

University of Cape Town

Master Dissertation

ECO-AFRICA AND FACILITATED
COMMUNITY PARTICIPATION IN THE /AI-
/AIS RICHTERSVELD TRANSFRONTIER
CONSERVATION AREA



Thesis presented in partial fulfillment of the requirements for the degree of Master of Philosophy (Environment, Sustainability and Society) at the University of Cape Town

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ABSTRACT

This research investigates how environmental consultancies frame participation as a tool for project implementation using a cross-border conservation initiative as a case study. The study focuses on the facilitation process led by Eco-Africa Environmental Consultants during the establishment of the /Ai-/Ais Richtersveld Transfrontier Conservation Area.

This study analyzes the promise of participation as a crucial component for Transfrontier Conservation Areas. Analyzing participation of the Richtersvelders is necessary for understanding the work that was carried out and how it was experienced by the stakeholders. The study refers to participation in conservancies in community-based resource management, where the role of non-government organizations and environmental consultancies is well established. Primary data were collected through qualitative document analysis, semi-structured interviews with members of the four communities and with Eco-Africa Environmental Consultants.

The findings of the study are that there was a strong attempt towards an all-inclusive bottom-up approach to participation. However, such the success of such an approach was hampered by local mismanagement, politics of money, and a marketing strategy favoring the South African National Parks and the Transfrontier Conservation project.

LIST OF ABBREVIATIONS

ABM	Alexander Bay Minerals
ABT	Alexander Bay Trading
ARTFCA	/Ai-/Ais Richtersveld Transfrontier Conservation Area
BPK	‘Bestuursplankomitee’- Management Plan Committee
CBNRM	Community-based Natural Resource Management
CBO	Community-based Organization
CDRA	Community Development Resource Association
CI	Conservation International
CT	Cape Town
CPA	Community Property Association
CRA	Coloured Rural Area
DEAT	Department of Environmental Affairs & Tourism
DLIST	Distance Learning and Information Sharing Tool
EAEC	Eco-Africa Environmental Consultants
GEF	Global Environmental Facility
GIS	Geographical Information System
GTLP	Great Limpopo Transfrontier Park
GTZ- Transform	GTZ Training and Support for Resource Management
IAPP	International Association for Public Participation
ICD	Integrated Conservation and Development
ICDP	Integrated Conservation Development Project
IDP	Integrated Development Plan
KTP	Kgalagadi Transfrontier Park
LDO	Land Development Objective
MoU	Memorandum of Understanding
MSP	Medium Sized Project
NGO	Non-governmental Organization
NNTTG	Northern Namaqualand Tourism Task Group
NORAD	Norwegian Development Organization

NPB	National Parks Board
PPF	Peace Parks Foundation
PRA	Participatory Rural Appraisal
RCBCP	Richtersveld Community-based Biodiversity Conservation Project
RCC	Richtersveld Community Conservancy
RCC SC	Richtersveld Community Conservancy Steering Committee
RGBK	Richtersveld 'Gemeenskaplike Bestuurskomitee'
RNP	Richtersveld National Park
RTC	Richtersveld Transitional Council
SAD	State Alluvial Diggings
SADC	Southern Africa Development Community
SANParks	South African National Parks
SDI	Spatial Development Initiative
SKEP	Succulent Karoo Ecosystems Plan
SNTR	South North Tourism Route
TFCA	Transfrontier Conservation Area
TFP	Transfrontier Park
TRA	Theory of Reasoned Action
WHS	World Heritage Site

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1. CHAPTER ONE: PARTICIPATION IN TRANSFRONTIER CONSERVATION AREAS

1.1. The Promise of participation

Peace parks and their related terminologies such as Transfrontier Conservation Areas (TFCAs) and Transboundary Conservation Areas have a long history that can be traced back to 1925 when Czechoslovakia and Poland signed the Krakow Protocol to set the framework for establishing international cooperation for the management of border parks. To date, there are five treaties and five Memorandums of Understanding (MoUs) that have been signed by Southern African countries, and eight conceptual parks are underway (see Figure 1.1.). This chapter introduces the /Ai-/Ais Richtersveld Transfrontier Conservation Area (ARTFCA), through the Richtersveld region in desperation of economic and social development, including the principle of participation as used in such large-scale conservation projects. It discusses the importance of participation with an array of stakeholders from government to locals. The chapter outlines the study’s research objectives of investigating this facilitation with respect to engaging one particular stakeholder- four local communities of the Richtersveld. The communities, as stated within the MOU, are representative institutions with enforceable rights to land, which is included in the TFCA, therefore, are treated as an individual stakeholder in this dissertation.

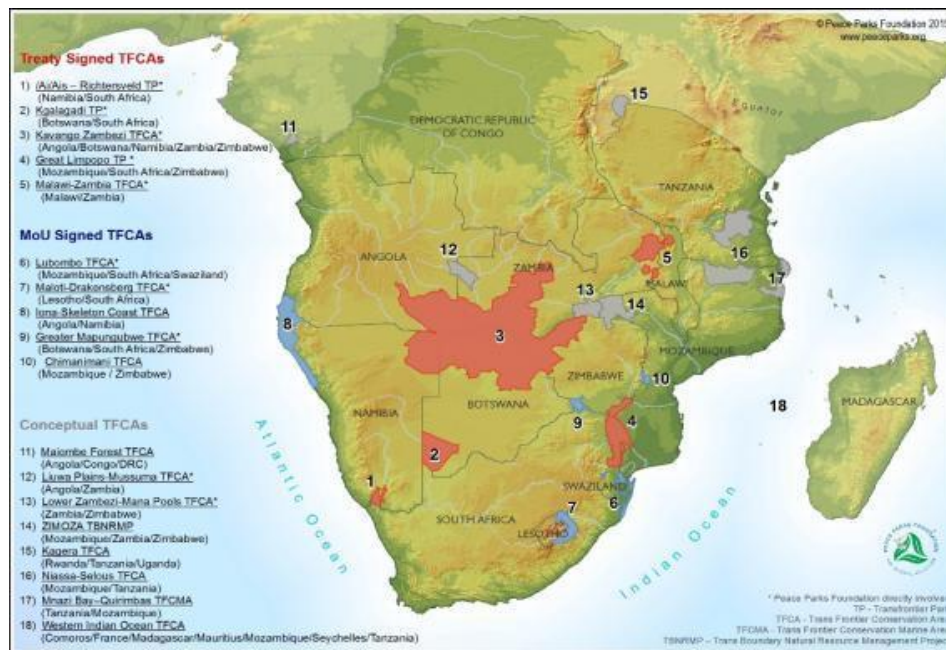


Figure 1-1 Southern African Peace Parks (Peace Parks 2016)

A TFCA, unlike a Transfrontier Conservation Park (TFP)¹ can incorporate multiple use zones on state, communal and/or privately owned land, as well as strictly protected areas. Seen as developmental efforts to integrate conservation and development, the goals of such an initiative are manifold, in addition to its potential benefits for communities living in or adjacent to these areas. The benefits include the protection and conservation of biodiversity, economic, social and political development through creation of economic and livelihood opportunities, alleviation of poverty and unemployment, as well as regional peace and stability- on a sustainable basis. Hence, sustainable development underlies the philosophy of TFCAs seen within its three-fold objectives of biodiversity conservation, socio-economic development and tourism and political objectives.

The establishment of a TFCA depends heavily on the ability and willingness of two or more countries to attune their conservation policies and management strategies, while simultaneously respecting each other's sovereignty. It is also a complex and time-consuming process, requiring intensive and extensive advocacy and facilitative work in all participating countries, with each having a sense of ownership within the process (Law Explorer 2016). The concept of TFCAs highlights the importance of local communities, which its proponents use to justify the creation of transnational conservation areas. They claim that local participation in TFCA initiatives makes conservation both relevant and appealing to locals (see Duffy 2006). Community support for the implementation of TFCAs is critical, since from the transboundary resource management perspective, cooperation must take place not only at the national level, but also at a local level (Zbicz 2003). The realization of this cooperation is dependent on the existence of a *“shared common vision that is in both in the interest of the people living across each other”* (Lanfer *et al.* 2003:237).

One of the most relevant instruments of international law concerning community involvement in TFCA initiatives is the Southern African Development Community (SADC) Treaty signed on August 17th, 1992 (Southern African Development Community [SADC] 1998). The Treaty ensures the participation of locals, through its objectives expressed in various protocols signed and ratified by Members States (Tanner *et al.* 2004). Advocates of TFCAs argue the transfrontier parks will provide tourism employment and revenue as well as other livelihood opportunities for people living adjacent to these parks (Munthali 2007).

¹ A Transfrontier Conservation Park involves a network of formally proclaimed State or provincial/regional protected areas straddling international boundaries and is subject to a shared management agreement among the countries involved (see Child & Lyman 2005, and Whande & Suich 2009).

Each CBNRM varies from geographic location, conservation needs, community needs and other related requirements. With most CBNRM, participation of locals resides in their attendance of meetings, their position as members of committees, administration and involvement in fundraising activities (Nangulah 2004). In Tanzania, participation resides in being part of the decision-making processes through planning and budgeting of managing wildlife resources. In the Namibian CBNRM programme (Lendelvo, Munyebvu and Suich 2012) participation range from linking craft producers to markets, awareness raising and educating other woman about sustainable harvesting of resources; running HIV/AIDS peer education programmes; participating in anti-poaching and human-wildlife conflict activities and in game counts within their conservancies (Munyebvu and Suich 2012). Moreover, in Botswana CBNRM activities vary from collecting veld products for sale, making craft and curios for sale, subsistence hunting, selling a hunting quota to safari operators, maintenance of campsites, cultural tourism and processing veld foods for sale (Cassidy 2001).

Through such activities, local participants of TFCAs are thought to be empowered, giving them a sense of pride in their natural resources and control over their own development (Mearns 2012). Generally, researchers and policy-makers (Inamdar *et al.* 1999; Murphree 1999; Metcalfe 1999; Linde *et al.* 2001) refer to four categories of community benefits from community involvement: for

- a. Improved economic health through diversified, income-generating, land-use options and eco-tourism.
- b. Re-establishment of community relationships severed by colonial boundaries.
- c. Stronger community-based property rights.
- d. Improved collaboration and relations with government, businesses, and other communities (all of which includes those of other nation states).

Metcalfe (1999) has identified what he deems three mutually exclusive approaches to community involvement in TFCA initiatives: outreach (management for/with local communities); collaborative management (management with/by local communities); and community-based management (management by local communities). As Barrow and Murphree (2001) suggest, these roles can be imagined as a continuum, where each role may have different implications for the TFCA themselves. International laws that recognize communities as stakeholders and encourage community participation in carrying out the law do not clearly define the role of communities in the implementation of the agreement (Tanner *et al.* 2004). It may even be the case that if community roles are defined, nation-states may still not involve them in the implementation process. Following this, NGOs are seen as the

driving force behind international cooperation through active mobilization of public support for international agreements (Gemmill & Bamidele-Izu 2002) such as TFCAs. Seen as pressure groups which can influence the way in which the state and international institutions address environmental issues (Wapner 1997), NGOs are viewed as the facilitators of community participation in TFCAs. As the state may lack certain capacities and knowledge to fulfill environmental objectives and ambitions, NGOs provide services of a technical nature to reach environmental goals, whilst representing the voiceless and engaging in 'social mores' to activate and encourage local mobilization.

The involvement of local communities in implementation can be very difficult in stimulating support and participation therein. However, as there is no blueprint to maximize or control community participation, Chiutsi & Saarinen (2016) argues that one of the key challenges within TFCAs relates to a lack of policy implementation. Similarly, Dhliwayo, Breen & Nyambe (2009) argue that there is concern that the law, policy, and institutional arrangements under which Transfrontier conservation is being initiated, developed, and implemented may act as a barrier to community participation, collaboration, and partnerships. Ramutsindela (2007) and Bhatasara, Nyamwanza, & Kujinga (2013) have argued that serious governance complexities lead to the needs of the poor being sacrificed. Eneji et al. (2009) notes one of the problems plaguing participation is the lack of precise definition of the subject, and furthermore, that local people often view conservation projects as antithetical to development. Goodwin (1998) states that local responses to participatory initiatives are not simply dominated by the deployment of professional experts, but form part of a much more complex pattern of social relationships, both external and internal. Therefore, factors influencing participation can vary from issues of ownership, education and knowledge, transparency, to power struggles between locals and professionals, trust, fair representation and place-based identity. Other practical issues surrounding participation in project implementation include; the delay of projects when communities are consulted as negotiations and reaching consensus are time-consuming and communities may oppose the project. In addition to that, the sometimes involvement of inexperienced people may be a stumbling block for the project itself. Furthermore, the costs involved in organizing community meetings, focus groups or workshops could form an additional challenge. For Goodwin (1998), the expectations and understanding of participation from local themselves are areas of concern, where issues of competence, trust and process responsiveness play a crucial role in community participation. Hence, the development of TFCAs requires capacity building of all stakeholders involved, information sharing and exchange to ensure efficient flow of communications and partnerships between stakeholders.

1.2. Background and Regional Setting

The study area is found in an arid mountain desert region with rich biodiversity, including its mineral rich coast and profitable areas along the Orange River. With this, the region is one of the few arid biodiversity hotspots in the world, with unique diversity of the Succulent Karoo. The ARTFCA therefore seems to have significant potential to become a major tourist attraction in Southern Africa.

Historically, mining has been the dominant economic activity which since then has been decommissioned and therefore is on its way to be phased out within the following years. Stock farming is the second significant means of economic survival, with its own environmental challenges. A few other economic practices exist, namely kept farming, oyster farming, fishing and agriculture. Essentially, following research conducted by Myburgh (2003), the socio-economic status of the region illustrates a contrasting picture of a poor area, riddled with high unemployment rates, which are expected to worsen with the decommissioning of the mines, as well as with low levels of education and household income, yet, rich in resources and potential. The fishing and agricultural industry struggles with access as the mines dominate the coastal and riverine areas where such economic activities are viable. It seems that tourism is regarded as the main option for increasing revenue for the region- thus a promising situation for a development of a TFCA as the opening of borders could increase tourism significantly.

1.3. The /Ai-/Ais Richtersveld Transfrontier Conservation Area (ARTFCA)

On August 1st, 2003, President Sam Nujoma and President Thabo Mbeki signed an International Treaty, marking Southern Africa's third Peace Park- the ARTFCA. The agreement regarding the establishment of the ARTFCA was signed by Ministers Philemon Malima of Namibia and Valli Moosa of South Africa on August 17th, 2001 (Peace Parks Foundation [PPF] 2016). The park measures 5 920 km² (PPF 2016), which includes the /Ai/Ais Hot Springs Game Park in Namibia and the Richtersveld National Park (RNP) in South Africa owned by the Richtersveld communities but contractually managed by South African National Parks (SANParks) (see figure 1.2.). Central to successful tourism

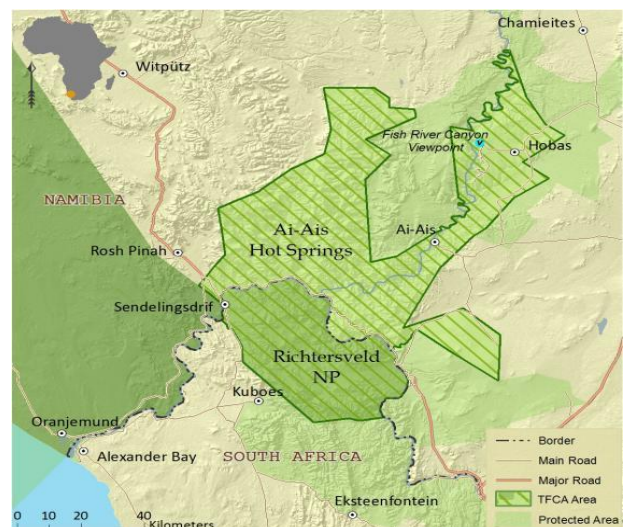


Figure 1-2 /Ai/Ais Richtersveld Transfrontier Conservation Area (Peace Parks 2016)

development in the region, the ARTFCA is anticipated to bring the opening of the border between Namibia and South Africa, with the possibility of a significant increase in the number of tourists visiting the area (Myburgh 2002).

1.3.1. Richtersveld National Park (RNP)

The RNP is a contractual park that was established in 1991 on land belonging to the Richtersveld community. The contractual national park model was initially developed to meet conservation objectives and extend South Africa's protected area network without heavy investment in land purchase (Reid 2001). It was envisaged that this approach would be applied to areas managed by SANParks, and that they would assist in meeting the objectives of SANParks rather than simply acting as a buffer zone and increasing the size of the protected area.

1.3.2. Ai-Ais Hot Springs

Ai-Ais, the "Khoi-Khoi" word which can be translated as 'fire water', were discovered in 1850 by a local Nama shepherd during the uprising of 1903-07 (Namibweb 2016). Over the years, the spring was used by German military forces as a base camp, and later used as a base to recover from injuries during the invasion of South African troops. The spring was then leased to local entrepreneurs and proclaimed a national monument in 1962 and in 1969 became a conservation area (Namibweb 2016). Opened as a camping ground on March 16th, 1971 (Namibweb 2016), until present- the springs remain a popular tourist destination.

1.3.3. The Richtersveld Community Conservancy (RCC)

Part and parcel to the ARTFCA, the creation of the Conservancy forms part of the wider conservation initiatives in the region (see figure 1.3.). The concept of establishing a community controlled conservancy emerged during the Integrated Development Plan (IDP) for the Richtersveld Transitional Council (RTC) and was identified as a Land Development Objective (LDO) (Integrated Development Plan 2002). This process has met with a lack of funds, however, Conservation International (CI) and the Municipality's proposal for the Global Environment Facility (GEF) spear-headed its establishment.

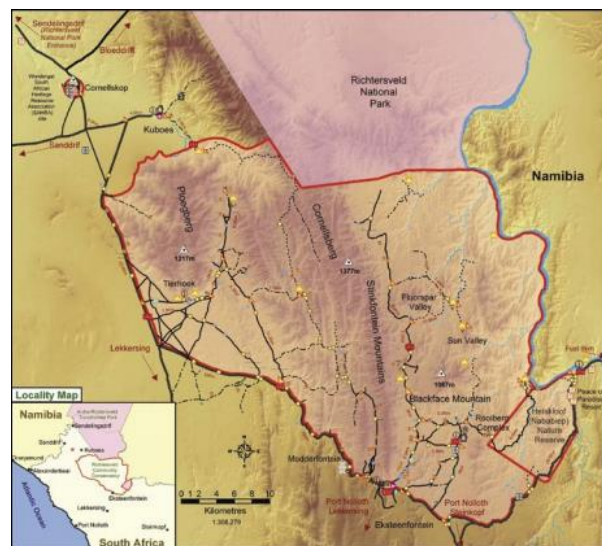


Figure 1-3 The RCC (Odendaal & Rojas 2007)

1.4. Establishment of the ARTFCA

The first formal action of a TFCA came with the development of the 2002 IDP for the Richtersveld Municipality. This IDP process hoped to enable communities to formulate a vision for their region and to determine their own development goals. It required all stakeholders to be thoroughly informed and given the opportunity to partake in an IDP, and objectives resulting in sustainable development. The IDP process started with a Working Plan that was submitted to the Northern Cape Province in November 1999 and implemented in January 2000 (Myburgh 2003). Within the Plan the RNP was made part of a larger TFCA to maximize economic benefits through ecotourism. Following the meeting on the establishment between the relevant ministers in Namibia and South Africa on 18 October 2000, the plan to create a TFCA between the two countries was translated into a MoU for the establishment of the ARTFCA followed by the signing of the International Treaty.

1.4.1. Stakeholders

Partnerships are critical in the establishment and development of TFCAs. Within the ARTFCA the prominent stakeholders were the communities, the international TFCA coordinator, the respective governments, SANParks, the Peace Parks Foundation (PPF), Eco-Africa Environmental Consultants (EAEC), and GTZ Training and Support for Resource Management (GTZ-Transform). The participation of the four towns of Kuboes, Sendelingsdrift, Lekkersing and Eksteenfontein was essential in the establishment of the TFCA as not only do they reside adjacent to the TFCA, but also own part of the land to be incorporated into the proposed TFCA. Dr. Peet van der Walt was appointed as the International TFCA project coordinator in September 2001 (Myburgh 2003). Per the MoU, his duties were to promote and manage activities associated with the planning and development of the proposed TFCA. In the process leading up to the establishment of the ARTFCA, the role of the Department of Environmental Affairs and Tourism (DEAT) (South Africa) and the Ministry of Environment and Tourism (Namibia) was to set policy in respect of not only the TFCAs, but protected areas in general (Myburgh 2003). As stated within the MoU, the role of these agencies was to develop consultative structures to support the stakeholders to make representations for the coordination of the activities leading to the establishment of the proposed TFCA. In the dynamics of the ARTFCA, SANParks is represented on the Richtersveld Joint Management Plan Committee, as well as on the Bilateral Technical Committee (Myburgh 2003). EAEC was appointed to facilitate the community consultation process, and to facilitate the incorporation of the ARTFCA into the IDP for the Richtersveld, with the responsibility of investigating synergy between development initiatives and the ARTFCA.

1.5. Aim of the study

The literature illustrates that it is often Non-Governmental Organizations (NGOs) that are used to promote empowerment in participation processes, and assume active roles in leading them. However, the ability of NGOs to take on such processes is under theorized. Cohen-Blankshtain, Ron & Perez (2013) argue that NGOs place themselves at the juncture of two different mediums of power, (a) the official administrative authority of state (i.e. enforcing plans belonging to state); and (b) 'the ability to act in concert' (Cohen-Blankshtain, Ron & Perez 2013) (i.e. rather than enforcing official authority of state, the NGO seeks to create conditions to unleash the potential already in existence within the community-empowerment). The authors further argue that the role of an NGO can thus be understood as one of exchanging between these two mediums.

This research investigated how environmental consultants work with/in these two mediums of bottom-up and top-down approaches through shifting the discourse to the initial process of facilitation. It seeks to achieve this by exploring the imperative role of environmental consultants in conservation projects. It is also intended to give NGOs a voice within the discourse of TFCAs through illustrating its crucial role as a partner. The focus of this research is therefore on the process of facilitation as undertaken by EAEC within the establishment of the ARTFCA.

Main research question:

How did EAEC facilitate community participation during the establishment of the ARTFCA?

Objectives of the study are to:

- a. Examine how EAEC frame participation as a tool for project implementation.
 - What it entailed? and who it involved?
- b. Identify relevant challenges which limit the consultancy's abilities to promote and facilitate community participation (deadlines, finances, etc.)
- c. Evaluate EAEC's participation typologies and methods.

1.5. Structure of Study

The general expectation of stakeholders involved in TFCAs is the promise of a sustainable process which brings socio-economic potential to the region. However, TFCA goals are not always achieved despite a successful process of establishment, as in the unique case of the Richtersveld with its accompanying

histories of land dispossession, long-term poverty and cultural differences. Chapters in this dissertation are structured in the following way:

Chapter one provides the context of participation within TFCAs, along with introducing the study area, and the ARTFCA. It provides the research question and design undertaken for this study. With the aim of exploring the role of Environmental NGOs in the facilitation of TFCAs, the chapter includes the limitations and constraints of the study.

Chapter two discusses the historical overview of the larger region (the Northern Cape or Namaqualand) and the impact of Apartheid-era land dispossession on culture and identity of the Richtersvelders. It provides context to the past socio-economic statistics of the study area, along with statistical data during the time of ARTFCA establishment.

The focus of *Chapter three* is on the concept of participation, including its two main approaches of top-down or bottom-up. Effective participation is one which includes the locals during the initial stages of conservation projects, whilst forms of engagements are important in maintaining and promoting long-term participation. The chapter discusses Community-Based Natural Resource Management (CBNRM), to gain insight into the motives and critiques of participation. As with any developmental initiatives, the importance of NGOs cannot be overlooked, therefore, their facilitative roles, methods and strategies are discussed.

Chapter four examines EAEC process of facilitation, with a focus on various milestones within the ARTFCA's establishment. It includes the various synergies underway during this time, whilst also exploring the already established relationship with the Richtersveld.

Chapter five discusses the findings of the study and analyzes EAEC's facilitative role in the creation of the TFCAs. It comments on the consultancy's engagement strategies and methods, and critically evaluates the process and outcomes of community participation.

Chapter six discusses the outcome of establishment, which concludes a well facilitated process of participation, yet with an unfortunate halt. Therefore, with a brief discussion of the current situation in the Richtersveld, this chapter makes recommendations for the future of unfolding the bigger picture.

1.6. Notes on Methodology

Research commenced in January 2016 when digging through the archival boxes of EAEC's offices in Observatory, Cape Town (CT). It involved analyzing documents a step further towards understanding the process by which the ARTFCA was established. EAEC made all relevant documentation available for this study, along with in-house assistance in locating various additional information. The majority of interviews with community representatives occurred over the weekend of the 1st-5th of September 2016. One community member provided newspaper articles she had archived during the time of the establishment. Data collection was guided by the objectives of the study, namely to evaluate typologies of participation and methods used by EAEC; examine EAEC facilitative role in the ARTFCA, and to identify limitations of that process.

1.6.1. Methodology

The intended choice of research method is influenced by several factors as put forth by Smaling (1994): the researcher, the concrete object of the study, the research situations, the research question, the research goal, relevant audiences, conditions and circumstances and time of dimension. The study will include a qualitative methodology in the form of a thorough document analysis and semi-structured interviews in the form of a questionnaire.

a. Document Analysis

A qualitative document analysis was used in this study with the intent to reveal the nature of the facilitation process. All related documents, such as workshop reports, workshop minutes, and proposals were provided by the CT EAEC offices. This method was used to identify and understand underlying messages and crucial values by both facilitator/s and participants. It was employed for interpretative analysis to capture hidden messages and ambiguities on part of the participation process. Data from documents were captured in worksheets (see attached annexure 4) as to provide evidence for the resulting interpretations. These worksheets include: (a) the type of document; (b) the audience the document was directed towards; (c) why the document was written up; (d) the biases of the authors; (e) findings or document information; and (f) questions or critiques.

b. Semi-structure Interviews

Accompanying the document analysis is a series of semi-structured interviews which were created using the structure of questionnaire of the two stakeholder targets (communities & consultants). This means the questionnaire formed the template through which additional questions could be discussed. For example, the questionnaire had questions that would allow the option for a 'yes' or 'no' answer,

whereas the semi-structured interview process would allow the researcher to explore the participant's answer in asking 'why' to their response. The purpose of this methodology type is to allow for flexibility in questions and allows the respondents the freedom to express their views and perceptions in their own terms. Respondents included the primary facilitator and seven community representatives from the four communities. The primary facilitator was chosen as this individual spear-headed the facilitation process, whilst community representatives were chosen based on their involvement in meetings, project planning and implementation, and various other capacity building or empowerment activities provided by EAEC. Through interviews with the primary facilitator, the process of how workshops were constructed, what problems occurred and why certain typologies and methodologies were chosen for the facilitation process could be unearthed. Furthermore, through interviews with community representatives, perceptions/views of the facilitation process, methods and strategies could be discussed. It was vital to engage in how the locals were involved throughout the process, as to understand this facilitation from their point of view- what worked and what did not. Thereafter, interviews were analyzed and interpreted based on research objectives (see section 1.5).

1.6.2. Limitations and Constraints

Once permission had been granted by EAEC for the use of the consultancy as the case study, planning and preparation for visits to the office and interviews with the necessary consultants were arranged. Interviews of EAEC staff were conducted within office or via Skype, with informed descriptions of the research study provided by the researcher to all the interviewees before all interviews. Telephone notice and verbal consent were conducted for community representatives/members prior to the research field trip. Within this verbal communication, a brief description of research objectives was discussed along with an additional e-mail forwarded to those with internet access. Further contact was made through this form, with others notified via mobile communication. Upon field trip, interviewees were contacted and time and place of interviews were confirmed.

When embarking on contacting the various community representatives, it seemed that numerous had moved out of the region, and their latest contact details were tremendously difficult to obtain. Websites and information centers provided the incorrect contact details for many members due to a lack of updating of the systems- where many had no longer worked. The timeliness of respondents remained a constraint throughout data collection, with some potential interviewees cancelling or failing to keep to their respective interview commitments. Despite this, the sheer distance between towns and dangerous roads made travel unpleasant and driving lengthy. Despite this, an additional constraint was the

timeliness of site visits which was over a weekend when the locals were more interested in enjoying their weekend with family and friends, whilst enjoying the act of drinking. With this, I did not embark on any formal interviews with them.

2. CHAPTER TWO: THE RICHTERSVELD, NAMAQUALAND

It is important to situate the historical complexity of the Namaqualand region and subsequent Richtersveld. The overview of land dispossession is essential for understanding the sense of ownership within the district, and the importance of this within the communities. Inclusive of this, is the historical social, economic and cultural aspects which influence decisions and sentiments towards conservation projects for the region.

2.1. Historical overview and profile of Namaqualand, Northern Cape

Namaqualand is a sparsely populated semi-desert area with fourteen small towns, six Coloured Rural Areas² (CRA's), white-owned farmland and substantial areas of mining company property (May & Lahiff 2007). Descendants of the region are predominantly of indigenous Khoisan and Nama peoples- former slaves imported from east Africa and Asia, and a variety of mixed-race communities (May & Lahiff 2007) that emerged along the expanding colonial frontier (May & Lahiff 2007). United by a common language of Afrikaans and strong Christian beliefs left by the Dutch and missionary influence. The region also has a heavy reliance on pastoralism, as opposed to the mixed-farming practices of the water sufficient areas to the south and east, which has been gradually replaced by reliance on migrant labour and mining employment since the late 19th century (May & Lahiff 2007).

2.1.1. Social Demographics

With a total population of 70 507 people, at a density of 1.35 persons per square kilometre (Van Ryneveld 1996), majority of its permanent residents until the 1990s were predominantly 'whites' and 'coloured', with relatively few 'blacks' (Rodkin 1998). Prior to the commencement of the state's land reform programme in 1994, white commercial farmers owned approximately 52% of the farmland in the region, while historically disadvantaged people of colour had access to approximately 23% (Rodkin 1998). Diamond mining land accounted for approximately 7%, while land zoned for conservation was estimated at 4% (Rodkin 1998). There was also approximately 7% of land under the direct control of the state, much of it used for grazing purposes, with the remainder of the land – approximately 7% comprised the fourteen small towns and their respective commonages (Rodkin 1998)- see figure 2.1 below.

