CONFIDENTIAL

CENTRE FOR APPLIED SOCIAL SCIENCES
UNIVERSITY OF ZIMBABWE

EXTERNAL EVALUATION OF FORD FOUNDATION/IDRC PHASE 11 GRANT 1991 - 1994

Evaluators

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Evaluation Unit / Section de l'évaluation
SUMMARY

The Centre for Applied Social Sciences (CASS) is a postgraduate research and teaching department in the Faculty of Social Studies at the University of Zimbabwe. Since the mid 1980's the CASS research and teaching programme has focused principally on applied social science issues in natural resource management. Together with the Department of Biological Sciences it has been declared a Regional Centre of Excellence in teaching.

The Ford Foundation (FF) and the International Development Research Centre (IDRC) have been principal sponsors. Two phases have so far been funded. Phase I (August 1988 - August 1991) and Phase II (September 1991 - December 1994). Because not all the funds allocated for Phase II had been expended an extension was granted for a further year. The evaluators were appointed to review Phase II and to make recommendations for the future structure and operation of CASS, and for possible funding of a third phase. It is intended that during Phase III new initiatives will be developed, particularly in regional collaboration in teaching and research.

The principal findings (Section 6.1) of the evaluators were that CASS has largely met the objectives of Phase II, and in so doing, CASS is providing important and valued leadership nationally, regionally and internationally. However, CASS remains vulnerable because of a high degree of dependency on the director Professor Murphree; a bottom heavy staff profile; a declining role in teaching; and an inefficient administration system. It was further concluded that funding of a third phase was justified.

The evaluators recommend that

- The Ford Foundation and the International Development Research Centre should consider favourably a proposal from CASS for further support.

- CASS should be restructured to incorporate a Trust which holds the assets and which is able to employ the staff required to decrease vulnerability and increase effectiveness, efficiency and accountability. It should also be able to provide for a staff incentive scheme.

- CASS should introduce a masters degree programme under its own banner.

- Special attention should be given to retaining the involvement of Professor Murphree after his retirement at the end of 1996.

- Administrative staff should be reviewed and reappointment should be subject to performance assessment.
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1. INTRODUCTION

The following background to the Centre for Applied Social Sciences (CASS) was provided for the evaluators by the Centre.

The Centre for Applied Social Sciences (CASS) is a postgraduate teaching and research department administratively located in the Faculty of Social Studies. Current CASS postgraduate training activities include the supervision of 8 M.Phil and 4 D.Phil candidates. CASS also provides teaching inputs in 3 courses in the Masters Programme in Tropical Resource Ecology, located in the Department of Biological Sciences. CASS and the department of Biological Sciences have been jointly designated a Regional Centre of Excellence for postgraduate teaching and research. In the past, CASS has also provided teaching inputs into courses available in other departments of the University, focusing particularly on the teaching of social research methods at both the graduate and undergraduate levels.

Since the mid 1980s, the CASS research and training programme has come to focus principally on applied social science issues in natural resources management. Much of this programme has been donor funded, principally by the FORD Foundation and IDRC. In 1990, CASS expanded its NRM teaching and research activities with another grant from the USAID. These donor programmes have essentially focused on financing research and capacity building in CASS with reference to the management of natural resources held under communal tenure regimes. More recently, a grant from NORAD has expanded the same research and capacity building activities into the management of inshore fisheries on Lake Kariba.

In terms of project organisation and activities, the FORD/IDRC funding is the 'core' resource for the centre's programme. This funding has been for two phases, phase I being a three year phase (August 1988 - August 1991) and Phase II from September 1991 to December 1994. Although phase II funding officially ended in 1994 the Centre received a one year unfunded extension of funding carried over in phase II. It is now envisaged that a third phase of funding will be put into place to continue the current CASS focus but also develop new initiatives, particularly in regional collaboration in teaching and research.

Evaluation of phase I noted several successes of phase I, as well as identifying some shortcomings of the programme. The focus of the evaluation of the phase II programme will be to evaluate the extent to which the programme attained its objectives. In addition, the evaluation will review a broad range of critical issues that will need to be addressed in the development of a regional role for CASS. Among the issues to be examined are: the extent to which the objectives of phase II (training, research, capacity building, publication/dissemination) were attained; institutional and other constraints experienced in attaining these objectives; identification of opportunities and constraints for regional projection including current CASS staffing needs and possible inter-institutional linkages with other centres in the region; current CASS staffing needs with special attention to expanding the centre's public policy and macro-economic analysis capacities as well as analyses of issues relating to the management of other natural resources under common property and related regimes; and options for strengthening CASS capacity to administer grant funding.
On the basis of the evaluation recommendations, the CASS administration, in consultation with partner donors, will draw up a strategic plan of action for the next phase of institutional development.

2. TERMS OF REFERENCE

The terms of reference for the evaluation were drawn up by CASS. Eleven specific issues were identified for evaluation. These were:

(i) To evaluate the extent to which the stated objectives of phase II were attained.

(ii) To identify the constraints experienced by CASS in attaining these objectives, and to suggest possible solutions for implementation in phase III.

(iii) To evaluate the administration of the phase II grant and to identify and recommend possible options to strengthen CASS capacity to administer grant funding, including the setting up of a semi autonomous grant administration system.

(iv) To review the current CASS staffing position in relation to phase II, and to identify potential staffing constraints in phase III and suggest possible solutions.

(v) To identify and recommend options for systems of pecuniary and non-pecuniary incentives for both academic and administrative staff. The evaluation should further identify and recommend mechanisms that would enable CASS to attract and retain high calibre academic and administrative staff given the current institutional constraints obtaining in the University as a whole.

(vi) To review current CASS initiatives in relation to the development of a regional role for the centre and to make recommendations on the staffing considerations, inter- and intra-institutional linkages within the region, and other considerations necessary for the successful implementation of the regionalisation objective. In this connection, the evaluation should also suggest ways and mechanisms to strengthen CASS' linkages with other leading teaching and research centres in the field of environmental studies/natural resources management in the sub-region.

(vii) To suggest mechanisms to strengthen CASS' linkages with other relevant departments at the University of Zimbabwe.

(viii) To recommend ways to strengthen the centre's policy and macro-economic analysis capacities, including recommending appropriate staffing, staff composition, and inter-departmental linkages. To also make recommendations regarding the expansion of CASS research and training activities to other communally held natural resources such as water.
(ix) To make concrete recommendations on the improvement of the centre's effectiveness through adjustments to structure, content, financial arrangements and collaborations with other centres, agencies and donors.

(x) To assess the need to upgrade the physical plant, including vehicles, computers, camping equipment, office accommodation etc., and recommend the appropriate equipment in line with the objectives of phase III.

(xi) To identify and recommend possible options for CASS institutional sustainability, in particular with reference to the outputs of the CASS diagnostic workshop.

Each specific issue was addressed by the evaluators. But, because of perceived overlap between certain specific issues and because of a desire to produce a readable and forward-looking report, the report is not structured around the specific issues. Table 2.1 enables the reader to locate in the report the findings of the evaluators in respect of each specific issue.

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3. APPROACH TO THE EVALUATION

Thirty days (10 days per evaluator) were allocated for the review which started officially on 24 April 1995. The team spent five days working together in Harare. During the remaining period team members prepared sections of the report which were then compiled and edited by all members.
The responsibilities of the team were to

- Review relevant documentation, including evaluations of phase I, various reports and publications of CASS and collaborating agencies such as WWF, Zimbabwe Trust, IUCN-ROSA, Campfire Association, Department of National Parks and Wild Life Management, Ford Foundation, IDRC, USAID, etc.

- Interview staff from CASS, the Dean of the Faculty of Social Studies, The Vice Chancellor of the University, the department of Biological Sciences, the Director of the Institute of Environment Studies, members of collaborating agencies, government agencies, donor agencies and other relevant persons.

- Conduct a field visit to a communal area in which CASS is actively involved in natural resource management research.

- Carry out any other activities as the team may deem necessary to fulfil the terms of reference as set out in this document.

