



# CBNRM Governance Manuals Facilitator's Guide



# Zambia Community-Based Natural Resources Management (CBNRM) Governance Manuals

*Facilitator's Guide for Training Community  
Resource Boards in Zambia*

2023

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# ACRONYMS

AGM	Annual General Meeting
BDP	Benefit Distribution Plan
CBNRM	Community-based Natural Resources Management
CBO	Community-based Organization
CDC	Community Development Committee
CRB	Community Resource Board
CS	Community Scout
DNPW	Department of National Parks and Wildlife
FG	Facilitator's Guide
FMC	Financial Management Committee
GM	General Meeting
GMA	Game Management Area
GMP	General Management Plan
GRZ	Government of the Republic of Zambia
HWC	Human Wildlife Co-existence
MOT	Ministry of Tourism
NGO	Nongovernmental Organization
NRC	Natural Resources Committee
NRM	Natural Resources Management
PH	Professional Hunter
RMC	Resource Management Committee
TA	Traditional Authority
USAID	United States Agency for International Development
VAG	Village Action Group
VLUP	Village Land Use Plan
WPO	Wildlife Police Officer
ZCRBA	Zambian Community Resources Board Association

# **I.0 INTRODUCTION TO THE GUIDE**

## **I.1 BACKGROUND**

To provide for local level governance structures to support the implementation of the Wildlife Act (2015) and the National Parks and Wildlife Policy (2018), provision is made for Community Resources Boards (CRBs) that are responsible for community management of Game Management Areas (GMAs) or Open Areas. GMAs are buffer zones around national parks where multiple land uses are permitted including settlement and crop cultivation among other activities. The Boards are constituted by elected Village Action Group (VAG) executive members as representatives of the community living within the Chiefdom and once elected they need to fulfil the responsibilities allocated to them.

As soon as possible after a new Board is constituted, the Board members should be given induction training. Induction training will provide them with an overview of the functioning of the CRB and its responsibilities as well as the requirements for compliance with the Department of National Parks and Wildlife (DNPW) regulations. The induction training provides the new Board with the knowledge they need to deliver on their roles. The purpose of this Facilitator's Guide (FG) is to provide guidance to those responsible for providing induction training to the new Board.

## **I.2 THE ROLE OF COMMUNITY RESOURCES BOARDS**

The Wildlife Act of 2015 describes the structure of a CRB and how representation from the VAGs combines to form the CRB. The Wildlife Act of 2015 describes the composition of the CRB as follows:

- Not more than ten but not less than seven representatives from the local community who shall be elected by the local community;
- One representative of the Council in the area;
- A representative of a Chief in whose area a Board is established to represent that Chief; and
- A person seconded by the Minister.

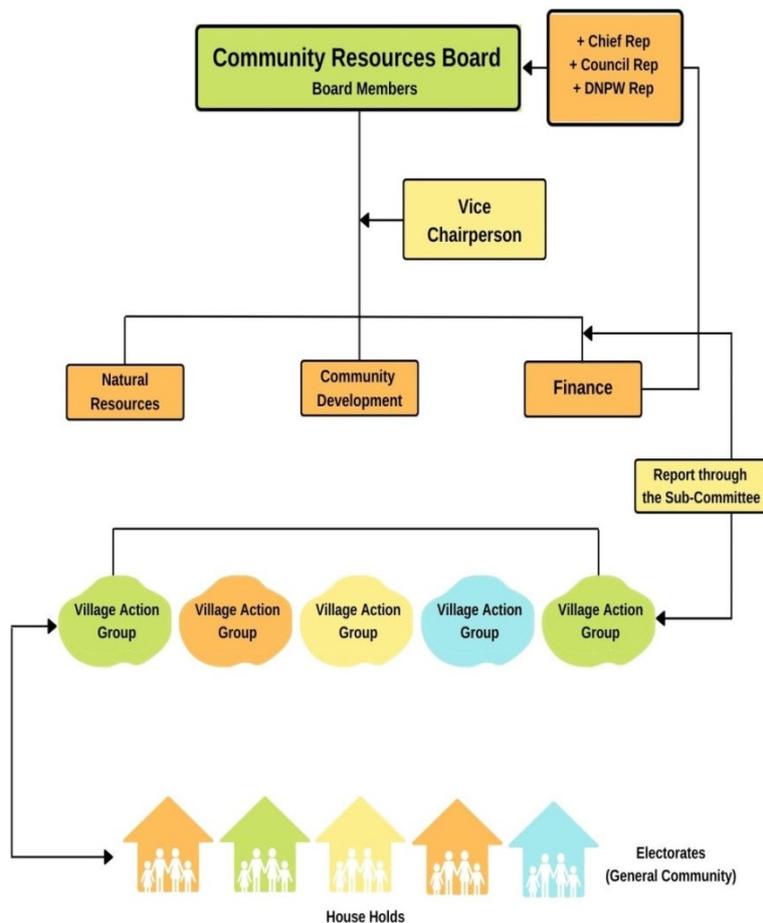
The community members on the CRB are the Chairpersons from the VAGs who are elected at village level. In the CRBs with few VAGs, the Vice Chairperson for the VAG is also part of the CRB executive.

From the constituted Board, the following designated roles need to be filled:

- The Chairperson
- The Vice Chairperson
- The Finance Management Committee Chairperson
- The Natural Resources Committee Chairperson
- Community Development Committee Chairperson

The Board operates through the sub-committees that are formed and led by the Chairpersons. Committee membership is drawn from the Board members. The following sub-committees exist:

- Financial Management Committee (FMC);
- Community Development Committee (CDC); and
- Natural Resources Committee (NRC).



The designated roles within the Board are linked to the roles of the Secretariat. It is expected for the designated Board members to provide oversight and supervision to the related Secretariat functions.

However, due to financial constraints, not all the CRBs have a full Secretariat, resulting in the Board members carrying out the decision-making and management functions as well as secretarial and administrative functions. Ideally, the Board members should be involved in determining processes for the implementation of ongoing activities and compliance requirements of the CRB. Within those processes, the day-to-day responsibilities should be allocated to the Secretariat. Thus, the role of the Board is to make decisions, monitor the implementation of the management processes and carry out adaptive management. Since this ideal situation is not the reality in most CRBs, the Board members need to have the required knowledge, skills and competencies to also fulfill the management and administrative functions of the CRB.

There are great differences between CRBs and there is a need to differentiate between CRBs who are at different levels of development. In order to meaningfully provide induction training to CRBs, three categories of CRB can be differentiated. These are:

- **Developed or mature CRBs** – these would be CRBs in resource rich areas that have experience in managing income from consumptive wildlife utilization and have appointed a full Secretariat to support the management of the CRB activities as well as appointing community scouts (CSs) for law enforcement.
- **Developing or maturing CRBs** – these would be CRBs in areas where the resources are not necessarily rich but where some income is generated from wildlife and the CRB manages a limited budget but has employed CSs and some Secretariat services.

- **Emerging CRBs** – these are CRBs where wildlife and other natural resources are depleted and little or no income is earned from wildlife or resource utilization, there are only a few or no CSs and no funding available to appoint a Secretariat. In these CRBs it is likely that community engagement is minimal and few CRB activities are taking place or having impacts. Nevertheless, these CRBs may need support from DNPW, Zambian Community Resources Board Association (ZCRBA) and other nongovernmental organization (NGO) partners to develop strategies to improve resource availability, manage human wildlife co-existence (HWC) or protect and manage the limited natural resources that remain.

To address the different needs of the CRBs, the Facilitator needs to adapt the induction training to make it appropriate for the targeted CRB. This will be discussed in the next section.

### 1.3 APPROACH AND METHODOLOGY

#### The Facilitator's Guide

This FG is intended to serve as a guide to facilitate a process of introducing the new Board members to their roles and responsibilities and to provide them with an overview of the scope of their duties. This FG is intended to provide a big picture view of their responsibilities and should be followed up with specific in-depth training of key topics of CRB management such as financial and administrative processes and compliance requirements, the development of management plans and business planning and the development of benefit sharing plans.

The approach is highly adaptable to different natural resource issues and audiences (for example Community Forest Management Groups under Community Forest Management) and the content and training processes can be tailored to the literacy level and context. This FG should be seen as a 'living document' and Facilitators are encouraged to note where improvements can be made to render the modules more dynamic, adaptable and engaging. No time limits for the various sessions have been indicated and this should be managed by the training Facilitator. If a section in the FG is not relevant for a particular CRB, then it should be excluded. Thus, it is very important for the Facilitator to familiarize himself/herself with the CRB and its situation and history, before planning the training event.

The facilitation is based on important adult learning principles including:

- **Adaptation.** All material should be presented in the most appropriate language for the audience and if the audience is low literacy, then favor images over words and adjust the programme to give sessions more time for learning.
- **Respect.** Regardless of their educational levels or background show respect by listening intently, not interrupting and valuing the contribution of each individual.
- **Dialogue.** For the dialogue to happen, the facilitators should see themselves as facilitators, not teachers or lecturers. The emphasis should be on facilitating reflection within each group and exchanges between groups to enhance learning.
- **Engagement.** Paying attention to the level of engagement of all participants. If only a few people are dominating discussions, find ways to invite others either through small group activities or by inviting the perspective of those individuals who have not been active without being overbearing.

**Important principle:** If a participant responds to a question posed by the Facilitator during a group discussion and the response is incorrect or not the exact answer the facilitator was expecting – never say “No, that is wrong” but rather say “What about if.....” or “Have you considered that ....” or “Mercy, do you agree with Tuli?”

The FG is divided into four modules, each corresponding to one of the key governance components with content of each module building on the previous module.

- **Module 1** provides an introduction to governance, the structure of the CRB and the various roles and responsibilities of the CRB.
- **Module 2** offers an overview of the various functions the CRB has relating to the management of natural resources and the enforcement of local rules.
- **Module 3** outlines the requirements for administration of the CRB as well as the requirements for financial management and reporting.
- **Module 4** introduces the role of the CRB in community development and emphasizes the need for planning and organization in order to realize community benefits and contribute to community development.

Each of the modules described above represents one of the pillars upon which a CRB is built. If one of these pillars is missing or not functional, then the structure will be unstable or even break apart.

Delivery of each module is structured to take place over a one-day period (this is an estimate and can be adapted depending on the context and the level of development of the CRB). A common methodology providing practical steps for the delivery of each module is outlined in the FG providing:

- An introduction to the module topics.
- A step-by-step guidance to the facilitation of each of the components of the modules. This section has the heading *Process* and it provides suggestions for interactive processes to be facilitated in order for the Facilitator to engage with the participants.
- *Facilitator's notes* that provide the core content that will inform the processes during the training. These notes are for use by the Facilitator who will review all the information provided and select the relevant information to include during the training event in various formats. These are not meant to be read to the participants.
- *Review and assessment*. This section describes an interactive process which will allow the Facilitator to review the outcomes of the key discussion points that have been raised during the day and undertake a quick verbal assessment activity that will allow the Facilitator to assess whether all participants have grasped the key concepts. However, in order for this process to be effective, the Facilitator will need to prepare statements in advance.

Before embarking on a training event, it is important that the Facilitators familiarize themselves with the topic content to be discussed by reading the *Facilitators' notes* in advance. Think through the training sessions and ensure you are ready for an interactive process. In addition, ensure that you prepare the tools and materials needed to aid the training beforehand. For this training, it is important to access the governance documents of the CRB in advance and review these so that you are prepared when specific topics or questions are raised during discussions. Examples of these documents are the General Management Plan (GMP) of the GMA, the CRB Constitution, recent reports and financial statements. Minutes of Annual General Meetings (AGMs) or recent management meetings would also be useful. For this reason, it is recommended that the training event be held at the CRB office so that documentation can easily be sourced for discussion during the training.

A successful training event rests on solid preparation ahead of the event. The checklist below give broad outlines for the standard preparation required for all the sessions.

- Identify when to hold the training event. Since this training is for the induction of newly constituted Board, the training event should take place as soon as possible after the election

process has been concluded. This will motivate the newly appointed members and ensure that they feel confident about the responsibilities that they have accepted.

- Identify where the training event should in order to ensure maximum participation by all the members of the Board. Prepare and plan the logistics and ensure that these plans are communicated to all the participants. Arrange for meeting space, transportation, food, and lodging as needed.
- Send out invitation to the Chairperson of the CRB. In the invitation letter clearly indicate who is required to participate (criteria for selection of participant), meeting objectives, duration, and other logistical information as necessary. Depending on the area and the history of the CRB, it might be appropriate to invite some of the stakeholders in addition to the newly elected Board members. For this first training workshop with the Board members, it is recommended that the focus should be on them gaining confidence in their new roles. If the Chairperson indicates that it would be appropriate to invite the local concessionaire or a particular government representative, make sure to extend the invitation through the appropriate channels. However, limit the participation of the invited guests to particular sessions. The new Board members will be able to participate more freely if the participants are mostly their peers.
- Determine the appropriate language for the training event as well as the approach for the audience based on literacy levels and culture. If translation is needed, make arrangements for this in advance.
- If working with other Facilitators, share the plan and necessary materials early and jointly review all information to ensure shared understanding of objectives, approaches, key terms, and outcomes. Divide up the work for facilitation with co-facilitators and ensure sufficient preparation is done by all. Discuss the house rules that will be implemented during the training events.
- Read the module thoroughly and be clear about each session. For several of the sessions, the training will refer to existing CRB documents. Ensure that you have a few copies of each. Make enough copies of materials you will need including: attendance list, handouts and program outline.
- Gather all supplies needed for the meeting (flip chart paper, flip chart stand, tape, markers, scissors, pens, note books, bolstick, watch, etc.).
- This induction training is intended to introduce the newly elected Board members to the existing systems and operations of the CRB. Much of the focus will be on identifying gaps where the new Board needs to address their efforts to strengthen an existing process or implement a new process. The Facilitator should have a flipchart sheet displayed in a convenient position where any tasks that are identified and allocated can be recorded for follow-up. This applies to all the modules discussed during this training event.

The fundamental approach for this induction training is based on building the capacity of the newly constituted Board members so that they have the practical skills and knowledge to make decisions and manage the CRB. To do that they need to be familiar with the documentation and plans that already exist and determine the management of the CRB. It is essential to access these documents well in advance of the training and go through them so that you are able to meaningfully introduce the Board members to these documents which will inform their decision making and management actions.



## 2.0 MODULE I: CRB GOVERNANCE

Module one is about providing a space and an opportunity where participants have the confidence to reflect on and comfortably discuss the challenges facing their CRB as well as identifying their own knowledge and skills gaps in relation to their role on the Board. This intends to secure commitment from the Board members with regard to fulfilling their roles and responsibilities while also creating awareness on the challenges they face with regard to meeting the expectations of their members with the resources and skills available.

If issues are identified that cannot be resolved during the course of the discussions on this topic or if time constraints do not allow for the required discussion to reach agreement, then park these issues by writing them down on a flipchart sheet entitled *For follow up*. These issues can then be followed up by the Board during the course of their subsequent meetings.

### 2.1 THE ROLE AND STRUCTURE OF THE CRB

The perception of the newly appointed Board members about the role of the Board and about their role in particular, may be influenced by the performance of the previous Board. This introductory session is intended to make the participants relax through various interactive activities and should not focus solely on content but rather on ensuring that everyone is comfortable and confident and eager to contribute to the discussions.

This introductory session is an important session as it sets the tone for the rest of the sessions. Ensure that the atmosphere in the room from the very start is conducive to discussion and participation. The objective of the introductory session is for the Participants to understand the:

- Purpose;
- Structure; and
- Responsibilities of the Board.

The group discussions should be encouraged to focus on the opportunities and challenges being experienced in their area and CRB currently, rather than the theoretical possibilities that exist.

Start the day with an appropriate opening. This may be with a song or a prayer or by a word of welcome from the Chief or his representative. Enquire before the start of the training as to what would be most appropriate.

