oversee conservancy affairs to have financial management skills, improve membership engagement, and promote benefit distribution to members. Additionally, MEFT should increase supervision to ensure conservancy compliance.

Most of the people interviewed from Eiseb and Ovitoto recommended that MEFT support (low to no income) conservancies with an operational budget for the CMC and staff, to be able to implement conservancy activities and meet all requirements. They further suggested that people with the relevant skills/capacity be appointed to strategic positions, to improve the management of the conservancy. Ovitoto respondents recommended that

they be awarded a hunting concession in the Von Bach Game Park that is adjacent to the conservancy.

5.5. Summary

This chapter presented the study results and cross-case analysis of the four case studies as well as discussions of the results. The next chapter, Chapter Six, presents the conclusion to the study, and provides recommendations or interventions to improve compliance in conservancies.

CHAPTER SIX

6. SYNTHESIS, RECOMMENDATIONS AND CONCLUSION

6.1. Introduction

This chapter concludes the study by reflecting on the findings in terms of the stated aim and objectives of the study, and the findings in relation to these, as well as providing recommendations for interventions to improve the compliance of conservancies with the SOPs. The recommendations are based on the findings from the case studies, and a final conclusion is provided.

6.2. Synthesis

This study aimed at determining the level of compliance of communal conservancies with the SOPs and with specific objectives: (1) Compile an inventory of all the conservancies in Namibia; (2) Establish and determine the performance and the level of compliance; (3) Select case studies for further investigation to compare success and challenges; and (4) Recommend interventions to improve the compliance of conservancies. These objectives were achieved through the findings below.

The number of conservancies in Namibia grew from just four (4) in 1998 to 86 and one (1) association by the end of 2018. Nyae Nyae, Salambala and ≠Khoadi-//Hôas were among the first conservancies to be registered. The increase in the number of conservancies registered resulted in the increase of rural communities residing in land under conservation, subsequently increasing areas with conservation status. Kunene and Zambezi regions have the highest number of registered conservancies in Namibia. The increase in the number of conservancies can be attributed to a number of factors, such as the increase in benefits to rural communities in form of cash, game meat from conservation hunting, income from crafts and indigenous plants, provision of services and jobs opportunities.

Trophy hunting and tourism were found to be the main sources of income for the majority of conservancies, complemented by INPs such as Devil's Claw and, to an extent, thatch grass. Out of the 86 registered conservancies, around 36 conservancies do not generate any income at all, hence they are dependent on donor funding. Although there was a significant difference in the level of compliance between conservancies from 2014 to 2019, there was no significant difference in compliance of conservancies per region for the same period. The highest average conservancy compliance rate was recorded only in 2017 and 2019. Furthermore, income was found to be a major determining factor; hence, conservancies with funds tend to be more compliant than conservancies without money.

The four conservancy case studies selected found that Nyae Nyae and Ehirovipuka were found to be more compliant than Ovitoto and Eiseb. The level of compliance seems to be higher in conservancies that generate an income, serving as an incentive for members to ensure that they received their benefits. Among the contributing factors to lack of compliance included lack of income, capacity to organise compulsory activities and prepare financial reports, commitment from CMCs, poor member engagement and awareness of conservancy activities by CMCs. This could be because of lack of incentives and interest in participating in conservancy activities. Lack of income generation and incentives in some conservancies would continue to affect compliance among low to no income generating conservancies.

Its therefore concluded that the level of compliance for conservancies is dependent on various factors, mainly the income and support provided to the CMC.

6.3. Recommendations

One of the long-term goals for the CBNRM programme is for all conservancies to become financially and institutionally sustainable through good governance practices. It is therefore recommended that for conservancies to comply with the set requirements, MEFT and supporting NGOs should focus on capacity building and skills development of the CMC and staff. It is further recommended that conservancy Constitutions should be

reviewed to provide longer office tenure, to enable CMCs to implement skills acquired to improve governance and compliance. When new CMCs are elected, MEFT and NGOs should supervise transition between committees, so as to ensure skills transfer and, where necessary, retain capacity from trained CMCs provided it's within the conservancy constitution. CMCs should be supported to engage with the conservancy members, to strengthen relationships and generate interest in conservancy functioning. MEFT should work with NGOs to increase the tourism value, and diversify to alternative income generating opportunities of conservancies that do not generate income, to enable private investment in tourism development in order to sustain conservancy operations. Increasing investment is critical, as the conservancies cannot flourish without the support of the members. Mufune (2015) argues that dependency on external donor funding is unsustainable for CBNRM.