- Produce a draft report by 15 May 1995 and a final report to be ready by 31 May, 1995.

A list of documents reviewed by the team is presented in Appendix 2. All information required by the evaluators was made available timeously.

A wide but select group of people were interviewed (Appendix 1). These included members of staff of CASS, University of Zimbabwe academic and administration personnel and staff from collaborating institutions outside of the University. An opportunity was provided for any member of staff of CASS wishing to do so, to discuss the review with one or more of the evaluators. Certain key people could not be interviewed because of their absence from the University. It is unfortunate that the Director of the Institute of Environment Studies could not be interviewed.

The team participated jointly in interviews with key people including the Director of CASS, Professor M.W. Murphree, CASS academic staff and three research fellows, the Vice Chancellor of the University of Zimbabwe Professor G. Chavunduka and with Mr G Lopez of the Ford Foundation.

Where conflicting views or information was collected it was analyzed and cross-checked so that an accurate and unbiased understanding could emerge.

The field visit was cancelled because of the number of interviews scheduled during the period 24 - 28 April. However one member of the Team (Dr Chitsike) visited one field project (Chamatamba/Mhondoro grazing and tree planting scheme) in the following week. He had also visited four Campfire districts in Matabeleland previously.
Issues considered to be critical for the future success of CASS were identified and responses were sought from interviewees where appropriate. These were:

- Whether the contribution of CASS was such that further support was warranted.
- Whether CASS should remain in the University or become a separate legal entity (an NGO).
- Whether CASS should join the Institute of Environmental Studies or remain a department in the Faculty of Social Studies.
- Whether CASS should establish its 'own' coursework masters degree programme or simply contribute to other programmes.
- Whether CASS should separate its project financial and administrative management from that of the University or continue with the present arrangement.
- How the middle management level in CASS should be strengthened.
- What should CASS' strategy be after the retirement of Professor Murphree at the end of 1996.

The response to these issues enabled the team to develop and propose an institutional structure which addresses these issues and which in our opinion promotes sustainability of CASS.

It should be noted that the Terms of Reference were preponderantly towards an evaluation and recommendations concerning the future structure of CASS rather than a straight evaluation of CASS. This report has been weighted accordingly.

4. EVALUATION OF PHASE II

4.1 Background to Phase II

The focus of this evaluation is the second phase of the International Development Research Centre (IDRC) and Ford Foundation funded programme entitled 'Social Sciences Research Programme on Natural Resource Management in Zimbabwe's Communal Lands'.

The first phase of the programme (August 1988 to August 1991) was reviewed by Munjanganja and Bell (1991) and led to Phase II (September 1991 to December 1994). Savings during Phase II permitted extension for a further year.
Table 4.1 prepared by CASS, provides an overview of its approach to Phase II. The objectives against which progress can be evaluated have been extracted from the Phase II proposal. These are:

**General Objectives**

- Provision of an applied social science research programme providing policy relevant analyses on natural resource management in Zimbabwe's communal lands and which furthers methodological objectives. The approach was to emphasise studies involving longitudinal quasi-experimental design and incorporating comparative analysis and inter-disciplinarity.

- The training objectives were to develop high level professional capacities to research and manage the environment. Targets: complete 2 M.Phils, 2 D.Phils and register 4-6 additional students.

- Create a network of collaboration within and out of the University of Zimbabwe, and assume a regional role by developing collaboration with Zambia and Mozambique. Target: structured, ongoing collaboration with the University of Zambia and establish co-operation with Universidad Edwardo Mondlane.

- Institutionalise ongoing Zimbabwean supported research and teaching activities.

- Augmentation of community and district level capacities to research, plan and implement resource management programmes (Campfire programme).

**Specific Objectives**

- Generation of policy relevant analyses, recommendations and monitoring, and evaluation feedback to local communities, district councils, Government ministries, Campfire Association and collaborating institutions. Target: 4 longitudinal case studies; 8 issue specific studies; 6 comparative studies; 4 formal evaluative reports; 20 working papers; publish 12 issue papers; publish 3/4 books.

- Provide base-line socio-economic survey data and initiatory social science inputs as a service and planning function to communities and district councils. Target: 30 wards in 12 districts.

- Provide high level professional training in social science dimensions of natural resource management. Target: 4 PhDs + 4 M.Phils completed; register 6 more; short-term training for 4; develop a library.
Table 4.1 An analysis of the approach adopted by CASS for Phase II

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| 1. TRAINING| (a) U.Z. Primary Mandate  
(b) Training Zim. Professionals  
(c) Pioneer Regional Agency for SS/Environmental Training  
(d) Replicative extensions of CASS applied and policy insights | (a) M. Phil/D.Phil. Training  
(b) M.Sc. Training  
(c) Graduate short courses  
(d) Extension training (participatory) | (a) Supervisory/admin. overload  
(b) Lack of resources-finance, space, scholarships  
(c) Academic regulations and structures: multi-disciplinary post single-subject first degrees | Staff augmentation:  
short-term expatriate, long-term internal training and recruitment  
b) Improve resource base  
donor/client funding  
(c) Revise, accommodate procedures and regulations |
| 2. RESEARCH| (a) U.Z. Mandate  
(b) Vehicle for M./Phil. D.Phil. training  
(c) Policy relevance to Zimb. development  
(d) International impact and Reputation of Zimbabwean Scholarship | (a) Longitudinal, participatory case studies  
(b) Monitoring and evaluation research  
(c) Theoretic analysis  
(d) Survey research  
(e) Publications, seminars, other feed-back activities | (a) Supervisory/admin. overload  
(b) Finance and logistic support inadequacies  
(c) Dissonance between programme/client and academic priorities/ perspectives | (a) Staff augmentation as for E1  
(a) above  
(b) Donor/client finance  
(c) Maintain coordination with Government/NGO agencies. Joint research programmes  
(d) Client and staff reorientation  
(e) Prioritization |
| 3. REGIONAL ACTIVITIES| (a) Pioneer regional agency for SS/env. scholarship  
(b) Replicative regional extension CASS approach  
(c) Regional demand  
(d) Donor demand | (a) M.Phil/D.Phil training  
(b) Regional short-term courses  
(c) Regional collaborative research  
(d) Networking with other regional institutions | (a) Political/professional xenophobia  
(b) Inadequate regional info  
(c) Multiplicity of programmes and contexts  
(d) Bureaucratic barriers  
(e) Language  
(d) High cost of logistics admin | a) Information, exchange visits, collaborating agreements  
b) Prioritization and consolidation  
(c) Language training  
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<td>(c) Retain professional staff</td>
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Table 4.1 (continued)
Other Objectives

- Run several seminars and conferences. (Target: 10 WWF/CASS seminars per year; one regional workshop; one international conference) and provide travel to seminars/conferences, regional activities, links to international links and locally, local travel.

- Acquire replacement parts and fully comprehensive insurance for vehicle fleet; establish storage facilities and a secure parking area; and acquire additional computer and camping equipment.

4.2 Attainment of Objectives

4.2.1 Policy relevant research and recommendations

Research has focused on seven aspects of policy

- Resource and land tenure policy
- Policies of devolution in decision-making and administration
- Fiscal policy
- Equity
- Internal migration
- Local self-sufficiency
- Centre/Periphery relations

Research findings were communicated to four targets: communities and district councils; government agencies and legislators; implementing NGO's and research groups; and international agencies and donors. Research publications formed the backbone for communication. Although some were directed at specific policies and targets most are relevant to a number of policy issues. Production of 44 policy publications on seven policy issues is an exceptional achievement for Phase II.

Research publications do inform policy but only at certain levels. They are ineffective for most people on the ground where personal contact and verbal communication are essential. Participation of CASS staff in numerous workshops and meetings at community, district and higher levels has been most significant in providing convincing policy rationale and legitimising it in appropriate circles; in providing corrective critiques of policy detail and implementation and in providing documentary instruments and confidence to communities in their assertions of proprietorship.
An impression of the impact of CASS policy research and communication at national levels has been the adoption of policy directions formulated by CASS by the Zimbabwe Land Tenure Commission. Should their recommendations to Government be adopted then CASS’ research in Phase II will have directed national policy in aspects critical to community based natural resource management. The evaluators are satisfied that CASS has met this objective of Phase II.