² Also, referred to as Coloured Rural Reserves, or Act 9 Areas, regarding the Apartheid legislation that governed these areas. May, H et al. (2007), pg. 783

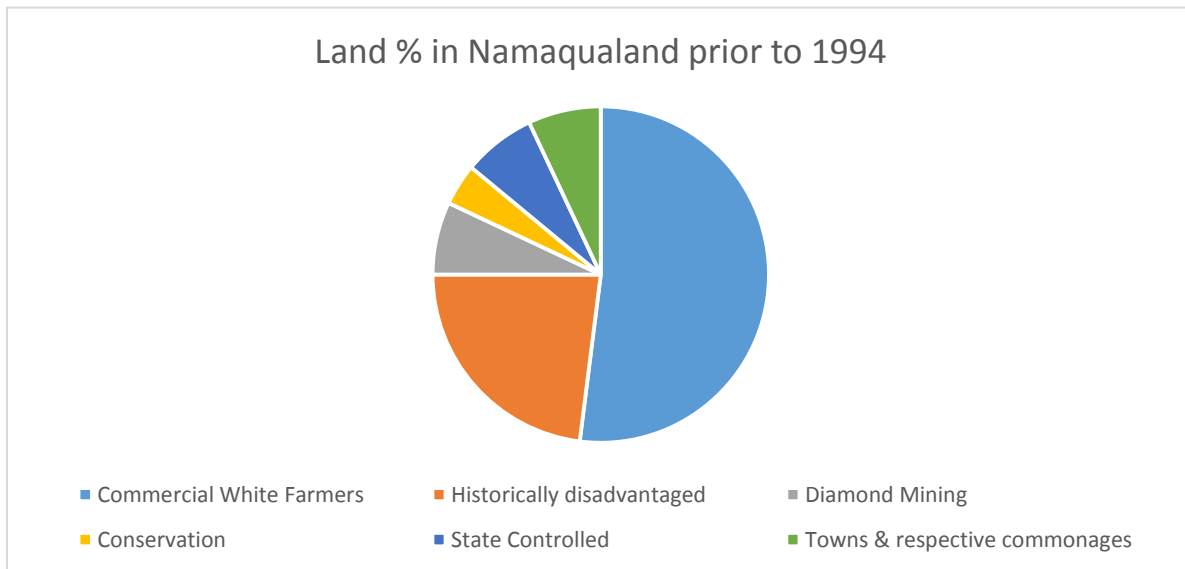


Figure 2-1 Land % in Namaqualand prior to 1991 (Rodkin 1998)

2.1.2. Economic Structure

Mining is the largest source of employment in the region, having contributed 62.1% to total economic activity in 1991 (Van Ryneveld 1996). Other formal sectors such as agriculture, forestry and fishing collectively contributed 4.2% to economic activity for the same year (Van Ryneveld 1996). Diamond mining dominates the sector with a generated employment of 27% (Van Ryneveld 1996). However, between 1980 and 1991 there was a substantial decline in economic activity with a strong relation to the decline in the mining sector. Key diamond companies in the region include; De Beers Consolidated mines, Tranhex mines, and Alexkor Ltd at Alexander bay (Rodkin 1998).

2.2. The Richtersveld

The Richtersveld, one of the six CRA's in the region, situated south of the Gariep (Orange River), and comprising about 85 000 hectares (Mostert & Fitzpatrick 2004) houses the four communities of Kuboes, Sanddrift, Lekkersing and Eksteenfontein involved in the ARTFCA establishment (see figure 2.2). Kuboes is situated in the heart of the Richtersveld, with its origins tracing back to the establishment of the Rhenish Missionary Church. Sanddrift is known for its myths and legends surrounding the 'Groot Slang'

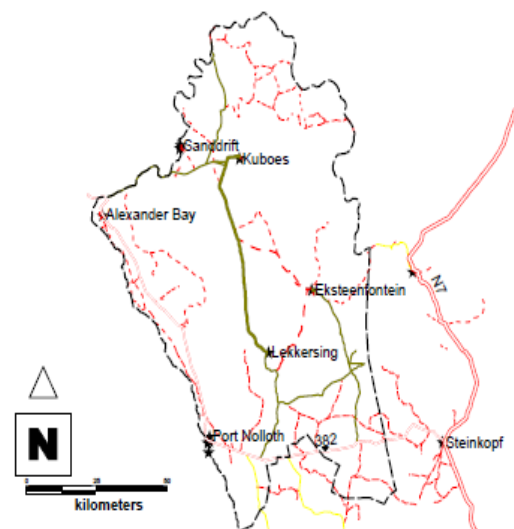


Figure 2-2 Location of the four towns (IDP 2002)

(Big snake), a cave filled with weathered bones, and the Wondergat sinkhole (Richtersveld National Park [RNP] 2008). Lekkersing was established in 1926 by Ryk Jasper Cloete, with its name, meaning “to sing joyfully or beautifully”, originating from the fact that a small fountain in the area ‘sang’ so beautifully that an early resident promptly named the village. The last town of Eksteenfontein is named after Peter Eksteen who served the first church congregation in 1945, and the ‘fontein’ part comes from a historical fountain in the town, the legacy of an ancient verdant past (RNP 2008). The town is populated by a group of people known as the ‘Bosluis Basters’ who settled there in the 1940s because of the Apartheid’s separatism policies (RNP 2008).

Mostert & Fitzpatrick (2004) note that the harshness of the land mirrors the severity of the people’s treatment under colonial and Apartheid rule. The region was placed under British rule in 1874, and then later in 1925-1927 by the South African government under the protection of the Crown. During this time, rich deposits of diamonds were discovered, and the government started proclaiming alluvial diggings and awarded mining rights to various stakeholders, in the belief that the land was un-alienated Crown land after the 1847 annexation (Mostert & Fitzpatrick 2004). In 1930, the Minister of Lands issued a certificate of reservation in respect of the Richtersveld Reserve land under the Crown Lands Act in favour of the Minister of Native Affairs for the use of the persons residing therein (Land Claims Court [LCC] 2001). Not only were certain pieces of land, such as the diamond-rich areas, excluded from this certificate of reservation (Boonzaaier *et al.* 1996), but in 1957 a fence was erected along the boundary between the Reserve and those portions of the land (Govender van Wyk 2007). Progressively denied access to the land they previously occupied, this exclusion was to become the subject of a long-running court case between the Richtersveld communities and Alexkor Limited (Boonzaaier *et al.* 1996).

2.2.1. Social demographics and distribution

With a population placed at 11 788 in its 1996 census report (including Port Nolloth), however, in comparison with Macroplan’s (2000) data used in the RTC interim IDP, the rural towns have grown 1.4 times their size within four years (IDP 2002). Statistics South Africa (STATSSA) places the current population at 11 982 with a 1,68% population growth rate between 2001 and 2011 (STATSSA 2016a & b). With this, Macroplan’s (2000) survey

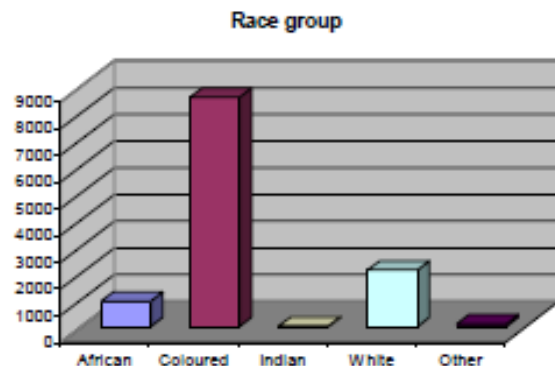


Figure 2-3 Race groups of the Richtersveld (IDP)

conducted for the Northern Cape Department of Local Government and Housing placed the individual towns' population at: Kuboes (1232), Lekkering (660), Eksteenfontein (721) and Sanddrift (988)³. Per the 1999 Municipal Demarcation Board, the majority of the population is coloured, followed by whites and a growing number of Africans that have migrated to the region for employment during the 1980s (see figure 2.3).

2.2.2. Economic Structure

The 2002 IDP for the Richtersveld Municipality illustrates two dominant economic sectors of mining and mariculture (see figure 2.4). Diamonds, quartzite, and lime are the three most economically viable mineral deposits found in the region. Of the three, diamonds dominate the industry with the two big mining companies, Alexkor Ltd and Trans Hex controlling the mining concessions. There are also a few smaller privately owned concessions



Figure 2-4 Employment sectors in the Richtersveld (IDP 2002)

exploited near the RNP. The other established economy in the area is based around the fishing industry that operates from Port Nolloth. A fish processing plant has been operating under its capacity due to the lack of quotas and poor landing of stock in the Northern Cape (IDP 2002). The oldest economy in the region, -livestock farming, although not a lucrative industry, does support many people living in the area, and represents a strong livelihood option for the locals. Per STATSSA, the overall unemployment rate of 2001 rated 35.5 %, with youth unemployment rated at 44.4% (STATSSA 2016b).

2.2.3. Land dispossession and Reform

a. The RNP

The establishment of a conservation area in the Richtersveld was first proposed in 1972 (Williamson 1990). However, the establishment of the park threatened to deprive the Richtersveld communities' inhabitants of access to 31% of the land as well as the income from the farming and mining concessions in the area (Williamson 1990). Despite the National Parks Board (NPB) and the Northern Richtersveld Management Board's agreement of the proposed park in 1989, the communities in turn rejected it on

³ Statistics for the Richtersveld rural towns sourced from Macroplan (2000). Socio-economic survey for the Department of Local Government and Housing, Northern Cape.

two grounds; firstly, not being consulted and secondly, because the agreement represented a reduction of their rights to land which belonged to them through descent from the indigenous 19th century pastoralists (Klinghardt 1992). Thereafter, through much negotiation and consultation with the communities, a compromise was reached in 1991. A total of 162 445 hectares of the Northern Richtersveld Reserve was set aside as a conservation area for a lease period of thirty years (Klinghardt 1992). This marked South Africa's first 'contractual' park, which implies a joint venture between the NPB and the local population, with the latter having majority representation on the '*Bestuursplankomitee*' (BPK) - Management Plan Committee⁴. This agreement marked the implementation of new conservation policies and practices in South Africa because the negotiations initially excluded the local communities who had formed a movement called 'Parkeweerstandsbeweging' (meaning Parks Resistance Movement) to ensure that their voices were heard (Govender van Wyk 2007). Provisions were made so that farmers would have continued (albeit limited) access to and use of grazing in the park, and the gathering of medicinal plants could continue. Also, additional land was offered in compensation, locals were guaranteed jobs and the NPB would pay an annual amount of R80 000 into a Community Trust for local development.⁵

The contractual model that emerged in the Richtersveld is viewed by McCusker, Moseley and Ramutsindela (2015) as an extension of the broad conservation strategy that seeks to establish partnerships between conservation agencies and local communities. Co-management in the Richtersveld sought to bring the Nama and NPB in a common agreement on how the newly established park would be managed for the benefit of the Nama and conservation (McCusker, Moseley & Ramutsindela 2015). However, the challenges of co-management were further compounded when the RNP was made part of the ARTFCA (McCusker, Moseley & Ramutsindela 2015).

The formation of the ARTFCA did not undermine the fact that the land on the South African side belonged to the Nama, in particular because the Treaty was signed when the land reform process in the area was underway (McCusker, Moseley & Ramutsindela 2015). In this view, it follows that the approach to land rights in the Richtersveld was more the outcome of conservation efforts than of land reform in national parks (McCusker, Moseley & Ramutsindela 2015).

⁴ The body which oversees the running of the Park.

⁵ The Trust consists of independent board members, where the funds received are used for education and social upliftment programmes in the area. Boonzaaier, E.A. (1991), pg. 162.

b. Land Claims Court Case

In line with the Restitution of Land Rights Act of 1994, the Richtersveld community lodged a land claim for 85 000 hectares (including the diamond-rich land that belongs to Alexkor) with the Land Claims Court in 1998 (LCC 2001; Smith 2013). The claim also included a narrow strip of 120 kilometres of land along the western coast of the Richtersveld that contained seven farms (Smith 2013). The community cited two main reasons for restitution: (a) they claimed that they possess rights to the land under indigenous law, and (b) that the Restitution of Land Rights Act gives the community rights to the land regardless of whether the common law of the Cape Colony recognized or protected them (Smith 2013).

Unfortunately, the Land Claims Court found that the community's ancestors did not have a right to the land in question, but however found that any rights that the community had to the land were forfeited when the British Crown annexed the Richtersveld to become part of the Cape Colony on 23 December 1847 (Smith 2013). At this stage, the community registered the Richtersveld Communal Property Association (CPA), a formal institute which was to take possession of the land once the Minister of Land Affairs finalised the transfer of the property (Govender van Wyk 2007). Upon appeal to the Supreme Court, the court found that the community had exclusive possession of all the Richtersveld prior to its annexation in 1847 (Smith 2013). The Supreme Court ruled in favour of the community in that the community's rights survived the annexation and had been violated by the Apartheid government, which had dispossessed the community based on the false premise that the land in question was Crown land (Smith 2013). In addition, it was concluded that the government's interest within alluvial digging of diamonds in the area was a racially biased practice and stood in violation of the community's rights culminated in the grant given to Alexkor, giving the mining company full ownership of the land (Smith 2013). With this, restitution was granted to the Richtersveld community on 14 October 2003 (Smith 2013). Despite this, Alexkor and the government both appealed to the Constitutional Court of South Africa in the same year to reverse the decision made by the Supreme Court, however failed when the Constitutional Court upheld the previous decision made.

3. CHAPTER THREE: ENGAGING THE COMMUNITY: PARTICIPATION AND TRANSFRONTIER CONSERVATION AREAS

The term 'community' remains contested. The term can include geographically bound populations, groups that utilize shared practices or social norms, or can refer to the extent of and cultural identified (Agrawal & Gibson 1999). There is no agreement on the definition of the term 'community engagement' in the literature, and questions have been raised regarding the extent to which participation in project design and implementation is meaningful and really engages the communities in the process (Dyer et al. 2014). Nevertheless, participatory processes create a sense of ownership and promote greater commitment to project goals, resulting in more sustainable management.

Previous studies have indicated that despite expectations and rhetoric, there is often rather minimal community awareness and participation in conservation management, tourism economy and related opportunities (Chiutsi & Saarinen 2016). With most revenue of participation originating from eco-tourism ventures through public-private partnerships, it is quite challenging for communities to tap into these revenues and develop beneficial partnerships with the private sector (Ramutsindela 2007). Similarly, Chaderopa (2013) argues that the global-local partnerships approach risks exposing local communities to unequal co-management arrangements. Furthermore, Cumming (2011) and Andersson et al. (2013) have argued as these political projects unfold, conservation and development policy progressively shifts from the national to global arenas, and the local communities most affected by TFCA formation tend to disappear. Dhliwayo, Breen & Nyambe (2009) argue that laws, policies and institutional arrangements have important implications for community participation in that they can either hinder or facilitate participation. It is through these mediums that the role of communities is defined as they lay the basis either for participation or exclusion (Dhliwayo, Breen & Nyambe 2009). In addition, Murphree (1999) argues that while equity sharing and realization of benefits is an important concern among the local communities, many have argued that one of the greatest threats to communities and their rights is the failure to establish agreements by which states protect community interest and involve them in the planning and management of TFCAs. Thus, communities situated in and around TFCAs might develop resentment and mistrust towards participating states as well as a lost sense of ownership (Agrawal & Gibson 1999). Chaderopa (2013), in analyzing politicians TFCA policy articulations argues that the facilitation of meaningful participation of local communities in mainstream TFCA socio-economic activities is evidently a limitation. He argues that policymakers are reinforcing the codification of inequality in the control and use of resources, hence reproducing inequitable socio-

economic relationships. Therefore, advocates of TFCA not wanting to portray the for mentioned fortress model of conservation thinking, have included notions of community participation, empowerment and local economic development in the packaging of the TFCA idea (Ramutsindela 2004; Jones 2005; Büscher 2013; Chaderopa 2013).

This chapter discusses how various approaches to participation affect the outcome and evaluation thereof. Top-down approaches to development and/or participation subsequent to CBNRM initiatives are deemed ineffective. Literature argues that this approach has little sustainable impact, marginal involvement of local population in decision-making, and usually ignores the management of the natural resource base on which local production systems depend (Narayan 1995). With this, bottom-up approaches are favored. Panda (2007) favors this approach as it accommodates the local populations, whilst building capacity and creating awareness for and about the process. The attractions of CBNRM are discussed, in addition to a critique of the concept. Despite this, guidelines of establishing such programmes are explored, specifically focusing on South African based initiatives. The roles of the facilitators, usually NGOs, are explored in relation to their methods and strategies of engagement, concluding with the institutional arrangement in TFCA processes.

3.1. Discussing ‘participation’

Popularized by development discourse in the 1950s, the term ‘participation’ has a different meaning for different people. Often used interchangeably with words such as ‘involvement’, ‘engagement’ or prefixed with ‘civil’, ‘community’ or ‘public’ (Brodie *et al.* 2009), numerous definitions for participation exist. Reed (2008) defines participation as *“a process where individuals, groups and organizations choose to take an active role in making decisions that affect them”* (Reed 2008:2418). Davids, Theron & Maphunye (2005) understand participation as the means of empowering people by developing their skills and abilities so that they can negotiate with the development delivery system and can make their own decisions in terms of their development needs and priorities (Nhancale 2007). Brager, Specht & Torczyner (1987) defines participation as *“to educate citizens and to increase their competence”*, while Westergaard (1986:14) defines it as *“collective efforts to increase and exercise control over resources and institutions on the part of groups and movements of those hitherto excluded from control”*. Often the term is modified with adjectives, resulting in terms such as *community participation, citizen participation, people’s participation, and public participation*. Oakley and Marsden (1984) define community participation as ‘the process by which individuals, families, or communities assume responsibility for their own welfare and develop a capacity to contribute to their own and the

community's development'. Smith (1983:24) defines 'public participation' as "*a group of procedures designed to consult, involve, and inform the public to allow those affected by a decision to have an input into that decision*".

Flynn (1992) discusses four key arguments typically advanced to support the notion of participation: a) *ethics*- everyone having the right to command their own destiny; b) *expediency*- people not involved in decision-making may challenge or reject decisions made by others; c) *expert knowledge*- certain decisions require expert knowledge, and thus such persons should be involved; and d) *motivating force*- that participation ensures that people are aware of the rationale for the decision and are more likely to want see it implemented efficiently. Intra-personal factors such as attitudes, beliefs, knowledge and skills can either promote or reject engagement in participatory activities. Underpinned by the Theory of Reasoned Action (TRA)⁶, people make predictions about the likely outcomes of their decisions, and thus are likely to participate if they expect positive and/or long-term returns and social approval. Alternatively, inter-personal factors for engagement include approvals from one's wider community, and in situations where others show support (Charlton *et al.* 2010). As arguments for participation rest on normative theories of democracy and collective actions, some are based on ideas of what constitutes a high-quality decision, and others grounded in considerations of improving agency practice and the policy process- there are numerous arguments which questions the basic logic of participation (National Research Council [NRC] 2008).

The NRC (2008) claim that most critiques are grounded in the practical. They claim that critics are concerned that participation in practice may not achieve the lofty goals articulated in theory, and may impede effective decision-making. The most popular arguments are, that the costs are not justified by the benefits, that the public is ill-equipped to deal with the complex nature of analyses that are needed for good decision-making, and that participation processes seldom achieve equity in process and outcome (NRC 2008). Others argue that participatory processes tend to experience a set of pathologies that range from paralysis by endless deliberations to reaching only trivial results when trying to reach consensus among various and differing stakeholders (NRC 2008). For Goodwin (1998) participation is essentially viewed as an 'inclusive dialogue that incorporates the perspectives of ordinary people in collective decision-making' (Goodwin 1998:483), hence automatically appealing to them. However, this

⁶ The Theory of Reasoned Action focuses on theoretical constructs concerned within individual motivational factors as determinants of the likelihood of performing specific behaviours. It rests on the underlying assumption that the best predictor of a behaviour is intention, which is determined by attitudes toward and social normative perceptions regarding the behaviour. See Montano, D.E. & Kasprzyk. 2015.

inclusiveness masks the fact that the concept of participation covers a variety of approaches to public involvement that are differentiated by the amount of control and influence over decision-making that they offer participants, i.e.- a renegotiation of power between 'expert outsiders' and 'ordinary people' (Goodwin 1998). Therefore, I agree with White (1999:14), in that participation '*has the potential to challenge patterns of dominance, [but] May also be the means through which existing power relations are entrenched and reproduced*'. For the purposes of this study, I draw on the concept of participation as defined by White (1999).

However, the concept of participation flooded into conservation agendas, and has become so necessary that Lundy (1999) suggests that projects not including community participation are less likely to be funded by donors. In conservation efforts, critical attention is necessary in determining which form of participation is taking place. Hence participation in conservation should take the form of functional, interactive, and self-mobilizing involvement of local communities for positive outcomes (Lundy 1999). Moreover, during its history of development, 'participating' has been packed full of various ideological, social, political and methodological meanings, and gave rise to a broader range of interpretations. With these various perspectives, typologies have been developed to understand the differences between these interpretations and their associated approaches and methods, and understand the different context in which they are most appropriate (Reed 2008).

3.1.1. Empowerment and Participation: Bottom-up or top-down?

There are many approaches to community development, such as bottom-up or top-down approaches; or from expert approaches to multiple approaches and inner approaches; and from conflict to technical help, self-help and empowerment approaches (Nikkhah & Redzuan 2009). Conyers (1986) classified community development into three types based on the approach – 'top-down', 'bottom-up' and 'partnership'. Top-down approaches are usually initiated and controlled by the government or authority, and the communities are passive recipients- emphasizing central planning. Meanwhile, the bottom-up approach is initiated and managed by the community for the community, whereby government and service providers merely play a supportive role as facilitators and consultants (Nikkhah & Redzuan 2009). Finger (1994), makes the argument that the bottom-up approach emphasizes community participation, grassroots movements and local decision making. It argues that community participation and grassroots initiatives will promote participatory decision making and local self-reliance ultimately pay dividends (Panda 2007). But, when people lack ability and capacity to make and to take action in developing their community, government and agency concerned should take over the process

of development for some period of time in order to upgrade their awareness, knowledge and skill needed for self-reliance, thus the top-down approach of community development could be developed (Nikkhah & Redzuan 2009). In reviewing participation as a means and as an end, based on the possibility of empowerment, Nikkhah and Redzuan (2009) provide a summary of relationships among approaches, participation and level of empowerment- see table 3.1 below.

Table 3-1 Participation and empowerment (Nikkhah & Redzuan 2009)

Approaches	Participation	Empowerment
Top down	Participates as a means	Less empowerment
Partnership	Working together	Moderate empowerment
Bottom-up	Participation as an end	High empowerment & sustainable development

a. Top-down approach

The most predominant and common development planning approach, the top down approach, is popular because it is seen to allow rapid, large-scale spending of budgets in accordance with pre-established timetables (Cooksey & Kikula 2005). It is also the dominant approach as it gives government planners, donors, and the bureaucrats an illusory feeling of control and efficiency (Cooksey & Kikula 2005). Table 3.2 provides the central characteristics of this centralized approach to decision-making and development.

Table 3-2 Characteristics of top-down approaches (Cooksey & Kikula 2005)

Planning decisions are centrally made by organizations that are remote from the project area.
Participation of stakeholders is only limited to provision of data or approving and adhering to what has already been planned.
Planners and bureaucrats proceed as if they were writing on a clean slate and possessing all the knowledge for improving people's lives. In reality, they are making interventions in a well-established community social system, which has survived over generations of struggles and interactions with the local environment.
Plans are generally based on quantitative data or numerical estimations collected through rapid diagnostic

feasibility studies or project formulation missions.
Planning (as well as implementation) follow a pre-conceived project design (a master plan type), fixed time schedule leading to rigid interventions having no respect and consideration of environmental changes, local initiatives and development choices.
The approach follows a predetermined project design usually based on assumptions of uniformity and cost-effectiveness regardless of area specific conditions where the project is implemented.
Top down planning is usually based on poor assumptions of social and environmental behaviour often proven to be incorrect as locality and social formations differ.

b. Bottom-up approach

On the other hand, bottom-up approaches scarcely concern itself with democratically laid down policy statements (Krogstrup 2004). Bottom-up oriented approaches to evaluation all agree that the point of implementation comprises an independent, politically interpretative stage (Krogstrup 2003). Bottom-up approaches involve the four phases of: (a) information; (b) consultation; (c) joint development; and (d) collective decision making. Based in shared ownership of decision-making, this approach facilitates the participation of the target group in implementing development activities, thereby promoting participatory development (Panda 2007). Panda (2007) claims the approach can be seen as one of learning, which taps the indigenous knowledge bases and local expertise. For this author, the approach has been defined and operationalized in terms of a set of indicators such as: (a) awareness building; (b) people's participation in projects; and (c) creating people's institutions (Panda 2007).

3.1.2. Typologies and methodologies

Typologies are useful starting points for differentiating degrees and kinds of participation. Most typologies maintain implicit normative assumptions which place these forms of participation along an axis of 'good' to 'bad' (Cornwall 2008:270). This essentially implies that a higher degree of involvement is a 'good' thing, while a lower degree is 'bad'. These sorts of hierarchies present another implication, in that communities will want to participate to the highest level, which may not always be possible or desirable. These typologies put forth the assumption that the more people participate the better the outcome for the community. Reed (2008) provides various typologies shown in table 3.3, which can be used to choose participatory methods based on participation required, or used *post-hoc* to categorize the type of participation that has occurred.

Table 3-3 Typologies of participation (Reed 2008)

Basis of typology	Example
Typology based on different degrees of participation on a continuum. Numerous alternative terms suggested for different rungs of the ladder (e.g. Biggs 1989; Pretty 1995; Farrington 1998; Goetz & Gaventa 2001; Lawrence 2006)	Arnstein's (1969) ladder of participation. Sometimes presented as a wheel of participation Davidson (1998)
Typology based on nature of participation according to the direction of communication flows	Rowe and Frewer (2000)
Typology based on theoretical basis, essentially distinguishing between normative and/or pragmatic participation	Thomas (1993), Beierle (2002)
Typology based on the objectives for which participation is used	Okali, Sumberg & Farrington (1994), Michener (1998), Warner (1997), Lyman et al. (2007), Tippett et al. (2007)

Within Reed's (2008) table, the first typologies distinguish between the degrees to which stakeholders were engaged. Arnstein (1969) links citizen participation to citizen power as a categorical term to redistribute power that enables 'have not citizens'. Arnstein's 'ladder of participation' (figure 3.1)

describes a continuum of increasing involvement, from passive dissemination of information, to active engagement. Similarly, Pimbert and Pretty (1997) have put forth: from passive participation of people being told what is going to happen or what has already happened, with information being shared belonging to the external professionals of the projects; to self-mobilization as people taking initiatives independent of external institutions to change or influence systems. The lowest rungs describe levels of 'non-participation' with the objective not to enable people to participate, but enable power-holders to 'educate' or 'inform' participants. The

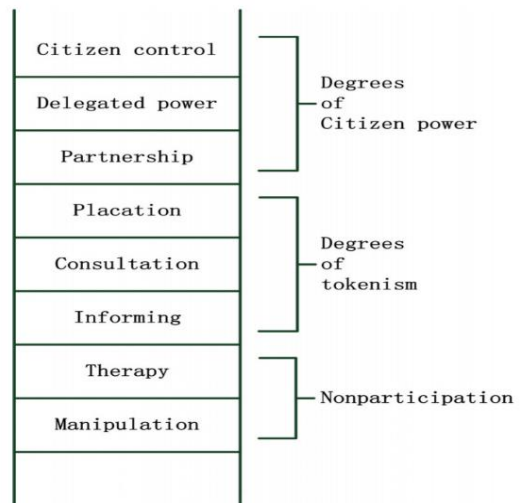


Figure 3-1 Eight rungs on a ladder of citizen participation (Arnstein 1969)

next upward rung describes the power dynamics and imbalance of participation, whereby participants are heard, but lack the resources to assure their views will be taken into consideration. Further up the ladder are levels of citizen power with increasing degrees of decision-making influence, which is what

effective participation aspires to. Rowe and Frewer (2000) focus on the nature rather than the degree of engagement, identifying different types of public engagement by the direction that communication flows between parties. Per this view, information dissemination to passive recipients constitutes “communication”, gathering information from participants is “consultation” and “participation” is conceptualized as two-way communication between participants and exercise organizers where information is exchanged in some sort of dialogue or negotiation (Reed 2008:2419).

Other typologies focus on the theoretical basis, essentially distinguishing between participation that is standardized and/or practical. Standardized participation focuses on process, suggesting that people have a democratic right to participate in environmental decision-making. Practical arguments focus on participation as a means to an end, which can deliver higher quality decisions. Alternatively, there have been a number of attempts to develop typologies based on the objectives for which participation is used. Okali, Sumberg & Farrington (1994) distinguish between “research-driven” versus “development-driven” participation (Reed 2008:2419). Similarly, Kacho and Asfaw (2014) contrast “planner-centered” participation that is focused on outcomes, with “people-centered” participation, which builds capacity and empowers stakeholders to define and meet their own needs. In the former participation is seen as facilitating local people’s acceptance of new technologies promoted by outsiders, where the latter encompasses people’s empowerment by enhancing local management and capacity, increasing confidence in local potential and raising collective consciousness. The planner centered approach exploits local knowledge and labor, thus promotes passive recipients, whilst the people centered approach aims at meeting the local’s needs and priorities.

There are various methodologies that can be used for effective community engagement. These techniques can range from information sharing, consultation, and active participation techniques. Yet, before implementation, choosing engagement techniques needs appropriate consideration. For this, numerous issues should be considered, including: agency issues, community issues and process issues. Agency issues may influence decision-making about the use of methods and tools, whilst community issues are more diverse. Due to community diversity, reaching consensus may impede on the setting of goals and objectives of a project. In addition, to that process issues may include matters of inclusiveness and transparency. Nevertheless, Rowe and Frewer (2000) provide a table (table 3.4) illustrating the various public participation methods, and further goes on to demonstrate how effective these methods are.