### PROCESS

#### Step 1: Introductions

Start off by introducing yourself and sharing personal information – keep it light, amusing and upbeat and this will hopefully encourage Participants to do the same. Then ask the participants to introduce themselves and to tell the group something about themselves. Suggest that they should share something personal (about his/her family, where he/she lives, his/her aspirations in life) and also something about their involvement in their VAG which led to them being elected onto the VAG executive committee. The participants should also indicate if they have been elected to one of the designated positions within the Board.

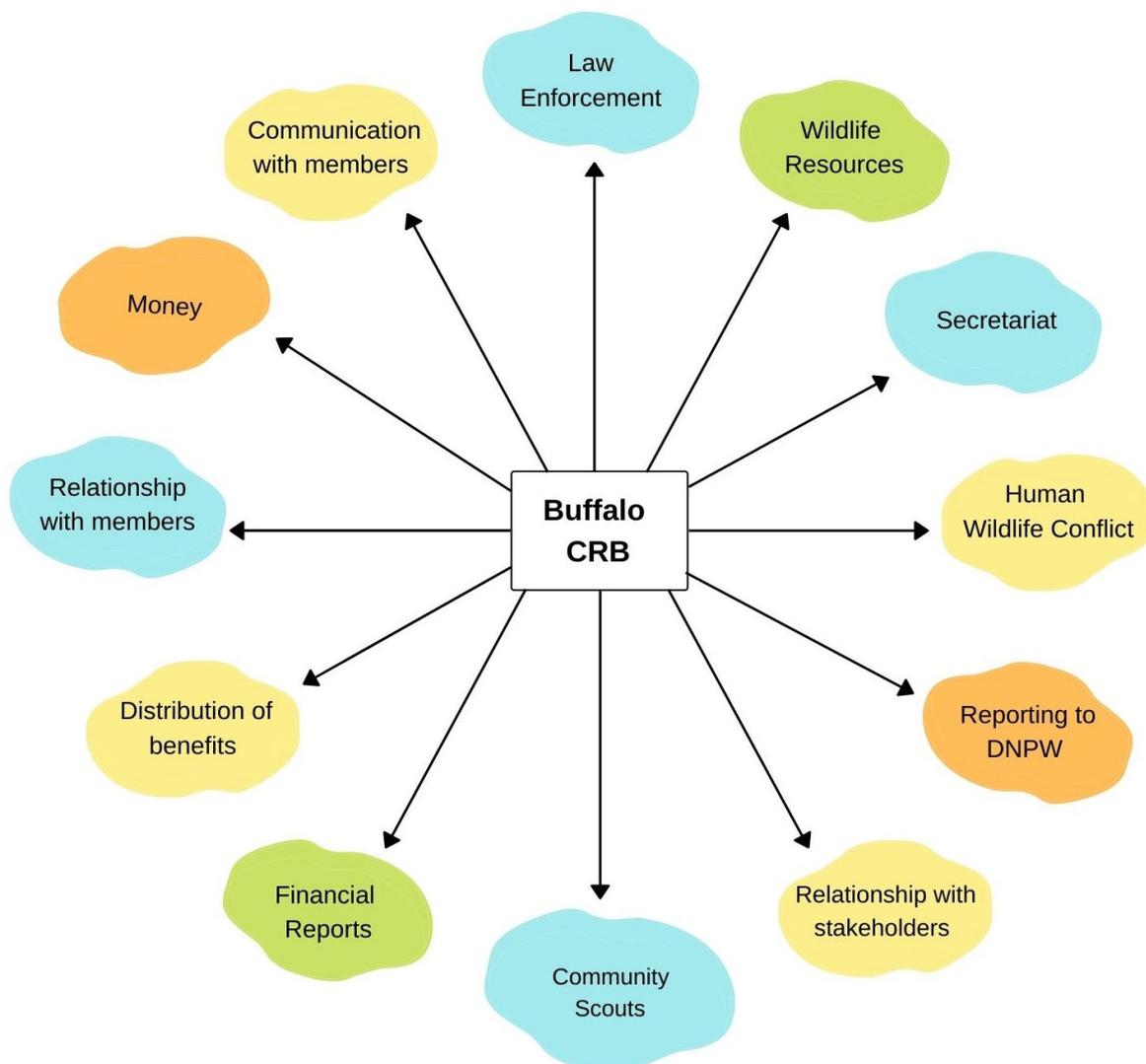
Give each participant a card and ask them to anonymously write down how they felt when it was announced that they had been elected to the top VAG position and subsequently serving in the CRB. Collect the cards and then display them (on a wall or on the flipchart) and facilitate a discussion about why individuals experienced these feelings and lead the group discussion to **reflect on the trust that the members have placed in the elected members of the Board and the expectations of the members.**

## Step 2: Objectives of the Training

Start by asking each participant to stand up and in one sentence say what they perceive the objective of this training is. No one should be allowed to give an objective that has already been mentioned – so this will become progressively more difficult.

On the flipchart, summarize the key objectives expressed by the participants. If any of the key objectives have been omitted, then add these and explain why you are adding these objectives. Link the objectives listed to the attributes of a functional CRB.

Using the flipchart and cards, build a representation of all of the “things” (functions, aspects, resources) that a Board has to manage. Draw a central image representing the Board with arrows going outwards from the central point. As the group agrees on the various “things” that a Board has to manage, write these on individual cards and put these on the flipchart. See the example below. If more than one CRB is involved in this training event, divide the participants up into groups so that all the participants from one CRB work together and then build a chart for each CRB. If there is more than one Facilitator, then the groups can work concurrently.



### **Step 3: The Structure of the Board**

Introduce this topic by getting the participants to write each of their names on a card. Then get them to write their position or portfolio (within the Board) above their names on the card. Using the cards, build an organogram by placing the cards in hierarchical order. If some cards are missing (because there are no participants – e.g. the Chief) then write a card and insert it in the organogram. The purpose of building the organogram is to provide an opportunity to discuss the mandate of the Board and also to consider where and how decisions are made. Leave the organogram displayed (if possible) so that participants can refer back to it during the rest of the training event.

Discuss the differences in the roles between the Board and the Secretariat. Emphasize that the Board is the decision-making body and that the Secretariat is employed by the CRB to support the implementation of the decisions made by the Board.

Discuss the responsibilities of the CRB to its members and to DNPW and give an overview of the requirements for compliance. Facilitate a brief discussion about how successful the previous Board was in meeting compliance requirements and if there were issues of non-compliance, make a note of these.

Discuss the role of the Chief with regard to the CRB. Use the organogram to discuss where the Chief is placed and encourage the participants to share their experiences of how the interaction between the CRB and the Chief has worked in the past and how they think it should work in the future.

### **Step 4: CRB Revenue Sources**

Ask the participants where the CRB gets its revenue from and establish whether they are informed about the potential amount of revenue they will be responsible for. Find out whether they are familiar with how the revenues from safari hunting fees generated in GMAs are shared between the Government of the Republic of Zambia (GRZ), the CRB and the Chief. DNPW also stipulates how the money allocated to the CRB is allocated and used. If there are other sources of income into the community, for example from forest resources, explore how community forest management integrates or overlaps with the management of wildlife resources.

If available, review the budget of the CRB for the previous year.

Ask the participants if they know the details of the budget – the allocations and expenditures and whether the budget allocations complied with the DNPW requirements. The allocation should be as follows:

- 45% is meant for wildlife protection;
- 35% for socio-economic development; and
- 20% for administration.

### **Step 5: Challenges**

Facilitate a discussion on the challenges previously experienced by the CRB. Ensure that the discussion does not become personal or negative but rather consider an overview of the challenges experienced by the previous CRB. Since some current CRB executive members would have been VAG members during that period, they may not be familiar with the reasons for the challenges but this perspective of VAG members will be useful. Ensure that the discussion does not become personal or accusatory – keep it general and positive. Identifying the challenges is not for the purpose of laying blame but rather to identify what needs to be improved on or corrected. If appropriate, list the identified challenges on the *For follow up* sheet.

## FACILITATOR'S NOTES

Before starting the session, familiarize yourself with the following concepts:

A CRB is a community-based organization (CBO) which is established through a democratic process by the community to meet their development and conservation objectives. A CBO is a membership-based organization consisting of individuals or groups of individuals in a given community who come together to further a common interest/objective. These people may or may not be living in same geographical community but are united by a common interest such as the use of common pool resources. VAGs are the building blocks of the CRB and their functionality depends on the three principles:

- Transparency – effective communication methods are used so that all decisions, all finances, and the progress of all projects and activities are known to members of the community;
- Participatory democracy – the primary mechanisms for making decisions, and for checking that decisions are implemented, is the community general assembly where all matters are discussed, presented and agreed face-to-face; and
- Equity – every member of the community has an equal right and responsibility, to share in the benefits, to make decisions, to support community activities, and to get information about all the activities of the community, especially finances.

The main mechanisms for achieving these functions are:

- Regular general meetings (GMs); and
- The presentation of properly prepared reports to these meetings.

### The Attributes of A CRB

The purpose of the CRB is to provide a platform which allows community persons to work together in planning and carrying out community activities. CBOs have special features that allow community members to work together in planning and doing community activities. CRBs should have the following attributes:

- Accountable;
- Operate under agreed upon principles, guidelines, values, ethics;
- Accessible to the community;
- Inclusive and impartial;
- Democratic;
- Having vision; and
- Ability to organize, plan and implement priorities.

### The Structure of A CRB

**Board:** This is the overall decision-making body for the CRB, with representation from the various VAGs. The Board should consist of seven to ten members. Generally the following roles are allocated to individuals on the Board - the Chairperson, the Vice Chairperson, the FMC Chairperson, the NRC Chairperson and the CDC Chairperson.

**Secretariat:** This is usually the administrative arm of the executive body of the Board (Chairperson, Vice Chairperson and Sub-Committees), and employed staff members e.g. a bookkeeper and office administrator. The Secretariat works under the Board's direction on the day-to-day administration and processes of the CRB.

**Sub-committees:** These are usually task oriented sub-committees which coordinate specific activities of the Board. These include the FMC, the Resource Management Committee (RMC) and the CDC.

**Members:** These are the general members of the CRB from the constituent VAGs who are serviced by the above three components in fulfilling the objectives of the CRB.

### **The Role of the CRB**

In general terms, the role of the CRBs can be summarized as:

- CRBs provide a conduit for sharing benefits from wildlife;
- They provide a forum for community participation in decision making and planning in wildlife and related natural resources management (NRM) issues; and
- CRBs provide a platform for environment and other support organizations to assist the community.

Specific roles and functions of Boards are outlined in the Zambia Wildlife Act of 2015 as:

- To promote and develop an integrated approach to the management of human and natural resources in a GMA or an open area within its jurisdiction;
- To have powers to negotiate, in conjunction with the DNPW, co-management agreements with hunting outfitters and photographic tour operators;
- To have the power to manage the wildlife under its jurisdiction, within quotas specified by DNPW;
- To appoint CSs to exercise and perform the duties of a Wildlife Police Officer (WPO) under the supervision of a WPO in the area falling under the CRB's jurisdiction;
- In consultation with DNPW develop and implement management plans which reconcile the various uses of land in areas falling under the CRB's jurisdiction;
- Explore the benefits of a CRB registering as a community forest management group to gain authority over forest resources; and
- To perform such other functions as DNPW may direct or delegate to it.

### **The Role of the Chief (Patron) in the CRB**

The roles of the Chief include to:

- Monitor, advise, and support the Board to ensure compliance (accountability and adherence) to agreed plans, and in a manner customary to traditional rulers, will provide stewardship for the community in all matters pertaining to traditions and local values;
- In consultation with DNPW, the Chief may recommend that a Board member be removed from the Board if they act outside their Constitution or the interest of their community and the requirements of wildlife conservation;
- Provide the Minister of Tourism with advice on use, protection and benefits of resources;
- Guide the CRB on issues concerning land zonation and land use requests by private sector and shall ensure that the community owns all lands and all use is through an operating concession (rather than of tenure); and
- Be consulted by the Board on all major community issues.

## **Income Sources and Allocations**

DNPW is responsible for collecting 100% of revenues from safari hunting concessions which are paid to the Central Treasury. The hunting concession and animal fees generated in GMAs are shared as follows:

- 100% Hunting Concession fees retained by GRZ;
- 50% of animal fees retained by GRZ; and
- 50% of animal fees for the Communities.

The breakdown for the community share is taken as 100% Community revenue and distributed as follows:

- 45% to CRBs for administration, wildlife management and community development projects; 5% to Chiefs as Traditional Leaders and CRB Patrons.

Out of the total amount allocated to the CRBs taken as 100%:

- 45% is meant for wildlife protection;
- 35% for socio-economic development; and
- 20% for administration.

## **Compliance and Reporting**

Key recurrent requirements will be influenced by the Constitution of the CRB but generally include the following:

- Hold the AGM every year;
- Conduct elections as provided for in the Constitution;
- Submit copies of all the reports represented at the AGM;
- Compilation of an annual work plan;
- Follow the benefit distribution procedure as provided for in the Constitution and benefit distribution plan (BDP) informed by the needs assessment;
- Contribute to the development of a GMP and manage the CRB accordingly;
- Submit quarterly reports on progress of work plan activities;
- Provide an annual Natural Resource Utilization Report with the specified time period, in accordance with approved quota and conditions attached thereof;
- Community approval of budgets, spending on benefits and financial statements;
- Provide a satisfactory Annual Financial Statement, and/ or audit;
- Keep a record of all the correspondence related to compliance monitoring so that there is a record of any compliance monitoring directives issued by the Ministry of Tourism (MOT)/DNPW and the responses of the CRB;
- Keep a record of all key approvals and decisions relating to individual CRBs such as quota approvals;

- Collect and keep data on the progress of CRBs (game counts, income, and spending on benefits and good governance record; and
- Provide feedback to the membership bi-annually.

## 2.2 POLICY AND LEGISLATION

It is important for the newly elected Board members to be familiar with the overarching policy and legislation that enables the formation of the CRBs and has empowered them to fill the positions they now hold. Reviewing the legislation will also help with the understanding of the need for compliance and will emphasize the required accountability to the DNPW and the membership.

The Zambia Wildlife Act No. 14 of 2015 provides a legislative basis for the provision of conditional rights to communities to manage wildlife and to benefit from its management. By providing for the formation of CRBs, it creates the condition upon which ownership over wildlife resources (including huntable game) and use rights over natural resource will be given to the communities. The Act is supported by the National Parks and Wildlife Policy (2018).

### PROCESS

For this session, it is important to extract and synthesize the relevant information for the CRB members who are participating in the training event. The participants do not need to know all the detail contained in the policy and legislation. They only need to be presented with the essence of the parts which are of importance for the discussion regarding CRB governance.

#### Step 1: The Zambia Wildlife Act

- Briefly describe the provisions made in the Act for the establishment of a CRB.
- Provide an overview of the CRB functions according to the Act.
- Explain the CRB financial provisions and requirements described in the Act.

Do not spend too much time on this and do not read out the sections of the Act to the participants. The most important outcome of this discussion is that Board members acknowledge that the requirements for CRB governance are based on a legal framework and that they have a responsibility to comply with this. List the main points from this discussion on a flipchart sheet and pin it up where it can be referred to during other sessions.

#### Step 2: The National Parks and Wildlife Policy (2018)

For the purposes of this session, just mention the Policy and the role of the Policy in guiding the implementation of the legislation. The Community-based Natural Resources Management (CBNRM) policy is also being developed to support the role of communities in the management of natural resources.

### FACILITATOR'S NOTES

Before starting the session, familiarize yourself with the legal framework relevant to CRBs. An Act is a piece of legislation that governs the conduct of a particular service and provides guiding principles on how services are legally executed or rendered. The Zambia Wildlife Act No. 14, Part V of 2015 provides for the formation of a CRB.

#### Part V Provisions

- A local community along geographic boundaries contiguous to Chiefdom in a GMA, an open area or a particular Chiefdom with common interest in the wildlife and natural resources in that area, may apply to the Minister for registration as a CRB.