4.2.2 Collaboration

There are three sectors in which it was intended to create networks of collaboration - the University of Zimbabwe, within Zimbabwe, and particularly within the Campfire programme and regionally particularly with Zambia and Mozambique.

**University of Zimbabwe**

CASS was established as a research and service organisation. The intended service was to postgraduate courses, particularly in the field of quantitative methodology in social sciences. The proposed teaching programme was described in a document entitled 'Centre for Applied Social Science: Future Programme and Structure' dated 20.9.84 and revised 16.1.85.

"The Centre will provide teaching in applied social science research methods both within and without the Faculty in a variety of contexts along the lines developed in 1984. Currently the Centre, on a limited and experimental basis, is providing this service as follows: (a) one half of the MSc(Econ) course in Applied Research Methods in Economics; (b) teaching modules in the Postgraduate Diploma in Rural Development Planning; (c) teaching modules in the MA in Adult Education. This teaching service will be continued and expanded, with special attention being given to postgraduate training requirements identified by the Ministry of Labour, Manpower Planning and Development.

The Centre shall consider, if requested, the assumption of the conduct of other teaching responsibilities in applied social science fields".

Currently CASS staff make a significant and valued contribution to teaching in the MSc in Tropical Resource Ecology, to the MSc in Tropical Hydrobiology and Fisheries and to the MSc in Entomology. Conflicting views on the continued involvement of CASS in these programmes were heard. The Chairman of the Department of Biological Sciences indicated that there was a move towards greater specialisation, decreasing the potential role for CASS whereas Professor du Toit, the leader of the programme, and the Director of CASS both felt CASS’ role would be maintained and probably strengthened.
As CASS and the Department of Biological Sciences have jointly been recognised as a Regional Centre of Excellence for postgraduate teaching and research it would be most unfortunate should the joint endeavours be threatened.

Demand for quantitative courses from CASS in other masters programmes has fallen away. In part this has been because of a move away from a methodological approach to these courses and in part because of development of 'in house' capacity to address the method components. The evaluators were, however, left with an uneasy feeling that a declining commitment from CASS staff to participation also contributed. CASS was invited to participate in a new master's programme in the Department of Geography. Unfortunately the efforts of the director to participate actively in planning the development of the course were not successful. Dr Murombedzi has provided lectures for the course in 1995 but it is not clear to the evaluators whether these are satisfactorily integrated into the programme.

There is a widely held view amongst people interviewed that staff involvement in research and extramural issues has grown at the expense of teaching. The commitment of staff to teaching has been questioned. The University has provided CASS with 6 academic posts which, if all were appropriately occupied should be sufficient to supervise and train 24 to 30 postgraduate students and provide some teaching service to other programmes. It is acknowledged by the evaluators that

- salary scales at the University are not attractive at the senior level and that this has contributed to employment of staff who are insufficiently qualified to supervise and train students
- the 'action research' nature of the work of CASS which requires staff to have a high level of contact with the clients and stakeholders creates demands on staff time which makes it difficult to achieve the same level of involvement in teaching and research as other academic staff
- the salary scales, particularly at the senior level encourage the staff to engage in consulting for personal gain. This inevitably results in a conflict of interests which adversely affects academic functions.

Teaching has been central to the motivation for establishment posts in the Centre. In the document referred to above it is stated (paragraph 5.1.2) that implementation of the programme for CASS will require

"Two teaching posts. (To provide for the teaching services outlined in 4.1 above. One of these posts should be filled by a specialist in social sciences research methodology, survey design and data collection methods. The other should be filled by a specialist in quantitative and statistical social science, data collection, processing and analysis. In addition to providing
these services the incumbents will be expected to participate in the administrative and research functions of the department)".

And in the 1990 Preliminary Estimates the staff establishment indicated three lecturers which further supports the intention that CASS should contribute significantly to teaching.

Perceptions of failure to 'deliver' teaching within the University weaken the position of CASS in its negotiations with the University. Provision is made for 'the posts assigned to the Centre as per 5.1' to be 'reassigned at some future date if appropriate' (refer document referenced above). If such reassignment has occurred it appears not to have been formally approved and the expectations that CASS should engage in teaching have not been lessened.

The CASS/WWF Seminar Series has contributed usefully to networking within the University. Concern has been expressed that the series has lost impetus recently. The relationship between CASS and the Institute of Environmental Studies has not been defined. Whilst the Institute provides opportunities for CASS it is also perceived by the evaluators as a potential threat. In the opinion of the evaluators CASS should take appropriate steps to strengthen its position in the University.

It is concluded by the evaluators that pressing commitments to meet other objectives in Phase II and to completing research requirements for higher degrees by three key staff have resulted in the objective of networking within the University being only partially realised notwithstanding the wide spread goodwill which CASS enjoys. It is the opinion of the evaluators that this objective needs to be addressed urgently if CASS is to secure its future within the University. Suggestions on how this may be achieved are presented in Section 4.3.

**Campfire Programme**

CASS has played and continues to play a formative role in the Campfire Programme. Its role was clarified in a Programme Strategy Workshop held in 1992 (reproduced in Table 4.2). It does not have a primary responsibility for networking the Campfire Programme.

During the period under review CASS, and particularly Professor Murphree has provided leadership. His increasing involvement in other matters has created some uncertainty about the capacity of CASS to fulfil its role. There is growing appreciation for the contributions of Dr Murombedzi and Dr Nhira, and for the fisheries programme led by Jeremy Jackson. It was readily acknowledged that these members of staff could provide strong leadership and links with the Campfire Programme in the future.
Evidently meetings with the Ministry of Local Government at which various issues of policy and Campfire implementation were discussed were neglected. This has contributed to an undercurrent of unresolved conflict between wildlife committees and district councils and the Ministry of Local Government. It can be reasonably questioned if involvement of CASS in these activities is appropriate. It appears that stakeholders have certain expectations and CASS should therefore define its role more precisely.

In the Technical/Progress Report and Financial Report of October 1992 CASS identifies one of its roles in the Campfire Programme as "Participatory and other research inputs". Concern has been expressed that CASS positions itself outside of the process of development and is therefore remote from the issue on the ground. Concern has also been expressed that research topics are not always relevant to key research needs eg. land tenure is ignored whilst topics perceived to be important eg. ecotourism are addressed.

The evaluators concluded that CASS has not had the capacity to fulfil all its obligations sufficiently and is not perceived to be promoting a participatory approach to research. It needs to do so to strengthen its role in the Campfire Programme.

Regional and International Networking

Five primary activities were envisaged for Phase II

- Collaboration with the University of Zambia and the Department of Fisheries, Zambia will be strengthened through the NORAD project
- Collaboration with the University in Maputo will be explored
- The USAID regional natural resource management project will organise regional meetings and activities, in which CASS is expected to be a prominent contributor
- CASS will consider hosting individuals nominated by natural resource agencies in Zambia, Mozambique or Botswana for short-term (1-2 month) attachments to CASS field research staff
- Collaborate in regional workshops and conferences.

In its progress report of October 1992 CASS noted that it had "begun to play a role in the regional Natural Resource Management fora" and "It is also in the process of developing links with the IUCN and in the development of a regional training and networking programme".