Table 3-4 A number of the most formalized public participation methods (Rowe & Frewer 2000:8)

Participation method	Nature of participants
Referenda	Potentially all members of national or local population; realistically a significant proportion of these.
Public hearings/inquiries	Interested citizens, limited in number by size of venue. True participants are experts & politicians making presentations.
Public opinion surveys	Large sample (e.g., 100s or 1,000s), usually representative of the population segments of interest.
Negotiated rule making	Small number of representatives of stakeholder groups (may include public representatives).
Consensus conference	Generally, ten to sixteen members of public (with no knowledge on topic) selected by steering committee as 'representative' of the general public.
Citizen's jury/panel	Generally, twelve to twenty members of public selected by stakeholder panel to be roughly representative of the local population.
Citizen/public advisory committee	Small group selected by sponsor to represent views of various groups or communities (may not comprise members of true politics).
Focus groups	Small group of five to twelve selected to be representative of public; several groups may be used for one project (compromising members of subgroups).

It seems that the most prominent method for engaging the public, conduction hearings scores low on the acceptance criteria with various explanations. For example, they are normally hosted within weekdays, thus working hours in locations inaccessible to the public (e.g., government buildings), which may interfere with low-income and minority citizens and have a negative impact on the representativeness of those attending (Rowe

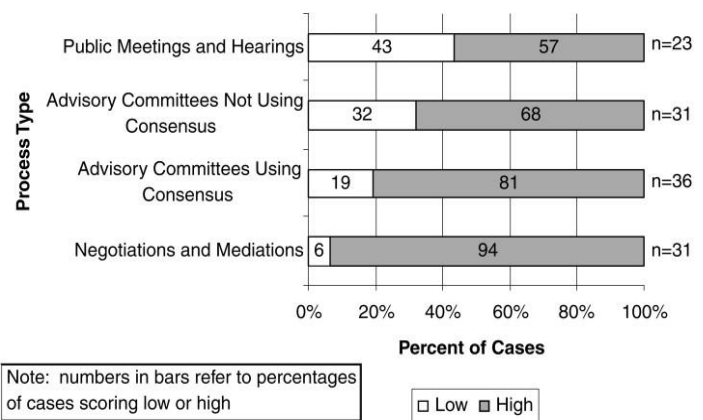


Figure 3-2 Comparing contribution of ideas, information, and participation across process (Beierle 2002)

& Frewer 2000).

In contrast, Beierle (2002) analyzed the quality of stakeholder-based decisions within participation in environmental decision-making. The methodology included a range of participatory processes from public meetings to intensive negotiations. The results concluded that participants are more likely to contribute ideas, analysis, and information in the more intensive participatory processes as shown in figure 3.2. (Beierle 2002). This breaks from Rowe & Frewer (2000) in that the effectiveness of intensive participatory processes are low and limiting, however, reaffirms that smaller groups of participants are more likely to conclude in more innovative and useful ideas and contributions of new information.

3.1.3. Effective Participation

Community participation has multiple meanings that vary according to geographical locations and settings. It is a context specific process, with its applicability and replication to another region problematic and almost impossible, as it encounters various and complex problems. With no blue-print, Singhal (2001) provides a model depicting five attributes of effective communication:

- a. the belief in the potential of the people;
- b. recognition, understanding and appreciation of the diversity and plurality of people, and thus upholding and enhancing the dignity and quality of people;
- c. an emphasis on the local community, rather than the nation state, with dialogue rather than monologue;
- d. strengthening of democratic processes and institutions, and a redistribution of power; and
- e. recognizing authentic participation.

Achieving effective participation is rooted within the consultation/facilitation process, along within the guidance and directions of the facilitator, hence the critical role of such stakeholders. The facilitator is key in holding expert knowledge, direction of the project, and ultimately the guidance of participants. Facilitators should demonstrate awareness of their status as outsiders to the community involved and the potential impact of their involvement within the process; they should thus counter the disabilities of their professional training (Botes & Van Rensburg 2000). They should progress through the process of facilitation by handing things over to the local participants; letting go; trying new things; learning from mistakes, and improving through the experiences. Facilitators should promote co-decision-making in defining needs, goals setting, and formulating policies and plans to support the implementation of these decisions (Botes & Van Rensburg 2000). There should be clear sharing of project updates, failures and successes.

Friedman (1993) and Young (1993) have warned against the practice of many development agencies to engage exclusively with particular groups as community representatives, while Gaigher, Van Rensburg & Bester (1995) also mentioned that poor community penetration by NGOs and Community-based Organizations (CBOs) is one of the main impediments to community participation. This easily runs the risk of the project being designated by certain groups or interests, leaving development workers with a feeling that the beneficiaries consulted were the wrong ones. This may create problems because the needs and issues at stake are determined by those who do not experience poverty in society, who Salole (1991) refers to as marginal participants. Sowman and Gawith (1994) provide numerous factors influencing participation- see table 3.5 summary. Factors can range from project logistics and structure, to moral and ethical considerations.

Table 3-5 Factors influencing participation (Adapted from Snowman et al. 1994)

<ul style="list-style-type: none"> • Scale of project • Location of the project in relation to affected communities • Types of specialists to be involved • Number of stakeholders and people to be involved • Agendas of stakeholders, including outsiders and donors • Resources (i.e. time, funds, and individuals available for community participation) • Level of training/skill, understanding and commitment of facilitators/development co-coordinators • Presence of community development or social workers in the community • Level of education of all parties to be consulted or stakeholders • Socio-economic status of affected communities 	<ul style="list-style-type: none"> • Level of organization within the community • Representativeness of community leaders and communities • Role of NGO's in the community • Degree of homogeneity of the community • Role of woman • Confidentiality and strategic importance of the proposal • History of any previous conflict or lack of consultation • History of previous community participation processes • Enthusiasm, or lack thereof, for the proposed project • Communication tools such as transition needs of a multi-lingual society • Political affiliations within the community
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3.1.4. Evaluating Participation

In mapping the success of participatory processes, Wondolleck & Yaffee (1994) argue its multidimensional character. Conrad et al. (2011), Rosener (1981) and Rowe and Frewer (2004) agree that evaluation is difficult because the participation concept is both complex and value-laden and hence no standard measurement. In addition, there is no widely held criterion for judging the success or failure of a participatory process, let alone an agreed upon evaluation method. Scholars agree that ideal evaluation would be asking the opinions of the participants, yet, this is not always possible. Nonetheless,

evaluation tends to be measured through how participation activities take place, rather than the results (process-based) or assessing the results of the process (outcome-based), or both. Outcome-based evaluation includes identifying outputs that signify ‘success’ of a project, which for Rowe and Frewer (2004) should start by defining success in context of the project. The success criteria illustrated in figure 3.3. can be useful in evaluating outcome-based participation, but are often subjective and differ according to perceptions of stakeholders involved (Dyer *et al.* 2014). Success factors could be considered to be dependent on the process which led to the outcomes, and indeed, be considered as process-based factors themselves (Dyer *et al.* 2014). Alternatively, process-based evaluation focuses on the criteria for community engagement that should secure the outcome-based criteria of success (see table 3.6).

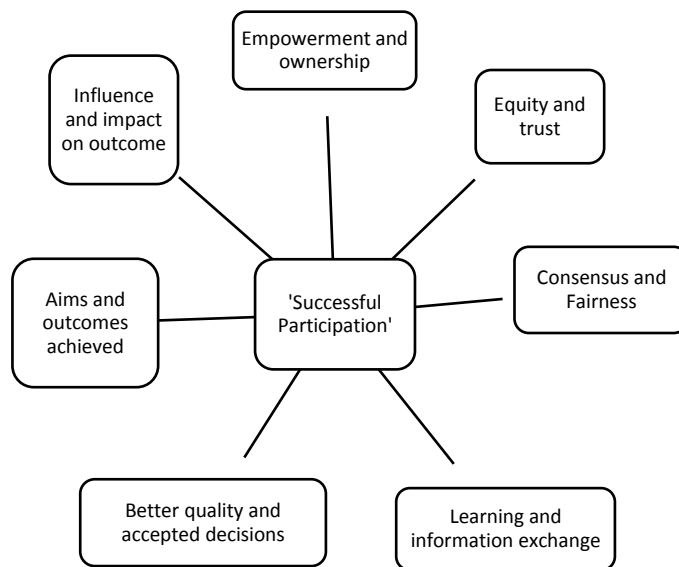


Figure 3-3 Summary of outcome-based components of 'successful' participatory processes (Dyer *et al.* 2014)

Table 3-6: Common criteria used for process-based evaluation of community engagement processes (Dyer et al. 2014)

Criteria	Example reference(s)
Early engagement of communities in the process	Reed (2008), Rowe and Frewer (2000), Blahna and Yonts-Shepard (1989)
Identification, analysis and systematic representation of relevant stakeholders	Reed (2008), Rowe and Frewer (2000), Blahna and Yonts-Shepard (1989)
Clear objectives set out and agreed by stakeholders at the start of the process	Reed (2008), Rowe and Frewer (2000), Chess and Purcell (1999)
Continued engagement of communities throughout process	Blahna and Yonts-Shepard (1989); Stringer and Paavola (in press); Hall and Fleischman (2010)
Relevant methods chosen and tailored to the context, participants and level of engagement	Reed (2008), Blahna and Yonts-Shepard (1989)
Highly skilled facilitation of the process	Chess and Purcell (1999); de Vente et al (under review)
Integration of local and scientific knowledge	Stringer et al. (2007); Raymond et al., (2010)
Open and meaningful information exchange and interaction with face-to-face discussion	Chess and Purcell (1999) Webler and Tuler (2007) Fiorino (1990) Newig and Fritsch (2009)
Transparency, trust and fairness	Reed (2008) Rowe and Frewer (2000) Webler (1995) Bovaird (2004)
Appropriate resource availability to enable participants to fulfill role	Rowe and Frewer (2000)
Structured decision making process	Rowe and Frewer (2000)
Cost-effectiveness	Rowe and Frewer, (2000); Stringer et al. (under review)
Unbiased and independent management of the process	Rowe and Frewer (2000)
Equality among stakeholders	Fiorino (1990)
Competent management throughout process	Webler (1995)

A major concern in evaluating participation relates to which goals to evaluate. Traditionally this focused on whether a programme is reaching either its process or outcome goals. To deal with this difficulty of goal defining, evaluators produced a variety of approaches including user-based, theory-based and goal-

free evaluation. User-based evaluation is based on the rationale that different participants will have different goals, while alternatively, instead of basing evaluations on participant's satisfaction. Some evaluators suggest basing criteria on theories and models that provide a lens of understanding (Chess 2000) - theory-based evaluation. Alternatively, Michael Scriven⁷ proposes goal-free evaluation to gather information on the *"programme effects and effectiveness without being constrained by a narrow focus on stated goals"* (Chess 2000:775), meant to safeguard against biasness from evaluators focusing on vague or politically driven goals. It should be emphasized that CBNRM are not only successful in terms of community participation, but are also dependent on the behavior and attitudes of the outsiders initiating such projects. Pimbert and Pretty (1997) note that many of these outsiders have not been trained to put the views into local communities before considering their own potential contributions, training and re-orientation. At the time of Pimbert and Pretty's paper *"Parks, People and Professionals: putting 'participation' into protected area management"* there had been very few systematic attempts by conservation organizations (public-sector and non-governmental) to adopt participatory planning methods, and even further, insignificant attention to methodological research and development which promote genuine people participation.

3.2. Community participation in Community-Based Natural Resource Management

With a paradigm shift in natural resource management over the last two decades from the traditional top-down approach to community participation, CBNRM has become the popular go to for conservation and development efforts. With numerous definitions, which include both process and strategy, at its core is an approach that seeks to support long-term sustainability through broad participation of community members and resource users in decision making (Zanetell & Knuth 2004; Soeftestad 2006; Gruber 2010). CBNRM has been defined as *"a process by which landholders gain access and use rights to, or ownership of, natural resources; collaboratively and transparently plan and participate in the management of resource use; and achieve financial and other benefits from stewardship"* (Child & Lyman 2005).

In broad terms, this 'bottom up' literature has sought to critique proposed 'spin off' effects of tourism-centered protected area development, as well as to elucidate the effects of TFCA expansion on rural communities in terms of resource access and property rights (Lauermann 2011). For example, Dzingirai (2003; 2004) provides one of the earliest critiques of TFCA expansion, describing the growth of

⁷ Michael Scriven popularized goal-free evaluation as a formative and summative evaluation process. See Cole, T. 2015. Curriculum Evaluation: Goal Based vs Goal Free. Available <https://theelasticscholastic.wordpress.com/2015/02/28/curriculum-evaluation/> [2017, February 8].

transfrontier-oriented conservation as “*disenfranchisement at large*” and a “*new zone and age of disenfranchisement*” for local communities. He views TFCAs as:

“CBNRM at large, [they] disenfranchise trans-frontier communities by reducing their traditional access and control over resources. It transfers resources, including land upon which community livelihood are based, to state and private business” (Dzingirai 2004).

Dzingirai (2003) views the development of TFCAs as the outcome of a “*new scramble for the African countryside*” defined by a renewed government interest in exerting authority over marginalized areas. In its entirety, Dzingirai (2003; 2004) argues that the growth of TFCAs, while posing itself as an outgrowth of (supposedly) inclusive and community-centered CBRNM, in practice disrupts resource access and excludes local communities while enfranchising both government and private sector actors. Lauermann (2011) argues the move toward trans-border; business-oriented conservation has been facilitated by the perceived failure of CBNRM to offer positive conservation and development outcomes.

One of the key principles of CBRNM, as articulated by Gruber (2010), is public participation and mobilization. He concludes that effective CBNRM initiatives encourage working at the higher rungs of Arnstein’s ladder (see 3.1.2. Typologies and methodologies). Furthermore, he concludes that participation needs to occur at all stages of the CBNRM process including development, implementation, information sharing, consultation, decision-making and evaluation. Scheberle (2000) and Gruber and Clark (2002) argue ‘true public participation’ includes stakeholders with programmatic, operational, scientific, and legal expertise through involvement that is open, inclusive, and fair (Gruber 2010:55). At the heart of CBNRM is defining a common vision, which implies reaching a consensus among various peoples with different interests and views. Hence, effective engagement of local communities is crucial to the functioning and success of CBNRM projects as active stakeholder involvement creates a sense of ownership. A well-balanced team of participants from all sectors of the community is a key ingredient in the success of community-based programmes.

3.2.1. Defining ‘community’ in CBRNM

Current understandings of ‘community’ in natural resource management can be traced back to the ‘community-development’ movement in the 1950s and 1960s (Kumar 2005:276). The emergence of ‘participatory’ methods in the 1980s saw a focus on ‘community’ and witnessed the popularity of ‘community participation’ thereafter. Even then, the concept of ‘community’ was poorly defined (Kumar 2005). The way ‘community’ is represented conceptually, socially, politically and geographically in CBRNM policies shapes the way in which relationships and administrative procedures are constituted

and enacted (Kumar 2005). Images of 'community' are central to issues of project implementation, with literature mistakenly portraying 'communities' as a distinct social group in one geographical location, sharing common cultural characteristics, in harmony and consensus (Kumar 2005:279). Uphoff (1998) points out two problems of aggregation within CBNRM. First, he states that communities are not particularly clearly bounded social or geographic units, nor homogenous entities with single or common interests. Agrawal and Gibson (1999) further point out, that this understanding is problematic at both representational and conceptual levels. These authors argue that communities seldom correspond to the idea of small, harmonious, cooperative entities and because a direct relationship between 'community'-as-shared understanding and 'community'-as-social organization is not easy to establish.

3.2.2. Research on CBNRM

Many theorists have argued that CBNRM applications have failed precisely because of their decentralized nature: that local communities are riddled with power dynamics and local politics can feature crippling injustice or incompetent leadership (Measham & Lumbasi 2013). Blaikie (2006) argues that CBNRM has largely failed to deliver the expected and theoretically predicted benefits to local communities. CBNRM combines a number of powerful ideas, the first being within the phrase itself 'community', the second- the elision of the notion of sustainable natural resource management with 'community', implying that this vehicle is well suited for the task (Blaikie 2006). Thirdly, CBNRM derives its power from the promise of a diverse range of benefits predicted by social science theory and of a more sustainable management of natural resources (Blaikie 2006). However, he further notes that emerging from these three narratives, an argument regarding the practice of CBNRM (which is situated at the interface between the 'community', government, private sectors, and other outside institutions), creates profound contradictions between theoretically derived expectations and practical delivery. Measham and Lumbasi (2013) theorize CBNRM failure due to the absence of particular criteria. For these scholars top-down project initiation, lack of economic incentive, lack of autonomy and incompatibility with livelihoods and opportunity costs are the main reasons for project failure. Taylor (2001) is concerned about the marginalization of minority groups in CBNRM project. Agrawal and Gibson (1999) focus on the inaccurate assumptions about communities while Fortman et al. (2001) question the inappropriate management strategies of CBNRM. Mbaiwa (2004) outlines problems and challenges of CBNRM to be: lack of entrepreneurship and managerial skills, lack of understanding of the CBNRM concepts, poor distribution of financial and employment benefits, and reserved tourism activities.

In contrast, Measham and Lumbasi (2013) believe successful projects are those initiated by the residents themselves, with guidance and assistance from outside players. As a 'bonus', these scholars conclude that communities with a strong affiliation with natural resources and strong feeling of ownership of the project are likely to be more enthusiastic to participate in CBNRM. Dyer et al. (2014) articulate numerous good practices in CBNRM as:

- a. defining 'community' at an early stage with the target participants of externally initiated projects;
- b. choosing methods for engagement which ensures participants are representative of the community as a whole;
- c. employing a project manager who builds trust with participants;
- d. clearly defining aims and objectives of the project with communities at the earliest opportunity;
- e. two-way communications throughout, combined with community access to projects staff at all times, potentially through local capacity building and community extension officers based in project communities and;
- f. taking a flexible and adaptable approach to project design and implementation.

Nevertheless, CBNRM presents both direct and indirect links between development and natural resource management. Scholars agree that the greatest benefits from CBNRM are a transfer of both the control of, and responsibility for, natural resources from the state to the community.

3.2.3. Benefits and benefit flow: Motives for participation

Triggers of participation in conservation projects can consist of contextual conditions of a different nature and external to the communities, such as environmental degradation and situations of conflicts and disasters (Ruiz-Mallén *et al.* 2015). Local involvement for CBNRM can be related to a collective interest in ensuring land and resource ownership, and by other concerns for well-being. Local stakeholders may also become/stay engaged in such initiatives because of cultural reasons, including their worldview and traditions. Ruiz- Mallén et al. (2015) argue locals often participate because they perceive such participation as a commitment toward their collective and customary rule. Within the literature, motives include the material, the social, and the psychological. The material, referred to as goods that cause a direct increase in consumption, income, or assets that are beneficial to the individual or group. These goods have benefits that can be divided equally or unequally to group members and accessed only by contributors. Alternatively, the social is typically referred to as good that focus on the community as a whole. These goods could be services or amenities. Relationships between individuals in

the community may also socially incentivize collective action, which include friendships, community empowerment, maintaining trust and social standing. Lastly, the psychological is referred to an individual's personal motivation for participation. The most often of these are 'self-esteem, political power, and a sense of efficacy' (Cohen & Uphoff 1980), others include participation as a means of satisfaction, social approval, feelings such as guilt or sympathy.

Perhaps the most crucial motive for the participation in community-based initiatives is the benefits and benefit flow. The notion of benefits however is typically narrowly defined in terms of economic incentives and is poorly understood in terms of cultural priorities. Benefits usually include direct financial rewards, derived mostly from eco-based tourism and related enterprises; and non-financial benefits including capacity building, skills training, cultural and aesthetic values; empowerment, livelihood security and environmental sustainability. In Boggs' (2000) research study into the benefits and benefits flow in wildlife conservation, he concluded the uneven distribution of benefits among community members, whilst also on those actively participating in the community-based natural resource management project recognize change in the community as beneficial to them. As per Boggs' (2000) theory, the perception of 'benefits as a direct result of CBNRMs' is an important component of the success of the project. In investigating the perception of benefits, the study concluded that benefits are perceived by most to mean direct economic incentives, and those who are not recipients of this economic incentive do not consider themselves as beneficiaries of CBNRM. Unequal distribution of these benefits challenges participation, and the overall success of CBNRM projects. Boggs (2000) asserts the need for understanding the flow between wildlife tourism- employment and community empowerment for there to be satisfaction with, and support for CBNRM. As direct benefits are crucial for participation, so are non-financial benefits for the long-term success of CBNRM projects. The acknowledgement and understanding of cultural beliefs need to be accounted for, as they may vary from individual to individual within a community. Benefit and benefit flow illustrates a complex dynamic and relationship and exposes the much-needed areas of concern: unequal distribution of benefits (financial or non-financial) as a primary blockage to involvement in CBNRMs projects and thus participation.

3.2.4. Guidelines for the implementation of CBNRM's in South Africa

The Department of Environment Affairs & Tourism proposes an adaptive management approach to CBNRM projects. This approach includes setting clear goals and targets during project planning. The DEAT (2003) proposes six types of CBNRM:

- a. Projects that provide rural communities with different ways of earning a living
- b. Projects that assist communities to use their natural resources wisely
- c. Projects which help communities to get benefits from their natural resource without having to use them up
- d. Projects which involve the community in partnership with Park Boards or other organizations involved in conservation
- e. Projects which bring skills to the community
- f. Projects which provide access to land and resources

The main goals of CBNRMs are to improve the livelihoods and quality of life of the local people, including poverty alleviation, therefore, the DEAT (2003) provides seven key principles necessary for a successful programme.

- | | |
|-------------|--|
| PRINCIPLE 1 | A variety of different ways of earning a living is maintained. |
| PRINCIPLE 2 | The natural resource base is maintained and even improved so that the natural resources can continue to provide livelihoods to people now and in the future. |
| PRINCIPLE 3 | Local organizations, including local government and community organizations, work effectively to manage local resources for the benefit of local people and the environment. |
| PRINCIPLE 4 | People receive real benefits from managing the natural resource wisely. |
| PRINCIPLE 5 | There are effective policies and laws and these are implemented wherever possible by local people's legitimate and representative organizations. |
| PRINCIPLE 6 | Outside assistance is provided to facilitate local projects. Local people's knowledge and experience is respected. |
| PRINCIPLE 7 | There is a good understanding of local leadership and local leadership fully supports projects. |

As with communities central to such initiatives, their role cannot be under-theorized. Communities themselves should empower and motivate each other as to be involved, informed and acknowledged for their participation. The DEAT (2003) provides the following guidelines for their involvement:

- a. Look after the natural resources.

- b. Work with as many people as possible.
- c. Use a strong and truly representative organization to represent local people.
- d. Be very clear about what the project will do for the community.
- e. Be clear about the different kinds of benefits.
- f. CBNRM won't solve all the problems in the community.
- g. Some people will contribute more than others- they should be properly rewarded.
- h. Expect conflict.
- i. Make sure that everyone knows what their duties and responsibilities are.
- j. Keep everyone informed.
- k. Let people know that they are part of a global community.

3.3. Environmental non-governmental organizations (NGOs)

The 21st century has seen a proliferation of NGOs with its intent to act as a third sector to various social and environment landscapes. There is a commonly-held view that NGOs can provide an effective route to deliver environmental and social projects, with many scholars arguing its considerable influence in changing the underlying philosophy of development. In the realm of environmental governance, NGOs are the most prominent actors, and maintain the following definition: *“Groups of individuals organized for the myriad of reasons that engage human imagination and aspiration. They can be set up to advocate a particular cause, such as human rights, or to carry out programs on the ground, such as disaster relief. They can have memberships ranging from local to global”* (Gemmill & Bamidele-Izu 2002:3). Gemmill & Bamidele-Izu (2002) claim NGOs and other civil society groups are not only stakeholders in governance, but also a driving force behind greater international cooperation through active mobilization of public support for international agreements. NGOs operate in an inherently complex, fluid and contested environment.

Commitment to empowering people on the periphery of society by facilitating better access to and control of centralized resources is a slow, demanding task with no guarantee of ‘success’ (Community Development Resource Association [CDRA] 1994). Changes in the political and development landscapes have seen a drastic increase in numbers of consultants operating in the field. The Community Development Resource Association (CDRA) claims this explosion of consultants is a consequence of the need for specific skills to be made available in specific situations for limited periods of time. In most cases, consultants can respond more quickly to provide new services tailored to individual needs (CDRA 1994), bringing specialization, mobility, variety of services and direct accountability to the table. This is

especially true regarding the management of natural resources, which is often best handled by CBO's who have a stake in local environmental conditions and are free from many of the conflicting demands experienced by governments (Gemmill & Bamidele-Izu 2002).

Wapner (1997) views NGOs as pressure groups that work to influence the way states, and the international institutions states set up, address environmental issues. NGOs work outside the international environment. They operate as voices and agents of civil society vis-à-vis governments, state bureaucracies, and transnational corporations as they seek to come to grips with the threats to the human environment at the local, national and global levels (Breitmeier & Rittberger 1998). These institutions maintain a twofold personality, working with local groups and communities on the one hand, and working with national and transnational organizations on the other hand. For Brosius, Tsing & Zerner (1998) one of the most significant developments has been the promotion of CBNRM programmes, policies, and projects- that is, forms of local resource management that might support and be supported by emergent transnational goals of social justice, environmental health, and sustainability – the role of bridging the gap between society and nature.

3.3.1. The role of Environmental Non-Governmental Organizations

Numerous scholars agree that the technical character of many environmental problems constrains the states' abilities to maintain their self-sufficiency in that they lack certain capacities and knowledge to fulfill environmental objectives and ambitions. States need the scientific knowledge, technical expertise, the monitoring capacities, or the policy advice of NGOs to reach goals. NGOs provide numerous services to governments, organizations and local communities (see table 3.7 below). They are sources of information, skills and advice (Gangemi, Malanga & Ranzo 2000; Gemmill & Bamidele-Izu 2002). They perform operational functions in the form of policy development consultation and promote and motivate policy implementation (Gemmill & Bamidele-Izu 2002). NGOs induce the capacities for investigating and reporting in relation to assessment and monitoring of environment related projects (Wapner 1997). They work in favor of states in that they have the potential to legitimize global scale decision-making mechanisms and have the abilities to engage economic forces to financially support environmental projects. Ironically enough, NGOs also have a significant influence in changing state behavior towards environmental conservation. NGOs advocate environmental justice, and represents the voiceless and engaging in 'social mores'. They recognize the situated character of human life and work to understand how social values affect human attitudes and behavior toward the environment.

They work as agents to activate public opinion and mobilization thereof, and provide a space between society and nature; and society and government in nature related spaces.

Table 3-7: Duties and functions of Environmental NGOs (Adapted from various authors)

Information-based duties	Includes acting as sources of information (Gangemi, Malanga & Ranzo 2000), information collection and dissemination (Gemmill & Bamidele-Izu 2002) and expert advice and analysis. On a continuous basis, their services include assessment & monitoring, along with investigating and reporting (Wapner 1997).
Operational functions	Includes policy development consultation and policy implementation (Gemmill & Bamidele-Izu 2002).
Societal functions	Services and skills include advocacy for environmental justice, mobilization of public opinion, representation of the voiceless, legitimization of global-scale decision-making mechanisms, and actions to change state behavior (Wapner 1997).

Many generalizations have been drawn about the role of NGO's in the neoliberalizing of nature (Holmes 2011). Firstly, the role of the state as a driver of conservation has been rolled back, diminished and replaced by NGOs, whose role in running protected area, formulating policy and other conservation activities is increasing (Holmes 2011). Secondly, as conservation is increasingly turning to market mechanisms to find ways of preserving biodiversity, of 'selling nature to save it' (Holmes 2011), NGOs have increasingly sought ways and strategies to fund initiatives and projects. Lastly, since the 1980s but increasing since 2000, conservation NGOs have developed closer relationships with businesses, working with them, copying their methods in areas such as marketing, taking their donations and generally developing more positive attitudes towards their activities (Holmes 2011; MacDonald 2010, 2011), therefore, becoming more like businesses themselves in their structure, strategies and discourse.

3.3.2. Critiques of NGOs

Larsen (2016) suggests that a set of meta-narratives characterize much of the literature analyzing conservation NGOs, specifically narratives positioning NGOs as: (a) doing good; (b) turning ugly; and (c) acting pragmatically through which he labels 'Dirty Harry'. He reviews these narratives as 'good conservationists', where NGO activity and legitimacy production is often apparent in foundational documents. The example of the 'ugly conservationist' has become increasingly apparent in the last decade reflecting the blurred boundaries between 'good' conservation and 'bad' states and

corporations. Lastly, his notion of the 'Dirty Harrys' of conservation emphasizes pragmatic values and realism (Larsen 2016). In the first narrative, conservation NGOs narratives are about the good against the 'bad other', undermining the public environmental good. The second narrative portrays NGOs, no longer only as small, beautiful and doing good, but turning 'ugly' and transnational (Larsen 2016). Public debate and a growing body of literature have within the last decade thrown into question the mandates, roles, and effects of Northern NGOs, particularly Big NGOs (BINGOs), which has led to the erosion of the moral premises of the 'good conservationist' narrative (Larsen 2016). The third narrative, the 'Dirty Harry', stresses pragmatic conservation operators in a world of money and power (Larsen 2016). The credo of the 'Dirty Harry' narrative is that effective conservation requires discreet engagement, adequate resourcing and positive solutions, and therefore, this perspective sees increasing funds as a necessity in real world conservation (Larsen 2016). The 'Dirty Harrys' of conservation therefore get their hands dirty through managing big budgets and remaining on speaking and operational terms with both government and industry (Larsen 2016).