- The Minister shall register as a Board, a local community which meets the pre-requisites and shall, in consultation with that Board, develop management plans for the GMA, open area or any part of the GMA or open area which is under its jurisdiction.
- A Board registered shall serve for a fixed term of three years and shall comprise:
  - Not more than ten but not less than seven representatives from the local community who shall be elected by the local community;
  - One representative of the Council in the area;
  - A representative of the Chief in whose area a board is established to represent that Chief; and
  - A person seconded by the Minister.
- A Board may invite a person whose presence is, in its opinion, desirable to attend and to participate in the deliberations of a meeting of the Board, but that person shall not vote on any matter.
- A Chief in whose area a Board is established shall be a patron of that Board.
- The Minister may, in consultation with the Director and the particular Board, determine the allowances and honorarium that shall be payable to a Chief referred to in subsection above.
- The Director shall, in consultation with the Minister and the majority of the members of the local community represented by a Board, if satisfied that the Board is no longer able to perform its functions under this Act, dissolve that Board or if the Board is not viable in the area, de-register that Board.
- Subject to the other provisions of this Act, a Board may regulate its own procedure, and shall cause minutes to be kept of the proceedings of every meeting of the Board.
- A Board may convene any meeting at any time for the conduct of its business under this Act.

There shall be a Secretariat for each Board which shall consist of such appropriately qualified officers as the board may appoint on such terms and conditions as it may determine. The Minister shall second an officer to the Board who shall serve as part of the Secretariat.

### **Board Functions According to the Act**

The functions of a Board are to promote and develop an integrated approach to the management of human and natural resources in GMA or an open area falling under its jurisdiction. A Board may perform the following specific functions:

- Negotiate, in conjunction with DNPW, co-management agreements with hunting outfitters and photographic tour operators;
- Manage the wildlife under its jurisdiction within quotas specified by the DNPW;
- appoint CSs to exercise and perform the duties of a WPO under the supervision of a WPO in the area falling under the Board's jurisdiction;
- In consultation with the Director, develop and implement management plans which reconcile the various uses of land in areas falling under the Board's jurisdiction; and
- Perform such other functions as the Minister or Director may direct or delegate to it.

The preparation and implementation of GMPs in GMAs shall be in accordance with such regulations as the Minister may prescribe, in consultation with the Director.

## **Financial Provisions According to the Act**

- A Board shall establish a fund to enhance the economic and social well-being of the local community within the area.
- There shall be paid into the fund of a Board and such monies as the Board may, with the approval of the Minister, accept by way of grants and donations from any source within or outside Zambia.
- A Board shall cause to be kept proper books of account and other records relating to its accounts.
- The accounts shall be open for inspection by the Minister, the Director or any other member of that local community.
- A Board shall, not later than ninety days after the end of the financial year, submit to the Minister, through the Director:
  - An audited balance sheet;
  - An audited statement of income and expenditure; and
  - A report concerning its activities during that financial year.
- A person who misuses any money belonging to a board shall:
  - Be liable to a surcharge; and
  - Commits an offence and is liable, upon conviction, to a fine not exceeding one hundred thousand penalty units or to imprisonment for a term not exceeding one year, or to both.
- A Board shall submit quarterly reports to the Director.
- The accounts of a Board shall be audited annually by independent auditors approved by the Minister.

## **The National Parks and Wildlife Policy**

In the National Parks and Wildlife Policy (2018), Government recognizes that the future of wildlife will be better secured with improved stewardship in wildlife management by local communities. One of the stated objectives of the Zambian Government's is: *To devolve wildlife user rights, costs and benefits to community and private land owners.* This Policy outlines the role of local communities to include:

- To strengthen local level institutional governance using the principles of CBNRM or any other appropriate governance mechanisms;
- To conduct resource protection on customary lands where wildlife management has been devolved to local communities; and
- To participate in the formulation and implementation of GMPs.

## **2.3 THE CRB CONSTITUTION**

The Constitution is the foundation of the organisation. A CRB Constitution is the formal written agreement between all CRB members (including residents) on how they will govern themselves (i.e. how they will organize and rule themselves, and how they will conduct their business). It is therefore important that the Board members know and understand the CRB Constitution. The Constitution will have been drawn up as part of the process of the registration of the CRB and this determines how the CRB operates. In order to approve a CRB application, the approving body must review the

submitted Constitution, in order to ensure that each of the provisions is satisfactory to DNPW. The Constitution guides and promotes accountability and good governance by the Board. In order to meaningfully work through this session, it is essential to have copies of the CRB Constitution available and to refer to these throughout the discussion.

## PROCESS

### Step 1: The Contents of The CRB Constitution

Ensure that all participants have access to a copy of the Constitution of their CRB. If not enough copies are available for each participant to have their own copy, then there should at least be one copy for two participants to share. Ideally every member of the Board should have their own copy of the Constitution to keep with them as a reference at all times. If the training is being presented to more than one CRB, group participants from one CRB together. Ask them to page through the document and familiarize themselves with the headings of the different sections of their Constitution.

### Step 2: Using the CRB Constitution to Guide Board Operations

Ask the participants to work in pairs and write down the answers to the following questions by referring to the relevant sections of the Constitution (these are just suggestions and can be changed by the Facilitator as needed):

- In which month should the AGM be held?
- What are the criteria for membership to the VAG?
- What is the required quorum for an AGM?
- Who should be the arbitrator in dispute resolution?
- Can a Board member be removed from office for arriving at a meeting drunk?
- Who can sign an agreement with another organization on behalf of the CRB?
- Can the Constitution be amended? If so, how?

Provide each group with a scenario which is relevant to their situation. Ask them to use their Constitution to guide them in dealing with this challenge. After the group has decided on what they will do, ask a member of the group to read out the scenario and their response (as guided by the Constitution). An example of a scenario is given below:

In order to meet the requirements in the Constitution, the CRB is due to hold its AGM next month. The Constitution requires that 75% of all the CRB membership be present at the AGM in order to fulfil the requirements for a quorum. However, if this large group of people gathers in one place, this will be contravening the COVID regulations. What should the Board do in this case?

## FACILITATOR'S NOTES

The Constitution is the foundation of the organisation. The Constitution is a set of rules agreed by a group of people (VAG) upon which they have agreed to govern themselves. They instruct the Board, which implements decisions on behalf of the members. A Constitution defines the organization, its vision, objectives, rights and responsibilities of the members and leaders. It provides a framework for ensuring that the principles of good governance are adhered to. Good governance depends on the Board's behavior and the CRB members demanding accountability and transparency from the Board. To do this, they need to understand the rights, roles, responsibilities, powers and obligations which

should be contained in the Constitution. Without a written understanding people may become confused and things may not get done.

In the context of CRBs, a Constitution provides criteria which DNPW staff may use to monitor the operations of a CRB as part of the legal provisions in the Wildlife Act No 14, 2015, section 9 (4). The Act does not specifically mention that a CRB should have a Constitution for its registration.

The Constitution will act as a point of reference and help resolve any problems or controversy that may arise. It is a reassurance to external stakeholders and the general public that the CRB has guidelines so that it can be properly run and money effectively managed. A Constitution shows that the CRB is democratic and accountable, with clear methods by which decisions are made.

Amendments can only be done at GMs at which a quorum is present. It is therefore important that the Board knows the Constitution of the CRB. The Constitution should:

- Clearly define the limits of the powers of the Board and the powers of community members (e.g. the budget and any amendments to the budget should be approved by members at an AGM or GM, other issues requiring approval of membership should also be specified);
- Provide for transparent elections of VAG and Board members;
- Clearly indicate how the Board or individual members of the Board can be replaced and under what circumstances (e.g. provision for a vote of no confidence);
- Address potential conflicts of interest in decision-making and distribution of benefits; and
- Provide for proper financial management including a separation of the person who approves expenditure and the person who makes payments.

The following outlines the structure and contents of the CRB Constitution and explains each constitutional requirement in terms of the Regulations that must be adhered to by all CRBs. The information that follows has been extracted from the document Community Resource Board Standard Operation Procedures (ZCRBA 2020).

### **Objectives of the CRB**

The CRB may include additional objectives if they wish, but provision of for the sustainable management and utilization of wildlife and natural resources in accordance with a game management and utilization plan, and the equitable distribution of the benefits derived thereof, must be made as it is specified in the Regulations.

### **Procedure for Election and Removal of Members of the Board**

The procedures for election and removal of members of the Board should include tenure of office, how many members will be elected to the Board, election of portfolios of the Board, whether previously elected members may be re-elected, where elections are held, how they are held, filling of vacancies, what actions may allow the removal of a member, how portfolios should be elected, etc.

Elections for all Board members may be held by secret ballot every three years or at a specific number of years that the CRB may agree. Board members must be elected to the portfolios of Chairperson, Vice Chairperson, RMC Chairperson, FMC Chairperson and, CDC Chairperson.

Board members may be removed from their office before their term expires for the following reasons:

- Failure to declare a possible conflict of interest;
- Failure to attend three, or a number of Board meetings as indicated in their Constitution, in a row without prior good reason;

- Conviction of theft, fraud, forgery, or any other offence involving dishonesty;
- Bringing the CRB's reputation into disrepute;
- Drunkenness at CRB meetings; and
- Misuse of CRB funds and other resources.

Prior to the adoption of a resolution to remove a Board member, she/he will be given the opportunity to address the Board meeting or GM concerned with his/her removal, or as it is stipulated in their Constitution.

### **Responsibilities and Powers of the Board**

Responsibilities are the functions or tasks which the Board is expected to perform, while the powers are the authority that is given to the Board in order to give it the ability to carry out its responsibilities.

General responsibilities:

- Manage the CRB and administer its property and rights for the benefit of the members in accordance with the directions voted on at GMs.
- Ensure fair and equitable distribution of benefits.
- Acquire, receive, hold and manage on behalf of the benefit of the members, the property, rights and assets of the CRB whether in the nature of land, buildings, real rights, money or other tangible and intangible assets of whatever nature.
- Determine policies and processes of the CRB.
- Ensure compliance with laws and regulations.

Specific responsibilities:

- Prepare annual budgets and to monitor that expenditures stay within the budgets.
- Identify key performance indicators in order to generate economic benefit.
- Organize all meetings of the CRB including Board meetings (monthly or quarterly), GMs and the AGM and present reports thereof.
- Report to the general members every six months on the activities of the CRB and the current expenditure compared to the budget.
- Approve new business development, joint ventures and resource mobilization strategies.
- Keep all financial records, minutes of all meetings, and records of all contracts and joint venture agreements.
- Organize activities of the CRB and oversee the performance of management.

Powers of the Board:

- Enter into agreements relating to consumptive and non-consumptive use of natural resources.
- Employ staff and contract short term consultants where necessary.
- Distribute to members, invest in any financial institution, or otherwise use, the proceeds of any assets or any monies of the CRB as approved by the GM.

- Guarantee the performance of contracts or obligations of the CRB.
- Institute or defend any legal proceedings and to settle any claims made by or against the CRB.
- Assign responsibilities among Board members and Secretariat within the responsibilities and powers of the Board specified by the Constitution.

Restricted powers of the Board:

- The Board may not lend or borrow any money for the CRB, unless such lending and borrowing is done so on terms and conditions as the Board may consider appropriate for any of the objectives of the CRB, subject to the approval of the GM.
- The Board may not exceed the approved budget by more than 10% of the total, or more than 10% of any line item without majority approval at a GM.
- The Board may not lease the property, its rights or any part thereof or incur any obligations affecting its property or rights without the prior approval by resolution of a majority of members in GM.
- Any decision to amend any CRB Constitution, deregister, dissolve the CRB or distribute the property, rights and assets shall be clearly outlined in the Constitution including the procedures to follow.

### **Provisions Relating to the Holding of Meetings**

Among the issues that must be included in the Constitution are: frequency of meetings, calling of meetings, quorums, advance notice, agenda and decision making. GMs are those meetings open to all general members of the CRB. The AGM is the one required to be held at the same time each year where annual reports, financial statements, budgets, expenditures and elections take place. There is no requirement that a CRB must have other GMs during the year, but it is wise to make provision for them in case a decision of the general members cannot wait until the next AGM. The AGM for CRBs will be held during the month determined by the CRB in their Constitution. In the event of a postponement it will be rescheduled not more than one month from the previously scheduled meeting.

- The agenda of the AGM and copies of the Annual Financial Statement, the proposed budget, and the proposed benefit distribution will be available from the CRB office to any general members three weeks prior to the AGM.
- The quorum for the AGM and any other GMs is determined by the CRB in their Constitution.
- Decisions taken at any GM will require a majority of the members present at a properly convened meeting, unless specified differently elsewhere in the Constitution.
- A GM may be called by the Board or members through a petition containing the grievances, signatures and names of the members as determined by the CRB in their Constitution.

### **Criteria for Membership**

Criteria are the conditions or qualifications required to become a member of the CRB.

Criteria for membership eligibility:

- At least 18 years old.
- A resident - approved by the Traditional Authority (TA) - of the CRB area for at least three years or unless specified differently in the Constitution.

- Must support the CRB objectives, members' obligation, CRB Constitution, management and utilization plan, and any by-laws established according to the Constitution.

The further criteria for membership will be specified in the Constitution for each individual CRB.

### **Procedures for Membership**

- The procedures are how those who meet the eligibility criteria actually become members and these will be defined for each CRB in the Constitution and held in the constituent VAG. Generally, if an individual meets the criteria (in the Constitution), then he/she is automatically a member.
- All eligible candidates are automatically granted membership. However, any member who wishes to reject or cancel their membership may do so without following any formal procedure.
- Any member who fails to honour the CRB objectives, Constitution and obligations may have their membership rights suspended or withdrawn by the Board. Prior to suspension or withdrawal of membership rights, the member shall be given the opportunity to be heard by the constituent VAG or the Board.

### **Rights and Obligations of Members**

The legislation requires a provision on rights and obligations, and therefore such terms should be used. It is important to establish the relationship between rights and obligations. Without fulfilling obligations, the enjoyment of rights may be threatened (e.g. that without ensuring that the Board accounts for all funds, that their expected benefits may be squandered). Rights are the powers or privileges that automatically come with membership. Obligations are the required duties that also come automatically with membership.

### **Provisions for Managing Finances**

Because these requirements are more specific than others, the provisions must follow them very closely.

- The Board is required to appoint a Bookkeeper who is experienced in financial matters and bookkeeping.
- Keep proper accounting records and prepare an Annual Financial Statement.
- Open a bank account in the name of the CRB for all revenues of the CRB earned from wildlife utilization and other sources of income.
- Define a procedure for determining the manner of appropriating derived income (i.e. develop a financial plan and budget which must be discussed and approved at the AGM).

### **Procedures for Dispute Resolution**

It is important to include a procedure for dispute resolution, because once a dispute has arisen, the parties may never agree on a procedure because each may see some advantage or disadvantage to its side in any proposed procedure.

- If a dispute cannot be resolved through informal negotiation or mediation, then the parties shall appoint a mutually agreed conciliator to assist them in resolving their dispute.
- If the parties cannot mutually agree on a conciliator, when the Board is one of the disputing parties, then the TA shall appoint a conciliator.
- The DNPW will be arbitrator.

## **Procedure for Amending the Constitution**

Because the Constitution is an agreement by all members on how they want to govern themselves, it should not be easily changed by a few individuals. On the other hand, it is normal that a new institution, after a few years of experience may want to make a few changes. Therefore, it should not be impossible to change the Constitution. The Constitution may be amended by a vote of the number of members as determined in the Constitution and presented at a properly convened GM or AGM.

### **Steps for Reviewing the Constitution and Obtaining Expert Legal Advice**

- DNPW regional staff members should check if all provisions are met and requirements are fulfilled by CRBs when they submit Constitutions. If any of the requirements have not been met, then send the Constitution back to the CRB, explaining what is missing.
- When all requirements are met, the DNPW regional office should forward the Constitution along with the CRB application, in case of a new CRB, to the DNPW Headquarters.
- The DNPW Headquarters must verify that all provisions and requirements are met, before the Constitution can be forwarded in accordance with the provisions provided. If not all of the constitutional requirements have been met, then the Constitution must be returned to the CRB through the DNPW regional office so that the Constitution can be changed to meet the requirement.
- CRBs are encouraged to have a lawyer review their Constitutions before submitting them to the MOT through the DNPW.