13
Table 4.2 Role clarification of CASS in the Campfire Programme

<table>
<thead>
<tr>
<th>PRESENT ROLE</th>
<th>PROBLEMS CONSTRAINTS</th>
<th>FUTURE ROLE</th>
<th>RESOURCES AVAILABLE</th>
<th>WE EXPECT</th>
<th>WE OFFER</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Research (including participatory)</td>
<td>- Staffing</td>
<td>- Research (including participatory)</td>
<td>- 5 Support/ administration staff</td>
<td>PARKS</td>
<td>- Reliable, timely and relevant monitoring and evaluation information</td>
</tr>
<tr>
<td>- Training</td>
<td>- Information dissemination (accessibility)</td>
<td>- High level (Post-Graduate) training, locally regional</td>
<td>- 11 academic staff</td>
<td>Short Term</td>
<td>- Trained personnel participatory appraisal</td>
</tr>
<tr>
<td>- Advocacy</td>
<td>- 'Pure' vs Applied Research</td>
<td>- Short term training on environment and resource management</td>
<td>- (Out of 16, 11 funded through the projects)</td>
<td>Adoption of monitoring and information</td>
<td>- Participatory appraisal training for implementors at all levels</td>
</tr>
<tr>
<td>- Consultancy</td>
<td>- Bureaucratic constraints in which CASS operates</td>
<td>- Accessible information</td>
<td></td>
<td>ZIMTRUST</td>
<td>- User readable information</td>
</tr>
<tr>
<td>- Monitoring and evaluation</td>
<td></td>
<td>- Social impact assessment</td>
<td></td>
<td>Access to monitoring and evaluation information</td>
<td></td>
</tr>
<tr>
<td>- Contribute to development of Policy Options</td>
<td></td>
<td>- Consultancy</td>
<td></td>
<td>WWF</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Monitoring</td>
<td></td>
<td>- Interdisciplinary approaches CAMPFIRE ASSOCIATION</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Contribute to development of Policy Options</td>
<td></td>
<td>- Accountability to producer communities</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>- Self-sufficiency</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>- Effective lobbying USAID</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>- Flexibility</td>
<td></td>
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<td></td>
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<td></td>
</tr>
</tbody>
</table>
Regional networking and collaboration has strengthened notably during Phase II. The joint (with IUCN and GTZ) six week Training Course entitled "Human and Social Perspectives in Natural Resource Management" has been very successful and has received wide acclaim. It is a most valuable regional networking initiative. Participants have been drawn from Zambia, Mozambique, Angola, Botswana, Swaziland and Zimbabwe. There is a big regional demand for training in community based natural resource management. Expansion of CASS' activities both regionally and vertically so as to address different levels of resource management could provide both an important service and a source of income which would contribute to the sustainability of CASS. Income from training is envisaged as a source of financing CASS in the future (Section 4.3.3 and figure 4.1). The collaborative fisheries project could provide CASS with new opportunities for training.

One workshop was conducted in Mozambique and personnel from Mozambique visited Zimbabwe on three occasions. Recent initiatives also with the IUCN, promoting a network for regional collaboration in post-graduate training are also yielding benefits. A regional workshop will be held in October. CASS has played a key role as catalyst.

The SADC Fisheries Project funded by NORAD/DANIDA is conducted jointly by CASS, the Department of Parks and Wildlife (Zimbabwe), the University, The Lake Kariba Research Station and the Zambian Department of Fisheries. With researchers drawn equally from Zimbabwe and Zambia it provides a firm base from which to promote regional cooperation. Unfortunately little progress has been made with establishing collaboration with the University of Zambia.

CASS has made presentations at two meetings in South Africa and the South African/Zimbabwe scholars meeting was hosted by CASS. One University of Namibia staff member was funded for M.Phil registration with CASS. CASS and particularly Professor Murphree, is active internationally in other IUCN programmes and in international conventions. His endeavours to promote devolution to the region of initiatives is most important for capacity building and networking in the region.

The visiting fellow exchange programme is also contributing significantly to the building of regional and local capacity. The evaluators' conclusions are that CASS has met its objective of Phase II and is widely respected for the role it is playing in regional networking. This role is, however, adversely affecting local national and University activities. Given the expressed policy of the Ford Foundation, of promoting regional initiatives, it is necessary for CASS to find ways of building its capacity to foster networking at all levels from international to local. Suggestions as to how this may be achieved are made in Section 4.3.
4.2.3 Zimbabwean supported research

The Phase II Grant Agreement required that CASS should

"... institutionalise ongoing Zimbabwean Research and training activities on decentralised natural resource management as a basis for a broader and longer-term programme".

CASS uses two criteria to assess achievement

- recognition / expectation / acceptance by relevant Government / non-Government agencies that research and training on the institutional aspects are a necessary component in planning and implementation and

- Acceptance by the University of Zimbabwe that applied social and ecological research should be accorded the same status and support as the traditional disciplines.

It will be evident from Section 4.2.2 that CASS has made notable progress with internalizing the fundings of research on decentralized natural resource management into policy recommendations by the Land Tenure Commission which have been reported publicly to include

- greater security of tenure

- the passing on of full rights of the land to the village communities including

- administrative functions on land and natural resources.

Growth in the number of districts adopting the Campfire approach is also indicative of success with institutionalizing the research and training activities in NGO's and district and community administration.

The evaluators are of the opinion that through applied research of high quality and through structured interaction with various levels of government and with communities there is good cause to believe that CASS has met the first criterion for success.

Interviews with members of staff of the University indicated overwhelming support for CASS and its applied approach to research. It is common cause that CASS has enhanced the reputation of the University and that very substantial research grants have been brought into the University. But, with the present system of financial administration of the University (Section 4.2.10) little financial benefit has extended beyond CASS itself. In fact poor financial administration of grants, particularly of the USAID grant, has incurred substantial cost for the University.
Overall the evaluators believe that CASS has achieved its objective of institutionalizing research and training activities and has laid a firm foundation for a longer-term programme.

4.2.4 Augmentation of community and district level capacities

CASS is a research institution. It does not have a primary responsibility for augmenting community and district level capacity. This is achieved as a 'second step' by government, NGOs, community and district councils picking up and acting upon recommendations emerging from research. Recent recommendations of the Land Tenure Commission (Section 4.2.3) and views expressed by interviewees (Sections 4.2.2 and 4.2.8) indicate that this objective has been met. An unexpected benefit has been that CASS research has provided leverage for other institutions seeking funding for activities in the Campfire programme.

4.2.5 Policy relevant analyses and recommendations

Refer Section 4.2.1.

4.2.6 Base-line surveys

Base-line surveys provide a yardstick against which progress can be measured. They are labour intensive and therefore costly.

During Phase II CASS invested heavily in base-line surveys, involving 32 wards and 3,428 households. CASS does not, however, perceive this as its most important impact. In fact it has been little used in planning and monitoring. However, base-line surveys are of inestimable value in the long-term (ie. longitudinal studies); in informing communities; and when policies are implemented.

It is not reasonable to expect the base-line surveys to yield their real value in a phase with a duration as short as three years.

CASS has fully met the Phase II objective of conducting base-line surveys.

4.2.7 Professional Training

The stated objective for Phase II was to develop high level professional capacities to research and manage environment. It was envisaged that 4 M.Phils and 4 PhD's would be completed and that an additional 4-6 students would register for higher degrees. At the time of the evaluation 3 D.Phils had been completed and evidently two others are nearing completion. No M.Phils were completed although 11 students have been registered.
There was no target for short-term courses for Phase II. Since the start of the CASS/IUCN short course 67 students have received training. The quality of professional training at CASS has been promoted through opportunities given to staff to study abroad at the Oxford Forestry Institute, Oregon State University and the Stockholm Environment Institute. CASS deservedly has a very good reputation for professional training in the region. There is widespread acclaim for the originality, quality and relevance of research conducted under the auspices of CASS. Whilst it is clear that the objective for Phase II has been surpassed, three concerns were brought to the attention of the evaluators.

(i) Students are frustrated by the length of time it takes to register for higher degrees and to an extent also with what they perceive as an 'open ended' approach. They desire a structured approach where they are helped to complete the degree in a 'reasonable period'.

(ii) There is a widespread feeling (inside and outside the CASS) that growing commitments and insufficiently experienced staff have resulted in inadequate supervision of research students. This probably also contributes to the extended period required for registration and to the unacceptably long duration of research for a higher degree. Whilst the contribution made by visiting researchers is readily acknowledged, their role in supervision of research has been questioned. There is a feeling that students are 'pulled in different directions' by short-term visitors and the staff of CASS.