Micklethwait and Wooldridge (2000) have noted a shift in balance of power between governments and NGOs, with some now having significantly greater financial resources, stronger human and technical capacity and better political connections than many of the states in which they operate (Haley & Clayton 2003). Lehr- Lehnardt (2005) notes that NGOs are falling under scrutiny with regards to engaging in decision-making lacking transparency, democracy and accountability, thus their lack of legitimacy. Some scholars critique the operation of NGOs as decidedly opaque, often holding decision-making 'behind closed doors' and without pluralistic participation (Lehr-Lehnardt 2005). They are also constantly criticized for their lack of democracy. An accusation which questions the representative nature of the NGO, whether it properly acts as a legitimate voice for local communities. Lehr- Lehnardt (2005) argues that not only do most NGOs lack internal democratic processes, but they purport to speak for the masses, thus claiming some sort of representative nature beyond their NGO employees or members. Another point Lehr- Lehnardt (2005) and Riemann (2005) assert includes both democracy and accountability issues is the growing elitism and professionalism entailed within NGOs. It is argued that NGOs have lost touch with the voiceless they claim to represent as they cannot relate to the poor man's socioeconomic circumstances. With critiqued based on transparency and accountability, NGOS are criticized for their ways of finding funding and their allegiances of loyalty. In this sense, NGOs come under scrutiny in matters of tunnel vision, willingly ignoring the 'bigger picture' of the broader social, political, and economic contexts, and as additionally put forth by Riemann (2005), they're losing their voluntary spirit. Riemann (2005) discusses critiques of NGOs in relation to performance and actual

effectiveness claiming NGOs have had a poor track record and have caused more harm than good. In opposition to Micklethwait and Wooldridge (2000), Reimann (2005) argues that NGOs are critiqued for their issues of autonomy, as ties between state and NGOs have deepened, causing them to be accused of being coopted by the state and of effectively losing their autonomous 'non-governmental' status. Another related criticism is that as NGOs have become more dependent on official sources, they have been less likely to be involved in advocacy or any activity that might be construed as overly political or critical of their donors (Reimann 2005). Some authors have argued that NGOs are losing their status as non-profit organizations with increased commercialization, due to competition between them for funding of projects. Scholars argue that as NGOs are becoming more influential and visible in global governance, and hence politics, they have faced ideological backlash from both the political left and right, and have been depicted as a dangerous political force that threatens justice, freedom and the true will of people (Reimann 2005).

3.3.3. Non-governmental organizations & TFCAs

The formulation of a TFCA along with its integrated CBNRM projects is of a sizeable nature and thus cannot be designed or implemented by one institution or organization alone. Partnerships are therefore an essential part within the TFCA process. Whande and Suich (2009) perceive that the concept of TFCAs have replaced CBNRM, in that the late 1990s witnessed foreign donors financing environmental initiatives shifted en masse from supporting CBNRM to transboundary conservation activities. However, the role of the PPF has been most significant in lobbying global institutions such as the World Bank and national government to provide financial support for TFCAs. Erratically active at regional level in persuading national government to co-operate and take the first practical steps towards implementing TFCAs on the ground, the PPF's activities reflect the influence of NGOs in motivating support for environmental projects. Apart from lobbying government agencies in the countries involved in TFCAs, the Foundation also funds research to facilitate the development of transboundary conservation (Duffy 2006). As per Duffy (2006), this role of Peace Parks illustrates how forms of global governance have created complex transformations in the role of state, and highlights the importance of NGOs in the development of TFCAs. Not only do NGOs play a vital role in the lobbying, supporting and development of TFCAs, their role in establishment and implementation is also of paramount importance. Specifically, as they work between local communities and state, and provide representation of both institutions, their roles within the attached CBNRM projects should too be acknowledged. Brosius, Tsing & Zerner (1998) argue NGOs are one of the most enthusiastic promoters of the community-based conservation

concept, as their partnership role has been assigned to them due to their qualities and capacities as institutions.

3.3.4. NGOs and Community-Based Conservation Projects

Recently, a shift in 'agents' from state to NGOs has been seen within community-based conservation initiatives. NGOs, and specifically environmental NGOs, have been some of the most enthusiastic promoters of the community-based conservation concept (Brosius, Tsing & Zerner 1998), and their partnership role is assigned based on qualities often associated with them. NGOs are attractive in that they are seen as participatory as, less bureaucratic than state institutions, and able to meet needs of the poorest and most vulnerable groups in society (Carroll 1992; Fisher 1993; Princen & Finger 1996). Measham and Lumbasi (2013) claim NGOs play active roles in supporting conservation actions undertaken by communities by providing expert and scientific advice and mediation between communities and state. Apart from this, these authors argue that successful CBRNM are initiated and managed by the communities themselves with aids from NGOs in relation to funding, equipment and facilities, where the NGOs neither design the projects nor impose themselves on the communities. Their popularity has also arisen as skepticism about the ability and willingness of state institutions to address the needs of local people has increased (Macdonald 1995; Wapner 1995). However, as per Brosius, Tsing & Zerner (1998) and Lundy (1999) alike, the extent to which environmental NGOs represent the interests of local communities can be questioned.

Like participatory development, community-based conservation promises cooperation and partnerships, but assumptions of 'partnerships' may be unrealistic given the unequal power relations among rural communities, their national governments, and NGOs and international organizations interested in community-based conservation (Songorwa 1999; Campbell & Vainio-Mattila 2003). As discussed above, environmental NGOs have been key promoters of the community-based conservation concept. In their review of 23 Integrated Conservation-Development Projects (ICDP), Wells and Brandon (1993) found that barriers to participation included, among other things, the limited experience of NGOs with projects aimed at poor rural people and their inadequate understanding of the local socioeconomic context.

3.4. From 'public participation' to 'stakeholder engagement'

In recent literature, the concept of 'public participation' has been reviewed and replaced with the term 'stakeholder engagement' for two reasons: (a) that there remain numerous and various definitions of 'public participation', the use of the term 'public' is misleading; and (b) the term 'public' may be misrepresented as excluding the private sector and non-decision-making authorities, thus feeling

excluded from the ‘public participation’ process (DEAT 2002:6). With this, the term ‘stakeholder’ is proposed as a more appropriate alternative which allows for the inclusiveness of a diversity of opinions and interests. The second rationale follows with the range of definitions for ‘participation and the degree of influence upon decision-making’. The International Association for Public Participation (IAPP) describes public participation as a spectrum of increasing levels of public impact on decision-making, ranging from the public being informed, consulted, involved, collaborating with decision-makers, or fully empowered through delegated decision-making (DEAT 2002). ‘Participation’, is thus modified to ‘engagement’ in that, being ‘informed’ does not constitute participation, therefore it is more appropriate to speak of ‘engagement’ between stakeholders in the decision-making process. Hence, ‘stakeholder engagement’ concludes information exchange between all stakeholders involved as illustrated in figure 3.4 (DEAT 2002). By this modification, the end goal of stakeholder engagement is to improve communication between stakeholders in the interest of facilitating better decision-making and more sustainable development (DEAT 2002). Therefore, objectives include raising awareness; continuous learning and understanding between stakeholders; identifying and tackling key issues of concern, along with more common ones; building and reaching consensus; and reviewing, monitoring and modifying the participator process.

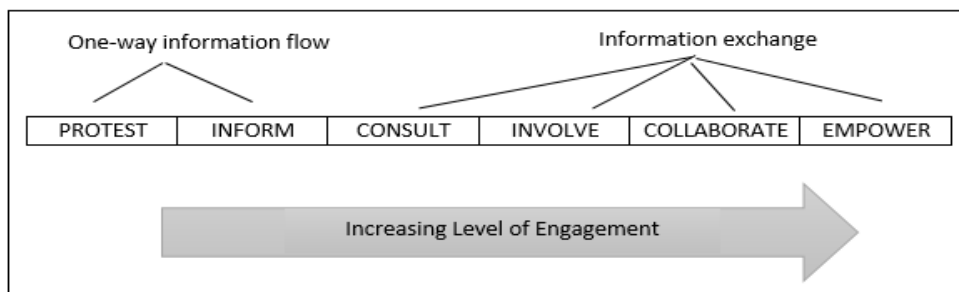


Figure 3-4: Stakeholder engagement spectrum (DEAT 2002)

3.4.1. Stakeholder engagement

Stakeholder engagement can be identified as ‘the process of involving stakeholders in problem-solving or decision-making and using stakeholders input to make better decisions’ (SADC 2010). The goal is to improve the quality and sustainability of decision-making, by ensuring that (SADC 2010):

- a. decisions are soundly based on shared knowledge, experience and scientific evidence;
- b. decisions are influenced by the views and experiences of those affected by them, that innovative and creative options are considered and

- c. new arrangements are workable and publicly owned.

Key principles include inclusiveness, equity, flexibility, transparency and integrity. Approaches to stakeholder engagement have progressed through a series of recognizable stages. Since the emergence of environmental issues in the 1960s - the rise of the environmental movement - environment and participation have been inextricably linked and have witnessed) a stage of raising awareness (see Van Tatenhove & Leroy 2003). The need for incorporating local viewpoints in data collection and planning in the 1970s, illustrated the need for new systems of learning, using participatory methods and criteria for trustworthiness. The 1980s saw the development of techniques that recognized traditional knowledge and placing the 'last first' (Chambers 1983). The increased use of participation as a norm in the sustainable development agenda took momentum in the 1990s (e.g. UNCED 1992). Because of this norm, the subsequent critiques and limitations of participation emerged (Cooke & Kothari 2005) and as a response, a growing 'post-participation' consensus over best practice - learning from the mistakes and successes of this long history - occurred (Hickey & Mohan 2004).

3.4.2. Facilitators of engagement: Responsibilities and Approaches

NGOs usually act as the middle person between the state and communities. Numerous scholars agree that the technical character of many environmental problems constrains states' abilities to maintain their self-sufficiency regarding they lack certain capacities and knowledge to fulfill environmental objectives and ambitions. NGOs provide numerous services to governments, organizations and local communities. With this, environmental consultants have an array of responsibilities when engaging stakeholders which includes the manner of information dissemination, to ethical relationships and technical considerations. Table 3.8 below lists the responsibilities of facilitators of engagement (DEAT 2002). In addition, environmental consultants and/ or stakeholder engagement practitioners have a range of approaches to choose from, and generally use a combination of them. Popular approaches range from informing and consulting to collaboration and empowerment (see annexure 5).

Table 3-8: Responsibilities of environmental consultants & stakeholder engagement practitioners (DEAT 2002)

Responsibilities of environmental consultants & stakeholder engagement practitioners	
<ul style="list-style-type: none"> • Avoid raising unrealistic expectations & undue fears. • Listen, hear, and show respect and empathy. • Act as independent, objective information 	<ul style="list-style-type: none"> • Clarify the level of stakeholder engagement. • Clarify the objectives of the process, the procedures and time frames for stakeholder input, and the decision-making framework. • Identify all stakeholders that should be

<p>professionals and not as service providers acting in the interests of the proponent.</p> <ul style="list-style-type: none"> • Adhere to the principles of integrity, fairness and inclusivity. • Obtain appropriate training and experience to conduct an effective, efficient and equitable stakeholder engagement process. • Convene, facilitate and sustain the stakeholder engagement process. • Ensure buy-in to the process by all stakeholders by clearly communicating the potential benefits of the stakeholder engagement process. • Avoid raising unrealistic expectations or undue fears. • Suggest an appropriate level of stakeholder engagement. • Plan the process, so that reasonable opportunity is provided for stakeholders to engage with the process. • Allow stakeholders to have a say in how they want to be engaged. • Ensure that the stakeholder engagement process meets minimum legal requirements and aims to be effective, efficient and equitable. 	<p>engaged in the process.</p> <ul style="list-style-type: none"> • Establish and maintain a database of stakeholders, including information on who has attended meetings, sent in comments and received information. • Provide detailed record of concerns, inputs, comments and responses (a “paper trail”). • Identify and use appropriate stakeholder engagement approaches and techniques. • Identify the underlying issues of concern. • Ensure all issues raised are considered in an objective manner. • Ensure local and traditional knowledge is utilized and incorporated. • Ensure information is provided in a manner understandable by a diverse audience • Avoid taking a defensive stance. • Listen, hear, and show respect and empathy. • Differentiate issues from personalities, cultural perspectives and emotions.
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3.4.3. Challenges to stakeholder engagement

Within such processes, policy and institutional issues remain a constraint. Engagement in environmental decision-making is not a legislated requirement in all countries, and in many others, there is no supporting legislation and institutional framework to ensure stakeholders are fairly and efficiently engaged in the decision-making process (DEAT 2002). Specific to South Africa, with a history of racism and repression, a strong element of mistrust remains between different sectors of society, thus communities may still fear adverse consequences if they express any difference of opinion or interests.

Capacity constraints challenge engagement processes due to lack of education as well as other factors such as language barriers, the remoteness of the location, or financial and time constraints to attend meetings, etc. Such constraints are usually extended to the NGOs or CBOs who act as a representative of or as a 'middle man' between communities and government agencies. Stakeholder engagement also finds itself challenged by the minimal interest in environmental issues due to lack of interest, awareness or concern over the environment, which further impedes support for such projects. Besides the direct challenges to stakeholder engagement, indirect and less visible forms are at play. Lack of clarity on the definition and objectives of stakeholder engagement and the responsibilities of stakeholders, environmental consultants, and stakeholder engagement practitioners (DEAT 2002), along with inappropriate approaches and techniques to facilitate the process, challenge engagement.

3.5. 'Fetching' the locals: Community engagement in Transfrontier Conservation areas

Kumar (2005) identifies five major advantages of people's participation in sustainable development programmes, which can be applied to TFCAs in general. First, people's participation can ensure efficiency; that is taking responsibility for the various activities involved in the project. Second, people's participation can enhance effectiveness, making the project more effective and sustainable. Third, people's participation can improve self-resilience, thus avoiding a kind of dependence syndrome. Fourth, participation enhances coverage through ensuring the flow of benefits to target groups; and lastly, participation ensures sustainability. The involvement of local people and the utilization of local resources generate a sense of ownership over the development interventions to the people (Nhancale 2007). Usually, in the establishment of TFCAs, there are two clear levels of stakeholders: 'high-level' and 'local-level'. 'High-level' stakeholders consist of those with high political and technical power for decision-making, i.e. government, donors or NGOs. The 'local-level' stakeholders, usually the local communities and those entrusted with the daily routine/care of the park, are left without power for decision-making in the process.

3.5.1. Institutional arrangements: Importance of partnerships

CBRNM involve different organizations and individuals working together. These role-players include the communities, facilitators, private-sector, local and district municipal authorities, national and provincial government departments and donor agencies. Within CBNRM, and therefore TFCAs, partnerships and participation govern the nature of the project and impacts on its success or failure. Within such initiatives there are three main actors; (a) community institutional actors; (b) government institutional; and (c) non-governmental institutional actors, each with its own importance, yet not always equally

crucial to successful projects. With communities' key to the implementation of TFCAs and thus CBNRM- they are the units of decision-makers and active managers of resources, and ultimately represent the resource users' central to any community based project. Government institutions set and implement policy, legislation and issues proclamations which can either aid or disadvantage community-based approaches to conservation. It is the government whom eventually decides on the outcome of such projects' fate. Therefore, it seems that it is only these two actors which are crucial to TFCAs, leaving non-governmental institutions side-lined. This partnership prescribes the Government to enable policy and legislative frameworks for community management to take place, with communities to develop the appropriate management systems for resource use. This partnership may work in theory, however, in practice; this partnership does not seem plausible. Both institutions do not have the capacity to carry out the prescribed roles, and for this reason, non-governmental institutes are needed. The lack of capacity at both government and community level means that partnerships should include a range of other support and aid, either to communities, or government, or both.

3.5.2. Effective engagement in TFCAs

Specific to the establishment of TFCAs, Chitakira, Torquebiau & Ferguson (2012:1240) propose the following question in developing an effective engagement process- *"Does the vision reflect local consciousness of TFCA objectives and did the locals see the TFCAs being part of their future?"*. They propose a framework for the achievement of TFCA goals through effective engagement of local communities in the planning and management of TFCAs as follows:

- a. Participatory diagnosis: meetings with stakeholders are organized to identify main socio-environmental concerns within the community and the facilitator is expected to stimulate self and collective awareness of development approaches among the community members.
- b. Developing a vision of the desired future: participants or potential participants imagine, discuss and outline what changes or development they want to see in their community in an agreed time period, and consider ways in which to achieve this.
- c. Collective action: all key stakeholders need to be involved in planning and implementing, and requires a supportive policy environment, sound basic infrastructure, coordination and material and technical support from key stakeholders.
- d. Goal achievement: At this stage, improving livelihoods acts as an incentive for the prioritization of biodiversity protection, thus through this way, the project becomes sustainable. In addition, periodic and regular audits of the entire process is required to

ensure consideration of new concerns, refining strategies as may be appropriate and evaluation of progress to check the achievement of desired goals.

Therefore, engagement between stakeholders should be unbiased and promote empowerment, equity, trust and continuous learning for both facilitator and participants (Rower & Frewer 2000; Reed 2008). Participation should occur from the onset of the project to allow for empowerment and trust building. The process should include a broad representative sample with systematic stakeholder representation, where all participants share equal power to express themselves, and equal power to influence the process, and ultimately policy (Reed 2008; Rowe & Frewer 2000). Objectives should be made transparent and clear. Throughout the process there should be room for flexibility with continuous assessment, observation, evaluation and modification of the process to include concerns of participants (Reed 2008; Rowe & Frewer 2000). The integration of traditional knowledge should be a critical influence within the process, along with the institutionalization and impact on policy (Reed 2008; Pretty 1997).

4. CHAPTER FOUR: “FINDINGS UNFOLDING”

This chapter discusses the findings of the study; focusing on three key facilitation processes undertaken by EAEC in the establishment of the ARTFCA. These processes are (a) the Integrated Conservation and Development Workshop, (b) the Unfolding the Big Picture Workshop, and (c) the subsequent facilitation and implementation of the CBNRM initiative within the RCC. The chapter illustrates a contrasting picture of an empowering bottom-up process of facilitation with an unsuccessful bottom-up implementation thereof.

4.1. Establishing the /Ai-/Ais Richtersveld Transfrontier Area

The process of establishing a TFCA commences with an intensive set of informal planning and meetings attended by the various role-players; including exchanges of correspondence between meetings. After this first set of consultations, a MoU was signed by the Ministries responsible for tourism, environment and wildlife. The MoU confirmed consent and commitment of all parties involved to engage in formal negotiations through an institutional framework. Later, to develop an International Treaty for the proposed TFCA (see annexure 10).

Being transboundary, the establishment of any TFCA requires multiple institutions at multiple levels. These include a Ministerial committee; an international and national technical committee; working groups; a project coordinator; and a secretariat or facilitator. The Ministerial Committee is responsible for TFCA matters in the participating countries; this includes overall policy guidance and monitoring progress in the establishment and development of the TFCA (Myburgh 2015). The international and national



Figure 4-1: Entrance to the ARTFCA (Author 2016)

technical committees are responsible for numerous tasks, such as translating Ministerial Committee decisions into operational guidelines and policies; developing area-specific action plans; harmonizing the expectations and aims of the participating countries; and liaising and collaborating with other relevant development initiatives (Law Explorer 2016) and more. Working groups are important role players responsible for addressing and resolving specific challenges regarding the numerous stakeholders involved (i.e. institutions outside the sphere of natural resources management such as customs, immigration etc.) to improve the TFCA on a functional level (Law Explorer 2016).

The project or TFCA coordinator is appointed by the participating countries to facilitate the establishment and development of the TFCA. His or her responsibilities include driving activities associated with the planning and development of the TFCA; ensuring that the effective and representative committees are established and also sustain the objectives of the TFCA; facilitating the convening of meetings; ensuring negotiations comply with relevant international treaties and regional protocols; and preparing reports on key resolutions and directives emanating from the various committees (Law Explorer 2016). Lastly, the secretariat or facilitator appointed as a more permanent structure to fulfill the TFCA co-ordination function is appointed- also as a separate legal entity - responsible for implementing projects from donor and participating partner county funding to develop the TFCA (Law Explorer 2016). See annexure 8 which illustrates the institutional arrangements merging within the management of TFCAs, regarding the ARTFCA.

In keeping with its institutional arrangement, and the importance of partnerships, the 'facilitator'- EAEC was responsible for engaging the stakeholders and more importantly, the four communities involved within the process of establishment. Their role in the TFCA establishment took on facilitating community involvement and participation in addition to looking at options of community involvement in the process. With this, their role was to facilitate workshops for a diverse range of stakeholders involved in the process to promote partnerships and information sharing. Subsequently, they were responsible for the implementation of the Richtersveld CBNRM programme which ran through the conservancy. Yet, the consultancy's engagement with the region never started with this process, and never ended after establishment. See annexure 9 for EAEC's programmes in the Richtersveld.

4.2. Synergetic initiatives and institutions

There were already established projects and initiatives under way before the process of establishing the transfrontier conservation area – which ran congruently with the ARTFCA - began. These institutions and programmes were in some form part of the wider transformation process of the region.

4.2.1. Integrated Development Plan (IDP)

This process started in January 2000 and was probably one of the most significant processes involving the local communities (Myburgh 2003). Described as 'government planning with people' (EAEC 2001), it is an attempt to create social capital for the region.

4.2.2. South North Tourism Route (SNTR)

The SNTR stretches from CT to the Richtersveld and links nature- and culture-based products along the N7 (Myburgh 2003). The route acts as a channel that feeds tourists into the Northern Namaqualand and

Richtersveld area. It was established as it was believed that tourism would offer a viable alternative livelihood option in an area where unemployment is growing and natural resources are getting scarce (Myburgh 2003).

The project was proposed to develop an overarching plan for biodiversity conservation and sustainable development in the Succulent Karoo Biome (Myburgh 2003). Fully aware that for conservation to be an option, the 'end users' (i.e. the locals) needed to see the benefits of conserving their biodiversity and understand that alternative livelihood options have to be developed that do not damage the environment (Myburgh 2003).

4.2.4. Gariiep Spatial Development Initiative (SDI)

The Gariiep Spatial Development Initiative (SDI) was initiated by the Department of Trade and Industry (DTI) to support provincial and local governments to facilitate private sector investment (Myburgh 2003). The target area comprised parts of the Kalahari, the Lower Orange River, Namaqualand districts, and parts of the Karas region in southern Namibia (EAEC 2001).

4.2.5. GTZ Training and Support for Resource Management (GTZ Transform)

GTZ Transform (Training and Support for Resources Management) is a German - South African co-operation project focusing on CBNRM. GTZ works with DEAT, SANParks, local government and community organizations to support sustainable use of natural resources. Over the last six years there has been a specific focus on communities that own parts of National Parks. As such, GTZ Transform has worked with the communities in the Richtersveld by providing technical advice and some financial support. The main beneficiaries of support have thus far been the Richtersveld IDP process, the RNP Management and Development Plan and capacity building for the CPA and the Richtersveld Municipality (Myburgh 2003).

4.2.6. Norwegian Development Organization (NORAD)

The Norwegian Development Organization (NORAD) had been running a programme to strengthen local cultural knowledge (IDP 2002). The goals of the programme were to open opportunities in terms of biodiversity prospecting and rights to indigenous products as well as boost nature- and culture-based tourism within the region (IDP 2002).

4.3. EAEC in the Richtersveld

Established in 1988, EAEC provides a highly skilled team of professionals to consult in areas of environmental and social issues. This interdisciplinary organization, with offices based throughout Africa, assists in areas of environmental management, integrated conservation and development, and

other related fields. Organized in independently registered companies in Southern and East Africa, the team works hand in hand with governments, NGOs, the private sector and communities to achieve sustainable natural resource management through knowledge sharing and facilitating equitable development. Their work in the Richtersveld ranges from biodiversity conservation, sustainable livelihoods and heritage programmes, amongst others.

4.3.1. First Contact: The Northern Namaqualand Tourism Task Group (NNTTG)

EAEC's involvement in the Richtersveld region started in 1989 (Interview, Francois Odendaal, 16/07/2016), when Francois Odendaal⁸ went up to research the ecological effects of mining within the region. Upon arrival, he observed extensive damage from the Alexkor mines, known then as state Alluvia Diggings (SAD).⁹ He describes the situation as 'very desperate' and a story of 'dispossession' (Interview, Francois Odendaal, 16/07/2016), due to the country's history of Apartheid. It was only post-1994 when EAEC's services were requested within the region by Alexkor mines. This marks the time when the Alexkor mines split into two parts: Alexander Bay Trading (ABT) (non-mining economic alternatives) and Alexander Bay Minerals (ABM) (mining). The consultancy was then contracted to investigate post-mining alternatives, resulting in tourism and mariculture being the best options (Interview, Francois Odendaal, 16/07/2016). To explore these alternatives, and how they would positively or negatively affect the lives of the Richtersvelders, EAEC took a trip deep within the region. The consultancy came across communities 'almost isolated from the outside world' (Interview, Francois Odendaal, 16/07/2016). Mostly women attended a meeting held in Alexander Bay, where, out of this, the Northern Namaqualand Tourism Task Group¹⁰ (NNTTG) was established. For Odendaal, this was a critical point as it was EAEC's first contact with the communities and a start of initial facilitation within the region (Interview, Francois Odendaal, 16/07/2016). The first step for Odendaal was to '*listen to the people very carefully*', '*get to know them... Their needs and aspirations*' (Interview, Francois Odendaal, 16/07/2016) - which he stresses cannot be and should not be underestimated.

⁸ Francois Odendaal is CEO and founder of Eco Africa Environmental Consultants, he is also the primary facilitator in the facilitation of community involvement within the establishment of the ARTFCA.

⁹ State Alluvial Diggings (SAD) established in 1928 by the government. SAD was an extension of a State department and was run on departmental budgets, not through business plans designed for a typical mine (Rodkin 1998). A lack of profitability pre-empted a change in management style and name to Alexkor Ltd.

¹⁰ This tourism forum was established in response to the principle that tourism in Northern Namaqualand is linked to the inclusion of all communities so that the prime beneficiaries of development should be the locals of the area (Rodkin 1998).

4.4. The Facilitation Process

The process of facilitation for the TFCA started in 2001, whilst the facilitation and implementation of the CBNRM started in 2003; the same year of the finalization of the ARTFCA. This section includes data published by Myburgh (2003) and by Govender van Wyk (2007), and my own research findings.

4.4.1. MoU Consultation Process (Jan-Jul 2001)

October 2000 marked the first Bilateral meeting between the Namibian and South African ministers of Environmental Affairs & Tourism. This meeting concluded that a conceptual plan be drafted by the PPF by November 2000 (Myburgh 2003). EAEC was appointed to drive an intensive community consultation process (Jan-Jul 2001) and incorporate the TFCA into the IDP- before the signing of the MoU. At this point, the idea of an ARTFCA was strange to many people, according to Mr. Gerald (Kiewiet) Cloete (*Kuboes* resident & member of the Richtersveld Community-based Conservancy/ Heritage Site Reference Group) (Myburgh 2003). Therefore, the objectives of this consultation process were to:

- a. Make the concept of the TFCP clear to all stakeholders, in addition to explaining and discussing the draft MoU for feedback;
- b. Achieve greater public awareness; and
Encourage community cooperation, participation and capacity building through institutional representation.

In its first contact the EAEC found the technical word of 'biodiversity' to be unknown to these communities, yet an understanding of the concept was evident within their nomadic lifestyle. However, it was also observed that these communities loved their land, with its unique historical and cultural assets. Because of this, Odendaal's second step of facilitation was to 'explore hand-in-hand with the people', to explore with them what is special about their area and to 'listen' to them (Interview, Francois Odendaal, 16/07/2016). This was promoted through trips to Namibia for which Odendaal claimed EAEC's own funds were used for locals to witness tourism in action- a form of capacity building. This stimulated EAEC's third step of engagement, i.e. to 'help the people formulate their own ideas and plans' on how their land was to be used, and what they wanted out of the broader TFCA process (Interview, Francois Odendaal, 16/07/2016) as an empowerment process. It was during this process where talks of how the Orange River was an artificial/colonial border that divided the Nama Nation into two (Interview, Francois Odendaal, 16/07/2016), and through this it was discussed of what the opening of this border could do for the region.

For the facilitator, the main aim was that locals understood the process, and would have a say in how the TFCA would be managed, and that they had the ‘big picture’ of the project in mind (Interview, Francois Odendaal, 13/08/2016). For EAEC the locals had to understand and conceptualize the opportunities a TFCA would bring, and furthermore understand the purpose of the World Heritage Site¹¹ (WHS) - namely to help protect culture and use it sustainably (Interview, Francois Odendaal, 13/08/2016). Regarding the MoU consultation process, numerous meetings – such as with council, the Community Property Association (CPA) and the communities - were conducted in discussion of the draft MoU.

a. Concerns & Constraints

A critical concern faced by EAEC was trying to find the balance between government and officials ‘top-down’ approach and the communities ‘bottom-up’ approach to the project. PPF had a different timeline in meeting commitments they made to the Minister, DEAT and other formal stakeholders (Interview, Francois Odendaal, 13/08/2016). While taking a bottom-up approach, EAEC faced pressures to meet external deadlines on the one side, and on the other side trying to ensure communities were ready to enter an agreement. Other obstacles faced by facilitation related to steering committee meetings. Committee members did not reside in the same village, and thus getting them to a central place proved challenging. Nevertheless, carpools were formed where, Odendaal claims, EAEC would pay for transport, and sometimes accommodation (some would stay with relatives, sometimes locals would even sleep in the town hall to be present at the meetings) (Interview, Francois Odendaal, 13/08/2016).

Concerns over miscommunication in relaying information and dissemination of meetings were always a factor, however, EAEC was confident that, within the diverse channels and participation mechanisms put in place, such concerns were overridden (Interview, Francois Odendaal, 13/08/2016). Mr. Floors Strauss (*Eksteenfontein resident and CPA Chair 2001*) later nominated to administer matters on behalf of the Community Working Group for the TFCA felt that previous proposals for changes to the MoU had not been fully incorporated into the final document (Myburgh 2003). He felt that ownership was still not properly mentioned and that there was lack of clarity on what would happen to the existing contractual agreement with the RNP. Moreover, it was unclear to him where the greater community would fit into the institutional framework of the TFCA (Myburgh 2003). He also raised concern about how the establishment of the Park would influence the land transformation process (Myburgh 2003). This,

¹¹ In recognitions of the vanishing cultural lifestyle of the Richtersveld, and of its rare botanical diversity, the Conservancy was declared the core of a new World Heritage Site in 2007 (Explore the Richtersveld 2016).

according to Mr. Strauss, was addressed and he remained happy with the MoU (Interview, Floors Strauss, 13/09/2016).

Community members were concerned about top-down approaches, stressing their opposition to such participatory process, whilst ensuring their value and input that could be beneficial overall. Empowerment through skills development and capacity building were emphasized as economic opportunities and development was one of their motivations for participation. Other concerns were the lack of information dissemination to the community, with representatives not always working well amongst themselves and within the communities. In addition, locals themselves feared a quick transformation, especially in relation to changing the perceptions of locals from conservation as a 'white Apartheid' notion to one from which they could potentially benefit as well. Concerns over their livelihoods and legal restrictions on their traditional stock-farming methods were evident throughout. In addition to this, previous experiences of land dispossession were at play; however, these were overcome by previous participation within conservation initiatives.