## **2.4 ROLES AND RESPONSIBILITIES OF THE BOARD**

One of the most important objectives of this induction training is to ensure that the elected Board members understand their roles and the accompanying responsibilities. It will not be possible to go into detail regarding the day-to-day responsibilities of each of the positions – this will be done during a training event with a smaller and more focused group – but the key functions and mandates of the Board members needs to be explained and understood.

The information presented in the Facilitator’s notes may not apply exactly to the Board you are providing training to since there may be different interpretation of the roles and responsibilities given in the Constitution of the CRB. It is therefore essential that the CRB Constitution is consulted and pursued in the preparation of this session.

### **PROCESS**

When preparing for this session, make sure that you have reviewed the documentation of the CRB and don’t confuse the discussions by presenting a role or responsibility that is not appropriate for the participants and their CRB. At this stage, only the core roles or functions are discussed. Detailed training will be done at a later stage where in depth discussions can be undertaken on the roles and how these can be operationalized.

#### **Step 1: Role of the Designated Board Positions**

Prepare a series of cards with different duties of the designated positions within the Board (see Facilitator’s notes). On a table or on the ground, place a flipchart sheet, with name of each of the portfolios (e.g. Chairperson, Vice Chairperson, FMC, CDC, RMC etc.). On card, write down a single duty or role of the various portfolios. Make sure that you prepare the cards according to the structure of the CRB that you are working with. Give each Participant 2 or 3 cards on which a duty or responsibility is written. Ask them to place the cards in the correct positions i.e. allocate the duty to the correct designated Board position. When everyone has placed their cards, review the outcome and discuss any allocations that any of the Participants might disagree with. If there are any

disagreements that cannot be resolved, refer to the CRB Constitution for guidance or refer to the Facilitator's notes that follow or note that this function still needs to be discussed and allocated.

## **Step 2: Role of the Secretariat**

Refer back to the policy, legislation and standard operating procedures with reference to the need for and roles of a CRB Secretariat. Facilitate a discussion with the Participants as to whether the CRB has a full or partial Secretariat or none at all. If the CRB has a Secretariat, discuss the following:

- What are the composition and titles of the members of the Secretariat?
- What are the duties of the Secretariat?
- Who does the Secretariat report to – how and when?
- Does the current staffing of the Secretariat fulfill the support needs of the CRB?
- Are more members of the Secretariat needed? Does the CRB have sufficient funds to make an additional appointment?

If the Board does not have a Secretariat, discuss how the functions of the Secretariat will be filled by the Board members.

## **FACILITATOR'S NOTES**

Each CRB will elect individuals to fill the various portfolios. The Board member elected to the portfolio will be responsible for ensuring that the technical sub-committee and/or the Secretariat fulfil the required responsibilities. Please note that the information that follows is general and the roles and responsibilities of the designated positions and the associated sub-committees may differ from this depending on the Constitution of the CRB. Please use these Facilitator's notes in conjunction with the CRB Constitution.

## **CRB Executive Members' General Responsibilities**

The Board has the following specific powers:

- Appoint members to sub-committees to carry out such functions as the Board may delegate, except that the power to make decisions in regard to such functions is retained by the Board.
- Employ persons as necessary and on such terms and conditions as the Board sees fit, subject to approval at the GMs.
- Suspend and discharge such employees.
- Give employees clear instructions on their duties.
- Open and operate bank accounts in the name of the CRB.
- Penalize members in terms of by-laws provided that, before imposing such penalty, the member shall have an opportunity to defend his case.
- Suspend any officer of the institution for any irregularity in the performance of his/her duties, and to report the suspension to the next GM.
- Chairperson: call, chair and provide overall direction to all meetings of the CRB. Where the Secretariat is in place, supervise and ensure all CRB meetings, issuing notices of all meetings, recording and producing minutes of all meetings, conducting the correspondence of the CRB and filing and ensuring the safekeeping of all relevant documents of the CRB. Solicit for women inclusion regulate settlements in conformity with the game management plans,

encourage women participation in CBNRM activities and prioritize women in community development programs including elections.

- Vice Chairperson: support the functions of the Chairperson
- FMC Chairperson: keep proper financial records, issuing receipts for money received by the CRB, co-signing all CRB cheques, preparing and presenting the Annual Financial Statement at the AGM and any other required financial reports and ensuring any required audits are carried out on time.
- RMC Chairperson: ensure effective conservation, protection, management and utilization of natural resource in the Chiefdom; participate in hunting monitoring and sensitization on the importance of natural resources; evaluation of utilization of quotas by outfitters; and be responsible for supporting the development of land-use plans.
- CDC Chairperson: Ensure that all development projects are planned, implemented and monitored; supervise contractors hired by the CRB carrying out project activities; mobilize community for voluntary work for project activities; and work with the RMC Chairperson and FMC Chairperson to ensure community development projects are in line with natural resources management and game management plan goals.

### **Sub-committees**

For the purpose of effective administration of the CRBs, VAG committees and CRB technical committees are established. These committees will undertake specific functions as outlined in the roles for CRB technical functions.

The sub-committee responsible for the coordination of infrastructural development projects in the VAG will have the following functions:

- Ensure maintenance of existing infrastructure by user community;
- Plan and facilitate the implementation of new infrastructure development;
- Facilitate the mobilisation of community members to meet up-front contributions towards project implementation normally pegged at 25%;
- Monitor projects in order to ensure quality and value for money;
- Promote the orderly development of the physical environment and adhere to the spatial or developmental map of the area (development framework);
- Prepare and submit reports to the Board and the Extension Officer; and
- Perform any other duties assigned to them by the Board.

### **Rights of Members**

- Attend, speak and vote at GMs;
- Request for the GMs through the Board;
- Elect members to positions within the CRB;
- Call for the removal elected members who violate specified principles, by-laws and procedures;
- Request and inspect the records, minutes, financial statements, asset register and membership list; and
- Have equitable access to CRB benefits.

## **Obligations of Members**

- Support the objectives of the CRB (including sustainable management, equitable benefit distribution, etc.);
- Support the implementation of the game management and utilization plan;
- Abide by the lawful decisions of the CRB;
- Attend all GMs;
- Know and exercise their rights and obligations as specified in their Constitution;
- Know and exercise their obligations to hold their elected members or paid staff accountable for properly managing the CRB's finances, and implementing the objectives, principles, procedures, by-laws and decisions of the CRB;
- Sanction members including suspension or termination of rights, laying of criminal charges;
- Follow and adhere to the Constitution; and
- Follow and adhere to the GMP and land use plan.

## **Role of the Chairperson**

The primary roles of the Chairperson are to:

- Ensure that the Constitution is followed;
- Emphasise that the Board's role is to receive instructions from the community and to implement these instructions;
- Ensure that an AGM is held;
- Prepare for and convene meetings including the three quarterly GMs;
- Set the date, time and place of meetings and prepare the agenda for the meeting with the Vice Chairperson or the Secretariat.
- Preside over the meetings, providing guidance for the direction of meetings and facilitate the conclusion of the discussions;
- Guide deliberations of the meeting to focus on agenda items for discussion;
- Participate and contribute during meeting without dominating the discussion;
- Ensure that expenditure follows the agreed budget;
- Ensure that misuse of allowances and loans does not occur;
- Oversee the management of Board and employees to ensure that the instructions and wishes of the people are properly and transparently implemented;
- Submit reports to the Patron and Extension Officer through the CRB Secretariat; and
- Assign tasks to members of the Board as the case may be according to the resolutions taken.
- Ensure that settlements are regulated and conform with the GMP;
- Women groups must be given equal opportunity in community development of the CRB;
- Promote programs that aim at increasing benefits to women;

- Lead on gender integration and women's empowerment within VAG activities and VAG/CRB elections;
- Lead on gender integration and women's empowerment within VAG activities and VAG / CRB elections; and
- Encourage and facilitate the participation of women in committees and other groups or organizations.

### **Role of the Secretariat**

The role of the Secretariat falls under the functions of the Chairperson and is delegated to the Vice Chairperson where the Secretariat is not in place. This is not an executive role on the CRB structure as a result. In general terms the Secretariats duties are:

- Maintain an up-to-date record of all the records, documents and registers of the CRB. This includes keeping records of all VAG correspondence;
- Facilitate the preparation of the calendar of meetings;
- Inform members of date, place and time of Board, quarterly gms and agms well in advance;
- Send out the agenda in advance of meetings;
- Incorporate into the agenda suggestions or proposals from members;
- Record the proceedings of every meeting in the designated minute book;
- Receive and report apologies for meeting absences;
- Participate in and contribute to meeting discussions;
- Sign and conduct the correspondence of the CRB;
- Keep an inventory/register of the property of the CRB;
- Maintain the register of members of CRB and VAG members;
- Prepare reports; and
- Perform any other duties that may be conferred upon her/him by the Board or in the terms of the bylaws/Constitution of the CRB.

### **Role of Financial Management Committee**

The FMC shall:

- Maintain true and accurate accounts including a cash-book and vouchers (these shall be open to inspection by any members of the community upon request);
- Keep a true and accurate account of the assets and liabilities of the institution;
- Ensure there is safety of books of accounts for the crb;
- Prepare a plan and budget to cover administration before the beginning of each financial year of income and expenditure for the coming year;
- Present this plan, through the chairperson, to the agm for approval of the members.;
- Adhere in all respects to the budget approved by the agm unless modified by a gm;

- Where the budget requires revision, this may only be done by calling a special gm to approve such revision;
- Implement projects and activities as agreed by the community at the agm (the budget must be adhered to and can only be changed by consent of the community);
- Ensure that minutes of the proceedings of all gm are entered in separate book kept for this purpose;
- Prepare and submit minutes at the next gm;
- Submit a quarterly report on general progress, income and expenditure, and each project or activity to a quarterly gm - this report should be written, but should be carefully explained so that all members clearly understand it;
- Spearhead resource mobilisation efforts of crb;
- Participate and contribute during meetings;
- Advise CRB on financial matters; and
- Submit the above reports as required through the channels to dnpw.

### **Governance Challenges**

The challenges that the Board faces are both internal and external as the Board is affected by decisions made by high level stakeholders. Most of the challenges that arise are related to accountability and transparency. These include:

- Misappropriation of funds by CRB leadership;
- Corruption;
- Absenteeism;
- Lack of delivery on set actions;
- Misrepresenting facts;
- Limited capacity to achieve objectives;
- Focus on the financial component at the expense of the NRM aspects;
- Inadequate and poor distribution of benefits resulting disincentives for members to participate;
- Misuse of CRB assets; and
- Elite capture (benefits accruing to leadership only at the expense of the wider community members).

These can be addressed through good governance principles and ongoing support from support organizations for Board capacity building.

## **2.5 REVIEW AND ASSESSMENT**

To conclude this module, review the key discussion points that have been the focus of this module. Then follow the steps indicated below - these will guide you through a quick, informal and easy assessment.

## ASSESSMENT

When preparing for the assessment, compile a list of statements that are related to governance and are relevant to the participants and their CRB. Keep the process very informal. Read out one of the statements on your list and ask a particular participant to respond with either “Good governance” or “Bad governance.” Once the individual has responded, ask the other participants whether they agree or disagree. Ensure that each participant gets an opportunity to give an answer at least once. Make sure you have prepared enough statements to give each participant at least one opportunity to respond. Also, remember that what might be considered good governance in one CRB might be bad governance in another, depending on the CRB Constitution.

Examples of statements:

- The Secretariat sends out notice of the GM on the WhatsApp group of the CRB members.
- The Chairperson has allowed his brother to come and take all the chairs from the CRB office to use for his daughter’s wedding.
- The Secretariat and the Chairperson compile the agenda for the monthly Board meetings and send it out to the Board members in advance.
- The Board had a meeting last week and made changes to the budget.
- Due to transport challenges, the Board only meets every quarter, on the day before the quarterly GM.
- The CRB cannot afford to appoint and pay a Secretariat so the duties of the Secretariat are undertaken by the Board members.
- The Chairperson has meetings with the hunting operator on his own without any other Board members present.

## 3.0 MODULE II: MANAGEMENT OF NATURAL RESOURCES

The focus of Module two is on the various components of NRM by a CRB. While several of the actions relating to NRM are led by DNPW, the Board has important contributions and inputs to make. The natural resources of the CRB are the basis of the functions of the CRB and also unlock the benefits which the Board distributes to its members.

If issues are identified that cannot be resolved during the course of the discussions on this topic or if time constraints do not allow for the required discussion to reach agreement, then park these issues by writing them down on a flipchart sheet entitled *For follow up*. These issues can then be followed up by the Board during the course of their subsequent meetings or training events.

In section 1.2, there is a description of three categories of CRB that may be differentiated based on the status of the natural resources available. These are:

- Developed or mature CRBs – these are CRBs in resource rich areas;
- Developing or maturing CRBs – these are CRBs in areas where the resources are not necessarily rich but where some income is generated from wildlife; and
- Emerging CRBs – these are CRBs where wildlife and other natural resources are depleted and little or no income is earned from wildlife or resource utilization.

Thus the success of the management of the natural resource base impacts all the other functions of the CRB, the Board and especially the benefits to the members.

### 3.1 THE GENERAL MANAGEMENT PLAN

A GMP is put together to guide the protection, management and development of the natural resources in a GMA. A GMP must be developed through a highly collaborative partnership between DNPW and stakeholders (CRBs, communities, traditional leadership and support organizations). A GMP is usually developed for a period of five to ten years and can be subject to review every three to five years. The GMP informs the annual work plan of the CRB. Since more than one CRB may be registered within one GMA, it is necessary for each of the CRB to be involved in the development of the GMP. To support the implementation of the GMP, Village Land Use Plans (VLUPs) are developed to guide land use activities at VAG level. Both the GMP and the VLUP include zonation maps that indicate the accepted land uses in various areas. A GMP must embody three core values which all provide guidelines to sustainable development. These are economic viability, ecological resilience and social acceptability.

#### PROCESS

Start the day with an appropriate opening. If needed, recap on important discussions points from yesterday that will introduce the topic for today – the management of natural resources. Emphasize the fact that natural resources are the base upon which all CRB functions are built.

#### Step 1: The Contents of the GMP

- Ensure that all participants have access to a copy of the GMP for their GMA if there is one. Three or four participants can share if there not enough copies are available for each Participant to have their own copy. If the training is being presented to more than one CRB, group Participants from one CRB together. Ask them to page through the document and familiarize themselves with the headings indicating the content of the GMP.
- After the participants have had some time to familiarize themselves with the contents of the GMP, bring their attention to key components and select aspects that have implications for

the Board to their attention. For example, management actions which the Board has to ensure take place, the appointment and functions of the CSs, the negotiation and management of contracts with the hunting company etc.

- If DNPW has not yet developed a GMP, then explain the need for a GMP and the components that need to be included. Also explain the required process for the development of this plan i.e. that this process should be led and facilitated by DNPW and should include all stakeholders.

## **Step 2: The Zonation Map**

- The zonation plan is a key component of the GMP that underpins most of the management actions and decisions. Draw a rough sketch of the boundaries of the CRB on the flipchart. With the help of the participants, fill in key villages and transport routes on the map. This can be done even if a GMP has not been developed.
- By referring to the GMP, identify the different zones/categories into which the CRB area is divided. Write these down next to the sketch – if possible use different colour marker pens for each zone. Discuss the implications of each of the zonation categories with the Participants. Then draw the zones onto the sketch. If a zonation map does not already exist, then facilitate a discussion on what it could be based on existing land use practices.
- Ask each participant to identify the village in which they live and the zone in which that village falls. Discuss with them the implications of the zonation plan on the livelihoods of the residents in that zone. Discuss whether the residents in the various zones are aware of the zonation and whether the zonation parameters are adhered to. Do the Board and the VAG committees need to create awareness around the zonation plan?
- Establish whether VLUPs have been drafted for the VAGs in the CRB. Are they being used? Are members aware of it? If VLUPs have been drafted and are available, then review these documents and link them to the GMP zonation plan.
- The zonation maps are fundamental to potential developments within the CRB. Conflicting land uses can hamper development. For example, if the GMP and the VLUPs were not considered during the negotiations with the hunting company and the hunting contract is signed giving hunting rights in the area designated for the development of a tourist lodge, this will mean that for the ten years that the hunting contract is valid, no tourism development can proceed. Discuss examples relevant to the CRB.