(iii) There is a feeling amongst staff and students that students registering for higher degrees are not well prepared, particularly for independent research.

Allied to these concerns is one expressed by some colleagues in the Campfire Programme who have expectations of a 'quick return' from research. This view is not entirely substantiated and the list of publications suggests a good flow of information on relevant issues. But better defined, better supervised and shorter term research projects could promote more rapid progress in the Campfire Programme.

The evaluators are of the opinion that these issues can be addressed by introducing a coursework Masters programme coordinated by CASS and in which CASS can register its own students; by using the MSc programme to prepare students for D.Phil degrees; by using the masters course dissertation to address short-term needs; by using the D.Phil programme for longer term fundamental research and by strengthening middle management in CASS. These requirements are incorporated into the proposals for future structure, operation and management in section 4.3.
4.2.8 Communication

Applied research institutions have to communicate effectively to be successful and to build a profile. In this section we evaluate three components of CASS' activities: publications; seminars; and conferences and workshops. Some aspects of communication are addressed in section 4.2.2.

As a University research institution CASS needs to communicate with peers conducting research. An effective measure of achievement is the number of publications in peer-reviewed internationally distributed journals.

As an institution conducting applied research it should communicate effectively with clients and stakeholders. A useful measure of achievement is the number of less formal publications (reports, working papers, etc.).

The intentions of CASS in Phase II were set out as follows.

- Publications
  In Phase II a more active publication programme will be pursued. Three levels of publications are planned: a) CASS working papers and formal reports to government bodies and implementing agencies. b) Issues papers articles and small monographs, for a wider regional and international audience. On the issue papers, discussions have been held with IIED (London) on proposals for joint CASS/IIED publications in their 'issues' series, reaching a circulation of about 3,000, largely in the Third World. c) The publication of 3 - 4 books, either edited volumes or monographs.

- Seminars and conferences
  CASS has in Phase I started with WWF a successful seminar series bringing together people working in natural resource management from within and outside the University. This will continue in Phase II. One regional workshop and one regional/international conference are planned for Phase II. Publication of the proceedings of these is envisaged.

From Table 4.3 it is evident that in all except two categories the targets are exceeded. No books were produced although short monographs and chapters in books were published. Taken together with information from the interviews it is clear that CASS has more than met its objectives in respect of clients and stakeholders. It has not recently achieved the objective of peer-reviewed publications which are vital for building staff profiles. More commitment to this aspect of communication is required. With the graduation of Drs Murombedzi and Nhira greater achievements can be expected in the future.
CASS in partnership with WWF operate a seminar series which has wide support inside and outside of the University. The target was 10 p.a. and whilst achievement was only 6 p.a. the reduction is more than offset by the number (12 p.a.) of in house seminars.

The target for conferences was one regional and one international during Phase II. Whilst one very successful regional conference was held the international conference was not. However, staff and students from CASS participated in international conferences. If CASS can strengthen middle management as indicated in section 4.3.3 then it would have the capacity to organise an international conference which would have inestimable benefit for the region.

Taken as a whole CASS can be proud of its achievements in communication especially in view of its ‘bottom heavy’ staff structure.

Table 4.3 Publication targets and inputs for Phase II

<table>
<thead>
<tr>
<th>ITEM</th>
<th>TARGET</th>
<th>OUTPUT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Longitudinal case studies</td>
<td>4</td>
<td>6</td>
</tr>
<tr>
<td>Issue specific studies</td>
<td>3</td>
<td>12</td>
</tr>
<tr>
<td>Comparative studies</td>
<td>6</td>
<td>8</td>
</tr>
<tr>
<td>Working papers</td>
<td>20</td>
<td>14</td>
</tr>
<tr>
<td>Issue papers</td>
<td>12</td>
<td>12</td>
</tr>
<tr>
<td>Books</td>
<td>3/4</td>
<td>2 (refer to text)</td>
</tr>
</tbody>
</table>

Note: This table is reproduced from a letter written by Professor Murphree (1.5.95).

4.2.9 Equipment

Term of Reference (x) requires the evaluators to assess the need to upgrade the physical plant (vehicles, computers, camping equipment and office accommodation) and recommend appropriate equipment in line with the objectives of Phase III. In the absence of firm proposals at this stage from CASS as to the character of a Phase III, the evaluators have reviewed CASS’ current physical plant in accordance with their perceptions of what the objectives of a Phase III of the Ford/IDRC project seem likely to be. On this basis Phase III will largely be concerned with the creation of structures to sustain CASS in the future, together with some continued funding of existing research and monitoring activities, and possibly a major new teaching role for CASS (section 4.2.7).
At present CASS occupies 272 square metres of space at the University. This is used for staff offices, a library, a library/seminar room and a computer room. It also has a small storage facility at the Maintenance Yard on the campus. This space is provided free of charge to CASS and at market rates would cost in the region of ZS10,000 per month. It is evident that CASS does require more office space as many offices are overcrowded, being shared by staff members or also being used as storage space. The Libraries are cluttered and untidy - partially due to poor management but also due to a sheer shortage of adequate storage space. Any expansion in CASS' staff numbers or activities would place a severe strain on office space, and almost certainly mean further doubling-up or housing some staff members in temporary accommodation loaned by another UZ department at an inconvenient distance from CASS. Already CASS is spread around to a degree, and has to communicate between the headquarters office and the Natural Resources Management Library by walkie-talkie due to the shortage of telephone extensions on campus.

On the basis of the evaluators' investigations it appears highly unlikely that the university could make further space available to CASS in the foreseeable future - the only prospect is the possibility of 6 further offices in a new building to be constructed for the MSc in Tropical Resource Ecology programme using European Union financing. However, when this building will be ready is uncertain, and it seems probable that CASS would have access to the space somewhat as "a favour" and dependent on CASS continuing to play a significant role in the MSc programme run by the Department of Biological Sciences. Consequently, the evaluators have concluded that CASS will either have to purchase or rent space off campus, in the Belgravia/Alexandra Park area of Harare, where many older, larger houses have been converted to office space. Further suggestions in this regard are set out in section 5.

In developing its plans for the future CASS will also need to take into account the fact that it receives electricity, water, cleaning, maintenance, messenger, mail and local telephone services from the university at no direct cost. Whilst most of these services could probably be supplied more efficiently (particularly the PABX service) in other ways, especially at different premises, their future cost will be significant.

Through the Ford/IDRC Phase I grant and its USAID project funds, CASS has acquired a reasonable fleet of vehicles to enable it to carry out its research and field activities. A schedule of its vehicles is attached as Table 4.4. The majority of vehicles are less than 5 years old, but five have done more than 100,000 kms. As they are almost all diesel and reportedly in good condition (except for one Toyota Hilux), with careful driving and regular maintenance they should be able to provide 3 or 4 more years of service. The need for any replacements or additional vehicles will have to be judged on the basis of the activities to be undertaken: the evaluators' proposals for CASS' future structure would not require more than one or two ordinary passenger cars.
(e.g. Mazda 626 or 323) for allocation to management staff. However, if future research activities indicate a need for further field, rough road type vehicles, it is recommended that the previous choice of 4-wheel drive vehicles for this use be carefully reviewed. Four wheel drive vehicles may not really be necessary, except in rare cases (field work during the rainy season?) and consequently cheaper vehicles (both to buy and to operate) may be quite sufficient.

The evaluators were slightly concerned at the lack of system and rigour in the process of monitoring the use of the existing fleet and ensuring that regular maintenance and repairs were undertaken. Although only one vehicle appears to have been written-off, a number of accidents have occurred, and some of the research staff reported adversely on the reliability of the vehicles in field conditions. Given the relative newness and low mileage of most of the vehicles, this points to poor maintenance. There was no evidence that running costs per vehicle were monitored and reviewed in any systematic manner, and yet vehicle operating costs must be a major component of CASS' overall expenditure. CASS could well benefit from obtaining advice from an expert on the design of an effective vehicle fleet maintenance programme and policy, and the evaluators believe the proposed future structure for CASS (section 4.3) will enhance CASS' capability to manage its fleet efficiently.