4.4.2. The Integrated Conservation & Development Workshop: Building partnerships for sustainable and equitable resource use (April 2-3, 2001)

A marker in the consultation process took form in the Integrated Conservation & Development Workshop held in Alexander Bay on 2-3 April in 2001. The purpose of this workshop was to discuss the poor coordination between the multiple stakeholders involved in the ARTFCA. The objective was to promote information sharing and discuss what the various and differing stakeholders could bring to the table for the realization of the TFCA (EAEC 2001). The workshop provided a platform to discuss constraints, possibilities, synergies and issues relating to the establishment of the ARTFCA.

a. Structure of workshop

There were fourteen speakers from various organizations (government & non-government), speaking upon various topics (i.e. the role of Peace Parks in the establishment of Transfrontier Parks, the Transform programme, community-based development and TFCAs). The inclusion of plenary sessions held after presentations for working groups allowed for information sharing, in discussing four main questions (which will be discussed later).

In discussing the ARTFCA framework, there were strong concerns over community involvement. Mr. Cloete commented about the normal top-



Figure 4-2: Printed ICD Workshop Report (Author 2016)

down decision-making that occurs within projects like these. Concerns were raised that even though expertise from outside organizations is welcomed and needed, community input is much needed and vital. There was support for community involvement and recognition that locals offer a great deal of knowledge about their land, and can be further trained in planning tools such as Geographical Information System (GIS) to further empower them. Mr Williem Louw, (*member of the CPA*) stated that the communities oppose top-down approaches to facilitation, and want to be acknowledged as owners of the land who have the right to determine the development of it, and emphasised that if the four communities were adequately consulted and involved in the process, rejection or obstruction of the TFCA process would be minimal or absolute. Another general concern involved the status of Namibia regarding the process. It seems that much of the workshop involved the South African side as quoted by Mr Leonard Seelig of Conservation International who asked, “*How far the Namibians are in the process?*” (EAEC 2001:58). The majority of concerns were directed towards the willingness of the Namibian-side of the TFCA process, and whether they would support a MoU between the South African and Namibian governments. In commenting on this, Odendaal states that the Namibian side had very few involved stakeholders, yet often heard that they did in fact have strong concerns at the level of national government- yet continued with signing under the facilitation of the PPF (Interview, Francois Odendaal, 13/08/2016).

a. Workshop Participants

This factor became even more evident within the investigation of participants of the workshop, illustrating that majority of the participants came from the South African side of the proposed TFCA- see Figure 4.3. Of the total participants, over 50% were representatives from South Africa, approximately 7% were from Namibia, and over 8% were those not affiliated to either country.

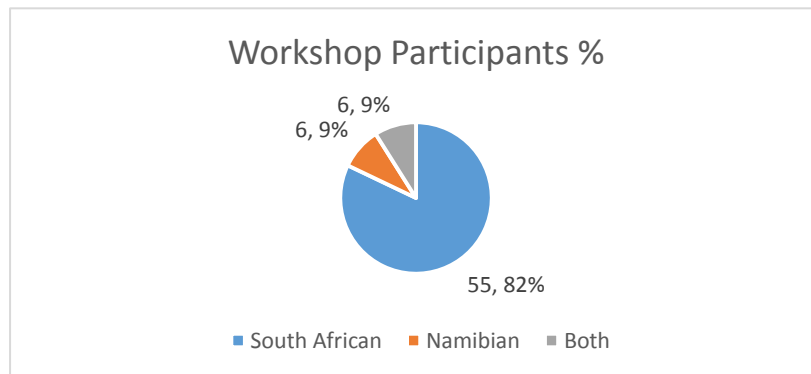


Figure 4-3 Integrated Conservation & Development Workshop Participant % (Author2016)

Communities were well represented as workshop participants (see figure 4.4). In commenting on this, Odendaal stated the communities had structures such as the CPA, which represented them at these workshops and meetings. In addition, at another level, the communities were represented through local government ward councils also present at such information sessions. Later, communities were represented through the Conservancy Steering Committee/ Richtersveld Community Conservancy/Heritage Site Reference Group, Richtersveld Community Conservancy Steering Committee (RCC SC) (later the Richtersveld Cultural and Botanical Landscape Steering Committee) and Richtersveld 'Gemeenskaplike Bestuurskomitee' (RGBK) (Interview, Francois Odendaal, 13/08/2016).

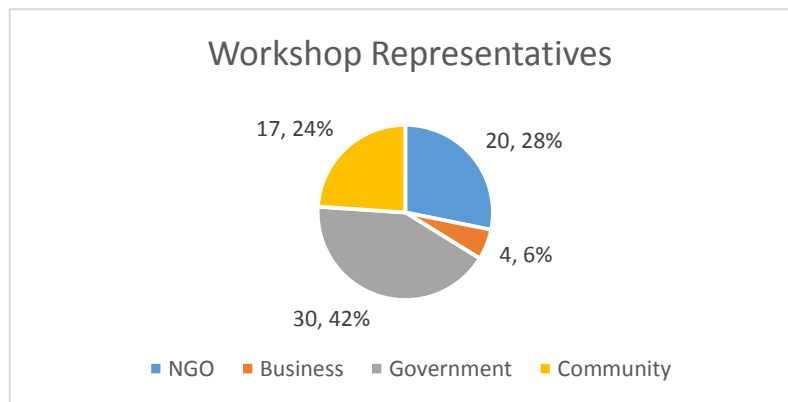


Figure 4-4: Integrated Conservation & Development Workshop Participant Representation % (Author 2016)

Subsequently, within this workshop, the plenary session divided participants into working groups according to: local government and community representatives; national government; donor and non-donor government organizations; and provincial government. The four main questions working groups had to discuss and answer were:

- *How do you envisage the Transfrontier Conservation Area (TFCA)/ Transfrontier Park (TFP) and what do you expect the outcomes to be?*
- *What would be the constraints for your institution, programmes or community?*
- *What contribution can your institution, programme or community make to advance the process?*
- *What are the potential synergies of existing and new frameworks?*

With the key question of *“how do they want to see the process moving forward?”* (EAEC 2001:57) community representatives asserted the continuous involvement of the communities in all phases of the process. Expected outcomes related to transparency and clear objectives of the process, including

information sharing. It was agreed that lack of information is a serious obstacle, in addition to concerns of mistrust of outsiders trying to control resources. Community representatives asserted their valuable contributions in terms of local skills and human resource potential, with the added advantage of knowing how to operate and get things done in their respective regions. Communities wanted more efforts to be placed into the MoU in terms of equity and empowerment (EAEC 2001).

For EAEC, the objectives and goals set for the consultation process were met way before the signing of the MoU (Interview, Francois Odendaal, 13/08/2016). Odendaal highlights that there were many workshops, interactions and meetings prior to signing, despite there being an early incident of lack of consultation. This is evident in a fax from Mr D Singh (*Mayor of Richtersveld*) to Minister Valli Moosa dated 18/07/2001 which essentially stated that there were no follow-up workshop to discuss the ongoing processes of the TFCA and signing of MoU. In commenting on this, Odendaal reiterated that it was not EAEC drafting the MoU document, but was the responsibility of the PPF.

4.4.3. The Richtersveld Unfolding the Big Picture Workshop (2-3 May 2002)

Considered a follow-up, this workshop was held on request of the Richtersveld Sida! Hub CPA for the purpose of clarifying conservation and development initiatives as part of the ongoing IDP process in the region. The objectives of this workshop were to promote information sharing, develop synergies, and establish collaborative planning frameworks.

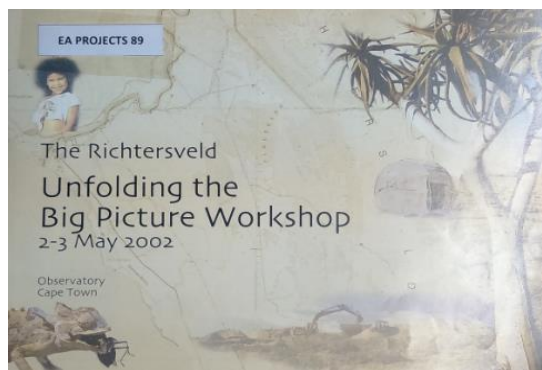


Figure 4-5: Printed Unfolding the Big Picture Workshop Report (Author 2016)

a. Structure of workshop

Representatives for each of the main role players actively involved within the Richtersveld and the proposed ARTFCA were invited to present their organization's planning framework. In relation to community participation and the establishment of the proposed ARTFCA, Peet van der Walt (*TFP coordinator*) and Willem van Riet (Jnr) (*PPF representative*) discussed the promotion of Transfrontier regionalism. In discussing public participation, he included major steps of greater involvement of media to inform the public, the operation of the ARTFCA website, and community consultation- though what is meant by this was not documented. During this presentation, van der Walt informed participants that both the Namibian and South African affected communities were being requested to suggest a name for the proposed TFCA (EAEC 2002b), which was also to be discussed during a "Road Show" in the Richtersveld in May/June 2002. On the second day,

participants worked systematically through the issues that were flagged as requiring attention the previous day (EAEC 2002b) to agree on action plans, identify tasks and potential synergies, and individuals or organizations were allocated responsibility for each component to facilitate a response or prevent duplication. One ‘flagged issue’ involved the requirement of improved public participation. A consensus was formed that public awareness should continue to be raised through the Richtersveld Nuus, as well as tools such as Distance Learning and Information Sharing Tool (DLIST).

a. Workshop participants

In analysing workshop participants, it seems that representation of the communities was second to that of NGOs, and illustrates the momentum of their involvement as main stakeholders in the process (see figure 4.5 below).

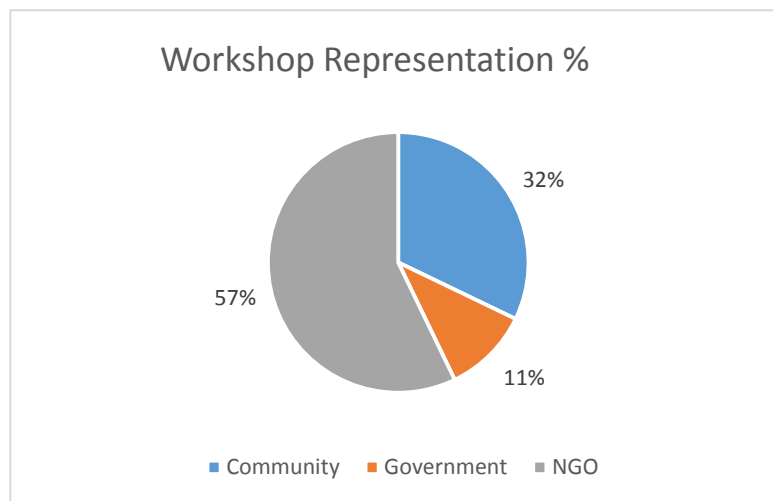


Figure 4-6: Unfolding the Big Picture Workshop Representation % (Author 2016)

In 2002, Mr. Cloete saw several potential benefits flowing from a TFCA, including job creation and other economic opportunities, such as the sales of curios, the opportunity to move across the border, and the improvement of knowledge and communication between the people of the Richtersveld and of Namibia (Myburgh 2003). During this time, the main concern Mr. Cloete had was the dissemination of information to the community, including the fact that members of committees did not work well with the community or amongst themselves (Myburgh 2003). Contrary to Mr. Cloete’s observation, a survey undertaken by Sharmain Cloete- a local marketing student and community liaison officer proved different. She investigated the communities’ sentiments towards the TFCA which addressed the following issues

- *How people felt about the TFCP.*
- *What expectations there were from the project.*
- *What people knew about the TFCP.*
- *What contributions people could make towards the TFCP.*
- *What questions there were about the TFCP.*

Per Myburgh's (2003) interpretation of the results, the greater percentage of locals was "gelukkig" (happy) about the TFCP. Furthermore, the locals viewed the establishment as a way to advance co-operation between people, development, conservation and tourism (Myburgh 2003). The results illustrated the main expectation to be economic development through job creation, also an expectation of a sustainable outcome and community participation to improve their livelihoods (Myburgh 2003). For Myburgh, locals seemed 'rather well informed about the project', however had questions about the impact the TFCA would have on employment and participation, along with management queries and practical transborder issues. Nevertheless, she observed after the "Road Show" which took place on 24-26 May 2002, transfrontier matters generated spirited discussions and positive attitudes towards the ARTFCA all round (Myburgh 2003).

4.4.4. The Richtersveld Conservancy: CBRNM (2003)

EAEC had an exclusive contract with Conservation International (CI) to perform certain consultative services for CI's TFCA Unit. CI's community engagement strategy is driven by the objective of linking the creation of sustainable economic benefit at local community level with the conservation of biodiversity. Their TFCA unit undertook community work on both sides of the international borders represented in the ARTFCA.



Figure 4-7: The RCC (Author 2016)

The projects EAEC was called in to oversee and facilitate (only on the South Africa side) are listed below, according to their agreement with CI:

- a. The development of community-public-private partnerships in the tourism sector;
- b. Support for the creation of other business/job opportunities related to conservation;

- c. assistance for the planning and implementation of a community game reserve extension to the Ai-Ais/ Richtersveld (TFCP) with ongoing assistance to communities to ensure that they were fully informed and participating in the process of TFCA creation;
- d. Support for training of local people in the field of environmental education, tourism, financial management and marketing;
- e. Development and implementation of specific projects to build community camping grounds, cultural tourism displays etc.;
- f. Support for the inclusion of indigenous knowledge in the management of natural resources;
- g. Support for the training and development of community game guards to protect the community's natural resources;
- h. Building support for the TFCA process at the community level; and
- i. The recruitment and training of local students to assist in the implementation of this programme.

With this, the consultancy was also contracted by the Municipality to assist in drawing up a GEF Medium-Sized Project (MSP) proposal for funding with the Richtersveld Community Biodiversity Conservation Project (RCBCP). EAEC assisted the Steering Committee's projects team to workshop an Operation Plan (later known as the Management Plan) for the conservancy in 2004.

a. The Richtersveld Community Biodiversity and Conservation Project

Through the nationally legislated IDP process, the communities of the Richtersveld adopted a proposal to create a community conservancy south of and adjacent to the RNP (EAEC 2002a). It arose from the growing awareness that biodiversity was one of the region's greatest assets, which also sat well within the wider framework of the TFCA process (EAEC 2002a).

The funding proposal for the conservancy included conserving biodiversity and enhancing socio-economic development. These objectives could be achieved by reducing stock numbers, managing visitor access, introducing a gate fee, introducing eco-tourism facilities, undertaking some rehabilitation, possibly reintroducing game in the medium term, introducing a community anti-poaching team and a conservancy manager and undertaking some environmental monitoring (EAEC 2002a). However, the overall goal of the project was to conserve the region's significant biodiversity through CBNRM. The project focused on the authentic landowners of the Richtersveld who, through title to the land, were likely to be the best suited to directly and indirectly conserve the area (EAEC 2002a). The project was to be executed over a three-year period with five of the six activities being initiated in the first year. The

public involvement plan, stipulated in the GEF grant proposal, states the process to have been piloted by the Richtersveld Municipality, with close support from the CPA. The CPA was one key stakeholder to be consulted and to advise on project implementation, in relation to activities impacting on community-owned land. In addition, the CPA was to be the communication channel to the rest of the locals through public meetings, mailings, and articles in the local newspaper (EAEC 2002a). A strong inclusion of woman and the youth in decision-making is evident, through equal opportunities to access all project activities. In relation to this was the information dissemination and consultation plan listed below (EAEC 2002a; GEF 2016):

- a. A public launch of the project.
- b. Either a local newspaper which has been decided upon by the role players as the desired mechanism for disseminating information or through a project newsletter.
- c. Regular 3- 6 monthly progress reports to the Municipality.
- d. The proposed Technical Working Groups¹² will assume a key role in assisting to support communication and disseminate information.
- e. The Councillors and the CPA will also be responsible for reporting project progress to constituencies and stakeholders.

a. The Richtersveld Community Conservancy: Participation

Initially known as the “Rooiberg” Conservancy, the Richtersveld Conservancy evolved over time (Interview, Volenti van de Westhuizen, 03/09/2016). Govender van Wyk (2007) analysed the successes and challenges of this tourism initiative.

Govender van Wyk’s (2007) study in November 2004 interviewed 42 people who were beneficiaries of the conservancy at the time, and were either directly or indirectly involved with the development. The questionnaire was used to gain knowledge of community tourism through the establishment of a conservancy, to identify strengths, weaknesses, opportunities and threats, and to determine whether this model can create sustainable livelihoods through tourism (Govender van Wyk 2007). Upon observation, female members seemed to play a much more active role in the venture than male members. Inclusion of the youth of the area (mainly Eksteenfontein) is because the management plan (2004) states that the youth is aware of the conservancy but do not know how to make use of it and that training and knowledge around the conservancy should filter to them (Govender van Wyk 2007). Per Govender van Wyk’s research, participants of the conservancy were chosen based on their residency in

¹² Each project objective is to have a Technical Working Group that will be constituted to support the execution of the activity. The leaders of this group were to form the Project Coordination Committee that would steer the project on a 6-monthly basis.

the Richtersveld, and their age (must be 18 years and older), with residents participating on various levels including management, cartography (mapping of the area), tour guides and cultural guides. Those not participating in the conservancy projects voiced the following reasons for this (Govender van Wyk 2007):

- a. Little or no information on what is going on with the conservancy and what the plans are;
- b. The conservancy is not fully developed therefore not everybody can be involved at this stage;
- c. Full-time employed elsewhere;
- d. Community members are not always in Eksteenfontein;
- e. Only some members of the community are involved in the initiative; and
- f. There is not enough interest in that type of development even though there are community notices to attend meetings.

Skills development had been in place at the time of the study (Govender van Wyk 2007). During this time, only 8 of the 13 members involved in the conservancy projects had been trained in conservancy management (2), nature conservation (2), and project management (1) and as tour guides (3). However, the management stated that the other members of the community not directly involved in the conservancy had also been trained (Govender van Wyk 2007:195). In total, community members have received training in the following areas given in the table below:

Table 4-1: Skills development within the RCC (Govender van Wyk 2007)

TYPE OF TRAINING	NUMBER
Tour guides	21
Train the trainers (Environmental Impact Assessments)	5
Cartography	2
Conservancy management	2
Cultural guide	2
Nature conservation	2
Tourism management	2
Mariculture	1
Bookkeeping	1
Environmental engineer	1
Project management	1
Sustainable development in protected areas	1
TOTAL	41

This research also indicates that while training was given, some people acquired skills yet remained jobless. The study found that 50% of respondents felt that there was a certain amount of nepotism regarding the selection of certain individuals for training courses (Govender van Wyk 2007). In questioning locals on the responses to participation, and how well they had been informed of the plans for the conservancy, about 20% indicated that there had been two or three community meetings in Eksteenfontein that were poorly attended and therefore people were not fully aware of all the plans, in addition, the same 20% mentioned the following issues that had been raised during community meetings (Govender van Wyk 2007):

- a. Job opportunities for more members of the communities;
- b. Obtaining more local buy-in as only a few members attend meetings;
- c. More feedback from the management committee;
- d. Advantages for the livestock farmers and fear that they will have to move out once the conservancy is proclaimed;
- e. Community wants to know where the money is coming from and how it is spent;
- f. Management and control of the conservancy;
- g. People do not understand what is going on in meetings because the language used is too difficult for them to comprehend and simpler language should be used to get message across;
- h. Drought issues and how this will affect the conservancy;
- i. Consultants are interfering too much in community affairs;
- j. How to accelerate development in relation to tourism in the conservancy;
- k. Access to funding to finance tertiary education of some youth members; and
- l. Capacity building should be seen as a necessity and not a privilege.

For Govender van Wyk, these issues bear significance to the fact that only some members of the community were consulted during the planning phase of the conservancy development, stressing the importance of participation (Govender van Wyk 2007). However, despite this, respondents generally showed satisfaction with the management committee, but stated the committee could do more to keep people informed (Govender van Wyk 2007).

a. Final Management Plan

The Operational Plan for the Conservancy was drawn up by a special Task Team within the Reference Group over a period of two years (and assisted and supported by EAEC). The Plan was approved and was taken to the various communities for greater awareness and wider endorsement in August and

September 2003. The Reference Group includes representatives of the community and the following organizations:

Table 4-2: Table illustrating representatives of the IDP implementing committees (Adopted from EAEC 2004)

Representatives of the IDP Implementing Committee	
Boerevereniging	Department of Environmental Affairs
Meentkomitee	Northern Cape Nature Conservation
Transformation Committee	Northern Cape Agriculture & Development
Richtersveld Small Miners	Namaqualand District Council
Richtersveld National Park	Transitional Council
Heritage Program (NORAD)	Conservation International
GTZ Transform	EAEC (supporting organization)
Richtersveld Municipality	Richtersveld Youth
Communities	
Kuboes	Lekkersing
Sanddrift	Eksteenfontein

After the Reference Group accepted the concept management plan in August 22-31, 2002, with the opening of the entrance gate to the conservancy, it was the responsibility of the Task Team to take the concept management plan to the communities (Richtersveld Nuus). Over two hundred community members from the various communities attended the meetings with an overall acceptance of the concept management plan.

4.5. Evaluating the Process

Participants understand ‘participation’ to involve all necessary stakeholders from the onset, to involve and consult those involved, and promote active roles in decision-making. Most respondents for this study participated because the TFCA and conservancy provided opportunities for socio-economic upliftment in their respective communities, apart from being residents thereof with a strong attachment to their land. For others, their love for nature conservation, and a strong assertion for their heritage and culture promoted their participation.

For Mr. Abraham De Wet (*resident of Kuboes*) the TFCA presented an opportunity where he could see himself, and his people, grow as a community (Interview, Abraham De Wet, 03/09/2016). Volenti Van der Westhuizen (*resident of Eksteenfontein*), part of her community’s youth group at the time,

remembers the feeling of urgency of conserving after witnessing the destruction of the Petroglyphs (rock engraving) at Boesmansbrief in the region (Interview, Volenti Van der Westhuizen, 03/09/2016). Sarita or Saya Cloete (*resident of Eksteenfontein*), a youth leader at the time expressed the same sentiment. The youth wanted to preserve their area, and expressed a feeling of responsibility to do something about it for their communities. For Wilma Cloete (*resident of Eksteenfontein*), the socio-economic potentials of the TFCA/P



Figure 4-4: Petroglyphs rock-art (Explore the Richtersveld 2016)

process stirred her involvement, with the opening of the border post allowing more tourists and local people reach the park (Interview, Wilma Cloete, 05/09/2016). For Aletta Links (*resident of Kuboes*), her participation stemmed from her residency within Kuboes and concerns of land ownership (Interview, Aletta Links, 06/09/2016). For Joan November (*resident of Eksteenfontein*), locals were stimulated by their hunger for 'positive change' in the area (Interview, Joan November, 14/07/2016), with the downscaling of the mines, local recognized the need for alternative opportunities. Thus, their (the locals') acknowledgement of their assets, and ownership thereof played a crucial role in promoting their involvement in the process.

4.5.1. The Process

For Mr. Strauss (from Eksteenfontein, and Chair of the CPA 2001-2002), the older generation had some reservations due to their previous experiences of land dispossession. However, this *“played a more positive role in uniting and making the community stronger- to speak with one voice”* asserted Mr. Strauss (Interview, Floors Strauss, 02/09/2016). Respondents deemed the process, nevertheless, clear and transparent. Mr. Strauss stated EAEC had *“done a very good job”* because *“they involved as much people as possible”* with the assertion of a *“transparent and honest process”*, where EAEC informed people of the *“benefits and the negatives of the Park”* (Interview, Floors Strauss, 02/09/2016). Mr. De Wet claims, it was an *“easy to understand”* process as he was there *“from the start to the end when the conservancy was renowned a World Heritage Site”* (Interview, Abraham De Wet, 03/09/2016). He states he *“walked with EAEC all the way”* (Interview, Abraham De Wet, 03/09/2016).

Respondents felt the process to be all inclusive, with equal involvement and representation of the communities. The only concern, or unequal weighting, according to Mr. Strauss was the number of meetings held in Sanddrift. Probably the most unpleasant environment due to mine-dumps, concerns were raised about its attractiveness, and unfortunately the locals did not benefit as much as those in Eksteenfontein. With this, Ms. van der Westhuizen added that the conservancy team also rotated throughout the communities, to involve and provide everyone an opportunity to participate in the conservancy (Interview, Volenti van der Westhuizen, 03/09/2016). Groups from the four communities rotated every two weeks, so that more people could be involved in the conservancy process.



Figure 4-5: Mines & mine-dumps around Sanddrift (Author 2016)

Regular meetings were held, and Mr. Strauss claims “*more than enough*” (Interview, Floors Strauss, 02/09/2016) were held to help everyone and all understand the process and what was happening. He commends the process for being all-inclusive and participatory. For him, the process was a success because it was initiated from “*the bottom-up, and EAEC just facilitated the process for further enhancement*” (Interview, Floors Strauss, 02/09/2016). EAEC was part of the “*thinking process of what can we do*” to manage the area better if and when tourists were to flock in (Interview, Floors Strauss, 02/09/2016). Visits to other conservancies in Namibia and in other communities planned by EAEC engaged the communities through allowing the Richtersveld to conduct investigations into the running and management of such initiatives, and to investigate the benefits and non-benefits (Interview, Floors Strauss, 02/09/2016). Study trips such as these were undertaken by various peoples of the communities, from the elderly to the youth. Ms. van der Westhuizen



Figure 4-6: Extract of community meeting dates (Richtersveld Nuus 2002)

asserted that the study trips provided an educational resource for the communities. At the time, there were really no laws about conservancies in South Africa, however it was observed that they were indeed more evolved than Namibian conservancies, as they (the Richtersvelders) had actual plans for their conservancy, nevertheless provided valuable information (Interview, Volenti van der Westhuizen, 03/09/2016). For

Mr. De Wet, EAEC engaged the community through international tours. He speaks of an exchange meeting relating to conservation- of an exchange meeting with Turkey (Interview, Abraham De Wet, 03/09/2016). He regarded the information and meeting sessions as “sufficient and over enough for the process” (Interview, Abraham De Wet, 03/09/2016). “They (EAEC) would inform every town, as to inform them of dates and what their intentions were for the visit” to prepare the communities (Interview, Abraham De Wet, 03/09/2016). He commends EAEC as “doing research with the people” (Interview, Abraham De Wet, 03/09/2016).

Ms. van der Westhuizen speaks of the quarterly *Richtersveld Nuus*, (piloted by EAEC) by which means communities were informed of and about the happenings of the process. Various community members were included in writing articles for the paper, however, due to prohibitive costs, the newspaper was discontinued (Interview, Volenti van der Westhuizen, 03/09/2016). For Aletta Links, all efforts to engage the communities were done in an excellent and educational manner, as she was very impressed with how EAEC ran the process (Interview, Aletta Links, 06/09/2016). In evaluating the process of facilitation, Joan November (*resident of Eksteenfontein*) commends EAEC’s practices as being “very participatory from beginning to end” (Interview, Joan November, 14/07/2016), and inclusive of all members of the communities from the youth to the elderly. She points to EAEC’s capacity building strategy of youth trips to the conservancy, where they were educated about why the area should be conserved. Older members were informed



Figure 4-7: Richtersveld Nuus article clips (Author 2016)

of the benefits and opportunities the conservancy could open for their livelihoods and future. She expresses the importance of meetings in bringing people together.

The process of the TFCA and CBNRM were all communicated to the communities via meetings. These meetings were communicated through notices placed at strategic locations within the communities (i.e. shops, churches, clinics, places of foot traffic), along with announcements made at church services or by community representatives. Representatives were chosen by the communities themselves, however, it was acknowledged that feedback from representatives to communities did not always occur despite

their engagement efforts (Interview, Joan November, 14/07/2016). Despite the inefficiencies of representatives, there was an observation of locals losing interest within meetings (Ms. van der Westhuizen as well) - locals got lazy, however, both believed interest was nevertheless in big numbers (Interview, Joan November, 14/07/2016), and outweighed those disinterested in the process (Interview, Volenti van der Westhuizen, 03/09/2016).

Locals had the perception (stemming from the Apartheid era) when hearing about a conservancy, that they had to move out, according to Mr. Strauss. However, they soon learnt that the conservancy was more of a benefit to them as upgrades in infrastructure, such as watering holes, assisted their livelihood, said Mr. Strauss (Interview, Floors Strauss, 02/09/2016). These concerns normally came from the stock farmers, who thought they would be kicked out (Interview, Floors Strauss, 02/09/2016). These concerns were crucial for *“uniting and making the community stronger to speak with one voice”* (Interview, Floors Strauss, 02/09/2016). Mr. de Wet was worried that the process was just going to be *“a talk show”* (Interview, Abraham de Wet, 03/09/2016) and that nothing would materialize.

Concerns expressed by the Kuboes community related to legal restrictions and job opportunities (Interview, Abraham De Wet, 03/09/2016). Ms. van der Westhuizen worried about the *“quick transformation”* which locals had to endure, specifically for herself and others who took the opportunities to get involved (Interview, Volenti van der Westhuizen, 03/09/2016). She states that locals did not understand the concept of a conservancy. When people heard the word ‘*conservancy*’, like Mr. Strauss, their perception would be that it is *“just a white man’s thing”* (Interview, Volenti van der Westhuizen, 03/09/2016), that tourism was a threat to them and their livelihoods, especially to the stock farmers. On the other hand, for Mrs. Cloete her concern was in involving all the communities, some would not have the patience to undertake a conservancy process (Interview, Sarita Cloete, 03/09/2016). Another concern and disappointment expressed by both Ms. van der Westhuizen and Mrs. Cloete was that with the youth being heavily involved and spear-heading the conservancy process where they (the youth) *“thought of everything”* (Interview, Sarita Cloete, 03/09/2016) was that they were one-sided towards the end when matters were taken over by the Management Committee

(Interview, Volenti van der Westhuizen and Sarita Cloete, 03/09/2016). At the time, the youth lacked the capacity and skills, and possibly self-confidence to undertake such an initiative.