## **Step 3: Human Wildlife Conflict**

HWC refers to the conflict between people and wild animals and occurs throughout Zambia and involves a variety of species and different types of losses. These conflicts range from the destruction of crops and water installations to loss of livestock, homes and in some cases, the loss of lives.

A variety of approaches can be implemented in order to manage the conflict efficiently and effectively, in line with the strategies set out in the GMP. These include prevention strategies which endeavor to avoid the conflict occurring in the first place and take action towards addressing its root causes, as well as protection strategies that are implemented when the conflict is certain to happen or has already occurred, while mitigation strategies attempt to reduce the extent of impact and reduce resulting losses.

- Display a map of the CRB showing the VAGs and the key villages in each. Ask the participants to indicate on the map the areas where the greatest HWC conflict occurs, the effect on the community and challenges it poses for the CRB. Ask them to explain which species are causing the problems and what they are damaging or causing losses in.

- Ask the participants to describe measures that are used in their CRB to mitigate the impacts of HWC. Are these measures effective? Are they being widely implemented? If not, why not? Are mitigation measures the responsibility of the individual member or is the CRB supporting some mitigation measures as well? If so, what are these? Discuss the possible interventions by the CRB to provide assistance to the CRB membership in this regard.
- Explain how land use planning can be used to reduce the impacts of HWC. Give a few relevant examples. Link this to the VLUPs and ask whether the land use planning was considered as a means for reducing HWC when the VLUPs were drafted.

## FACILITATOR'S NOTES

The development of the GMP for a GMA is facilitated by the DNPW and involves all the primary stakeholders within the GMA boundaries. Even if the GMA for the Board that you are providing training to, already has a GMP but the Board members may not be familiar with this document or realize how this document should guide their actions. It is essential that you obtain a copy of this document before you start this training event so that you can review it and prepare for the training. Look at the date of the GMP and determine when it needs to be revised. Ensure that you have a zonation map of the GMA that can be used during this session of the training.

### **DNPW Support to CRBs for Wildlife Management**

The DNPW is the lead agency in supporting CRB formation and operation. DNPW field staff will play the main implementing role within DNPW and will work with communities from the first step in establishing the CRB. It is important to have field personnel who regularly work with an individual CRB. This is vital for continuity and building a relationship with the community.

CBNRM is a complex and multi-faceted program which requires a variety of competencies and expertise for its successful implementation. DNPW will request assistance from NGOs or other organizations and agencies where it cannot provide services itself. However, within the CBNRM program, DNPW has a number of core functions. These are the functions for which the DNPW has primary responsibility within the program, for which DNPW personnel staff will be trained and which DNPW will prioritize for allocating personnel resources. DNPW will monitor and support CRBs to develop good systems of governance as well as supporting the management of wildlife resources. This includes providing technical advice and support for assessing wildlife utilization options, developing CRB game management and utilization plans and for various aspects of wildlife management such as dealing with HWC (e.g. development of CRB HWC management plans), siting and use of water points, quota setting, monitoring, etc. Other institutions and NGOs may have specific contributions that can be made to this process and all relevant stakeholders should be consulted and their expertise and contributions included.

### **The Importance of a GMP**

- A GMP should be a main tool for integrating conservation and tourism objectives in a GMA.
- It is a necessary management instrument required for effective GMA management and addressing holistic concerns such as sustainable development.
- It provides coordinated conservation and tourism development efforts to ensure that less degradation of the resource base.
- It strengthens connections among stakeholders in a GMA and provides balance between conservation and resource use for the benefit of people and the resource itself.

## Components of a GMP

- Introduction which includes a description of the GMA area, size and boundary
- as well as information about the area and existing public-private partnerships. This should also include background information about the general landscape, major topographic features and general vegetation types should be described. The size should be stated in km<sup>2</sup> and the human population size and its distribution in general terms should be provided. The boundaries should be described in simple terms. A map should be attached. This section should also include information about the available resources and socio-economic data for the area as well as any other available and relevant information.
- The vision of the CRB should be included. This is a statement of the general goal of the GMA in managing its natural resources and utilization thereof should be described.
- Management objectives should include a short list of specific goals – goals that are specific enough that the CRBs in the GMA can measure whether they have achieved them or not.
- Natural resource base section does not need to be a comprehensive inventory, but it should start with the best estimates of key game and plant species particularly any that will be managed or utilized.
- The management and use section should outline management actions which are being implemented in the area and will describe ways in which the objectives will be achieved considering different aspects of NRM and tourism development applicable to the CRBs in the GMA. This section should include research and monitoring systems as well as describing planned consumptive and non-consumptive uses of resources e.g. photographic tourism and safari hunting. The management issues and areas of concern must be included in the GMP. The issues and concerns could relate to natural and cultural resources, to issues with management and operations issues or these could be linked to socio-economic issues. The issues as well as means of mitigating these issues and monitoring the effects of the mitigation measures should be described e.g. human wildlife conflict management.
- A zonation plan allows management to pursue its objectives more effectively. This should include a description of what can or cannot take place in each zone and a zonation map. The section also includes a statement of whether zones are clearly recognizable on the ground. Zones may include farming and livestock zone, wildlife breeding zone, wildlife migration and tourism zone and cultural tourism zone. Zones need to be mutually exclusive and areas could be zoned for different purposes as follows: ecological management, tourism utilization and sustainable utilization. By law, all GMPs must indicate management zones. In addition, the zone must set limits of acceptable use and the nature of permitted physical development to support both use and protection of resources.
- The control and monitoring mechanisms focus on how monitoring is done and who does it. Any internal control or permit system must be described in order to indicate whether there is effective control over legal activities.
- Compliance monitoring describes how the CRB monitors whether it is in compliance with all DNPW requirements for CRBs. These requirements fall into two general categories, wildlife utilization and institutional (i.e. reporting on the functional requirement of the CRB as a legal institution). CRBs are required to report back on any utilization of the past year by 30 January of the preceding year or as it may be specified in conditions attached to the approved quota. Each CRB is required to comply with all the major provisions of its Constitutions, the major ones which the DNPW is interested in are: the holding of an AGM, the presentation of an Annual Financial Statement; the conducting of elections; and the equitable distribution of benefits (if any). It is up to the CRB to state how and when it will

report on such requirements. However, it should be done within a month after an AGM is held.

### **The Role of the CRB in NRM**

The CRB should work very closely with other institutions, donors and DNPW the main stakeholder in the GMA in terms of management, mobilization and coordination of resource utilization. It shall however, not assume the roles and responsibilities of other institutions operating in the VAGs or GMA. The CRBs are the entry point of all development actors and interventions in the GMA especially those that want to invest in tourism or wildlife related activities. The Patron and the CRB need to give consent for all the investors and their planned interventions and investors shall declare the type of development they need to undertake through a written concept or project brief that shall be scrutinized by the planning unit for DNPW before any infrastructure can be undertaken.

### **The Responsibilities of the Ministry**

The following are the responsibilities of the MOT with regard to GMPs:

- To inform CRBs and/or the partners who support them, of the DNPW requirements for GMPs.
- To assist the CRBs in the development of their GMPs.
- To help identify and contact any DNPW or support organizations (including NGOs, development partners and projects) expertise which might assist it the development of GMPs.
- To review submitted GMP for certification.

### **The National Parks and Wildlife Policy (2018)**

Government undertakes to implement the following policy measures:

- Develop measures and guidelines on HWC;
- Develop a National HWC Mitigation Strategy;
- Promote wildlife-based economic activities within wildlife corridors to provide benefits to local communities;
- Build capacity of the DNPW and communities to response to incidences of HWC; and
- Facilitate the involvement of other stakeholders in dealing with HWC.

### **Causes of Conflict Between People and Wildlife**

- Competition between growing human population and wildlife for the same living space and resources;
- Movement of people into areas previously uninhabited for reasons of safety or food security or because of droughts or floods;
- Continuing negative attitudes towards wildlife and protected areas;
- Negligent exposure of people to areas with dangerous wildlife e.g. children swimming in a river where crocodiles live;
- Modification of wildlife habitats due to infrastructure development, agriculture, fishing and other development projects; and

- Widespread changes in climatic conditions resulting from climate change are aggravating the conflicts between people and wildlife.

### **Economic and Social Impacts of Conflicts Between People and Wildlife**

- Conflicts can result in the reduction of cash income to rural households and have repercussions with regard to health, nutrition, education and ultimately development.
- The negative impact on the livelihood activities of rural communities is demonstrated for example by the killing of livestock by predators and destruction of crops by elephants and other species.
- The damage caused by wild animals in some cases has financial implications that disrupt the lives of families in rural communities.
- Conflicts can result in exposure of people to wildlife diseases, physical injuries and in some situations, may even result in the loss of human life.

### **Land Use Planning to Encourage Co-Existence**

Integrated land use plans at local and regional level, that take into consideration zonation, plans for wildlife and mitigation measures for HWC can be used as a means of reducing conflicts. The following approaches and principles can be considered during land use planning activities as ways of encouraging co-existence:

- **Identifying areas with chronic problems:** Areas with chronic problems should be identified and these hotspots should be considered during land use planning exercises.
- **Reducing the conflict interface:** This means using available information on wildlife populations and human settlement patterns, to promote land-use activities that are spatially separated, so that the areas of overlap are reduced as well as possible conflicts. Examples of this would be reducing human settlement encroachment into elephant range; relocating agricultural activity out of elephant range; and consolidating human settlement patterns near elephant range.
- **Clustering human settlement:** Clustering of human settlement would in many cases result in reduced conflicts - firstly because wildlife generally tries to avoid areas with dense human settlement, and secondly, if wildlife does encroach, there are more people available to take action.
- **Facilitating defense:** This approach aims at making it easier to take mitigation measures in the event of conflict. For example, placing crops, gardens, livestock enclosures and vulnerable infrastructure close to dwellings where detection and defense tactics can be easily deployed. Other examples include changing the location of crop fields (e.g. to close proximity with dwellings), and keeping livestock in enclosures close to homesteads at night.
- **Minimizing conflicting activities:** This is done by avoiding human activities that attract wildlife species. For example, growing of crops that are less palatable or not palatable to elephants; diversifying into different crops; using intercropping layout; or changing the timing of harvest.
- **Diversification:** Reducing the dependency of people on land uses which lead to HWC. This includes choosing economic land uses that are wildlife-based where wildlife offers a competitive advantage. For example, close to rivers where wildlife is abundant, tourism and wildlife utilization potentially offers economic advantages over traditional subsistence farming, whilst also providing a potential market for small scale commercial production systems.

- **Diverting wildlife:** Modifying problem animal movement by creating or securing movement routes of wild animals; securing elephant and human access to different water points; repositioning protected area boundaries; expanding the size of protected areas, and by designating new protected areas.

### **The Removal of Problem Causing Animals**

The Ministry will only under exceptional conditions consider granting approval that any problem animal be destroyed in line with the Zambia Wildlife Act of 2015. CRBs should use funds generated from quotas to develop monitoring systems and infrastructure that will assist wildlife management and population increase in the areas.

## **3.2 QUOTA MANAGEMENT**

A quota represents the number of animals that can be safely removed or harvested from a wildlife population each year without biologically damaging that population. There are different methods for calculating the sustainable off-take each year but all are based on the numbers of a species within a designated area.

### **PROCESS**

Before you proceed with the discussion points below, ensure that the Participants understand the terms *sustainable utilization* and *quota*.

#### **Step 1: Quota Allocation to the CRB**

Determine what the allocated quota for the CRB is and when the quota was allocated. For example, if the CRB has a quota of 10 buffalo and 6 elephants for each year for the three year period, then it is important to know whether this year is year 1, year 2 or year 3 of the allocation and how much of the allocated quota has already been utilized. Since the quota is determined by DNPW, the CRB should have documentation on file where they were informed of the quota allocated. Review this documentation with the Participants and ensure that they discuss and understand its contents and implications.

In addition to the quota allocated to the CRB for trophy hunting, there is an allocation for the TA for traditional festivals and other events. This allocation may not be sold or hunted for trophies and non-trophy animals must be utilized for this purpose. Ask the Participants about how the allocation to the TA is managed. Is it part of the own-use quota?

#### **Step 2: Utilizing the Allocated Quota**

Discuss the different ways of utilizing the allocated quota. These include trophy hunting, hunting for meat and live capture. The most common ways of utilizing the quota is through trophy hunting and hunting for meat. Discuss with the participants the current contract that exists with a professional hunter (PH) or the need to establish a contract with a PH. This process is usually facilitated by DNPW.

Explain how some of the own use quota could be harvested to provide meat to the TA for a festival or traditional event. Discuss the required processes for this to be implemented.

The meat from the trophy hunting as well as meat from own-use hunting must be distributed equitably between the VAGs and their members. With inputs from the participants, document on the flipchart how this distribution is done. Are the members satisfied with the current processes of distribution? Do changes need to be made? Who is responsible for delivering the meat to the VAGs? Who is responsible for distributing the meat to the members? How is the distribution monitored and documented?

### **Step 3: Reporting Back to Communities**

Reporting back on the utilization of the hunting quota to the communities is desirable and the record held by the CRB should be reconciled with the DNPW report.. The report back must document how many animals of each species on the quota were utilized and also how they were utilized. Discuss the following with the participants:

- How does the CRB track how many trophy animals are utilized?
- How does the CRB track how many animals are utilized for own-use?
- Who maintains the records?
- Who monitors the total utilized against the total quota allocated?
- Who compiles the feedback report?
- To whom is the feedback report submitted?
- When must the feedback report be submitted?

### **FACILITATOR'S NOTES**

#### **Quota Allocation**

The consumptive use of wildlife to the GMA is through an allocation of a quota to a CRB for a number of years - as may be determined by DNPW. The quotas will be reviewed after period has lapsed. This allows the CRBs and the Ministry to consider additional information that has been collected through the various monitoring programs. Quotas must form part of, and be compatible with, the wildlife management and utilization plan for respective CRBs.

The Ministry will lead the quota setting allocation in GMAs and a DNPW Technical Review Committee will be established to review the proposed quota before submission to the Minister for approval. The Ministry reserves the right to adjust the quotas when necessary. All CRBs with approved quotas should adhere to the set conditions, and failure to do so may result in withdrawal of quotas by the Ministry.

#### **Quotas for Traditional Authorities**

CRBs through the government must support their TAs with game meat for major traditional feasts and events. Quotas are designed to make provision for this purpose. The Ministry will accordingly refer requests for game meat from TAs to the relevant CRBs as the first option. This must be fulfilled even by CRBs whose quota does not specifically indicate amounts of wildlife for traditional festivals.

The quota for traditional festival has been allocated for provision of meat for traditional festivals only and it is not a separate TA quota which they may sell. This does not prevent the CRBs to make game donations or financial contributions for other function to the TA. Animals on this category of traditional festival or TA may not be trophy hunted and non-trophy animals should be utilized for this purpose. It is the responsibility of the CRB to make sure that the hunting company is well aware of this issue in advance. It is also important to note that the Minister may authorize a hunt for under TA quota for a traditional ceremony taking place outside the hunting areas.

#### **Using the Quota**

Combined uses (hunting or live sale) of animals on an annual basis may not exceed the total number of animals on quota. Further, this quota may only be used for the following purposes, under the described conditions, and during the prescribed seasons.