CASS is very well equipped with computer and office equipment as is demonstrated in the schedules at Tables 4.5 and 4.6. The IDRC grants have been the major source of this equipment, together with the USAID grant for some recent purchases. CASS is arguably over-equipped with computers (with a total holding of 19), but as the majority are 286 computers, which will soon be obsolete even for routine word processing, and as three of the 386's are apparently irreparable, CASS should initiate a planned rationalisation and replacement of these machines with 486's. It would also assist maintenance and flexibility if CASS could standardise on one manufacturer that is well supported in Zimbabwe (e.g. Acer, Compaq, Dell, IBM etc) for its computer equipment instead of the rather eclectic variety represented in its current PCs and monitors. A similar suggestion applies to its stock of printers which should, however, give several more years of service. In the near future it would be useful for CASS to acquire a further high quality laser printer for the production of reports and other Desk Top Publication applications, and a high quality 24 pin dot matrix printer (much cheaper to operate) for better quality drafts and correspondence. A stock of 10 printers in a department of CASS' size seems excessive, but in the time available it was not possible to assess the extent to which the printers were used. Again, modernisation of printers should be an opportunity to rationalise.

CASS has most of the software which it requires (including SPSS-PC). Although some of the word processing and spreadsheet packages are old versions, it does have the newer versions available somewhere in the Department. Until the stock of computers is upgraded it would not be possible to install the latest versions on all machines anyway. A unit such as
CASS will shortly have to decide whether to switch to a Windows operating environment, as trying to operate in both a DOS and Windows environment is probably not a wise long term choice. The major deficiency in CASS' software is the lack of a simple accounting package to manage its finances. On the basis of the cursory examination which was possible, its use of Reflex for this purpose appeared inadequate. In the new structure proposed for CASS an accounting package such as Accpac, Pastel or Brilliant will be essential, and provision for its purchase should be included in any Phase III grant to enable the new structure to commence operations on the right basis.

The other office equipment acquired by CASS seems to be more than adequate and in good condition. Although two of CASS' five photocopiers are apparently in poor condition, the Xerox 5365 is a superb machine, and perhaps something of an overkill! Once again, however, the evaluators were struck by the apparent lack of control over use of the photocopiers, and the absence of a system to monitor photocopying costs, which must be very significant. Use of photocopiers (particularly with the lavish supply of five available), like telephones, is very expensive and should be carefully monitored, with costs being allocated to users' budgets in an attempt to control expenditure. In the future structure proposed for CASS such control will be essential. Virtually all the other office equipment is relatively new, and the need for additional acquisitions should be minimal. The recent purchase of a fax machine seems somewhat premature, as CASS does not have access to a direct telephone line, and is unlikely to secure one in the immediate future. However, a fax machine will be required when some of CASS' operations take place from an off-campus site, and so the machine could be held until needed!

Through the Ford and USAID grants, CASS has built up a good stock of the camping equipment essential to enable its staff to carry out field work. The inventory of camping equipment supplied to the evaluators indicates that CASS has most of what would be required to enable quite large groups of staff/students to be in the field simultaneously, and no major adverse reports about the equipment were received. In terms of the existing equipment, the only comment is that it would seem to make sense to have stocks of all items sufficient for the likely number of personnel to be in the field at one time. For example, whilst CASS has tents for 24, it has sufficient stretchers or mattresses for 14, sleeping bags for only 6, and cups and dishes for 12. If staff were likely to be in the field in more than one team and at different places simultaneously, additional gas cylinders and gas cookers would be needed. The only items which are absent from the inventory are large water storage vessels, camping showers and folding camp tables. It is suggested that CASS should review its camping equipment inventory in the light of potential maximum simultaneous use, and only acquire further items if they are to be used very extensively for sustained periods of time. An alternative, cost effective approach, is to hire additional equipment when it is required. It was not possible to assess the quality or wear and tear of the equipment, but good, regular maintenance and cleaning are vital to serviceability in the field and long life. It was not clear whether the technician who is in charge of the camping equipment had systems in place to ensure such maintenance.
<table>
<thead>
<tr>
<th>VEHICLE TYPE</th>
<th>REGISTRATION NUMBER</th>
<th>GRANT</th>
<th>MAIN USER</th>
<th>DATE ACQUIRED</th>
<th>KMS DONE</th>
<th>DIESEL PETROL</th>
<th>CONDITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>LandCruiser pick-up</td>
<td>496-151K</td>
<td>IDRC</td>
<td>Murombedzi</td>
<td>1990</td>
<td>120 000</td>
<td>D</td>
<td>Good</td>
</tr>
<tr>
<td>LandCruiser pick-up</td>
<td>496-052L</td>
<td>IDRC</td>
<td>Nhira</td>
<td>1990</td>
<td>87 000</td>
<td>D</td>
<td>Good</td>
</tr>
<tr>
<td>Hilux</td>
<td>512-410R</td>
<td>IDRC</td>
<td>Jackson</td>
<td>1991</td>
<td>67 000</td>
<td>D</td>
<td>Very good</td>
</tr>
<tr>
<td>Hilux</td>
<td>526-269F</td>
<td>IDRC</td>
<td>Nabane</td>
<td>1991</td>
<td>93 000</td>
<td>D</td>
<td>Very good</td>
</tr>
<tr>
<td>Hilux</td>
<td>445-373A</td>
<td>IDRC</td>
<td>Pool</td>
<td>1987</td>
<td>180 000</td>
<td>D</td>
<td>Poor</td>
</tr>
<tr>
<td>Ford Laser</td>
<td>411-687K</td>
<td>FF</td>
<td>Kawadza</td>
<td>1983</td>
<td>53 000</td>
<td>P</td>
<td>Poor</td>
</tr>
<tr>
<td>Hilux</td>
<td>504-910P</td>
<td>USAID</td>
<td>Dzingeraí</td>
<td>1990</td>
<td>100 000</td>
<td>D</td>
<td>Good</td>
</tr>
<tr>
<td>Hilux double cab</td>
<td>504-909N</td>
<td>USAID</td>
<td>Hasler</td>
<td>1990</td>
<td>?</td>
<td>D</td>
<td>Good</td>
</tr>
<tr>
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<td>492-694L</td>
<td>USAID</td>
<td>Pool</td>
<td>1990</td>
<td>180 000</td>
<td>D</td>
<td>Good</td>
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<tr>
<td>LandCruiser Station wagon</td>
<td>492-695M</td>
<td>USAID</td>
<td>Res Fellows</td>
<td>1990</td>
<td>190 000</td>
<td>D</td>
<td>Good</td>
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<tr>
<td>Jeep Cherokee</td>
<td>578-429B</td>
<td>USAID</td>
<td>Murphree</td>
<td>1994</td>
<td>7 000</td>
<td>P</td>
<td>Good</td>
</tr>
<tr>
<td>COMPUTER TYPE/SPEED</td>
<td>HARD DISK SIZE</td>
<td>DISKETTE DRIVES</td>
<td>MONITOR</td>
<td>DATE ACQUIRED</td>
<td>MAKE</td>
<td>LOCATION</td>
<td>GRANT</td>
</tr>
<tr>
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</tr>
<tr>
<td>486/60</td>
<td>169</td>
<td>Dual</td>
<td>Colour</td>
<td>1993</td>
<td>Olivetti</td>
<td>107</td>
<td>IDRC</td>
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<td>Dual</td>
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<td>1993</td>
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<td>Dual</td>
<td>Colour</td>
<td>1993</td>
<td>Olivetti</td>
<td>108</td>
<td>IDRC</td>
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<td>Triumph</td>
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<td>1990</td>
<td>Relysis</td>
<td>Res Fellows</td>
<td>USAID</td>
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Table 4.5 (continued) CASS computers
Table 4.6 CASS office equipment