Mrs. Cloete states with the elders taking over, the *“passion faded”* about conservation and preservation, that it was the *“young ones who had the passion to conserve their nature, the passion to develop it in the*

best way that would benefit them, and the communities” around them (Interview, Sarita Cloete, 03/09/2016). It was the youth that started the conservancy idea as a *“big picture with the RNP and over the border”*, because they had responsibilities and needed to find work (Interview, Sarita Cloete, 03/09/2016). For her, personal concerns related to rules and regulations to manage the conservancy. In addition, she felt concerns over consultancy within the process, as the community did not know how and what to do, there was fear that a consultancy (not specifically EAEC) would take over the project (Interview, Sarita Cloete, 03/09/2016). She also spoke of cultural differences between the four communities, that *“unfortunately they can’t accept each other”*, especially the *“tension between the Nama and Basters”*- of a long-unspoken history of differences (Interview, Sarita Cloete, 03/09/2016).

Ms. November Cassidy, L., 2001. Improving Women's participation in CBNRM in Botswana (No. 5). IUCN Botswana, states that because the Richtersveld residents are primarily involved with mining and stock-farming as the main sources of income, they were reluctant about the conservancy as they did not know the impact it would have on their financial stability and livelihoods. In softening these insecurities, residents were assured that having this conservation area was not going to affect their livelihood. Ms. November states, that the area demarcated for the conservancy, according to research, illustrated no viable mineral deposits to mine, whilst also, that stock-farming was not going to affect any conservation goals (Interview, Joan November, 14/07/2016). With a long history of stock-farming or the trans-human lifestyle of the Nama people, it was understood that stock-farming was part of the culture in the region, and that over the years, this way of life was observed not to influence the biodiversity of the region.

Mr. Strauss commends EAEC for always producing information within the Richtersveld language of Afrikaans, which made the process easy to understand and to compensate for the language barrier (Interview, Floors Strauss, 02/09/2016). In speaking of a trip to Robben Island (planned by EAEC) to investigate information on how a World Heritage Site works and what they were about, Ms. van der Westhuizen asserts its helpfulness and it being a wonderful experience (Interview, Volenti van der Westhuizen), which was resourceful and very useful to take back to the Richtersveld. Mrs. Cloete expresses how hands-on the workshops were, and said that through these workshops they were educated and trained (Interview, Sarita Cloete, 03/09/2016). The youth was trained through these workshops, *“everything from planning, training, information and research...everything was workshopped and done as a group”* (Interview, Sarita Cloete, 03/022016). Ms. November views the workshops as efficient, in that despite some technical obstructions, they did not hamper the process in a

big way. She also points out that in situations where messages were misunderstood, upon EAEC's acknowledgement thereof; they always sought to correct this (Interview, Joan November, 14/07/2016).

4.5.2. The Outcome

Mr. Strauss states that EAEC had *"a very good relationship with the community in different ways"* (Interview, Floors Strauss, 02/09/2016). Being *"very professional people"*, Mr. Strauss extended his gratitude for EAEC in that they done more than what was needed to build up the communities in the Richtersveld (Interview, Floors Strauss, 02/09/2016). Mr. de Wet believes the process to have been treated sensitively and fairly, along with EAEC's treatment of the locals with respect and dignity. For him, appreciation stems from the respect EAEC had for the region in establishing a good relationship with not only the communities, but with the municipality as well (Interview, Abraham de Wet, 03/09/2016). EAEC showed the courtesy of informing the municipality as to its intentions in the region before proceeding to a project or programme. Ms. November commends the CBRNM on the promotion of ownership it instilled within the communities (Interview, Joan November, 14/07/2016), and said thus, to take ownership, they had to become part of the project. She believes the CBRNM opened many doors for community members as it was an educational process, and encouraged locals not to be intimidated by government or outsiders (Interview, Joan November, 14/07/2016). For her, EAEC became part of the community, and encouraged locals to have a voice and reminded the residents that they are their own specialists of their own assets (Interview, Joan November, 14/07/2016). Although, unlike Ms. November, there are many who would have a different view of EAEC, specifically those with different interests or priorities and those working at the mines, who were not really interested in anything else but their survival (Interview, Joan November, 14/07/2016).

"An absolute empowering process", Mr. Strauss claims, where the benefits can be seen within the stories of various individuals who, in being part of the process, established good careers and placements within conservation areas of the region (Interview, Floors Strauss, 02/09/2016). He includes himself as empowered. He said he learnt a lot through the process and working with EAEC. Mr. de Wet too was empowered by the process, and after the conservancy was named a World Heritage Site he came highly recommended (by EAEC) for an opportunity to work within the Richtersveld Municipality (where he is currently the Local Economic Development officer), and he also stated that the youth had been empowered as they were responsible for door-to-door awareness campaigns (among other things) (Interview, Abraham de Wet, 03/09/2016). Ms. van der Westhuizen declares her empowerment process came through defeating the language barrier. She states, Odendaal would encourage her to draw up

presentations, and even so, present them, including writing articles and reports. Through this, she learnt many things, even stating at one point she was an “*assistant camera girl*” (Interview, Volenti van der Westhuizen, 03/09/2016). She was also “*thrown in the deep-end*” in assisting with logistics and administration tasks (Interview, Volenti van der Westhuizen, 03/09/2016). Concerning her articles for the *Richtersveld Nuus*, she states the “*consultants taught them how to do what they now know*” and were educated and trained via them (Interview, Volenti van der Westhuizen, 03/09/2016). “*What I am today...what I have learnt...what I have gained... came out of those workshops*” stated Mrs. Cloete (Interview, Sarita Cloete, 03/09/2016). The potential of the youth was stroked and promoted, through the teaching of the English language and various other responsibilities afforded the youth.

5. CHAPTER 5: ANALYSIS

EAEC's facilitation process started with an intensive six-month MoU consultation process, and a subsequent Integrated Conservation & Development Workshop. The Conservancy process formed part of the wider TFCA process; hence its process occurred simultaneously. Another key workshop took place prior to the signing of the International Treaty. Hereafter, the implementation of the CBNRM project initiated within the Conservancy was launched. The community facilitation process focused exclusively on the four communities involved in the TFCA, therefore this section only analyses the engagement of these communities as one stakeholder in the process of establishment. Facilitation of development projects is crucial to the kind of outcomes which are desired. EAEC had to ensure the establishment of the ARTFCA, with and through the communities' approval. With no official community participation strategy, EAEC's goals and objectives evolved each year.

5.1. The Setting

As we noted above a TFCA comprises relatively large areas that straddle boundaries between two or more countries, and cover large-scale natural systems encompassing one or more protected areas. In the ARTFCA the Ai-Ais Hot Springs in Namibia and the RNP in South Africa are joined together into a common conservation area under the assumption that it will create numerous biological, economic and social benefits. A political narrative associated with the ARTFCA is that this conservation area transcends the 'colonial' border' (i.e. the Gariiep), thereby bridging together historically divided Nama people. It is believed that this process augurs well for strengthening the relationship between Namibia and South Africa, and creating economic opportunities within and across countries through nature-based tourism. Specifically, on the South African the establishment of a conservancy fits in well with the notion of locals preserving their own lands and biodiversity, and works as a form of sustainable nature-based tourism. In this 'formal' sense, the establishment of the ARTFCA was possible, and, even more so, acceptable. As a result of the bottom-up approach to participation in the establishment of a TFCA and in the subsequent conservancy there was little community resistance to ARTFCA, though the project remained under community scrutiny. . The Richtersveld was riddled with unemployment, pervasive poverty, and low levels of formal education. The wider conservation process captured concerns with these socio-economic problems by selling the idea that the ARTFCA would bring economic development and social upliftment needed by the communities. There has already been a want and need for 'positive change' within the communities themselves, including an already established urge to preserve their lands.

Ownership of their unique biodiversity and the potential it could offer to communities was well-known and well established, yet they knew they lacked the capacity and skills to undertake such a huge conservation initiative. With this, participation was well received in the hope that local knowledge could be used and new skills could be learnt.

5.2. Meeting of bottom-up and top-down

It is often NGOs that promote participation and empowerment processes, and assume active roles in leading these processes. Usually NGOs place themselves at the juncture of two different mediums of power, between government and local communities. Thus, the NGOs' role can be conceptualised as one of mediating between these two mediums of power. Faced with this, EAEC employed a bottom-up approach to facilitation, despite pressures from the top. Meeting deadlines placed by the formal stakeholders (i.e. PPF and government) begged the question of whether a six-month consultation prior to the MoU was in fact a plausible game plan. For such a huge initiative, despite continuous community involvement throughout, would six months been enough for the communities to understand and comprehend what they were getting themselves into?

There is evidence of the restructuring of MoU signing dates being pushed to a later date. The reasons for this cannot be proven, and the causes of the delay are unclear. Nevertheless, Odendaal, who facilitated local participation in the ARTFAC claim that he employed a three-step bottom-up approach: (a) listen to the communities; (b) to explore and learn with the communities; and (c) assist and guide the communities to formulate their own ideas and plans. With this, it is said that the Richtersvelders were involved and informed from the onset. Yet, it cannot be ignored that the communities themselves sought positive change, which would inevitably attract them to such a 'beneficial' venture. As a result of this facilitation was never going to be difficult. Complete and utter rejection of the TFCA was never going to be a factor with the desperation of survival hanging over the region. Simultaneously, the relationships and friendships EAEC had with people in the region may have urged the consultancy to structure and implement participation the way they did.

5.3. Effective participation?

EAEC's methods of engagement reside within Arnstein's highest rung of citizen power which includes self-mobilization of the locals themselves. In undergoing the process, the locals were involved with various groups to oversee and participate in the development of the TFCA. The community therefore had a hand in various initiatives, plans and management tasks related to the ARTFCA. This was part of the EAECA's strategy to empower and to capacitate community members.. Informed by the notion of

ownership, EAEC encouraged the community to take ownership of their lands and their unique biodiversity, and to use it to better their situation. This strategy enforced an emotional responsibility amongst those involved in the process. With the various and numerous meetings, EAEC provided a two-way information exchange for the community: to stay informed, and a platform to reach and build consensus among themselves. In the process of facilitating, supporting and providing guidance to the community EAEC's own facilitation techniques were enhanced. The consultancy handed over certain responsibilities to the community members, sharing updates, clear objectives and progress made. Representation of the communities came in all forms from the CPA to the local ward council. With the representation structure within the community, issues regarding information dissemination from community representatives to their respective communities were observed. However, in examination of this, it would seem that as EAEC handed over responsibilities to these representatives, it could easily be assumed that EAEC was not responsible for the incorrect or inefficient flow of information thereafter. It was in fact the responsibility of the community representative to relay comprehensible and correct information to the community regarding the process. Table 5.1 below presents the outcomes of influences to effective participation:

Table 5-1 Factors influencing effective participation within the establishment of the ARTFCA & subsequent RCC (Author 2016)

<p>Authoritarian role of development officials</p>	<p>EAEC did not take an authoritarian role, instead worked together with the communities to build capacity and empower them through various avenues. However, through Govender van Wyk's (2007) study, evidence of 'consultants' interfering in community affairs is apparent. It is unknown whether this is specifically related to EAEC yet with the consultancy's intimate relationship with the Richtersvelders, interference could be a possibility. What this interference relates to is also unknown.</p>
<p>Engage exclusively with certain groups</p>	<p>EAEC involved as many members of the community as they could. Members were involved on a voluntary basis; those who did not participate unfortunately would have a different perspective. In addition, Govender van Wyk's (2007) study suggests underlying sentiments of nepotism regarding the conservancy process which cannot be negated within a socially dynamic setting of heterogeneity. This is also plausible as evident within the findings that the plan to erect a conservancy stemmed from the Eksteenfontein community prior to the proposed TFCP or conservancy, hence it would be obvious to assume their leadership role therein, with their community bordering the conservancy.</p>

Scale of project	The broader TFCA process was a huge initiative, however in the face of facilitation, the scale was that of involving the four communities whose population was minimal. With the project only taking approximately 3 years, it can be argued that it was not in a huge project.
Location of project in relation to affected communities	The TFCA resides next to two of the communities of Kuboes and Sanddrift, whilst the subsequent Conservancy resides closer to Eksteenfontein and Lekkersing. It would seem that not all four of the communities would benefit to the same extent. It could reasonably assume that hat Kuboes and Sanddrift would benefit from the border post (TFCA), whilst Lekkersing and Eksteenfontein would benefit from the Conservancy.
Number of stakeholders	Community populations were small. With this, if 50-100 members attended meetings, it was considered enough.
Agendas of stakeholders	Various community members participated for various reasons ranging from preservation and conservation, to socio-economic opportunities.
Resources	The lack of educations and skills, along with modern forms of communication, played an influencing role in communicating information to the various communities. Even then, the cost of running the Richtersveld Nuus became too expensive, hence obstructed information relay to the communities.
Level of training/skill, understanding and commitment of facilitation	The lack of capacity evident within the region played a role, however, the knowledge and understanding of participation within projects had already been established within the communities. It was not EAEC's first undertaking of such a project in the region, and it was not the first time the communities were involved in a project affecting their lands.
Presence of community development or social workers in the community	Simultaneously, many development programmes ran with and alongside EAEC's process of facilitation, such as GTZ transform, SKEP, etc.
Socio-economic status of affected communities	The communities were desperate for alternative forms of economic opportunities, especially with the decommissioning of the mines. Prior investigations into alternative livelihood options had been underway.

Level of organization within the community	The community had already been fairly organized with the establishment of the CPA and NNTTG, illustrating an organized front.
Degree of homogeneity	The Richtersveld comprises two main cultures: those of the Nama and the Basters. Evidence of underlying tensions exists between these two cultures.
Role of woman	Women seem to have taken more leadership roles within the Conservancy.
History of previous conflict or lack of consultation	There has been a history of conflict regarding land ownership, with lack of consultation regarding the establishment of the contractual RNP.
History of previous community participation processes	Previous community participation processes were also undertaken by EAEC.
Enthusiasm, or lack thereof for the proposed project	In the beginning, the TFCA concept was unknown to many, along with conservation which was associated with white supremacy. Yet, despite this, most the communities welcomed the process.
Communication tools	One such tool for the communities specifically was the Richtersveld Nuus as information dissemination, along with community meetings.

5.4. Methods of engagement

A combination of engagement strategies was employed by EAEC, ranging from formal to informal. Approaches included information dissemination and consultation to empowerment and collaboration. It is evident that EAEC acted as a source of information but also disseminating information through various channels, whilst providing consultation for various plans (i.e. GEF grant proposal and the conservancy management plan). It also provided skills development and training for participants involved.

These engagement strategies were chosen based on including all stakeholders, providing transparency and stimulating awareness in the process. Workshops were used to provide a platform for the various stakeholders to familiarize themselves with each other, to discuss core questions and concerns, in addition to providing the opportunity to reach consensus over synergies and progress. Much like

meetings, which have the added benefit of transparency, it ensured communities were kept well-informed of progress and setbacks relating to the process. Regular meetings for planning workshops and discussions on what information should be disseminated (in a way community members would understand) illustrate the accommodating nature of the process. The use of study trips engaged locals in that they could gain first-hand knowledge and could witness the process they were embarking on. They themselves could evaluate the benefits and non-benefits of a conservancy, and how nature-based tourism would provide the promised economic opportunities. This specific strategy proved fitting, because locals could witness what theory was told to them, and could develop their own understanding of the process. The production of the *Richtersveld Nuus* proved vital in disseminating information to the communities. That is was produced in Afrikaans illustrates the accommodative nature of the process. Written by various stakeholders and community members themselves, it added to capacity and skills development. Tabulated below (table 5.2) are the various strategies and methods used by EAEC throughout the process, along with their individual outcomes.

Table 5-2 EAECs methods of engagement within the process of participation (Author 2016)

	Approach	Outcome
Information	Richtersveld Nuus	The newspaper covered and informed the communities of the happenings of the TFCP process and subsequent conservancy. Articles were written by various stakeholders, including community members themselves, covering a variety of topics, creating transparency.
	Field trips and Study trips	These trips were met with enthusiasm. They allowed the locals to witness conservation in action; they were also educated and informed of expectations and constraints. Regarded as capacity building and educational, the trips were site visits for the locals to get a feeling of what the process is all about.
Consultation	Community meetings	For some, there were more than enough meetings. Others felt there were too few. Nevertheless, the overall investigation proved a relatively effective way of information dissemination, as a platform to raise issues and concerns and hold discussions concerning expectations and future events.
	Field offices or tourism information centres	Field offices or tourism information centres were established in each community for information archiving and tourism-related tasks. In addition, community members could visit these offices for more information

		regarding the TFCP process.
	Central information contact	Articles in the Richtersveld Nuus provided community members with information on contact details for those who wanted more information or had any concerns regarding the process.
Collaboration & empowerment	Workshops	Workshops were very hands-on in engaging the minds of the locals. This was very educational. Training and skills development, from planning to research, occurred in these workshops.
	Committees & Task Groups	Numerous committees and task groups were in place to assure equal and fair representation, through involvement and participation. Task groups operated in rotation, whilst additional members were added to committees to include as many participants as possible.

5.5. Evaluating EAEC’s facilitation: Process and Outcome-based

With no blue-print for evaluating participation, there are two dominant approaches: outcome-based and process-based. EAEC’s facilitation is evaluated according to both process- and outcome-based participatory components using Dyer *et al.* (2004) components of ‘successful’ participatory processes. Enhancement and momentum was only reached within the second year of the process, with numerous information campaigns and meetings filling up the monthly calendar (see Timeline of establishment annexure 12). Constant efforts were made to engage the communities through numerous formal and informal gatherings.

5.5.1. Process-based evaluation

In evaluating how participation activities took place, process-based assessing requires a review of when engagement occurred, the representations of stakeholders, means of transparency, methods employed and by whom, along with what forms of information exchange were evident. Table 5.3 below provides a tabulated review of EAEC’s participatory approach in relation to activities and engagement.

Table 5-3 Process-based evaluation of EAECs participatory approach (Author 2016)

Early engagement of communities in the process	As with the IDP process, communities were ready to be involved in their own transformation. With the proposed TFCA it was a prerequisite to get the communities on board so they could be part of their own development. Therefore, engagement with the communities had begun prior to the process of establishment the TFCA and
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	continued throughout.
Identification, analysis and systematic representation of relevant stakeholders	EAEC, with its prior engagements within the region, had full and detailed background knowledge of the socio-economic and organizational structures of the Richtersvelders. The communities were represented in a diversity of formal and non-formal structures.
Clear objectives set out and agreed by the communities at the start of the process	As with the evolution of the TFCA process, EAEC's objectives were altered to meet the latest needs and issues. However, these objectives were set out prior to meetings or workshops, including in those information and decision-making assemblies.
Continued engagement of communities throughout the process	Engagement throughout the process is evident, however, with some obstructions and concerns. It seems that within the conservancy process, engagement issues stemmed from the Management Committee who was in fact members of the various communities.
Relevant methods chosen and tailored to the context, participants and level of engagement	Methods chosen fitted the context in that EAEC took full advantage of the region's vast biodiversity through field trips for locals to explore their own lands. In addition, trips to other conservancies proved effective in showing the locals that such a concept is possible and plausible, yet does come with its positives and negatives. Community meetings overall were successful, especially regarding the small population within the four towns. Workshops were essential in capacity building and skills development was greatly appreciated by the community members involved.
Highly skilled facilitation of the process	The EAEC has experience in facilitating community participation and engagement in the Richtersvelders and elsewhere.
Integration of local scientific knowledge	The attachment the locals had to their lands was acknowledged, with the facilitator always encouraging the youth to learn about their oral history. Through this, EAEC used the cultural heritage to drive the locals and integrated this into the process of ownership.

Open and meaningful information exchange and interaction with face-to-face discussion	EAEC made attempts to engage in citizen research, to explore the potential of their assets with them. They prepared for and conducted numerous meetings with the communities to ensure that their presence and intentions were made clear.
Transparency, trust and fairness	There were some concerns over transparency, yet this seems to have faded in and out during the process. Overall, respondents deemed the process transparent and fair.
Appropriate resource availability to enable participants to fulfil roles	EAEC made use of all available resources they could, even going so far as to assist within the production of the Richtersveld Nuus to disseminate information to the remote communities.
Structured decision-making process	Decisions were usually made in 'decision-making' meetings with representatives, and these decisions were then taken to the communities for approval.
Cost-effectiveness	Transport to and from the communities may well have been the biggest constraint in terms of monetary expenditure. With most of the locals not having their own form of transport, and needing to attend meetings in the various towns (which are over an hour away) the cost of transport was great.
Unbiased and independent management of the process	Some concerns of nepotism are evident within the TFCA process, along with only a select few reaping the benefits of the process. However, as discussed, locals had to be involved and participate in the process to reap the rewards. Regarding the management of the conservancy, the local youth expressed concern as to why their role faded away in conservancy activities when their elders took over.
Equality among communities	There is evidence of an underlying tension between the dominant cultures, which some used for their own benefit. Nevertheless, EAEC was aware of the long history of differences and continued to prompt the involvement of all.

5.5.2. Outcome-based

This evaluation includes identifying outputs that signify success of a project. In hindsight, with the signing of the MoU and subsequent Treaty it could be acknowledged that the participatory process led to a successful outcome. Conditionally, this would also mean that most of EAEC's objectives were met

throughout the process. The assessment of participation in the ARTFCAs in terms of outcomes is presented in Table 5.4.

Table 5-4 Outcome-based evaluation of EAECs participation process (Author 2016)

Equity and trust	Respondents felt the process was fair and communities were equally represented.
Consensus and fairness	Respondents felt that enough attention was given in reaching consensus within the communities.
Learning and information exchange	Respondents felt that through all engagement strategies, EAEC educated, trained and supported them.
Better quality and accepted decisions	Over time, with understanding and learning, the quality of decision-making strengthened, with locals gaining enough information to voice their concerns and queries. Within this learning process, decision-making became efficient and, upon consensus, approved.
Aims and outcomes achieved	The overall TFCP objectives have been established, and in retrospect so then have EAEC's aims and outcomes been achieved through facilitating a successful community participation process which would inevitably lead to the formation of the TFCP.
Influence and impact on outcome	The influence and outcomes of the process can be seen within the present situations of the individuals involved within the process. Individuals found employment within the conservation arena, and gained the knowledge and experience through the facilitation process. Their skills and potential have been unlocked through the development of EAEC.
Empowerment and ownership	Numerous selected individuals were empowered by the process, and ownership had been a central theme to the communities all along.

EAEC employed numerous strategies and approaches to include all members of the communities, ranging from formal to informal methods, each providing aspects for capacity building and skills development. These forms of engagement provided consultations, joint development and collective decision making throughout the process. Despite EAEC being torn between two worlds of 'top-down' and 'bottom-up', their process aligned to the local peoples, resulting in the formation of a self-resilient communal initiative resting in the various committees and task groups. High levels of empowerment are evident, yet only stemming from those willing to work voluntarily, and grabbing all opportunities made

available- hence only a select few. The passion the communities had for their land made it easier to implement a bottom-up approach as it resonated with community needs and aspirations.

6. CHAPTER 6: CONCLUSIONS & RECOMMENDATIONS

Botes and Van Rensburg (2000) provide many factors which impede effective participation, notably the authoritarian roles of developmental professionals. As most development initiatives are initiated by outside professionals, these professionals often remain dominant in the decision-making process. With the power to manipulate rather than facilitate the development process, local or traditional knowledge or engagement can be neglected. Another factor impeding participation is the inhibiting and prescriptive role of the state. It appears the state is more concerned with maintaining existing power relations than with improving conditions for the poor or modifying forms of decision-making. Community participation is said to be used by governments as a means of legitimizing the political system. As a form of social control, community participation is often constrained by partisanship, funding limitations, rigidity, and the state's inability to effectively respond to the needs of the populace. Scholars have also found over-reporting of development success and selective participation (Botes & Van Rensburg 2000). In the context of the Richtersveld, the option and potential of a TFCA was initially subsumed into discussion related to municipal plans but was later embraced by the communities as their vision for the region as well. . Within a region riddled with poverty, unemployment, lack of capacity and skills, with the added pressure of the dominant mining industry under decommissioning, alternatives had to be sought. How the plan, or where the plan of a TFCA originates falls outside the scope of this dissertation. Of importance here is that a joint venture of establishing the ARTFCA and subsequent RCC took place, and the way in which such an initiative took off is vital for understanding the nature local participation.

Upon commencement of the participation process, EAEC walked into the region whose social, ecological and economic context it understood well, and to which it had developed some attachment. It was conversant with the wider Namaqualand's history of land, including the dispossession of the Richtersvelders as a people. With the decommissioning of the mines, the region was in desperate need for alternative livelihood options that would still preserve its historical and cultural heritage. The EAEC was also aware of various cultures constituting the community of Richtersveld and strong emotional need of each group to preserve and conserve its culture and land. The proposition of a TFCA was a development strategy for the region aimed at preserving and conserving its indigenous biodiversity. It sees biodiversity as providing economic opportunities in the form of eco-tourism.

The ARTFCA came as no surprise to the EAEC, because the consultancy had previously provided their support and services to the Municipality's IDP. . This means that by the time the PPF contracted the EAEC to facilitate the TFCA process, EAEC was already on the ground. . The consultancy's prior engagement in the region, including its community participation campaign within the diversification of alternative livelihoods (as contracted by Alexkor Ltd), gave them the upper hand in the TFCA process. These engagements enabled the EAEC to establish relationships with both the Municipality and the communities. A relationship of acknowledgment and trust had already been established between EAEC and the Richtersveld, which inevitably played a huge part in the TFCA process. As community participation does not start or end at specific points because of constantly evolving social dynamics, the Richtersvelders had been involved in one way or another in decision-making and planning processes, i.e. in the establishment of the RNP, in the Alexkor diversification project, and in the land claims court case. Through this, they certainly gained experience and exposure that were to enable them to participate more effectively in development projects. Despite the concept of western conservation not being understood by the communities, they had a deep love for their land and culture.

The relationship and experience EAEC had in the region played a vital role in the facilitation process and in engaging with the communities. It is logical to assume that a consultancy with the most experience within the region would be able to support a huge initiative within three years. It would also be safe to assume that the community was motivated by possibilities for deriving financial other benefits associated with the creation of the ARTFCA. Thus, the communities were eager to expand their skills and capacity by training and development projects that were facilitated by EAEC. Conditions were favourable for joining together protected areas across the Namibian and South African borderlands, and for the establishment of a community conservancy. The conservancy in turn gave the community a sense of ownership and preservation.

With any conservation initiative, there are direct and indirect capacity constraints. In the case of the Richtersveld, direct challenges related to the level of education (overcome by capacity building techniques), the language barrier (overcome by information being disseminated in the Richtersveld language of Afrikaans), remoteness of location (overcome through EAEC funding and providing transport) and lack of awareness (where in this case was an overall factor, yet plausible to assume only those directly involved would have knowledge of the happenings and constant report of the process). Indirect challenges such as clarity of objectives, responsibilities, and inappropriate approaches and techniques to facilitations had no great obstructions or insurmountable challenges. In critically

discussing the process, EAEC had its supporters, and indeed its non-supporters. It is nonetheless safe to suggest that non-supporters would come from those not involved in the process. As participation was voluntary, those wanting payment showed lack of interest and motivation to participate, along with other personal motives. Attention and encouragement from EAEC were given to those continuously involved and prominent within engagement strategies. Place-based identity played a major role in the process, with a strong affiliation to land ownership, hence ownership of and accountability for certain tasks.

Moreover, scholars critical of TFCAs argue that local communities are marginal to participation processes in TFCAs (Ramutsindela 2007; Whande & Suich 2009; Dressler *et al.* 2010; Rattle 2015). These local communities are far removed from conservation areas even before the TFCA is established. For these scholars, community participation does not occur in all the stages of TFCA formation, mainly because transboundary conservation projects have largely taken the place of CBNRM in Southern Africa (Whande & Suich 2009; Büscher 2010). Like CBNRM, TFCAs presents an image of decentralised natural resource management even as it adopts a more regional focus as opposed to the traditional state-centric approach (Rattle 2015). Southern African nation states need to adopt this approach to access funds from international donors and NGOs. This has meant that "governments have tended to support regional interests at the expense of their citizens, particularly those living inside or adjacent to areas designated for TFCAs" (Ramutsindela 2007:106).

Essentially, advocates of TFCAs choose to portray these communities as receivers of various social and economic benefits to appease the fund-providing public, when in reality the benefits are few and far between. Far from helping local communities to benefit from their land and natural resources, TFCAs have been shown to contribute significantly to the extension of the nature-human divide (Andersson *et al.* 2013). In the case of the ARTFCA, it would seem that, apart from numerous concerns over community involvement and top-down approaches in such process, the facilitation thereof can be pronounced a success. The aspect of community participation is seen throughout the process. The consequent extension of the nature-human divide through the participation process shows that neither top-down nor bottom-up approaches can overcome such a schism. The TFCA and the Conservancy has not been as successful as the process leading to its establishment. The reason for this relates to the Management Plan not being implemented, with youth respondents feeling that the change of structures (from youth to elders) obstructed its success. Apart from this, there is an overwhelming acknowledgement that the politics of money (land claims court settlement) impacted greatly, and

negatively towards the running of the TFCA and the Conservancy. This is expressed by all respondents and cannot be ascribed to the facilitation process or EAEC's lack of expertise. The downfall of the overall outcome of the TFCA and conservancy is associated with the community's in-house tensions and corruptions. Nevertheless, what can be concluded as a successful bottom-up approach to development and facilitation did not end well as a result of the failure of implementation by the communities themselves. An understanding of this requires further investigation, which questions whether CBRNM initiatives are in fact effective and sustainable in the long term. Thus, if one should assess the principles of successful CBRNMs as prescribed by the DEAT, in the case of the RCC there is little evidence of a variety of economic opportunities, little evidence of the natural resource based being maintained or managed effectively, with no real benefits present, nor policies or laws implemented and maintained, with little or no outside assistance or local support. With this, further investigation into the benefits of the ARTFCA is required, as upon discussions, it seems that the South African side of the border does not receive as much attention as the Namibian side. This begs the question of whether the ARTFCA is a mutually beneficial and sustainable initiative.