- Hunting for trophies: Such hunting must be done under the supervision of a PH registered with the DNPW, and the client must be in possession of a trophy hunting permit (which the PH has to obtain from DNPW). The meat from animals hunted for trophies remains the property of the CRB. However, if this meat is transported outside of the CRB by anyone other than the PH the Board must issue a letter to certify the meat was obtained from the CRB and is transported and donated to a specific person. This letter should accompany the meat at all times. In addition, if the meat from a trophy hunted animal is to be sold, the CRB must obtain a permit from the Ministry to sell the meat. Furthermore, if the meat is to be taken outside the District in which it was hunted, permit issued by DNPW is required.
- Hunting for meat: Such hunting can be done by anyone holding the resident, non-resident or special license issued by DNPW. In order to effectively regulate meat hunting, each CRB should develop, in collaboration with DNPW and other support organizations, a system of allocating resident hunting opportunities to its members. Ultimately this system should be aimed at ensuring equity in allocations of licenses. In addition, if any of this meat is transported outside the CRB for any reason, the CRB Committee must issue a letter to certify the meat was obtained from the CRB and is transported and donated to a specific person. This letter should accompany the meat at all times.
- Live capture: Catch, keep and sell of live game may only be done by registered companies as a game dealer with DNPW, even if live game are moved from one part of a GMA to the other, or between CRBs. Animals are also captured for restocking other protected conservations areas.
- Selling of other parts of quota animals such as hides, horns, or the manufacturing of products from such materials for selling: CRBs should consult DNPW concerning requirements in this regard should they wish to use the products from their quotas in these ways.

### **Report Back on Quotas**

It is a requirement that the CRB should record how each animal on the quota was used and to provide a report to the community on how the quota was used. The CRB must submit a report on utilization of their quota of the preceding year to the community at the AGM. This report must include information on income generated from the quota. DNPW will continuously monitor the utilization of the quota in GMAs.

### **3.3 COMMUNITY SCOUTS**

CSs are appointed by the CRB from their membership. The process for the appointment should be documented (in a Human Resource Management policy or Recruitment policy) and should be done according to agreed-upon procedures to ensure fairness and to avoid conflicts of interest. The job description and the competencies required should be determined in advance and the prospective candidates interviewed to determine whether they meet the requirements. The CS should have a written contract where the terms and conditions of employment are documented. While the appointment and payment of a CS is done by the Board, the duties and supervision on a day-to-day basis is done by the WPO and as such are responsible for law enforcement within the CRB.

#### **PROCESS**

##### **Step 1: Supervision of CSs**

Explain to the participants that the recruitment and payment of CSs is the responsibility of the Board but the day-to-day supervision is not. However, if there are problems with regard to the performance of a particular CS, the Board will be expected to intervene. Guide this discussions by asking the following questions:

- How many CSs are employed in this CRB?

- Where are they based?
- Are there any vacant positions?
- How do they get paid? How much?
- How does the Board communicate with the WPOs who supervise the CSs?

## **Step 2: Enforcement of Local Rules**

With the participants, write down local rules of the CRB on cards – one rule on a card. This could relate to getting permission for certain land use practices to the use of selected natural resources (e.g. reeds or poles) to the rules for a shared water point.

Discuss who in the community and the Board are responsible for the enforcement of these rules. Some of the rules may be enforced by the CSs while other may need to be enforced by the Board or other community members. Identify who is responsible for the enforcement of each of the rules listed on the cards. On flipchart paper, write down the various individuals or groups that are responsible for enforcement of rules and the place the rules on the correct sheets.

## **FACILITATOR'S NOTES**

### **Responsibilities of a Community Scout**

A CS acts as an official representative of government who is required and entrusted to work within the law. The Scout's powers and duties are conferred by the Zambia Wildlife Act No.14 of 2015. The fundamental duties of a CS include:

- Serving the community;
- Conserving community natural resources;
- Safeguarding lives and property; and
- Keeping peace and ensuring the rights of all to liberty, equality and justice.

Further specific duties may be given to a CS by the supervisor, the WPO. CSs are required to accompany the PH during all of the hunts in the GMA.

### **Performance of the Duties of a Community Scout**

A CS shall perform all duties impartially, without favor or affection or ill will and without regard to status, sex, race, religion, political belief or aspiration. All citizens will be treated equally with courtesy, consideration and dignity. CSs should never allow personal feelings, dislikes or friendships to influence official conduct. Laws will be enforced appropriately and courteously and, in carrying out their responsibilities, CSs will strive to obtain maximum cooperation from the public. They will conduct themselves in appearance and deportment in such a manner as to inspire confidence and respect for the position of public trust they hold.

CSs will be required to perform duties outside their jurisdiction if stakeholders request for their services through the CRB and all payments other than salaries will be borne by stakeholders if the job demands the officers to spend nights, travel and any allowances if applicable.

A CS will use responsibly the discretion vested in his position and exercise it within the law. The principle of reasonableness will guide the CS's determinations, and he/she will consider all surrounding circumstances in determining whether any legal action shall be taken. Wise judgement needs to be applied in every action in order to avoid attracting a bad image of the CRB. Consistent and wise use of discretion, based on professional policing competence, will do much to preserve good relationships and retain the confidence of the public. There can be difficulty in choosing between conflicting courses of action. Uniformed Scouts must not receive private or special

advantage from their official status. Respect from the public cannot be bought; it can only be earned and cultivated.

CSs will cooperate with all legally authorized agencies and their representatives in the pursuit of justice and duty. There may be more than one organization providing law enforcement services to a jurisdiction. It is imperative that a CS assists colleagues fully and completely with respect and consideration at all times.

### **3.4 REVIEW AND ASSESSMENT**

To conclude this module, review the key discussion points that have been the focus of this module. The follow the steps indicated below will guide you through a quick, informal and easy assessment.

#### **ASSESSMENT**

When preparing for the assessment, compile a list of statements that are related to governance and NRM for the CRB. Keep the process very casual. Read out one of the statements on your list and ask a particular participant to respond with either “Good governance” or “Bad governance”. Once the individual has responded, ask the other participants whether they agree or disagree. Ensure that each participant gets an opportunity to give an answer at least once. Make sure you have prepared enough statements to give each participant at least one opportunity to respond. Also remember that the legislation, the Constitution and local rules should be considered when responding to the statements.

Examples of statements:

- A new CS is appointed by the Board because he was recommended by a DNPW officer.
- The report back on the quota will be drafted in January and once it has been reviewed by the Board during their monthly meeting in February, it will then be submitted to DNPW.
- The current contract with the hunting company is about to expire. The Board is organizing a meeting with the hunting company to discuss possible renewal of the contract.
- The Board calls a special meeting to review a report from the WPO about poor performance of one of the CSs. A meeting is set up with the CS, the WPO and the Board to address this issue.
- A CRB resident has been approached by a businessman from Lusaka who wants to purchase colourful bird feathers in large quantities to export. The Board agrees to the member’s proposal to catch 300 birds and kill them to remove their feathers.
- The allocation of CSs to accompany the PH on hunts in the CRB is being queried by some of the CSs. One particular CS is always selected for this duty and the other CSs feel that they are missing out on the opportunity of accessing additional meat. The Board has written a letter to the PH.

## 4.0 MODULE III: ADMINISTRATION AND FINANCIAL MANAGEMENT

The focus of Module three is on the various components of administration and financial management of the CRB. This is one of the key components of governance of the CRB and is a big part of the compliance requirements of DNPW. Further training will be required for the members of the Board and the Secretariat who will be responsible for the implementation of these tasks. A sub-committee called the FMC should be formed. Its composition will depend on whether a CRB is already developed, still developing or an emerging CRB and whether the CRB has the resources to employ a Secretariat.

This module is merely an introduction to the administration and financial management of a CRB and should be followed up with training targeting the FMC specifically where in-depth training on processes and procedures can be given. An important aspect of this module is the facilitation of the handover of documents, records and banks accounts from the previous Board to the newly elected Board. This process can sometimes be complicated, especially if the CRB does not have an office and files and documents are scattered between the homes of previous Board members. It is also important throughout this training event, to try and facilitate (if it has not already happened) the handover of finances and associated documentation with the required checks and balances.

### 4.1 KEEPING RECORDS

Since the individuals responsible for the governance of the CRB are elected and could potentially change every three years when an election is held, good record keeping is essential to allow for consistency in the management of the CRB as well as to provide the basis for transparency to the CRB members. If a CRB has an office, then all documentation and records must be stored in the office to ensure that documents don't get lost and that the Board and Secretariat have access to these documents at all times. If the CRB does not have an office, this aspect of governance will present a big challenge.

#### PROCESS

Before working through the steps described below, ensure that the handover of administrative processes, records and finances from the previous Board to the new Board has taken place. If this has not yet taken place or the handover is not complete, facilitate this process and include the needed steps as part of the discussion that follows.

#### Step 1: Writing Minutes

Keeping minutes of all CRB meetings is the first step to maintaining records. Review the existing systems in the CRB office for taking and filing the minutes. Look at the most recent file or minute book and look carefully at the format and quality of the minutes that are on record. Discuss the following:

- For which meetings is it necessary to keep minutes?
- Who is responsible for taking minutes at the various meetings?
- In what format should the minutes be recorded?
- Who signs the minutes?
- How are they stored – in a file or a minute book?

#### Step 2: Keeping the Filing System Up to Date

If the CRB has an office, then go to the office and see what administrative systems already exist. Review these with a critical eye and consider whether the existing systems are functional and

adequate. If the CRB does not have an office, then the newly elected Board needs to be sure that they get all of the existing documents from the members of the previous Board and then they need to have a serious discussion about where and how documents will be stored and accessed. By the end of this session, they need to be able to answer these questions:

- What is the list of the files, administrative documents and books that belong to the CRB?
- Have all of these been handed over to the new Board?
- Where will documents and files of the CRB be stored?
- Does a filing system exist? Is it adequate for the needs of the CRB? Does it need to be updated? Who will be responsible for doing this?
- Are record-keeping systems in place for all of the core functions of the Board?

### **Step 3: Keeping Records of Finances**

Keeping records of the various components of the financial management of the CRB is an integral part of the financial system of the CRB. These requirements are often part of the compliance requirements to DNPW and have a legal basis. It is important to differentiate between keeping records which assist the Board in keeping track of management and activities of the CRB and keeping records that are a requirement by law. It is important to understand that both provide useful information to the keep the Board informed but it is essential that the keeping of financial records meet the compliance requirements and formats prescribed by DNPW.

Look at the following documents to see what they say about financial record keeping:

- The Constitution of the CRB
- CRB standard operating procedures
- The procurement procedure guide for CRBs

Review the existing systems of the CRB to make sure that these requirements are met.

### **FACILITATOR'S NOTES**

#### **Keeping Records**

Record-keeping is the responsibility of the CRB Secretariat or FMC Chairperson. The key aspects for good record-keeping that a CRB should follow are:

- Always file and store all financial documents timeously and correctly;
- Always keep financial records and filing up-to-date;
- Always file requisitions in order – this will be determined by the type of documentation. Minutes and correspondence are filed according to date whilst requisitions and receipts will be filed in sequential order;
- Always file grant agreements and quarterly reports in their own specific file; and
- Always file minutes of meetings in their own file, and in date order.

The records of the CRB need to be organized into a filing system. It is not only important to keep the current records but because some legal documents are valid for many years (e.g. a hunting contract), long-term records also need to be kept. Thus a CRB needs to have a system whereby documents are kept according to legal and constitutional requirements as well as facilitating the easy access of current documents on a day-to-day basis. Members of the Board and members of the CRB

have the right to request to see any of the documentation or records of the CRB. The filing system of the CRB should have two main components:

- Strategic management files
- Operational files

### **Keeping Minutes**

There needs to be an effective and efficient system for recording and storing all the relevant decisions and correspondence pertaining to a CRB. The record keeping system must ensure that appropriate information regarding CRBs is collected and stored in an accessible manner. It is essential to have a record of quotas approved so that these can be verified in the case of any dispute. It is also important to keep a record of all the correspondence related to compliance monitoring and copies of reports and documents submitted to DNPW. The Secretariat also needs to collect and keep data on game counts, income, and spending on benefits and good governance records.

The Secretariat should write the full minutes as soon as possible after the meeting, based on notes taken during the meeting. It is important that the minutes give a true picture of the discussion that took place at the meeting. Minutes should be kept short and to the point. Write only the necessary information and main points, including decisions/conclusions reached and action items agreed.

The administrative documents, files and minute books must be kept in a secure place. For important documents and any cash at hand, safe and secure storage is especially important. Some of the important documents include; cashbooks, letterheads, asset registers, rubber stamps, receipt books and bank statement. The FMC Chairperson is responsible for ensuring that these security items are kept very safe. Ideally, these documents should not be kept in homes, but in a central office of the CRB. Since most CRB do not have a secure office however, these items are often kept in Board member's home. This presents great challenges for the long term storage of CRB documents and also limits members' access to this information. All documents and records must be kept where they are dry and will not be eaten by rats or termites.

### **Minutes of GMs**

- Ensure that minutes of the proceedings of all GMs are recorded and are entered in separate book kept for this purpose.
- Submit minutes for review at the next GM.
- At each GM, quarterly reports should be provided on the following:
  - Chairperson's report;
  - Financial report;
  - Projects report; and
  - Wildlife Management report.
- These reports should be written, but should be carefully explained so that all members clearly understand the contents.
- The reports and accepted minutes should be placed in a marked filed so that they are easily accessible.

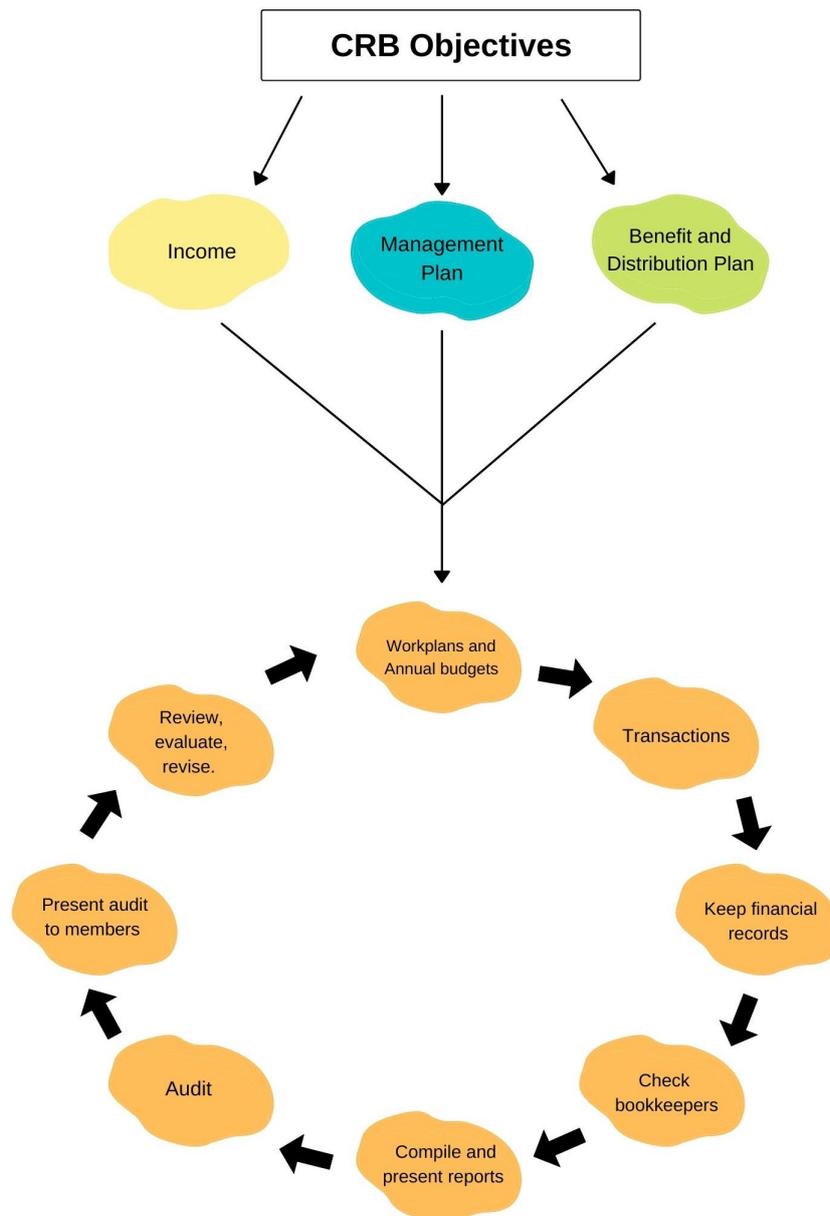
## 4.2 MANAGING FINANCES

The financial management of a CRB involves four basic activities:

- Budgeting for planning and controlling money received (income) and money spent (expenditure);
- Accounting for accurately recording income and expenditure;
- Banking for keeping cash safe, preferably in a secure bank account; and
- Reporting to the board, the members and to DNPW.