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<tr>
<th>EQUIPMENT TYPE</th>
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<th>DATE ACQUIRED</th>
<th>LOCATION</th>
<th>GRANT</th>
<th>CONDITION</th>
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<td>IDRC</td>
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<td>IDRC</td>
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<td>Comp Room</td>
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<td>IDRC</td>
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<td>NRM Library</td>
<td>IDRC</td>
<td>Good</td>
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<td>224</td>
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<td>103</td>
<td>IDRC</td>
<td>Poor</td>
</tr>
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<td>Library</td>
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<td>Good</td>
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<tr>
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<td>102</td>
<td>IDRC</td>
<td>Good</td>
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<tr>
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<td>Memo scriber</td>
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<td>102</td>
<td>IDRC</td>
<td>Good</td>
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<tr>
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<td>Kenwood</td>
<td>1993</td>
<td>102</td>
<td>IDRC</td>
<td>Good</td>
</tr>
<tr>
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<td>Kenwood</td>
<td>1993</td>
<td>NRM Library</td>
<td>IDRC</td>
<td>Good</td>
</tr>
</tbody>
</table>

Table 4.6 (continued) CASS office equipment
In general therefore the evaluators feel CASS is well equipped with vehicles, computers and office and camping equipment. Some of the equipment will need upgrading and rationalisation in the near future, the 286 computers will need to be upgraded very soon, and it is possible that some additional items will be required to service the new structure proposed for CASS, but these should be minimal. The evaluators' doubts about the effectiveness of maintenance systems and procedures, and control procedures on usage/expenditure should be resolved by the new organizational structure. The major area of concern and future expense is office accommodation - further space is required, but will only be available at significant cost.

4.2.10 Administration of the Grant

In addition to the evaluation of the extent to which Phase II objectives were achieved, the Terms of Reference require an evaluation of the administration of the Phase II grant (ToR iii) and a review of the Phase II staffing position (ToR iv). These reviews are placed in the context of CASS' capacity to administer significant grant funding and to manage additional funding in the future, particularly through a Phase III of the Ford/IDRC grant.

The evaluators interpreted these requirements as not amounting to an audit of the Ford/IDRC funding for Phase II - such a review presumably being available to CASS, Ford and IDRC through the University's normal annual financial audit. The evaluation therefore concentrated on how the funds were managed to attain Phase II objectives, and an assessment of the degree to which current structures, systems and management practices would cope with additional funding.

The evaluation team was supplied with copies of the Approved Budget for Phase II, showing a commitment to funding of US$234 000 from Ford Foundation (FF) and US$266 800 from IDRC over the 3 years of the project (October 1991 to September 1994), joint annual reports to Ford and IDRC, and copies of correspondence concerning applications for "unfunded" extensions of the grants through until 31 December 1995. The annual reports include financial statements from the UZ Bursar's Department and appear to have satisfied Ford and IDRC. The apparent agreement from both donors to the request for an unfunded extension suggests reasonable donor satisfaction with the administration of the grants. The donors paid the bulk of the funding to the University, where for accounting purposes it is held in separately identified accounts within its Specific Funds section, through which all donor funds to the university are controlled and administered. All the funding from IDRC advanced up to December 1994 was paid direct to UZ. In the case of FF funding advanced up to October 1994, an amount of US$16 900 was paid to Oregon State University, US$2 500 to Dillons Bookshop, and US$4 751 to Zimtrust. The total amount received by UZ expressed in ZS was as follows:
On the basis of the original approved grants, balances of US$25 694 on the FF grant and CZ$169 207 (approximately US$144 620) remain to be paid to UZ during the unfunded extension period. The summary of expenditure on the grants (attached as Table 4.7) indicates that, by the reporting dates in late 1994, there had also been under-expenditure relative to budget: 13% on the FF grant, and 6% on the IDRC grant. If expenditure is compared to funds received/available, however, the FF grant was underspent by ZS480 882 (37%) whilst the IDRC grant was overspent by ZS196 742 (28%). The various reports produced indicate a disconcerting tendency to report different figures for apparently the same receipts/payments previously reported without explanation as to the change, but the alterations are minor and relatively insignificant. The expenditure budgets for the two grants have not been revised to take account of the increased income received through the depreciation of the ZS, and in two cases, even in comparison to stated budgets, expenditure considerably exceeded budget (Office Supplies/Communications, 376% over; and Salaries and Allowances, 30% over) whilst in all other cases it was significantly under budget. The major problem identified for management and control purposes was the lack of proper budgets and an analysis of actual income and expenditure to budget (apparently a practice in all CASS’ financial management).

It is also difficult to assess to what extent specific, precise activities have been included in the budgeting that has taken place. The annual reports, with all due respect to the authors, are surprisingly vague as to what actually happened in each year under each budget line item, and often tend to confuse the issue with accounts of CASS activities not funded by FF/IDRC. Whilst this reflects the flexible, core nature of these grants to CASS, it also demonstrates a management style where budgets and variance reporting are apparently not seen as important. There is a casualness about things financial in CASS which needs to be addressed if significant further funding is to become available and be managed properly.

The financial management systems within CASS are inadequate to manage resources of the size being received: the system of the Accounts Clerk simply recording expenditure in a computer, whilst perhaps just adequate to allow some form of reconciliation between the Centre’s records and those of the UZ Bursar, is totally inadequate for management control purposes and decision making. Ideally, income and expenditure budgets should be prepared showing anticipated monthly receipts and expenses for each grant, against which actual receipts and expenditure may be analysed, with significant variances being investigated and adjustments made to allocations as project requirements or circumstances change. On the evidence available to the evaluators, it is not
surprising that both Phases of the FF/IDRC grant did not succeed in completing their objectives within the agreed time frame, and that considerable under-expenditure occurred: the management systems to ensure timeous completion are simply not in place. Of relevance here is the fact that over the period of Phase II the project benefitted from the depreciation of the ZS (from a rate of approximately US$1,00 = Z$5,00 at the beginning of Phase II to a rate of US$1,00 = Z$8,50 at present). Although the Phase II project proposal indicated that no specific account was to be taken of the anticipated devaluation of the ZS over the period of the project (as benefits were expected to be balanced by increased inflation in Zimbabwe), CASS management should have regularly revised budgets to allocate the additional income received.

The administration of donor funding in terms of monitoring income and expenditure appears to be the responsibility of the Programme Administrator and the Accounts Clerk, but they seem to have relatively little awareness of how the budget was reached or what precisely is supposed to take place within each project line item. Consequently, unless an academic member of the Centre takes a management leadership role for each project and attempts to manage it by budget, it is quite understandable that significant variances occur. The staff profile of CASS reveals an almost total absence of what could be regarded as middle management staff, which must exacerbate the problem of managing the grants. It is probable that, as CASS has grown from a relatively small Department to one with a large number of projects and a fairly large staff of researchers and graduate students, informal means of communication are no longer sufficient. CASS requires a systematic method of informing all staff of recent developments and proposals generally, whilst providing more regular and fixed reporting mechanisms for its donor funded projects to ensure that all staff involved are fully appraised of developments and alterations.

The evaluators did not secure a definitive explanation of why it had not been possible to complete project activities and spend all funds received by due date. While several reasons seem to have contributed (recruitment delays due to UZ’s over-elaborate appointment procedures, the swopping of research staff from one project’s funding to another, fairly extensive study leave overseas by project staff), a lack of hard driving, determined, purposeful programme management seems to have been the major reason.