Conservancies' management should update and engage members in conservancy activities, and ensure that members understand their Constitutions, through awareness. It is further recommended that conservancy members hold CMC and staff accountable for non-compliance. MEFT should also consider developing different compliance evaluation criteria for conservancies, based on their level of income. In terms of financial mismanagement, it is recommended that individuals involved should be held accountable, instead of the whole conservancy. In line with the CBNRM policy, regular consultations should be conducted to determine members' interest to have their land under conservancies, especially when they do not have the potential to gain any economic returns. If members so wish, the government should be informed to dissolve the conservancy, and allocate the land to other economic activities that can contribute to socio-economic development.

Future conservation interventions should consider prior proper assessments, in order to establish the economic viability of conservancies to attract private investment, and to develop tourism products before establishing and gazetting areas as conservancies. The ability to generate an income would enable conservancies to be self-sustaining, rather

than relying on donors and government for funding. Finally, future studies should focus more on alternative income generating opportunities, in the absence of hunting and tourism, to maximise the income generation of conservancies – especially the non-income-earning conservancies. Its further recommended that future studies emphasise members' satisfaction, in terms of their conservancy compliance.

6.4. Conclusion

It's worth noting that the compliance of the conservancies in Namibia are heavily dependent on income generated mainly by individual conservancies, commitment and accountability by the CMC, as well as membership engagement in conservancy activities, and holding CMC accountable.

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APPENDIX A: INTERVIEW GUIDE FOR LOCAL COMMUNITIES

My name is Hilde Shekupe Iileka, a second year Masters Student at the University of South Africa, Student Number, 64046478. I am conducting a study evaluating compliance of Namibian communal conservancies to Standard Operating procedures as introduced by the Ministry of Environment and Tourism. This study aims to assess the level of compliance of conservancies, level of performance of selected conservancies and obstacles and challenges faces by conservancies. You are under no obligation to participate and you may end the interview at any given time. Should you change your mind during or after the interview, you may inform me not to use any information that you have provided to me. The collected information will be used to inform my Master's thesis and I do not anticipate any risk or harm to you. All information collected is purely for study purpose and will remain confidential. Furthermore, the results will be presented in such a way that you will not be identified personally. I would also like to use a digital recorder to record our conversation to capture the level of detail required for data.

General Information

Name of interviewer: ……

Date and Place……....

Name of Conservancy……....

Region and Constituency……...

Year of Conservancy establishment……....

Year of Conservancy gazette……

Demographic and livelihood information

1. Gender of respondent……

2. How long have you been a member of the conservancy?.....

3. What is your position in the conservancy? ……

4. Conservancy main source of income? ……

1. Annual General Meeting
   1.1. Were the Conservancy AGM held between 2014 and 2019?

Year	Yes	No
2014		
2015		
2016		
2017		
2018		
2019		

If no, answer question 1.2.?

1.2. Why was the AGM not held?

Quorum not met	Notice not given	No funds	Failure in logistical arrangements	Others)

If others please specify

……
……
……
……
……

2. Conservancy Management Committee Elections
   2.1. What is the tenure of the Conservancy Management Committee?

1 year	2 years	3 years	4 years	5 years

2.2. Was the CMC elections required by the Constitution and held between 2014 and 2019?

Year	Yes	No
2014		
2015		
2016		

2017		
2018		
2019		

If no, answer question 2.3.?

2.3. Why were the elections not conducted?

AGM not held	Notice not given	Local dispute/conflict	Others

If others please specify

……
……
……
……
……

3. Benefit Distribution Plan

3.1. Types of benefits distributed between 2014 and 2019.

Meat	Cash	Community development projects	Others

If others please specify

……
……
……
……
……

3.2. Were benefits distributed between 2014 and 2019?

Year	Yes	No
2014		
2015		
2016		
2017		
2018		
2019		

3.3. Were the benefit distributed as per the BDP and procedures?

Year	Yes	No
2014		
2015		
2016		
2017		
2018		
2019		

If no, please explain

……
……
……
……
……

4. Game Management and Utilisation Plan

4.1. Did the conservancy Implement the Event Book System to manage its wildlife according to the Game Management and Utilisation Plan?