### PROCESS

#### Step I: The Financial Management Cycle



Replicate this diagram on a flipchart sheet and describe and discuss the different steps in the financial management cycle.

## **Step 2: Map Out the Existing Financial Management Systems**

On the flipchart, map out the financial management system of the CRB as it existed under the previous Board. From the experience of the new Board members and given the preceding discussions, are any changes needed? If so, mark these on the flipchart. Is it possible to discuss now whether the recommended changes are feasible or is this something which needs to be investigated further at a later meeting?

For each of the stages of the financial management process, write down the names of the individuals who will be involved in that stage – this may include DNPW officials, Board members, Secretariat members etc. Write this in a different colour on the flipchart – insert the names at the different stages.

If possible, try to get copies of the previous year's work plan and budget and review and discuss these.

Also discuss at which points in the financial management cycle it is necessary to provide feedback to the whole Board and at which stages is feedback to the CRB membership required.

### **FACILITATOR'S NOTES**

Financial management refers to efficient and effective management of money and includes planning, organizing, directing and controlling the financial activities and resources of the CRB. Good financial management can only be achieved if each one of these activities is operating well and is fully understood by the management committee, especially the Chairperson, Vice Chairperson and the FMC Chairperson. Financial management processes are cyclic and while the details of each of the steps in the process will not be discussed during this training event, a depiction of the financial management cycle is presented below.

### **Financial Management Systems**

Financial management is about managing the CRB's financial system and cycle which includes all the income and expenditure. For the Board to manage its money effectively and responsibly, a simple but accurate accounting system is needed. It is important to have a good financial management system in CRBs because good financial records are the basis for good financial management, planning and budgeting. It also helps trace any money received or spent and that member's money is managed properly, can be accounted for and explained how it was used (accountability and transparency) and the agreed activities are implemented.

In order to have good financial management in CRBs, the following is needed:

- Clear separated roles, responsibilities, job descriptions;
- Clear approved budgets that are linked to work plans;
- Accountability and transparency;
- Policies, procedures and systems in place;
- Simple system for recording all transactions (both income and expenditure) on a daily basis;
- Willingness, skills and ability to use the systems; and
- Accurate reports on all income and expenditure and budget need to be produced to review, manage and adapt where necessary.

## **Responsibility of the FMC Chairperson**

Ultimately, it is the FMC Chairperson's responsibility to manage financial and administration processes with the support of the bookkeeper and the FMC. He/she is accountable to the Board under the authority of its Chairperson. The FMC's functions are to:

- Prepare a budget for use by the CRB and monitor the use of funds according to the approved budget;
- Manage the CRBs bank account and cash-on-hand;
- Make payments and receive income on behalf of the CRB;
- Complete all the necessary documents and record every transaction in the cash record-book; and
- Regularly report to the Board on the financial status of the CRB account.

The FMC Chairperson will be supported by a sub-committee to fulfill these roles.

## **Procedures at FMC Meetings**

Proper procedure is important because it allows discussions to lead to actions. In the FMC meetings, ideas must be presented, agreement reached and then the decision must be put into action. Proper procedure allows an idea to be discussed fully, without the discussion wandering off to another subject. The discussion should keep to one matter at a time. Then it should reach a conclusion. When the FMC has reached a conclusion, then it makes a decision. That matter is then closed and the next matter is considered.

To facilitate proper procedure, an agenda must be prepared beforehand. It is the Chairperson of the FMC who is responsible for ensuring that the meeting follows the agenda and that discussions stick to the agenda topics. Meetings should be held regularly. It is good to have a fixed time and day that everyone knows - for example the last Friday of every month at 9 o'clock in the morning. If possible, the agenda should be shared with the committee members in advance of the meeting and the agenda should indicate the venue, date and time of the meeting. The meeting should start as soon as the Chairperson and Secretary and half the members are present. Those members arriving late should be asked to come on time to the next meeting.

At each meeting, the secretary of the FMC should take minutes that record decisions and actions to be taken.

## **Financial Statements**

Financial statements and audit reports communicate to a range of internal and external stakeholders:

- The financial status of the CRB and
- The transparency and accountability of the CRB.

Financial statements are reports, which give an accurate picture, at regular intervals (monthly, quarterly, six-monthly, annually), of the money received by the CRB and how it has been spent. The report also shows a comparison of actual income and expenditure against budgeted income and expenditure. The statements should be presented within 15 days following the closing date of the relevant period. For example, if the closing period date is 30 March, the statement should be ready by 15 April.

Reviewing the financial statement is an important part of the duties of the Board. They will confirm that the statement is correct by signing it under the mention: "Read and Approved". If the statement is:

- Approved – then the Board should ensure that as many people in the CRB and the community know and understand the figures as possible. One way of doing this is to re-write the statement in the form of a poster and display it during AGMs.
- Rejected – then the FMC must go back to the records and check the figures and be prepared to explain serious differences between the budgeted figures and actual expenditure. If these persist, then a meeting of the CRB membership must be called and the differences explained and recorded in the minutes.

### **Auditing of Financial Statements**

An audit is an assessment of the truth and accuracy of the financial affairs of the CRB. The auditor (an independent person appointed by the Board or DNPW) will inspect the cash record book, the bank statement and all the supporting documents. The auditor will also assess the security of the financial management system. In ideal circumstances an audit should be carried out annually. If there are known to be problems, then audits can be carried out more regularly. The audit should be carried out not later than one month after the end of the financial year.

### **4.3 MANAGING STAFF, SUPPLIES AND ASSETS**

The management of staff and assets of a CRB should be done according to policies of the CRB which are documented and approved by the membership. If these documents do not exist, then the newly elected Board should add the development of these policies to their list of tasks.

#### **PROCESS**

This section will need to be adapted to suit the individual CRB.

#### **Step 1: Establish the Extent of the Staff, Supplies and Assets of the CRB**

- How many staff members are appointed by the CRB and have their salaries paid by the CRB? Write this down on the flipchart.
- What assets does the CRB own at the moment? Write these down. Is there an assets register? If yes, find the register and check that all the known assets are recorded there and that all the broken or dysfunctional items have been removed. Establish who is responsible for maintaining the register if there is one or who is responsible for establishing a register.
- What supplies does the CRB currently have on hand? Where are these stored? How are these managed? Who is responsible? Is the current system adequate? If not, who is responsible for revising the system?

#### **FACILITATOR'S NOTES**

The notes that follow are based on the requirements for a fully developed CRB where the Board has a Secretariat and staff members available to support CRB activities. These notes should be adapted to suit the development stage of the CRB and the local conditions.

#### **Management of Staff**

Staff members are employed by the Board and as such, they are responsible for following the instructions from the Board and implementing the decisions made by the Board. This section might not apply to Boards who do not have a full Secretariat or perhaps only have a bookkeeper employed. However, all Boards receiving income will have employed CSs and while they are supervised by the WPO, the Board is responsible for responding to poor performance of the CSs.

The ZCRBA has developed a detailed guide outlining the following components of staff management:

- Recruitment
- Terms of appointment
- Job descriptions
- Grievance mechanisms and discipline management
- Code of conduct

This document can be accessed and referred to during the induction training of Boards who have employed several staff members and need to consider the development of a human resource or staff management policy.

*Reference: Human resources guidelines for CRBs in Zambia - a joint HR guide for CRBs (2020).*

### **Management of Supplies**

Supplies and stores include such things as stationary, building material, equipment, fuel and others. For prudent management of stores, always ensure that:

- The responsibility for the management of stores is vested in the hands of a stores officer selected by the Board;
- All stores items must be kept safely to avoid loss due to damage or theft;
- The stores officer must always raise the Goods Received Note every time she/he receives the goods;
- A stores officer should never issue any item of stores without an approved stores requisition order;
- The stores officer must ensure that the person receiving any item of stores signs for that item in the goods issued voucher book;
- The stores officer must maintain a stores ledger which should always be up-to-date;
- The Board must ensure that the stores officer is properly supervised;
- The Board should undertake periodic stock taking where records of stores are checked against the physical availability of such stores items;
- The Board must ensure that required stores are acquired for proper management of stores;
- Procurement of fuel should be initiated by a memo which upon approval will give the authority to the bookkeeper to prepare the voucher and have it checked and approved;
- Where the CRB has a fuel service station within its vicinity, the Board should buy fuel on account and only draw fuel when the need for use of fuel arises using prescribe fuel drawing document;
- For CRBs without a nearby fuel service station, fuel bought in bulk should be subject to the prescribed stores procedures;
- As a general rule the purchase of subsequent fuel should be supported by returns for the previous payment; and
- The stores officer must maintain a fuel register which must always be up-to-date.

## Management of Assets

An asset is anything that belongs to the CRB or is used by the CRB staff and membership. It could be:

- Something that the CRB has bought e.g. A safe, the furniture or the stationery in the CRB office;
- Something that has been donated to the CRB e.g. Maps, posters or a camera;
- Something that the CRB has built e.g. An office, storeroom or a campsite; and
- Something that has been loaned to the CRB e.g. A GPS or field equipment.

Assets are properties of the CRB and are of such a nature that they will remain in functional for the foreseeable future. Assets are often differentiated from supplies by the definition of their monetary value. For example, any piece of equipment that costs more than K3000 is considered an asset rather than a supply. Managing the assets is part of managing the CRB. If the assets of the CRB are not well managed then:

- Money that the CRB has earned will be spent on replacing lost or damaged assets;
- CRB activities could be held up because the equipment needed to carry out the activities is not functional or available;
- CRB members will become unhappy about things being misused; and
- Organizations contributing to the CRB will be reluctant to assist a CRB that is not managing assets well.

Good management of assets is part of the Board's responsibility and is part of being accountable to its members. Assets management is something that people can easily see and they will often judge the effectiveness of the Board by how well they manage the assets. The management of assets is also something that the auditors will check on when doing an audit.

For proper management of assets, the Board must ensure that:

- All assets must be procured using an approved procurement system.
- For every asset, the Board should ensure that there is a responsible member.
- Every asset of the CRB new or old must be recorded in the asset register.
- Each asset must be given an identification code.
- The Board should ensure that disposal of assets is authorized by the Board.
- The Board must also agree on the best way of managing assets no longer in use.

Certain assets will be assigned to one particular staff member. This is usually the case with pieces of equipment that are used mostly by one person. For example, the computer may be the responsibility of the Bookkeeper. This doesn't mean that other staff members will never use the computer, but the Bookkeeper is the person who will use it the most and will also be responsible for making sure that it is safely locked away when the office closes. Whenever an asset is purchased, the Board should decide whether the asset will be allocated to one particular staff member or whether it will be shared by several staff members. Assets are shared when it is not possible or not necessary to have a particular piece of equipment for each person who uses it. Examples of this are cameras and GPSs. These items are very expensive and are not used by the CSs on a daily basis. It is these items for which there needs to be a system to manage and track these items.

It is important that one person has the responsibility of keeping track of consumable items or supplies. This should also be the responsibility of the person who buys the supplies. If the same person is buying things and checking on how they are used, it is much easier than dividing these responsibilities between two different people. Shared items should be monitored by the responsible person by having a book recording who has taken a particular item. It is very important that the person given this responsibility should be available to assistant staff or Board when they need to access shared equipment or supplies.

#### **4.4 REVIEW AND ASSESSMENT**

To conclude this module, review the key discussion points that have been the focus of this module. The follow the steps indicated below will guide you through a quick, informal and easy assessment.

##### **ASSESSMENT**

When preparing for the assessment, compile a list of statements that are related to administration and financial management of the CRB. Keep the process very informal. Read out one of the statements on your list and ask a particular participant to respond with the statement is “true” or “false”. Once the individual has responded, ask the other participants whether they agree or disagree. Ensure that each Participant gets an opportunity to give an answer at least once. Make sure you have prepared enough statements to give each Participant at least one opportunity to respond. Also remember that whether a statement is true or false will vary depending on the CRB and its structures and rules.

Examples of statements:

- The asset register of the CRB is up-to-date.
- The CRB has an approved budget for this financial year.
- The Bookkeeper has a signed job description.
- The CRB has a work plan for the current year.
- The financial statements of the CRB were audited last year.
- All the CSs have signed employment contracts.
- The CRB met the DNPW compliance requirements last year.
- There is a file where all the reports presented at GMs are kept.
- The CRB has a structured and labelled filing system.
- The CRB does not have any assets.
- All the equipment of the CRB is in good condition.
- The CRB has a recruitment policy.
- The CRB has already identified the members of the FMC.

## 5.0 MODULE IV: BENEFIT SHARING

This module is the culmination of all the processes that have been described before. The whole purpose of registering a CRB, managing the natural resources, ensuring that the financial management systems are in place and setting up the required administrative procedures – all of this is done in order to generate benefits for the members of the CRB.

### 5.1 THE PRINCIPLES AND PURPOSE OF CBNRM

When the implementation of CBNRM fails, practitioners often look at the immediate and obvious causes for that failure. However, challenges of result from the fact that the way in which CBNRM is being implemented does not adhere to the basic principles. It is often difficult or almost impossible to apply one of the principles because of the legislative framework, existing land uses or governance structures, or the nature and extent of the resource base – factors beyond the scope of the CRB or implementing agencies to change. However, the CBNRM principles provide a good starting point for analyzing challenges with regard to existing initiatives or seeking guidance when planning new CBNRM interventions.

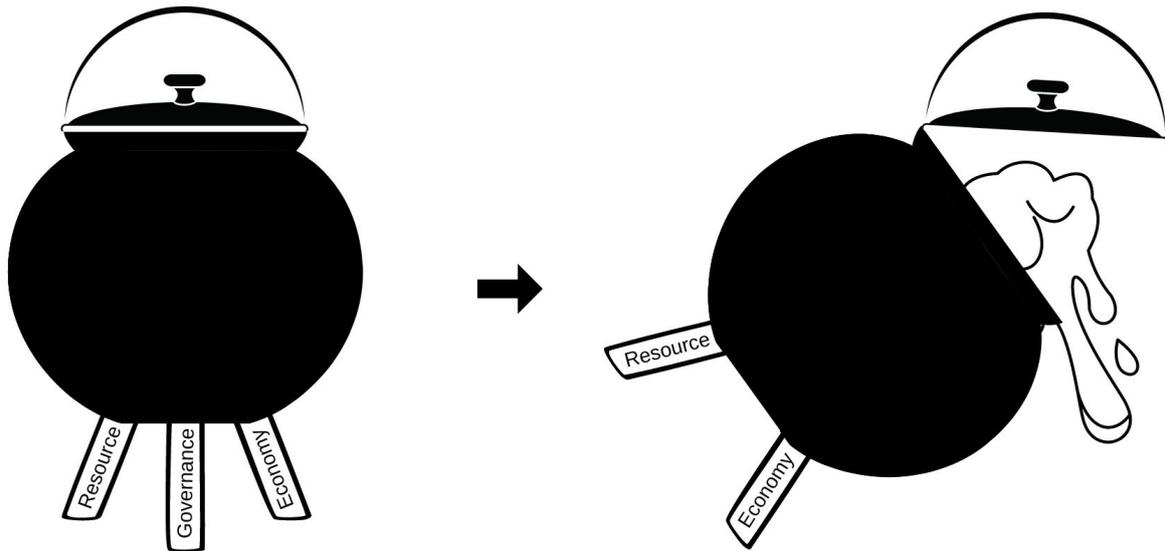
#### PROCESS

##### Step 1: The Principles of CBNRM

- Assess your participant group and their energy levels and then decide how much detail you will cover on this topic and how much time you will spend on this discussion.
- The principles of CBNRM are general principles and are not specific to CBNRM in Zambia. It may not be possible for the implementation of all of the listed principles in the situation you are working with but understanding the limitations can be useful and may help in analyzing challenges or problems.
- The recommendation is that you make the participants aware of the principles and how they can be used when trying to resolve issues rather than

##### Step 2: The Purpose of CBNRM

- CBNRM is supported by three pillars: the resource base, the social structures and the economic benefits. Explain this to the Participants by comparing CBNRM to a three legged pot – if one of the legs are missing the pot will fall over and the nshima will fall out into the fire.
- Whilst the generation of benefits for the community and the members is the purpose of CBNRM, it has to be accompanied by management of the natural resources and good governance. Benefits are not possible without strong social and governance structures and a healthy and productive resource base.
- Use this discussion and the examples to emphasize the linkages between good governance and optimizing equitable distribution of benefits.