In my personal observations, the case can be made that there are no wildlife activities within the South African side of the Park, yet one can see fully operational mines- a surprise to see when in a National Park. In addition, with the roads unsafe for the ordinary car, access to and from the border post at Sendelingsdrift is not a pleasant drive. In commuting from Alexander Bay to Sendelingsdrift, which takes one past Sanddrift, the after-effects of mines are clearly visible and not a pleasing site; thus unattractive to visitors. Apart from the desperate infrastructure needed, signage along the road sides provides no information as to your current or future location; leaving one to wonder or estimate how far or near it is to the next town. Nevertheless, the SANParks' facilities at the border-post are beautiful, from the quaint little vacation houses, to the staff quarters. It seems that SANParks has taken very good care of their assets, yet neglected to channel the benefits to the outer communities. In discussions, marketing of the four communities is overlooked when it comes to the advertisement of the ARTFCA (see attached appendices of SANParks ARTFP brochure). With petrol stations at one or two locations, and the closest town of Port Nolloth housing numerous restaurants and shopping facilities, tourists visiting the Park bypass the Richtersveld to the hot spot town of Springbok (over 3 hours away from the border post) to refuel and purchase refreshments. In embarking on my research trip, and in wanting to find accommodation within the Richtersveld, contacts for guesthouses were hard to obtain as online communication is outdated. How long this has been the case is unknown as one interviewee who worked and ran the Eksteenfontein tourist information centre. She has been working for SANParks for

the past two years but her details are still on the website. It would seem the only viable options for exploring the Richtersveld would be to claim a base camp in Port Nolloth or book a reservation through SANParks. Much needed research and attention should be given to the ARTFCA at this stage, if there are to be future developments and in keeping with the notion of TFCA's as sustainable and beneficial conservation initiatives.

It is worth recalling Schoon's (2013) inquiry into how institutional structure and path dependence matter in the governance of TFCAs, and how it affects their success or failure. As with the literature which proclaims bottom-up approaches generating more operational collaboration leading to more institutional robustness and therefore success in transboundary conservation, Schoon (2013) argues and illustrates that the top-down approach has resulted in a high degree of success in achieving goals by senior government officials. However, he uses the concept of polycentricism to acknowledge the importance of differentiating between response effectiveness and collaboration. This concept highlights that decisions should be made at a level matching the scale of the problem (Cumming, Cumming & Redman 2006), which implies that some issues should be governed jointly at an international level, others at a national level, and still others at a local level (Schoon 2013). Hence, top-down development can provide early success in Treaty enactment and the harmonisation of policy, but possibly at the expense of operational development. If the goal is to develop community-level economies or achieve conservation goals, perhaps a different approach under the leadership of local level officials may be more effective (Schoon 2013). The question as to which approach is better should be investigated. The possibility to join top-down and bottom-up approaches should require further attention so as to test whether these two approaches could possibly rejuvenate the success rates of TFCAs or CBRNM initiatives. In the specific case of the RCC, community conflict and lack of management and capacity hindered the growth of the conservancy. This raises the question of whether a top-down approach in certain aspects of management would have changed the fate of the conservancy.

7. REFERENCES

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ANNEXURES

Annexure 1: List of Interviewees

At the time of establishment:

- | | | | |
|----|--------------------------------|--|----------------|
| 1. | Dr. Francois Odendaal | Eco – Africa Environmental Consultants Primary facilitator | |
| 2. | Mr. Floors Strauss | Community Property Association Chair | Eksteenfontein |
| 3. | Ms. Sarita Cloete | Youth Leader | Eksteenfontein |
| 4. | Mrs. Aletta Links | Community member | Kuboes |
| 5. | Mr. Abraham de Wet | Richtersveld Tourism Association & community member | Kuboes |
| 6. | Ms. Volenti van der Westhuizen | Community member | Eksteenfontein |
| 7. | Mrs. Wilma Cloete | Community member | Eksteenfontein |
| 8. | Mrs. Joan November | Administrative Officer, Richtersveld Community Conservancy | Eksteenfontein |

Annexure 2: Integrated Conservation & Development (ICD) Workshop Participants

72 Integrated Conservation & Development Workshop, 2-3 April 2001

SURNAME	NAME	ORGANISATION / PROJECT	TEL / FAX / CELL	POSTAL ADDRESS	E-MAIL
1 Abrahams	Abe	Northern Cape Nature Conservation Services	053 832 2143 053 831 3530 082 409 7792	Private Bag X 6102, Kimberly 8300	abraham@natur.ncape.gov.za
2 Atrikaner	Hendrik	Karas Regional Council	09264 63 222 068 09264 63 223 538 09264 81 247 4160	P O Box 384, Keetmanshoop, Namibia	hatfikaner@yahoo.com
3 Baumgart	Johannes	Transform	012 342 3174 012 342 3176	P O Box 13732 Hatfield, 0628	transform@icon.co.za
4 Beja	Eric	South African National Defence Force	021 787 2354 021 787 2368 072 2144 544	Private Bag X 1 Tokai	
5 Booies	Aubrey	Sizamiie Multi-purpose Resource Centre	027 652 3089 027 652 3044	P O Box 90 Hondeklipbaai 8222	dofyn@iatic.net
6 Boonzaier	Malinda	South-North Tourism Association	027 219 2706 027 219 2706 083 2077 787	Georgeluan 6, Vainysdorp 8170	southnorth@kingsley.co.za
7 Cloeie	Joseph	Richtersveld Municipality	027 851 8229 027 851 8366 082 898 7853	Private Bag X 113, Port Nolloth, 8280	port@iatic.net
8 Cloeie	Klauiet	Kuboes Community Representative	027 8311 768	P O Box 59 Kuboes	
9 Collins	Steve	Transform	012 342 3174 012 342 3176 083 703 3076	P O Box 13732 Hatfield 0628	sara@iatic.com
10 Cooper	Trygve	Ministry of Environment & Tourism, Namibia	09264 63 202 811 09264 63 204 188	P O Box 426, Luderitz, Namibia	
11 de Wet	Gert	Community Property Association	027 831 2985	Kuboes	
12 de Wet	Surzette	Sendingsdift Community Representative	027 8311 214 027 8311 175	P O Box 406, Alexander Bay, 8290	surzette@hotmail.com
13 de Wet	Peter	Management Plan Committee, RNP	027 831 2866 027 831 2375	P O Box 112 Kuboes	
14 de Wet	William	Conservancy, Meentkorniee	027 8311 214 027 8311 175	P O Box 406, Alexander Bay, 8290	

SURNAME	NAME	ORGANISATION / PROJECT	TEL / FAX / CELL	POSTAL ADDRESS	E-MAIL
15	Delle Allen	Richtersveld Municipality	027 8311 457/ 580 (fax) 072 1903 752	P O Box 128 Alexander Bay	
16	Dini John	DE&T	012 310 3789 012 320 7026 083 420 7988	Private Bag X 447 Pretoria, 0001	jdini@ozone.pwv.gov.za
17	Farmer Dimitri	Eksteentfontein	027 851 8645	P O Box 37, Eksteentfontein, 8284	
18	Fourie Gerhard	South African Revenue Service	054 332 3501 082 443 5141	P O Box 1801 Upington	gfourie@sars.gov.za
19	Heidal Inger	Nordl. Norwegian Directorate for Cultural Heritage	0947 22 940 367	Oslo Norway	Inger.heidal@ra.no
20	Joseph Aletta	Kuboes Poverty Alleviation Project	027 8311 612 / 648 027 8312 375 083 6134 039	P O Box 99, Kuboes, 8292	kudnor@iatic.net
21	Joseph Jacqueline	Alexander Bay Living Museum	027 8311 2396 / 330	P O Box 9 Kuboes	
20	Khanika Muleso	DE&T	012 310 3818 012 320 1714 072 1901410	Private Bag X 447 Pretoria, 0001	khanka@ozone.pwv.gov.za
21	Kolberg Holger	Ministry of Environment & Tourism, Namibia	09264 61 263 131 09264 61 269 101	Private Bag 13306, Windhoek, Namibia	metreper@iatic.com.na
22	Kotze Nick	Port Nolloth Community Representative	027 851 8305 027 851 8650 083 251 8462	P O Box 200, Port Nolloth, 8280	
23	Laubscher Patrys	Alekkor Ltd	027 8311 330 027 8311 384 082 375 7075		my04@alekkor.co.za
24	Louw Willem	CPA / Richtersveld Municipality	027 851 8580 027 851 7097 082 210 7887	20 Cicoe Street Lekkersing	wilouw@mweb.co.za
25	Magerman Priscilla	Hondeklipbaai Multi-purpose Resource Centre	027 - 652 3089 027 652 3044 083 4678 172	P O Box 108, Hondeklipbaai, 8222	cdofm@iatic.net

SURNAME	NAME	ORGANISATION / PROJECT	TEL / FAX / CELL	POSTAL ADDRESS	E-MAIL
26	Magome Hector	South African National Parks	012 426 5217/8 012 343 2832 082 8000 874	P O Box 787, Pretoria 0001	hedorm@parks-se.co.za
27	Makabeni Sisa	Legal Resources Centre	021 423 8285 021 423 0935	P O Box 5227, Cape Town, 8000	cas@rlc.org.za
28	Makgolo Makgolo	DEA&T	012 310 3829 012 320 7026 082 654 9223		mmakgolo@ozone.pwv.gov.za
29	Mankune Raymond	Richtersveld Municipality	027 8311 457/ 560 082 546 0018	P O Box 107 Sanddrif	
30	Mallou Patrick	DEA&T	012 310 3600 012 322 7496	P/Bag X 447, Pretoria 0001	pmallou@ozone.pwv.gov.za
31	Matthys Tony	Lekkersing			
32	Mbengashe Maria	DEA&T	012 - 310 3707 012 320 1714 082 788 6706	P/Bag X 447 Pretoria, 0001	bergashe@ozone.pwv.gov.za
33	Miller L	South African National Defence Force	054 335 1280 054 335 1287 082 920 0359	Group 23, P/Bag X 5889, Upington	
34	Mosola Mooketsi	DEA&T	012 310 3846 012 320 4740 082 499 7730	Private Bag X 447 Pretoria, 0001	mmosola@ozone.pwv.gov.za
35	Moyoraula Julius	Environmental Affairs & Nature Conservation	053 832 2143 053 831 3530	Private Bag X6102, Kimberly 8300	
36	Oderdaal Francois	Eco-Africa Environmental Consultants	021 448 9778 021 447 2614	3 Bishop Rd Observatory, 7925	francois@ecofrica.co.za
37	Murombedzi James	Ford Foundation	011 403 5912 011 403 1575	P O Box 30953, Braamfontein 2017	n.r.mube@fordfound.org
38	Myburgh Werner	Peace Parks Foundation	021 887 6188 021 887 6189 082 376 5346	P O Box 12743, Stellenbosch, Die Boord 7613	mmyburgh@ppf.org.za
39	Nambala Tlivo	Karas Regional Council	09264 63 233 366 09264 63 232 290 09264 81 243 7933	P O Box 48 Oranienund, Namibia	
40	Nujoma Japeni	Mfn, Land Resettlement & Rehabilitation, Namibia	09264 63 224 794 09264 63 225 891 09264 81 243 9740	Private Bag 2109 Keetmanshoop, Namibia	

SURNAME	NAME	ORGANISATION / PROJECT	TEL / FAX / CELL	POSTAL ADDRESS	E-MAIL
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42	Oppel	Steinkopf Poverty Alleviation Project	027 721 8162 027 721 8497 083 5122 785	P O Box 67, Steinkopf, 8244	steinb@lanic.net
43	Peddle	CJOPS, South African National Defence Force	012 355 3224 012 355 3027 082 788 3250	Private Bag X199 Pretoria	qjops@mweb.co.za
44	Perkins	Gariep Spatial Development Initiative	053 842 1461 053 842 1653 083 255 8833	P O Box 3230 Kimberly, 8300	gariep@sdi.org.za
45	Phillips	Alexander Bay Trading	027 8311 330 027 8312 409 082 784 1389	Private Bag X5 Alexander Bay 8290	lrc03@alexkor.co.za
46	Seelig	Conservation International	021 799 8777 021 876 2458 082 563 9559	P O Box 551 Franschoek, 7690	seelig@africa.com
47	Singh	Richtersveld Municipality	027 851 8229 027 851 8366 082 565 3804	Private Bag X113 Port Nolloth, 8280	port@lanic.net
48	Smith	Nama Cultural Society	027 8311 617 027 8311 541 082 538 9585		
49	Smith	Legal Resources Centre	021 423 8285 021 423 0935 083 266 1770	P O Box 5227 Capetown, 8000	henk@lrc.org.za
50	Soborg	Norad	094778937382 09477845330 094792065908	Alla Museum, Norway	
51	Sobuwa	Meentkomiite	027 8311 560/457 082 9703 394	P O Box 293, Alexander Bay, 8290	
52	Stephanus	Karas Regional Council	09264 63 222 068 09264 63 223 538 09264 81 1299 252	P O Box 348, Keelminshoop, Namibia	perreb@africa.com.na

SURNAME	NAME	ORGANISATION / PROJECT	TEL / FAX / CELL	POSTAL ADDRESS	E-MAIL
53	Strauss	Floors	027 851 8973 027 851 8373 083 457 1976	P O Box 406, Alexander Bay, 8290	floors@kingsley.co.za
54	Strauss	Henley	027 851 7008	P O Box 95 Eksteentfontein, 8284	
55	Swart	Chris	012 803 5065 012 803 5065 082 895 8918	244 Roosstrat Meyerspark, Pretoria, 0184	swartc1@freemail.absa.co.za
56	Swart	Kozette	082 783 9860	P O Box 7536 Stellenbosch	kozettes@hotmail.com
57	Taljaard	Johan	027 8311 506 027 8311 175 082 928 1300	P O Box 406, Alexander Bay, 8290	johan1@parks-sa.co.za
58	Truiter	Gillie	027 8311 523 (fax) 082 563 5999	Private Bag X4 Alexander Bay	alexanderborder@sapv.org.co.za
59	Tsengwa	Nombasa	012 310 3665 012 922 2802 083 442 8499	Private Bag X447 Pretoria 0001	ntsengwa@ozone.pwv.gov.za
60	van der Merwe	J	054 3351 287 (fax) 082 330 6685	Group 23, P/Bag X 5689, Uppington	
61	van der Walt	Peet	012 4265 213 012 3432 723	P O Box 787, Pretoria 0001	peetv@parks-sa.co.za
62	van der Westhuisen	Volenti	027 851 7026 027 851 7025	P O Box 51, Eksteentfontein, 8284	norad@lanlits.net
63	van Neel	Ilanuska	027 718 1370 027 718 1302 083 494 1110	P O Box 689, Sprio, 8240	
64	van Riel	Willim	021 887 6188 021 887 6189 083 703 5800	P O Box 12743, Stellenbosch, Die Boord, 7613	wvanriel.ppr@postino.up.ac.za
65	van Zyl	Klaas	027 712 1880 027 718 1286	Private Bag X1 Springbok	
66	Vistad	Odd Inge	094761287919 094761287901 0947934863		

Annexure 3: Unfolding the Big Picture Workshop Participants

Workshop Participants

SURNAME	NAME	ORGANISATION / PROJECT	TEL/FAX/ CELL	POSTAL ADDRESS	EMAIL
1	Africa	Destree Legal Resource Centre	(021) 423 8285 (021) 423 0935	PO Box 5227 Cape Town 8000	ca3cpi@rc.org.za
2	Baumgart	Johannes GIZ/Transform	(012) 342 3174 (012) 342 3178 082 887 8601	P O Box 13732 Hatfield 0828	baumgart.gtz- suedafrika@za.gtz.de
3	Cloete	Joseph Richtersveld Local Municipality	(027) 851 8229 (027) 851 8366 082898 7853	Private Bag X 113, Port Nolloth, 8280	port@lantic.net
4	Cloete	Sinthie CPA	(027) 851 8580 (027) 851 7097	Lekkersing Municipality	
5	Cloete	Willem Local Government	(027) 851 8136	Lekkersing Municipality	
6	Collins	Steve GIZ/Transform	(012) 342 3174 (012) 342 3187 083 703 3076	P O Box 13732 Hatfield 0828	collins.gtz-suedafrika@za.gtz.de
7	de Wet	Gert Sida iHub Communal Properties Association (CPA)	(027) 831 2985 (027) 831 2985	Kuboes	
8	Edelstein	Sascha Eco-Africa	(021) 448 3778 (021) 447 2614 082 593 3802	3 Bishop Road Observatory 7925	sascha@ecofrica.co.za
9	Hartney	Daphne Eco-Africa	(021) 448 3778 (021) 447 2614 083 634 9252	3 Bishop Road Observatory 7925	daphne@ecofrica.co.za

The Richtersveld - Unfolding the Big Picture Workshop, 2-3 May 2002

10	Joseph	Aletta	NORAD, CPA	(027) 831 1612 (027) 831 2375 083 613 4039	PO Box 99 Kuboes 8292	kubno@antica.net
11	Joseph	Jocqui	NORAD	(027) 831 2396/303	PO Box 9 Kuboes 8292	
12	Louw	Willem	South African National Parks	(027) 831 2409 (027) 831 1506 (027) 831 1175 082 210 7887	PO Box 406 Alexander Bay	wilouw@mweb.co.za richtersveld@parks-sa.co.za
13	May	Harry	Surplus People Project	(021) 448 5605 (021) 448 0105 082 899 4328	P Box 468 Athlone 7760	harrymay@mweb.co.za harry@spp.co.org.za
14	Odendaal	Francois	Eco-Africa	(021) 448 3778 (021) 447 2614 083 630 4989	3 Bishop Road Observatory 7925	francois@ecoafrica.co.za
15	Perkins	Dave	Gariep SDI	(053) 842 1461 (053) 842 1653 083 255 8833	PO Box 3230 Kimberly 8300	gariep@sdi.org.za
16	Seelig	Leonard	Conservation International	(021) 799 8777 (021) 876 2458 082 563 9659	PO Box 551 Franschoek 7690	seelig@kafica.com
17	Singh	Dan	Local Government	(027) 851 8229 (027) 851 8366 082 565 3804	Private Bag X 113 Port Nolloth 8280	port@lantic.net dansingh@worldonline.co.za
18	Smith	Henk	Legal Resource Centre	(021) 423 8285 (021) 423 0935 083 266 1770	PO Box 5227 Cape Town 8000	henk@lrc.org.za
19	Strauss	Floors	CPA	(027) 851 8373 (027) 851 8373 083 457 1976	PO Box 406 Alexander bay 8290	floors@kingsley.co.za
20	van der Walt	Peet	Peace Parks Foundation	(012) 462 5213 (012) 343 2723	PO Box 787 Pretoria 0001	peetw@parks-sa.co.za

21	van der Westhuizen	Volenti	NORAD, CPA	(027) 851 7026 (027) 851 7025	PO Box 851 Eksteenfontein 8240	norad@qntis.net
22	Van Rief	Willem Jnr.	Pecca Parks Foundation	(021) 887 6188 (021) 887 6189 083 703 5800	PO Box 12743 Stellenbosch Die Boord 7613	willemvr@ppf.org.za

Annexure 4: Document Analysis Worksheet

RESEARCH DOCUMENT ANALYSIS WORKSHEET			
A. Document Title:		B. Document Date:	
C. Type of Document			
Report		Announcement	
Census report		Workshop	
Memorandum		Other (explain)	
Press release			
D. Audience:			
E. Purpose of document:			
F. Main points:			
G. Notes:			
H. Interpretation:			

Annexure 5: Approaches to Stakeholder Engagement (DEAT 2002)

APPROACHES TO STAKEHOLDER ENGAGEMENT		
INFORMATION	Legal notices	Notices informing stakeholders and the public of a particular proposal or activity that are required by law to be displayed at particular locations for a specified period
	Advertisements	Paid advertisements in newspapers and magazines to inform stakeholders and the public of a proposal or activity and the opportunity for stakeholder engagement. These should not be hidden in the legal section of the paper where they are generally overlooked.
	Magazine/news articles & press releases	Feature stories or articles to provide information about the proposal or activity.
	Background information materials	Fact sheets, newsletters, brochures or information flyers which can be distributed along with monthly utility bills, through mail drops, sent by direct mail, materials or left at accessible public locations in order to provide feedback and regular updates on progress. This may also include the proponent's annual report or, where available, the Health, Safety and Environment report.
	Exhibitions/displays	Information provided in an accessible location to help raise stakeholders' awareness and understanding of a plan or assessment.
	Technical reports	Specialist studies report research or policy findings, which are made accessible to stakeholders and the public. Copies of reports are generally made available at public libraries, directly to key stakeholders and/or electronically for stakeholders to comment.
	Websites	Worldwide websites that contain project information, announcements and documents. Interactive websites allow the stakeholders to provide their views.
	Fieldtrips	Provide site tours to inform key stakeholders, elected officials, advisory group members and the media.
	Press conferences	Question and answer session for the media to obtain information about a proposal or activity.
	Radio/TV talk shows	Radio or TV presenter aims to elicit information about a proposal or activity on behalf of the public through questions posed to the proponent.

	Expert panels	Public meeting at which the experts/specialists provide information and stakeholders are then given an opportunity to pose questions. Alternatively, a selected media panel may pose questions to the experts and stakeholders sit in as a passive audience.
CONSULTATION	Public meetings	Formal meetings where the proponent meets with a wide range of stakeholders in a public place. These meetings are open to all, although some stakeholders may be specifically invited. Generally the public meeting involves scheduled presentations by the proponent, followed by a question and answer session, or the opportunity for stakeholders to raise issues or to comment.
	Public hearings	Similar to a public meeting, except that these are more formal and structured and usually require a written transcript of the proceedings. These do not promote dialogue between stakeholders, but it is an approach by which the lead authority may obtain information from interested and affected parties and the proponent.
	Open day/open house	Two interpretations: (1) Stakeholders are given the opportunity to tour the site/facility at their own pace. (2) Information and displays are set up at an accessible and convenient public location for a day to make information accessible to stakeholders and the public. Both involve exhibits/displays being set up with relevant information and members of the project team being available to provide additional information.
	Briefings	Regular meetings of social and civic clubs and organizations are used to inform, educate and consult with special interest groups.
	Central information contact	Designated contact persons are identified as official liaisons for stakeholders, the public and the media.
	Field offices or information centers	Offices established with prescribed hours to distribute information and respond to enquiries. Usually established in communities where a project or issue centers has the potential for significant impact or where there is a need for close contact with local stakeholders. Designed to encourage information interaction with the community, and staffed with people who are able to answer questions and solicit opinions.

	Comments & response sheets	Forms included in information sheets, with technical reports, or at public meetings and open days to gain information on stakeholders' concerns and sheets preferences and to identify key issues.
	Surveys, questionnaires & polls	Standardized survey or questionnaire for collecting very specific information from a statistically representative sample of a population. This refers to both polls random telephone surveys and polls, questionnaires that respondents complete and return themselves, as well as questionnaires and surveys carried out in person by the researcher.
CONSULTATION	Interviews	One-to-one meetings with stakeholders to gain information on concerns and perspectives and/or for developing or refining the stakeholder engagement process. Generally semi-structured interviews that include open-ended questions and allow for following up unexpected information. Provide valuable information and insights.
	Telephone hotlines	Easy-to-remember telephone numbers that stakeholders and the public can call to obtain information and provide views. Normally manned by staff with appropriate skills and knowledge about the project, but information could also be pre-recorded.
	Electronic democracy	The internet, websites, tele-voting and on-line dialogue provides an opportunity for a larger group of stakeholders to engage in the process.
	Participator rural appraisal (PRA)/ participatory learning & action (PLA)	Refers to the process that builds capacity for people to conduct their own analysis and often to plan and take action. A range of creative, low-infrastructure, (PRA)/participatory low-cost techniques are available to facilitate this process.
COLLABORATION & EMPOWERMENT	Workshops/focus groups/ key stakeholder meetings	Small-group meetings in which members of a particular stakeholder group, or representatives from different stakeholder groups, come together in an groups/key stakeholder interactive forum to share and provide in-depth information about a particular topic and to discuss key issues. Meetings may be preceded by a presentation
	Advisory committee/panels	A group of stakeholders assembled to advise the decision-maker, and debate specific issues. Often composed of community leaders, NGOs and scientific experts.
	Task force	A group of representative stakeholders or experts that is formed to develop or implement a specific proposal.

	Citizen jury	A small group of ordinary citizens that are brought together to learn about an issue, cross-examine witnesses and make a recommendation. This is non-binding and has no legal standing, but provides an insight into public preferences.
	Charettes/ consensus conference	Meetings or workshops that have the express purpose of reaching an agreement or resolving conflicts on a particular issue in a short period of time. Critical conferences decision-makers are brought together to reach agreement on a particular issue and these are therefore highly intense, resolution-oriented meetings.
COLLABORATION & EMPOWERMENT	Imbizo	Style of interactive governance aimed at building an active partnership between government and other stakeholders in the implementation of government initiatives. Any sphere of government may be involved in direct interaction with communities and sectors of society to build relations and create opportunities for stakeholder engagement around the implementation of programmes of action.
	Indaba	Forum for open and frequent dialogue between stakeholders to identify and address critical issues of common concern and interest.
	Participator rural appraisal (PRA)/ participatory learning & action (PLA)	Refers to the process that builds capacity for people to conduct their own analysis and often to plan and take action. A range of creative, low-infrastructure, (PRA)/participatory learning low-cost techniques are available to facilitate this process.

Annexure 6: Semi-structured Questionnaire

UCT MPhil

ENVIRONMENTAL & GEOGRAPHICAL SCIENCE DEPARTMENT
2015 DISSERTATION RESEARCH



QUESTIONNAIRE

Researcher-made questionnaire on participation in the process of establishment of the Ai/-Ais/ Richtersveld Transfrontier Conservation Area

The aim of this questionnaire is to **EVALUATE EAEC’s PROCESS OF FACILITATION**. This questionnaire intends to evaluate this facilitation based on process (how activities took place) and outcome (the results of the process).

SECTION A: General

1. **What does ‘participation’ mean to you?** (Please tick your most appropriate choice)

a. A process designed to CONSULT, INVOLVE and INFORM all those involved.	
b. A process that INVOLVES all stakeholders, who take ACTIVE ROLES, in decision-making.	
c. A process which involves EMPOWERING people through capacity building so that they can negotiate and make decisions on their own terms.	
d. A process where individuals are INCLUDED in DECISION-MAKING.	
e. All of the above.	

2. **What was your reason/s for participating in the process?** (Please tick your most appropriate choice)

a. Land ownership	
b. Economic opportunities	
c. Social benefits	
d. Personal reasons	
e. Please elaborate on your choice:	

SECTION B: Process-based Evaluation

3. **Was the process clear and transparent?** YES or NO, if no please state why.
4. **Do you feel all four communities were equally consulted?** YES or NO, if no please state why.
5. **Were you happy with the efforts to engage the community?** YES or NO, if no please state why.
6. **What were your concerns in the process?**
7. **Were you happy with the regular information sessions throughout the process?** YES or NO, if no please state why.
8. **Do you feel there was great encouragement for community involvement?** YES or NO, if no please state why.
9. **Do you feel you were well informed about the process and the objectives?** YES or NO, if no please state why.
10. **Were the meetings/ workshops/ study trips effective?** YES or NO, if no please state why.
11. **What other forms of engagement would you have preferred?**
12. **Do you feel EAEC was working in favour of the communities or government?**
 - a. Communities
 - b. Government
 - c. Both (If both, please state why)

SECTION C: Outcome-based evaluation

14. **Did you feel empowered by the process?** YES or NO, if no please state why.
15. **Do you feel the process was treated sensitively and fairly?** YES or NO, if no please state why.
16. **Do you feel EAEC treated locals with respect and dignity?** YES or NO, if no please state why.
17. **In your opinion, would the outcome of the TFCA process have been the same if EAEC Consultants were not the facilitator or if there was no community facilitation?** If no, please state why.
18. **Has the TFCP/TFCA been beneficial over the years? Was it a worthwhile process and accomplishment?**
Please elaborate.
19. **In your opinion, did the background of land dispossession, particularly relating to the establishment of National Park and Land Claims against Alexkor Ltd play an influencing role in communities participating within the TFCA process?**

Annexure 7: Generic Process of Transfrontier Conservation Area Establishment (Law Explorer 2016)

1	Demonstration of political will and support for the TFCA concept. PPF's engagement with the heads of state of most of the participating SADC countries has greatly facilitated the acceptance of TFCAs at a national level.
2	Constitution of multi-lateral planning teams consisting of government and non-government technical expertise to develop a memorandum of understanding (MOU) between the participating countries. This is a crucial step in the process as it not only mandates institutions, bodies or committees to enter into negotiations on behalf of government, but also formalizes the intention of the participating countries to be supportive of the TFCA process.
3	Signing of MOU by participating governments to facilitate the establishment of the TFCA and initiate a formal negotiation process and constitution of an institutional framework. This includes the formal appointment of an international coordinator and the various multilateral and national technical committees.
4	Development of an international treaty on the establishment of the TFCA. This process is usually facilitated by the independent coordinator mutually appointed by the participating countries. The coordinator is responsible for managing the various committees/bodies as mandated by the MOU in (iii) above to deal with issues such as customs and immigration, finance (co-ordination of donors and aid agencies), communities, veterinary issues and wildlife diseases, legislation, security, tourism management, etc.
5	Signing of international treaty and implementation of institutional framework as mandated by the treaty such as the formation of joint management committees at a political and/or operational level
6	Launching an opening ceremony (formal opening of TFCA)
7	Implementation of accepted conservation and economic principles in order to develop the TFCA into a sustainable entity/protected area system

Annexure 8: Institutional Arrangements merging within the Ai/-Ais Richtersveld Transfrontier Conservation Area (ICD Workshop 2001)

Ministerial Committee
A Bilateral ministerial committee responsible for political support & policy direction in the development of the TFCA.
International Technical Committee
Consists of government officials from relevant ministries responsible for Environment & Tourism, public entities responsible for management of National Parks in the case of South Africa & representatives of relevant institutions requested to advise on the TFCA. This committee is expected to translate political & policy directives from the Ministerial Committee, & to develop an action plan, in addition to operationalizing this action plan with other parties at local level.
National Technical Committee
Compromised of relevant & affected departments & parties at national level, provincial & local level. Its objective is to coordinate relevant departments like Foreign Affairs, Home Affairs, Agriculture, Security & Land Affairs. The Committee will also review priority plans coming from local level & agree on the national action plan.
Working Groups
Seven Working groups have been established in the case of the GKG TFCA. The objective of the working group is to address different issues related to security, immigration, harmonization of legislation, wildlife disease & community interest. Different working groups have set their terms of reference & in the case of GKG, the South African working groups have already met with their counterparts from Mozambique & Zimbabwe to address issues of common concern. The international working groups will then report & make recommendations to the International Technical Committee.
TFCA Project Coordinator
The person who will ensure implementation of the TFCA action plan developed by involved parties. The person will report to the Technical Committee & is appointed by the country nominated to be the coordinating party. The coordinating party is the country selected by the ministerial committee to drive the TFCA for a 2-3-year period.
Facilitator
“National government would not force a TFP on the communities. The entire process will be one of consultation. A MoU has begun circulating & will continue to be circulated so that people can study it & workshop it. Public meetings will be held within each community at times that are appropriate.”