Year	Yes	No
2014		
2015		
2016		
2017		
2018		
2019		

If no, please specify

……
……
……
……
……

4.2. Did the conservancy follow the zonation plan

Year	Yes	No
2014		
2015		
2016		
2017		

2018		
2019		

If no, please specify

……
……
……
……
……

4.3. Did the conservancy submit wildlife utilisation report?

Year	Yes	No
2014		
2015		
2016		
2017		
2018		
2019		

If no, please specify

……
……
……
……
……

5. Annual Financial Statements

5.1. Has the Conservancy Management Committee produced a financial statement between 2014 and 2019?

Year	Yes	No
2014		
2015		
2016		
2017		
2018		
2019		

If no, please specify?

……
……
……
……
……

6. Did you apply any remedies to enforce compliance with SOPs (please indicate in the table below)

Requirement	Recommended Action	Action enforced and implemented	Reason for no implementation

APPENDIX B: ETHICAL CLEARANCE APPROVAL

UNISA university of south africa

UNISA-CAES HEALTH RESEARCH ETHICS COMMITTEE

Date: 16/03/2020

NHREC Registration # : REC-170616-051
REC Reference # : 2020/CAES_HREC/040
Name : Ms HS Iileka
Student #: 64046478

Dear Ms Iileka

Decision: Ethics Approval from 12/03/2020 to completion

Researcher(s): Ms HS Iileka
hilde.iileka@gmail.com

Supervisor (s): Prof KF Mearns
mearnkf@unisa.ac.za; 011-471-2973

Working title of research:

Evaluating compliance to mandatory Standard Operating Procedures by communal conservancies in Namibia

Qualification: MSc Environmental Management

Thank you for the application for research ethics clearance by the Unisa-CAES Health Research Ethics Committee for the above mentioned research. Ethics approval is granted until the completion of the project, **subject to submission of yearly progress reports and further clarification. Failure to submit the progress report will lead to withdrawal of the ethics clearance until the report has been submitted.**

Due date for progress report: 31 March 2021

Please note the points below for further action:

1. More detail is required on the protection of the confidentiality of the targeted conservancies. What will happen if the researcher finds out that a specific conservancy does not comply to these mandatory Standard Operating Procedures? What will the implications be if this becomes known? How will the researcher ensure the confidentiality of the conservancies to prevent any impact on them?

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2. The researcher did not submit a consent form for participants to sign before they participate in the research. How will she obtain consent from the participants? Unisa has a standard consent form that must be used to obtain consent from participants. The researcher may not use any other consent form, and is requested to submit the corrected draft consent form to the Committee for record purposes. The forms are provided on the college website: https://www.unisa.ac.za/sites/corporate/default/Colleges/Agriculture-&-Environmental-Sciences/Research/Research-Ethics
3. As the ethics application form was submitted in PDF format, the imbedded documents could not be opened. The researcher is requested to submit all attachments separately.
4. The statistical analysis section requires clarification. The researcher will collect non-numerical data for objectives 1 and 2, yet specified methods that are usually applied to numerical data. The researcher should clearly define the variables and type of data that will be collected, as well as provide the statistical hypothesis that will be tested. Furthermore, no method of data analysis was provided for objectives 3 and 6.

*The **low risk application** was **reviewed** by the UNISA-CAES Health Research Ethics Committee on 12 March 2020 in compliance with the Unisa Policy on Research Ethics and the Standard Operating Procedure on Research Ethics Risk Assessment.*

The proposed research may now commence with the provisions that:

1. The researcher(s) will ensure that the research project adheres to the values and principles expressed in the UNISA Policy on Research Ethics.
2. Any adverse circumstance arising in the undertaking of the research project that is relevant to the ethicality of the study should be communicated in writing to the Committee.
3. The researcher(s) will conduct the study according to the methods and procedures set out in the approved application.
4. Any changes that can affect the study-related risks for the research participants, particularly in terms of assurances made with regards to the protection of participants' privacy and the confidentiality of the data, should be reported to the Committee in writing, accompanied by a progress report.
5. The researcher will ensure that the research project adheres to any applicable national legislation, professional codes of conduct, institutional guidelines and scientific standards relevant to the specific field of study. Adherence to the following South African legislation is important, if applicable: Protection of Personal Information Act, no 4 of 2013; Children's act no 38 of 2005 and the National Health Act, no 61 of 2003.

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6. Only de-identified research data may be used for secondary research purposes in future on condition that the research objectives are similar to those of the original research. Secondary use of identifiable human research data require additional ethics clearance.
7. No field work activities may continue after the expiry date. Submission of a completed research ethics progress report will constitute an application for renewal of Ethics Research Committee approval.

Note:

*The reference number **2020/CAES_HREC/040** should be clearly indicated on all forms of communication with the intended research participants, as well as with the Committee.*

Yours sincerely,

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