## FACILITATOR'S NOTES

### CBNRM Principles

Over time, a set of principles has emerged from the analysis of the performance of CBNRM program in Botswana, Namibia, Zambia and Zimbabwe. Briefly, these are:

- To determine whether the benefits of managing a resource exceed the costs, the resource must have a measurable value to the community.
- Those communities living with the resource should receive higher benefits than those who do not.
- Smaller groups are more likely to better manage their resources than larger groups.
- The community or group that lives with the resource should also be the same as the group that makes the decisions over the resource and the same as the group that benefits.
- Communities should benefit from practicing good management. Similarly, when communities do not invest in management, then the benefits should fall.

### Some Difficulties Facing CBNRM

CBNRM programs are, in many ways, a new and different approach to the management of land and natural resources. A number of common problems have emerged from CBNRM programs and projects in the Southern African region. These are:

- **Scale:** in the case of wildlife, the home range of some species might extend beyond the boundaries of the community that is the unit of management. This means that the community must collaborate on important issues with its neighbors: either other communities, private landowners or the state (managing protected areas).
- **Time:** some natural resources, for example commercially important timber species or elephants, take a long time to mature. This means that decisions which are made now will have an impact on the resource only in several years' time.
- **Complexity/difficulty:** The laws and policies controlling the use of natural resources in many countries overlap and are outdated. Communities themselves are also very complex and diverse. As with any change, some groups might gain from CBNRM whilst others stand to lose.

- **Implementation:** successful CBNRM requires dedicated and skilled implementation to change policy and legislation into action. A broad range of partnerships with governments, have been responsible for implementation.
- **Land tenure:** Basically, CBNRM programs change the ownership and control over natural resources. Some control and some benefits are handed over from the state to communities. In some cases, this is supported by legislation whereas in other cases implementation has come before legislation. Although land management is as important as the management of specific resources, very few CBNRM programs have dealt with the issue of the land tenure systems in Southern Africa.

### **Importance and Purpose of CBNRM Approach**

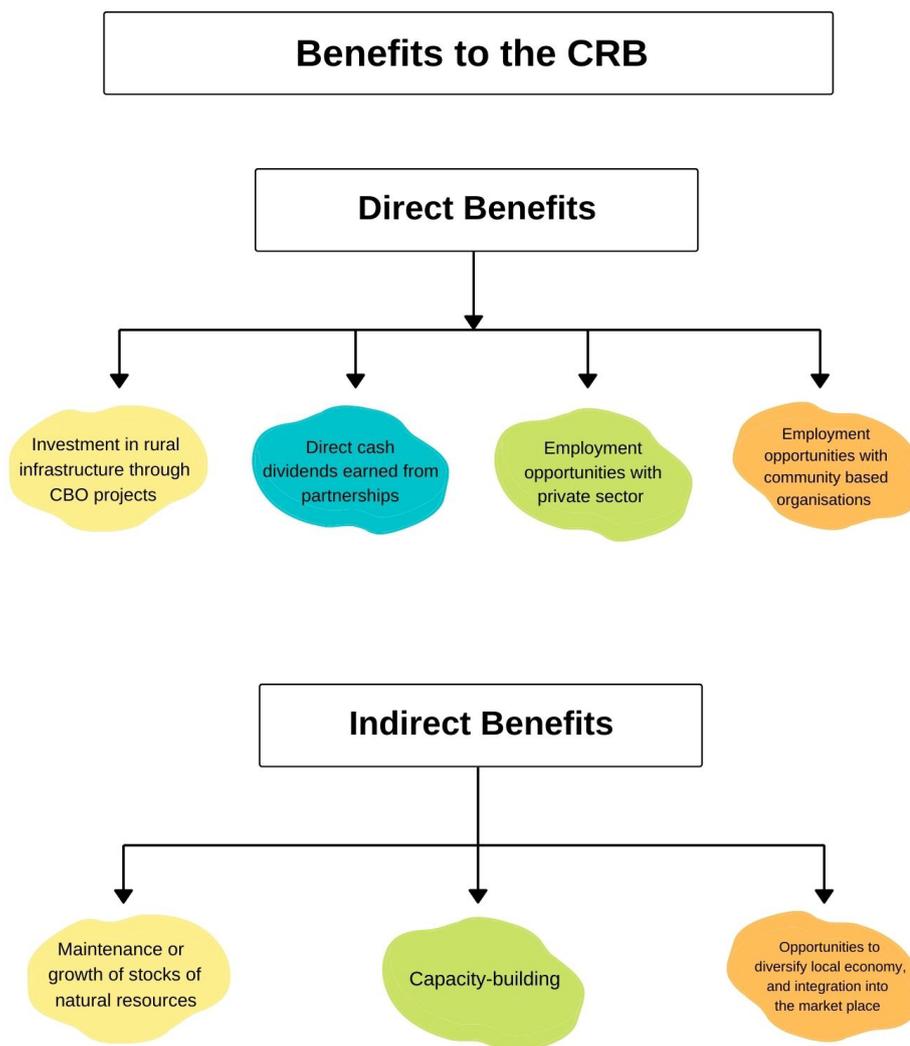
CBNRM links the management of natural resources to economic development using community-based social structures. Across southern Africa most of the population lives in the communal lands. The economies of the communal lands vary between countries according to the types of agriculture, the potential distance from markets, and the structure and size of the national economy. However, in all communal lands the harvesting of natural resources has been shown to play a significant role in livelihood strategies. Local ecological and economic conditions determine the exact contribution to gross household income, and the type of resources harvested. The use of natural resources will also depend on the wealth of the individual households. This means that strategies and policies to ensure the sustainable management of land and natural resources are essential to national economic development.

CBNRM governance structures and decision-making mechanisms, should enable CBOs to make choices that are socially, environmentally, and economically sustainable. This is frequently referred to as a triple bottom line approach. This approach is important in addressing social issues such as the challenges living in rural areas, improving and diversifying local economies in rural areas that have been long neglected and reversing the widespread environmental degradation in communal lands, as this underpins rural economic and social development.

### **5.2 DIFFERENT TYPES OF BENEFITS**

It is important to understand the different types of benefits from CBNRM activities. There are direct benefits and indirect benefits as illustrated below.

Some of the benefits list above are collective benefits – benefits which are enjoyed by the community as a whole e.g. if the CRB builds a new classroom for the school, all children at the school get to benefit from it collectively. However, when speaking to CRB members, the benefits which are most important to them are the individual benefits which contributed to their household and livelihood. If a woman chops and sells reeds to the hunting company to use when building their hunting camp, she gets paid directly and may use that money to buy school uniforms for her children. That is going to be more important to her than the growth of stocks of natural resources.



## PROCESS

### Step 1: Direct vs. Indirect Benefits

In advance, prepare a set of cards with different types of benefits that the CRB is getting. Make the examples specific to the CRB where you are doing training. Give each Participant two cards and ask them to write down two different benefits which CBNRM brings to the CRB. Collect all the cards.

Discuss the difference between direct and indirect benefits. Prepare a flipchart sheet. Divide it into two parts – direct and indirect. Ask the participants to place their cards in the two categories. Once all the cards have been placed, discuss and review the outcome and make changes if the group agrees that it is necessary.

### Step 2: Collective vs. Individual Benefits

Remove all the cards from the sheet. Hand out the same cards again. Prepare a flipchart sheet with two parts – collective and individual. Ask the participants to place their cards in the two categories. Once all the cards have been placed, discuss and review the outcome and make changes if the group agrees that it is necessary.

Discuss why direct household benefits are going to be the benefits which members recognize, remember and value. Emphasize that these benefits are all dependent on the wildlife resource base.

## FACILITATOR'S NOTES

For most CRBs, the main source of income is from hunting contracts. DNPW is responsible for collecting 100% of revenues from safari hunting concessions and hunting fees generated in GMAs and sharing them as follows:

- 50% to CRBs for wildlife management and community development projects
- 50% to central GRZ revenue

Out of the total amount allocated to the CRBs

- 45% is meant for wildlife protection
- 30% for socio-economic development
- 20% for administration
- 5% to Chiefs as Traditional Leaders and CRB Patrons

Whilst the focus on income to CRBs is currently on payments by the hunting companies for hunting rights and the wildlife off-take quotas, other opportunities need to be explored. These need to be explored within the limits imposed by the legislative framework as well as socio-economic practices. Some examples of these are: income from joint venture tourism enterprises in GMAs, the sale of crafts to tourists, the harvesting of non-timber forest products to supply the international cosmetic and specialty food sectors, carbon trade to name but a few.

### 5.3 THE BENEFIT DISTRIBUTION PLAN

The development of a BDP is a requirement for the registration of a CRB. When the leadership of a community is going through the process of preparing to get the CRB registered, there are often unrealistic expectations of what benefits the CRB can generate.

#### PROCESS

Follow the process below if the CRB has a BDP. If the CRB does not have a BDP, go to step 2.

##### Step 1: Existing BDP

- Establish whether a BDP exists for the CRB. Find the document and have a look at it. When was it written? Has it ever been updated? Who is responsible for managing the benefit distribution process?
- Summarize the main components of the BDP. Who benefits and how.
- Ask the participants to describe the benefits generated by the CRB in the past two years and how they were distributed. Was this done according to the BDP? If not, why not?

##### Step 2: Developing or Revising the BDP

- Discuss what happens if a BDP is outdated and no longer relevant or if it is unrealistic (i.e. is structured to distribute much larger benefits than what are actually available).
- If the CRB does not have a BDP or it needs to revise its BDP, this process needs to be carefully planned and facilitated and is not something that can be done hastily in the course of a meeting. Consultation with the VAG members needs to be undertaken as well as other CRB stakeholders. Once a draft BDP is available, it has to be reviewed at an AGM and then submitted to DNPW.
- Decide on the way forward with regard to the BDP. If it needs attention, list it on the *Follow up* sheet. Don't get into details during this session. The main idea is that you make the

Board members aware that this needs attention and get them to start thinking about some of what might need to be discussed.

## FACILITATOR'S NOTES

### Why is It Important to Have a Written BDP?

- If an inclusive and consultative approach is used to develop the BDP and input is obtained from the broader membership, it will be supported by the membership and will build community consensus and participation.
- Once the BDP is drafted. It needs to be shared with the membership and discussed. The written document will ensure that inputs and agreed upon measures are accurately documented.
- A BDP must be based on fairness which does not always mean equal – the difference between equal and equitable. *Equitable* does not mean *equal*– it means fair.
- A BDP provides consensus as to how the benefits will be shared out. All the reasons for dividing benefits in a certain way must be made open and transparent.
- A written BDP promotes transparency. It should be shared members and should encourage openness and trust between community and members.
- A written BDP promotes accountability. Since all Board members are responsible for its implementation, the written plan clarifies the roles and responsibilities for implementation by the Board.
- The BDP gives guidance to existing and future Boards and allows for a structured approach to equitable benefit distribution.
- A good BDP ensures the needs of members are being met and benefits generated are used for wise development of specific communities.
- A plan promotes a clear linkage between the benefits and management of a CRB and provides incentives for members to implement sustainable NRM procedures.

### Principles of Benefit Distribution

These mirror the principles of CBNRM described in 5.1

- Those who suffer the greatest cost should receive the greatest benefit
- Benefits generated should be greater than the costs
- The collective interest of a community should be stronger than the interests of individual stakeholders
- Appropriate, preferably quick and low cost, community-based ways of resolving conflicts should be used
- Mechanisms should be in place to allow for participation and consultation with different types of community members
- Different sources of income can be divided in different ways
- Finances must be accounted for in a transparent and responsible way.

### Procedures for the Equitable Distribution of Benefits

The CRB legislation requires the submission of a BDP. A plan may vary from year to year depending on circumstances, needs and experience, therefore it cannot be part of a Constitution which should

remain the same from year to year, but the procedure for deciding what to do should stay the same from year to year unless revised in the BDP.

- Each BDP should clearly describe the process for deciding on how benefits are allocated and the basic principles which should be followed as well as outlining the types of allocations that can be considered. For example, the BDP could specify that supporting the development of a water point that only one family will have access to is not allowed and that if water point development is going to be supported it has to be for one that is used by the whole village (collective benefit).
- The CRB Committee shall solicit suggestions from each of the VAGs, every year before the AGM. The CRB Committee may also make its own proposals. All of the proposals will be discussed at the AGM, and a decision will determine the benefit distribution.
- In the event that majority support cannot be reached for a proposal, then the money must be placed into a human wildlife conflict mitigation account to be spent on preventing or reducing human wildlife conflict or assisting those who have suffered losses from wildlife.
- If the AGM wants to allocate the benefit funds to a particular project, but the funds are not sufficient to fund the complete project in that year, the funds may be set aside for that explicit project, and additional funds may be added the following year provided that there are disposable funds and the distribution of those funds follow the same constitutional procedures.

#### **5.4 REVIEW AND WRAP UP**

A huge amount of content has been covered during the course of this induction training and it will not be possible to review it all as part of the concluding steps. However, the list of topics below probably covers the most important ones. Rather than focusing on the content that was covered, rather focus on the next steps – what this induction training process has highlighted as the most important aspects that need attention.

- The importance of good governance.
- The roles and responsibilities of the Board as a whole.
- The roles and responsibilities of the designated positions on the Board.
- The function and responsibility of the Secretariat.
- The compliance requirements and reporting responsibilities.
- Where capacity gaps exist.
- Where essential management systems or processes gaps exist.
- The most urgent training needs.

Together with the participants, look at the information on the *For follow up* sheets that have been compiled during the course of this induction training. Use this information to develop two action plans:

- One for the next quarter
- One for the next year

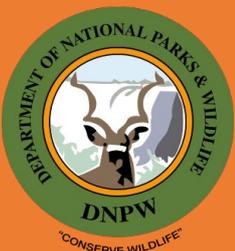
The action plan could look like this (please adapt if needed):

<b>BUFFALO CRB ACTION PLAN FOR NEXT QUARTER – JULY TO SEPTEMBER 2021</b>					
<b>WHAT?</b>	<b>WHO?</b>	<b>WHERE?</b>	<b>WHEN?</b>	<b>HOW?</b>	<b>SUPPORTED BY?</b>

<b>BUFFALO CRB ACTION PLAN FOR NEXT QUARTER – JULY TO SEPTEMBER 2022</b>					
<b>WHAT?</b>	<b>WHO?</b>	<b>WHERE?</b>	<b>WHEN?</b>	<b>HOW?</b>	<b>SUPPORTED BY?</b>

Conclude the workshop by asking each of the individuals to stand up and share two things:

- The session of the workshop that they found most useful and informative (they are only allowed to choose one)
- The first task that has been allocated to them that they will start working on as soon as they leave the venue.



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