Annexure 9: List of EAEC Engagements within the Richtersveld Region post-2001 (EAEC 2016)

Date	Title	Details	Client
December 2001	Facilitation of the Integrated Development Planning (IDP) process for the Richtersveld Municipal Area	Facilitation of the Integrated Development Planning process for the Richtersveld Municipal Area. The work involved working with the designated staff of the Richtersveld Municipality and training on integrated development planning.	GTZ/Transform
	Facilitation of community involvement in the Transfrontier Conservation Area (TFCA) process in the Richtersveld	Facilitation of community involvement in the Transfrontier Conservation Area process in the Richtersveld. The work involved community participation and looking at options of community involvement in the TFCA process.	Peace Parks Foundation (PPF), South Africa
	Facilitation of Transfrontier Integrated Conservation and Development (ICD) workshop (Namibia / South Africa)	Facilitating the Transfrontier Integrated Conservation and Development workshop for a diverse range of stakeholders in Namibia and South Africa. The work involved public participation and stakeholder involvement.	Conservation International (CI), Department of Environmental Affairs and Tourism (DEAT), South Africa
December 2002	Development of a SMME strategy for the Richtersveld	The strategy document outlines suggested actions for the Richtersveld Municipality for the development of SMMEs in the areas under its jurisdiction.	GTZ/Transform
December 2003	Preparation of a local government mining policy for the Richtersveld Municipality	The work involved stakeholder participation, working with the Richtersveld Municipality and specialist studies on mining regulations, etc. Delivery of a mining policy for the Richtersveld Municipality which will enable them to make informed decisions.	Richtersveld Municipality
	Implementation of Richtersveld Community-Based Natural Resource Management (CBNRM) Programme	Moving the Richtersveld Community Conservancy to institutional and financial sustainability.	Conservation International (CI)
	Establishment of museum network and cultural guide training course. Preparation of a feasibility study for the Richtersveld Proposed World Heritage Site (WHS)	Composite cultural heritage programme for the Richtersveld region in South Africa	Department of Environmental Affairs and Tourism (DEAT), South Africa/NORAD
	Provision of consistent ecological and development consulting advice to key role players in the Richtersveld, Northern Cape Province	Provisions of advice to key role players in the Richtersveld, Northern Cape, South Africa on ecological and developmental issues. Stakeholder participation with a needs analysis.	GTZ/TRANSFORM
December 2004	Facilitated capacity building activities of the Richtersveld Sida !Hub Community Property Association (CPA)	Assisting the Richtersveld Sida! Hub Community Property Association (CPA) with capacity building activities.	GTZ/TRANSFORM, Conservation International
	Preparation of the Annual	Assisting the Richtersveld Sida! Hub Community	Richtersveld Sida

	Report of the Richtersveld Sida !Hub Community Property Association (CPA)	Property (CPA) to develop an annual report. The work involved continued interaction with the Sida! Hub Community Property Association (CPA).	!Hub Community Property Association (CPA)
	Facilitation of the Richtersveld Community Conservancy and Transfrontier linkages with communities in Namibia	The work involves exchange visits between the Richtersveld Community Conservancy of South Africa and the communities of southern Namibia. The aim was to share information, do skills transfer and build capacity of both groups.	Conservation International (CI)
December 2005	Richtersveld World Heritage Site Feasibility Study	Assessment include meetings with the community and stakeholders and specialists studies to determine potential as a future World Heritage Site.	Department of Environment and Tourism (DEAT), South Africa, and United Nations Educational, Scientific and Cultural Organisation (UNESCO)
December 2006	Moving the Richtersveld Community Conservancy to institutional and financial sustainability and supporting the CBNRM programme	Training and capacity building programmes to enhance institutional and management skills of the Richtersveld Community Conservancy.	Conservation International (CI)
	Nomination for the Richtersveld Conservancy as a World Heritage Site (WHS)	Assisting the Richtersveld community through the Community Property Association (CPA) in the preparation of the nomination dossier for inscription of the Richtersveld Conservancy as a World Heritage Site.	United Nations Educational, Scientific and Cultural Organisation (UNESCO)
	Publication of the Richtersveld News, and capacity building of Local Government to publish future editions	Assisting local government in the Richtersveld News and also provide training of officials to publish future editions.	Richtersveld Municipality, South Africa
December 2007	Richtersveld Community Conservancy Social Responsibility Project: Upgrade of conservancy roads and tourist infrastructure	Richtersveld Community Conservancy Social Responsibility Project: Upgrade of conservancy roads and tourist infrastructure assisting committees already established in the area to advertise, interview and employ local people on SR projects. Provide accredited and non-accredited training to all the people working on this project. Setting up camp sites in the Conservancy and easily accessible and durable roads to reach them.	Department of Environmental Affairs and Tourism (DEAT), South Africa
	Development of a tourism destination branding website for the Richtersveld region, South Africa	Training workshops and meetings with the community, stakeholders and all organizations in the area. Gathering of relevant information. The overall objective is the creation of a well marketed, active, user friendly website for the Richtersveld region of South Africa.	Conservation International, Swiss Agency for Development and Cooperation

December 2008	Richtersveld Community Indigenous Knowledge Book for the people of Richtersveld	The work involved workshops with the community and stakeholders involvement, during which they shared their stories and experiences which should be written in the book. The final product is to produce an indigenous knowledge book on the Richtersveld, written by the people of the Richtersveld themselves.	Swiss Development Corporation (SDC) / Distance Learning Information Sharing Tool (DLIST)
	Richtersveld World Heritage Site Management Plan	Development of a Management Plan for the Richtersveld World Heritage Site. The work involved pervasive stakeholder engagement, specialist studies and options for sustainable livelihoods, sustainable tourism ventures, and preservation of heritage. The final product is used to guide the auto reactive body how to effectively and sustainable manage the World Heritage Site.	Department of Environmental Affairs and Tourism, South Africa
September 2012	/Ai - /Ais Richtersveld Transfrontier National Park Heritage Survey	Develop a Heritage Inventory for /Ai-/Ais Richtersveld Transfrontier National Park.	/Ai - /Ais Richtersveld Transfrontier National Park

MEMORANDUM OF UNDERSTANDING

ON THE PROCESS LEADING TO THE ESTABLISHMENT

OF THE

AI-AIS/RICHTERSVELD

TRANSFRONTIER CONSERVATION PARK

BETWEEN

THE GOVERNMENT OF THE REPUBLIC OF NAMIBIA

AND

THE GOVERNMENT OF THE REPUBLIC OF SOUTH AFRICA

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PREAMBLE

The Government of the Republic of Namibia and the Government of the Republic of South Africa (hereinafter jointly referred to as the "Parties" and in the singular as a "Party");

RECOGNISING the principle of sovereignty, equality and territorial integrity of their states;

FURTHER RECOGNISING the legal rights of all Stakeholders as major contributors of land and resources to the Ai-Ais/Richtersveld Transfrontier Conservation Park;

CONSCIOUS of the benefits to be derived from close co-operation and the maintenance of friendly relations with each other;

ACKNOWLEDGING the necessity to conserve shared natural resources and the environment for the benefit of all the people of Southern Africa;

RECALLING the provisions of the Southern African Development Community (SADC) Treaty and Declaration of Heads of State and Government (Windhoek, 1992), SADC Protocols on Trade and Industry (Lesotho, 1996), Tourism (Mauritius, 1998), Wildlife Conservation and Law Enforcement (Maputo, 1999);

WISHING to initiate a process with this Memorandum of Understanding that will result in an agreement to establish and manage the Ai-Ais/Richtersveld Transfrontier Conservation Park;

RECALLING that the countries promoting the Transfrontier Conservation Area initiative are signatories of, or Parties to, the Convention on International Trade in Endangered Species of Wild Flora and Fauna (CITES) (Washington, 1973) and the Convention on Biological Diversity (Rio de Janeiro, 1992); and

DESIRING to promote ecosystem integrity, biodiversity conservation as well as sustainable socio-economic development across international boundaries;

HEREBY AGREE as follows:

ARTICLE 1

Definitions

In this Memorandum of Understanding (hereinafter referred to as the "MoU"), unless the context indicates otherwise -

"action plans" means action plans provided for in Article 10(4)(d);

"conservation" means the protection, maintenance, rehabilitation, restoration, enhancement and sustainable use of natural resources and the environment;

"draft Management and Development Plan" means the plan provided for in Article 10(4)(e);

"National Co-ordinating Agencies" means the institutions designated by the Parties in terms of Article 7;

"Stakeholders" means individuals or groups of individuals or representative institutions with an enforceable right in land, which is included in the Transfrontier Conservation Park;

"sustainable use" means use in a manner and at a rate that does not lead to the long-term decline of natural resources.

ARTICLE 2

Establishment of the Transfrontier Conservation Park

(1) The Parties hereby agree to initiate and actively participate in a process that will result in an agreement to establish and manage a Transfrontier Conservation Park (hereinafter referred to as the "TFCP") which shall include -

- (a) in the Republic of Namibia, the area known as the Ai-Ais Hot Springs Game Park;
and
- (b) in the Republic of South Africa, the area known as the Richtersveld National Park.

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- (2) In defining the abovementioned geographic areas intended for inclusion in the TFCP, it is understood that this does not preclude the later inclusion of additional areas into the TFCP, provided that such inclusion will be done by mutual consent of the Parties and in accordance with Article 6 and other relevant Articles in this MoU.

ARTICLE 3

Rights of Stakeholders

The Parties undertake –

- (1) to recognise and respect the enforceable rights of all Stakeholders in their countries;
- (2) to enter into such contractual arrangements with Stakeholders as may be required in terms of their domestic law so as to give real protection to the rights in sub Article (1); and
- (3) to take appropriate steps, in compliance with their applicable domestic law, to designate land that will constitute the proposed TFCP.

ARTICLE 4

Interim name of the proposed Transfrontier Conservation Park

The interim name of the area as described in Article 2 (see Appendix A to this MoU for a map of the proposed TFCP), shall be the Ai-Ais/Richtersveld Transfrontier Conservation Park.

ARTICLE 5

Co-operation

- (1) The process of establishing the proposed TFCP shall be done through joint decision-making processes adopted within the Institutional Framework outlined in Article 8 of this MoU.

- (2) The Parties shall ensure meaningful participation of the Stakeholders through effective consultation processes.

ARTICLE 6

Objectives of the proposed TFCP

- (1) The objectives of the proposed TFCP, when established, shall be -
- (a) to foster trans-national collaboration and co-operation between the Republic of Namibia and the Republic of South Africa in implementing ecosystem management through the establishment and development of the proposed TFCP;
 - (b) to promote alliances in the management of biological and cultural resources encouraging social, economic and other partnerships among the Parties and the Stakeholders;
 - (c) to enhance ecosystem integrity and natural ecological processes by harmonising wildlife management procedures across international boundaries and strive to remove artificial barriers impeding the natural movement of wildlife;
 - (d) to develop frameworks and strategies through which local communities can participate in, and tangibly benefit from, the management and sustainable use of natural resources that occur within the proposed TFCP; and
 - (e) to promote cross-border tourism as a means of fostering socio-economic development.
- (2) The Parties may, after consultation with the Stakeholders, agree to other objectives.

ARTICLE 7**National Co-ordinating Agencies**

- (1) In order to give effect to the intent and objectives expressed in this MoU, the Parties agree that the Government of the Republic of Namibia shall designate, through the Minister responsible for Environment and Tourism, the Department of Natural Resource Management (hereinafter referred to as the "DNRM") as its National Co-ordinating Agency. The Government of the Republic of South Africa designates, through the Minister of Environmental Affairs and Tourism, the South African National Parks (hereinafter referred to as "SANParks") as its National Co-ordinating Agency.
- (2) Both Parties hereby delegate such powers and functions to the DNRM and SANParks as are required for the co-ordination of the process and activities leading to the establishment of the proposed TFCP. To the extent that it affects the enforceable rights of the Stakeholders, it is understood that the DNRM and SANParks will develop consultative structures to enable the Stakeholders to make representations for the co-ordination of the activities leading to the establishment of the proposed TFCP.

ARTICLE 8**Institutional Framework for Collaboration**

The Institutional Framework (see Appendix B to the MoU) for the operations of this MoU shall be -

- (a) the Ai-Ais/Richtersveld TFCP Bilateral Ministerial Committee;
- (b) the Ai-Ais/Richtersveld TFCP Bilateral Technical Committee;
- (c) the Ai-Ais/Richtersveld TFCP National Technical Committees;
- (d) the Ai-Ais/Richtersveld TFCP Project Coordinator ; and
- (e) any other Ad Hoc Committees that may be established as necessary.

ARTICLE 9

TFCP Bilateral Ministerial Committee

The Bilateral Ministerial Committee shall –

- (a) consist of the Ministers responsible for the environment and tourism in countries of both Parties;
- (b) be responsible for overall policy guidance in the process of establishing the proposed TFCP;
- (c) be hosted on a rotational basis, in accordance with the "host-chair-the-meeting" principle. Each Party shall be responsible for its own costs for attendance at the meetings. Organisational and administrative costs shall be borne by the Party hosting the meeting;
- (d) subject to this MoU, determine its own rules and procedures and the times of its meetings, provided that at least one meeting is held annually;
- (e) monitor progress in the establishment of the TFCP; and
- (f) take decisions by consensus.

ARTICLE 10

TFCP Bilateral Technical Committee

- (1) The Bilateral Technical Committee shall be comprised of members of the National Co-ordinating Agencies and such other members as may be designated by the Parties. The TFCP Project Co-ordinator, as referred to in Article 12, shall be a member of the Bilateral Technical Committee.

- (2) To maintain continuity, designated members of the Bilateral Technical Committee shall endeavour to attend all meetings in person and where an alternate is to attend a meeting, the nominated member shall ensure that the alternate is fully briefed and given the necessary mandate to act as a member of the Bilateral Technical Committee.
- (3) National and international conservation organisations supporting projects in the proposed TFCP may be invited to participate in meetings of the Bilateral Technical Committee, either as observers or advisors.
- (4) The Bilateral Technical Committee shall be responsible for -
 - (a) identifying all aspects required for establishing the proposed TFCP;
 - (b) translating directives of the Bilateral Ministerial Committees into operational guidelines and policies;
 - (c) providing guidance and advice to the Bilateral Ministerial Committee;
 - (d) developing action plans for the process leading to the establishment of the proposed TFCP;
 - (e) preparing a draft Management and Development Plan of the proposed TFCP;
 - (f) consulting Stakeholders with respect to the establishment, future development and management of the proposed TFCP;
 - (g) monitoring the establishment of the proposed TFCP;
 - (h) administering funds generated for the establishment of the proposed TFCP;
 - (i) preparing reports for the Bilateral Ministerial Committee; and
 - (j) setting up Ad Hoc Committees for undertaking specific activities for the development of the proposed TFCP.
- (5) The Bilateral Technical Committee shall be hosted on a rotational basis, in accordance with the "host-chair-the-meeting" principle. Each Party shall be responsible for its own costs for attendance at the meetings. Organisational and administrative costs shall be borne by the Party hosting the meeting.
- (6) The Bilateral Technical Committee shall adopt its own rules and procedures.
- (7) The Bilateral Technical Committee shall meet at least four times a year, or more frequently depending on the urgency of the issues tabled for discussion.

- (8) Decisions of the Bilateral Technical Committee shall be taken by consensus.

ARTICLE 11

TFCP National Technical Committees

- (1) The National Technical Committees shall be composed of representatives appointed by relevant government departments and Stakeholders in each of the Parties, to ensure their input in the planning and establishment of the TFCP at the national levels. The National Technical Committees shall be free to interact and work with conservation organisations in the respective countries.
- (2) The National Technical Committees shall be responsible for -
- (a) representing the interests of different sections of society in the planning and development of the TFCP;
 - (b) collecting and passing on information on issues to be discussed in Bilateral Technical Committee meetings, receiving feedback, and transmitting relevant information to different Stakeholders;
 - (c) monitoring activities of important institutions in the planning and development of the TFCP, in particular but not limited to the field of immigration, customs, veterinary services, archaeology and security; and
 - (d) facilitating discussions on matters of mutual interest between the National Technical Committees.
- (3) The National Technical Committees shall adopt their own rules and procedures.

ARTICLE 12

TFCP Project Co-ordinator

- (1) To promote efficiency, co-ordination and accountability in the TFCP planning and development process, it is agreed that a TFCP Project Co-ordinator be appointed by the Bilateral Ministerial Committee on the recommendation of the Bilateral Technical Committee.

- (2) The functions of the Project Co-ordinator shall be -
- (a) to drive and co-ordinate the activities associated with the planning and development of the proposed TFCP;
 - (b) to ensure that a working programme focussed on achieving the objectives of the TFCP is sustained;
 - (c) to co-ordinate the drafting and implementation of an effective Action Plan for achieving the objectives of the proposed TFCP, with full participation of the relevant Stakeholders;
 - (d) to ensure that appropriate processes and procedures in planning and developing the proposed TFCP are followed, in accordance with regional protocols and international treaties;
 - (e) to prepare reports on key resolutions and directives emanating from the Bilateral Ministerial Committee and the Bilateral Technical Committee;
 - (f) to facilitate the convening of meetings of the different TFCP committees;
 - (g) to liaise with the Bilateral Technical Committee in identifying activities that would require funding and identifying sources for funds; and
 - (h) to undertake other assignments deemed necessary by any of the TFCP committees, subject to the consent of the TFCP Bilateral Technical Committee.

ARTICLE 13

Financing of the process leading to the establishment of the proposed TFCP

- (1) The Parties undertake to contribute financially towards the planning and development of the proposed TFCP in accordance with the principles of equity and shared responsibility.
- (2) The Parties will further endeavour to raise funds towards the establishment and development of the proposed TFCP from other sources, including non-governmental organisations and Stakeholders.
- (3) All funding proposals shall be developed in consultation with the Bilateral Technical Committee.

ARTICLE 14

Settlement of Disputes

- (1) Any dispute between the Parties arising out of the interpretation or implementation of this MoU shall be settled amicable through consultation or negotiation between them.
- (2) Should the dispute not be resolved in the manner provided for in sub Article (1), any Party may submit the dispute to final and binding arbitration in accordance with the Permanent Court of Arbitration Optional Rules for Arbitrating between Two States, as in effect at the time of the entry into force of this Agreement. The Party who wishes to submit a dispute to arbitration shall notify the other Party thereof in writing ("the notification"). The Parties shall immediately confer with each other to appoint an arbitrator within fourteen days after receipt of the notification, failing which the appointing authority shall be the Secretary General of the Permanent Court of Arbitration at The Hague.
- (3) Notwithstanding the existence of a dispute or the referral of a dispute to arbitration, the Parties undertake for the benefit of each other to use their best endeavours to ensure that the process of establishing the proposed TFCP continues.

ARTICLE 15

Entry into Force

This MoU shall enter into force after the Parties have notified each other in writing through diplomatic channel of their compliance with the constitutional requirements necessary for the implementation thereof. The date of entry into force shall be the date of the last notification.

ARTICLE 16

Amendments

This MoU may be amended by mutual consent of the Parties through an Exchange of Notes between the Parties through the diplomatic channel.

ARTICLE 17

Termination of the MoU

- (1) Either Party may terminate this MoU at any time by giving one year's written notice to this effect to the other Party through the diplomatic channel.

- (2) This MoU shall automatically terminate upon the entry into force of a Treaty on the Ai-Ais/Richtersveld Transfrontier Conservation Park.

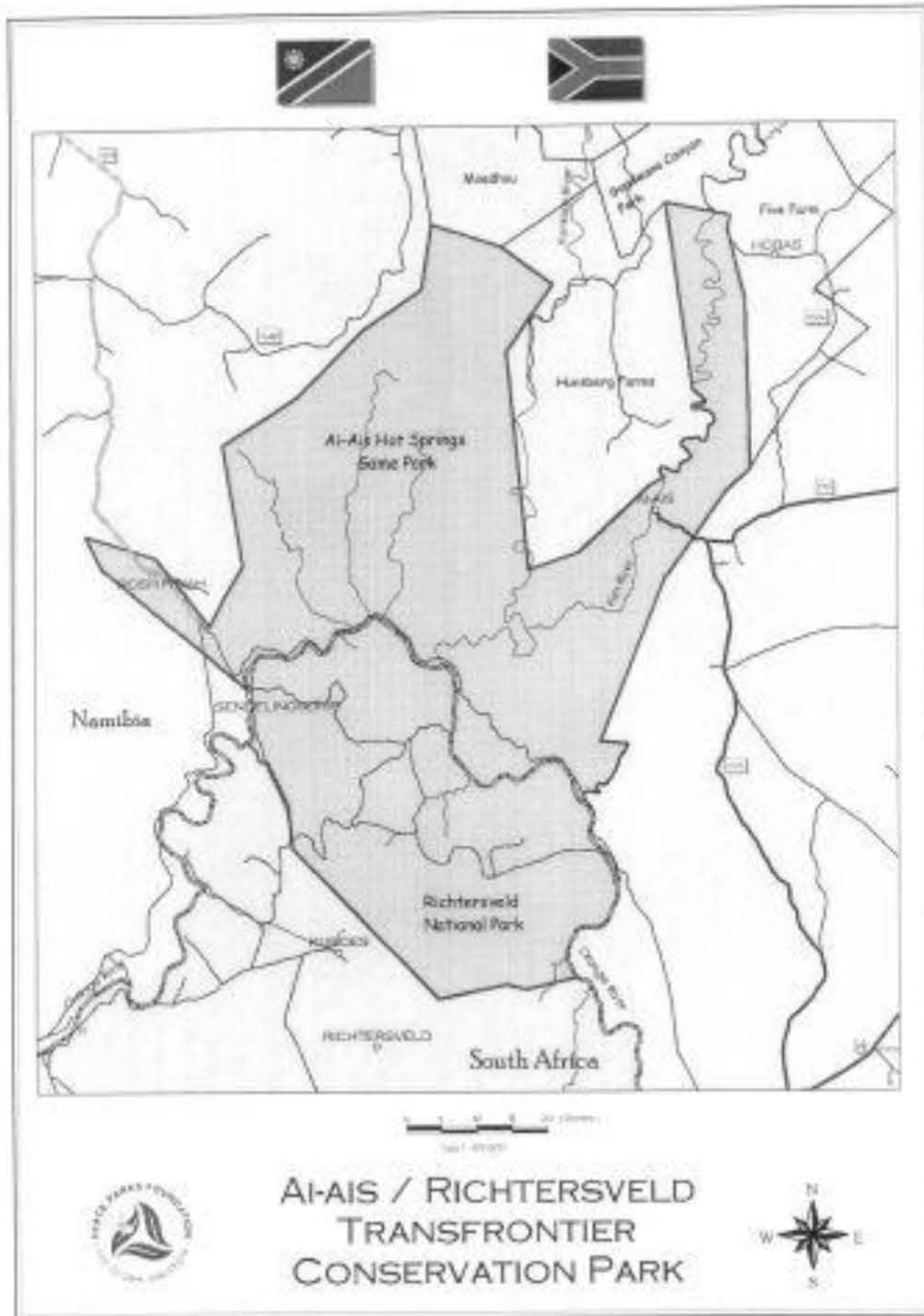
IN WITNESS WHEREOF the undersigned, being duly authorised thereto by their respective Governments, have signed and sealed this Memorandum of Understanding in duplicate in the English language, both texts being equally authentic.

SIGNED at _____ on this _____ day of _____ 2001

FOR THE GOVERNMENT OF THE REPUBLIC OF NAMIBIA

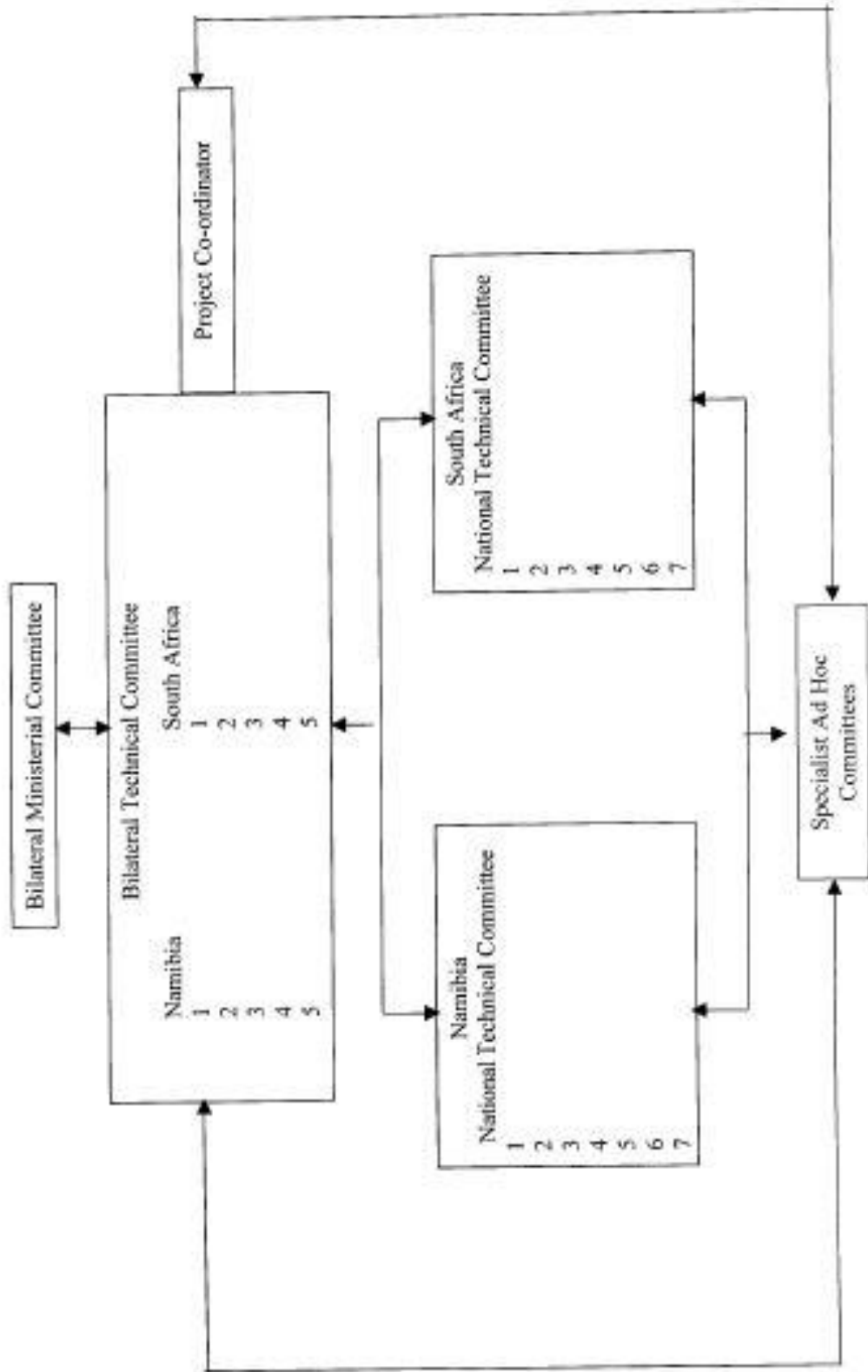
FOR THE GOVERNMENT OF THE REPUBLIC OF SOUTH AFRICA

APPENDIX A
MAP OF THE PROPOSED TFCP



APPENDIX B

AI-AIS/RICHTERSVELD TFCP INSTITUTIONAL FRAMEWORK





The mighty Fish River Canyon

GETTING THERE

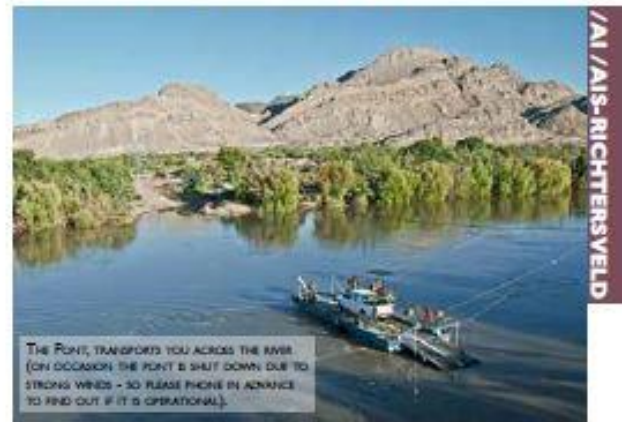
Sendelingsdrift is the main South African entrance to the Park. The closest substantial commercial centre is Springbok which is just over 300km away, depending on the route you take. You can drive to Sendelingsdrift with a two-wheel drive vehicle, but once in the Park, and to travel many of the alternative routes to and around the Park, you will need a **4x4 vehicle**. Sedan vehicles are not permitted. The most common route is north from Springbok on the N7, turning left at Steinkopf (49km) onto the R382 to Port Nolloth (94km). From Port Nolloth you head north for 84km to Alexander Bay. This is where the tarmac ends. From Alexander Bay head back inland for 90km to the Park gate.

Besides being the entry point to the Richtersveld side of the Park, Sendelingsdrift is also a **border post** and entry to the Namibian side of the Park. A restored pont offers an unusual and convenient way of crossing the Orange (Gariiep) River that separates the two countries. The pont can carry a maximum of 6 metric tones and, weather permitting, runs from 8h00 to 16h15 daily.



ATTRACTIONS & ACTIVITIES

The rugged landscapes and high diversity of arid plant species are undoubtedly the biggest attractions of the Richtersveld. Added to that is the challenge of the **'OFFROAD' DRIVING**, the seclusion of the wilderness camps and the contrast that the Orange River brings to its arid surrounds. **FLY-FISHING** and **RIVER RAFTING** on the river are also very popular. On the Namibian side the awesome Fish River Canyon and the **/AI /AIS HOT SPRINGS** are the main attractions. For those fit enough, the **5 DAY FISH RIVER CANYON HIKING TRAIL** is also very rewarding.



The Pont, transports you across the river. (ON OCCASION THE PONT IS SHUT DOWN DUE TO STRONG WINDS - SO PLEASE PHONE IN ADVANCE TO FIND OUT IF IT IS OPERATIONAL.)