The fact that project funding is administered by the UZ Bursar’s Department was constantly highlighted as a problem and a constraint to timeous and accurate financial reporting. The evaluators’ investigations confirmed that the Bursar’s Department is not adequately structured to effectively manage donor funding coming into UZ, let alone cope with varying donor reporting requirements. Although staffing in the Department in respect of Specific Funds administration has been very stable, the systems are excessively bureaucratic, highly centralised and incapable of managing the sheer volume of transactions. The unreliability of reports from the Bursars’s Department

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resulted in considerable extra bureaucracy and record keeping in CASS (to the extent of photocopying outgoing cheques) so as to have "proof" and back-up material for reconciliation purposes. At times there has been rather an adversarial relationship between the Bursar's and CASS' staff with misunderstandings being common (e.g. over the ability or inability of the Bursar's systems to allocate an expense over more than one account). There has been some improvement recently, with more regular and timeous production of reports, but these too lack a budget, being simply catalogues of expenditure, and are therefore of little use for management purposes. It is suspected that until greater decentralisation of financial management occurs, together with the installation of a campus wide integrated, on-line computerised management information system, the major improvements required to enable Departments such as CASS to effectively manage their significant donor funded projects will not be possible.

A further consequence of the current state of the Bursar's Department is that investment income from advance receipt of donor funding is not always credited to the respective projects. Although the Bursar's Department indicated that the established practice of crediting interest on an annual basis was still in force, CASS claimed that no interest on its grant income had been received. Whilst it can be argued that the University is not charging an overhead recovery levy on donor funded projects, and that therefore interest accruing to the University from such funds can be regarded as income in lieu of an overhead charge, that is not a credible means of managing such funds: UZ should rather levy an administrative overhead on grant income and credit interest income received to project accounts on a regular basis.

In general, however, it appears that the Phase II grants were administered reasonably well, particularly in view of the fact that the major objectives of Phase II were achieved. Apart from the major deficiency concerning the absence of management according to budgets, it appears the Centre runs fairly well, but in a very loose unstructured way which may not be suitable for its current and anticipated responsibilities. CASS management needs to become more rigorous and systematised, with effective planning to develop action plans related to budgets, and clear allocation of accountability and reporting responsibilities for all activities. While the current rather loose management system is of some appeal to the academic members of the Department, who are relatively free to "do their own thing" (apparently stretching to being away from CASS for periods without anyone really knowing where they are), it is evidently frustrating to the administrative staff, who feel they are inadequately briefed, insufficiently consulted and marginalised in respect of decision making affecting the Centre's operations.

In essence, the UZ and CASS culture (laissez-faire, individualistic, little awareness of cost implications, non-managerial) is the antithesis of what CASS requires to operate its research programmes and funding effectively (strong management, firm strategic planning, cost-effectiveness, accountability). Expecting such fundamental changes of UZ in the short term is probably naive, and therefore some means of circumventing the UZ administrative environment needs to be found if CASS is to develop to its full potential.
Staffing does not appear to have been a major problem during Phase II. The evaluators had some difficulty in understanding the number and type of staff to be funded from the Phase II grant, as the information on the overall budget does not give such detail. However, as the budget granted appears to match that requested, it is assumed that all the staff listed in Appendix 1 to the Funding Proposal for Phase II were approved.

Administrative staffing is clear. The Programme Administrator (Mrs Wanda Kawadza), initially recruited on the basis of Phase I funding, continued in post throughout Phase II. The three new posts for Phase II were in operation by June 1992: the bookkeeper/accountant (Mr Juma Mkanda, as an accounts clerk, with effect from April 1992); the librarian/publications officer (Mr Joshua Dambanemuya, as a Senior Library Assistant); and the Technician (Mr Desmond Sinoia). All are still in post as at May 1995. CASS did not experience any difficulties in recruiting these staff, but all are at the junior, inexperienced end of their profession’s career spectrum. They all seem to work reasonably well, although in a somewhat casual, non-urgent manner (judging from the perhaps limited perspective of a week’s association with them). However, the issue is whether CASS is getting the type of support it requires from these positions. The evaluators’ conclusion is that it is not - primarily due to their lack of appropriate qualifications and experience for an organization with an annual "turnover" in excess of Z$3 million.

The weakness on the accounting staff side is particularly marked, with neither the Programme Administrator nor the Accounts Clerk having any qualification as yet in this field. The Programme Administrator acknowledges this weakness, and is undertaking a course in Finance and Accounting, whilst the Accounts Clerk is studying for the relatively low level accounting technicians certificate. However, if CASS had recruited staff with the qualifications and experience required to operate effectively and provide the academic staff with advice and guidance as to procedures, the Centre’s administrative systems would have had to become more structured and accountable (along the lines envisaged above) to enable such staff to operate effectively and remain in post. For what it asked for and asks of them, CASS secured adequate administrative staff; for what it needs to operate efficiently, CASS would have to recruit a different calibre of staff, with at least intermediate level substantive administrative/accounting qualifications (e.g. ICSA or CIMA).

The Librarian is probably appropriately qualified even for the small library he runs, as he has the Zimbabwe Diploma in Library and Information Science. He is currently studying for the next level of the qualification. While the Library operates with a severe space constraint, the evaluators were struck by the untidy, apparently disorganized state of the two "libraries" they examined. The libraries are significant resources of value to CASS staff, a wide range of users from other UZ Departments, and the natural resource management fields generally (it was estimated that 80% of users were not from CASS). They were also struck by the difficulty in reconciling the publications list with actually published reports and articles.
Table 4.7 Ford/IDRC Grant Phase II: Summary of Expenditure

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<td>Salaries and Allowances</td>
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<td>61,028</td>
<td>168,262</td>
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<td>394,044</td>
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<td>TOTAL</td>
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Table 4.7 (continued)

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<td>(7,763)</td>
<td>-11%</td>
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<td>Reports/Books/ Publications</td>
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<td>11,506</td>
<td>25,189</td>
<td>36,695</td>
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</tr>
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<td>10,332</td>
<td>10,532</td>
<td>(1,168)</td>
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<tr>
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<td>16,796</td>
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<td>57,756</td>
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<tr>
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<td>0</td>
<td>0</td>
<td>120</td>
<td>(46,880)</td>
<td>-100%</td>
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<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td></td>
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<td>TOTAL</td>
<td>870,540</td>
<td>170,484</td>
<td>269,287</td>
<td>382,558</td>
<td>822,329</td>
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<td>1992/93</td>
<td>1993/94</td>
<td>TOTAL</td>
<td>BALANCE</td>
<td>VARIANCE</td>
<td></td>
</tr>
<tr>
<td>-----------------------------------</td>
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<td>----------</td>
<td>----------</td>
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<tr>
<td>Salaries and Allowances</td>
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<td>384,977</td>
<td>843,557</td>
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</tr>
<tr>
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<td>3,783</td>
<td>13,920</td>
<td>4,096</td>
<td>21,799</td>
<td>(22,101)</td>
<td>-50%</td>
</tr>
<tr>
<td>Office Supplies/Communications</td>
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<td>46,978</td>
<td>50,578</td>
<td>16,607</td>
<td>114,163</td>
<td>90,163</td>
<td>376%</td>
</tr>
<tr>
<td>Field Travel and Allowances</td>
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<td>163,607</td>
<td>(185,773)</td>
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</tr>
<tr>
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<td>Seminars/Workshop</td>
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<td>67,588</td>
<td>8,544</td>
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<td>116,770</td>
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<tr>
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<td>67,195</td>
<td>(61,205)</td>
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<tr>
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<td>400</td>
<td>18,392</td>
<td>18,792</td>
<td>(4,608)</td>
<td>-20%</td>
</tr>
<tr>
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<td>78,992</td>
<td>33,592</td>
<td>2,928</td>
<td>115,512</td>
<td>(71,788)</td>
<td>-38%</td>
</tr>
<tr>
<td>Computer Equipment</td>
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<td>120</td>
<td>0</td>
<td>0</td>
<td>120</td>
<td>(46,880)</td>
<td>-100%</td>
</tr>
<tr>
<td>Camping Equipment and Storage</td>
<td>59,000</td>
<td>120</td>
<td>35,893</td>
<td>0</td>
<td>36,013</td>
<td>(22,987)</td>
<td>-39%</td>
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<tr>
<td><strong>TOTAL</strong></td>
<td>1,790,280</td>
<td>344,751</td>
<td>588,387</td>
<td>693,165</td>
<td>1,626,303</td>
<td>(163,977)</td>
<td>-9%</td>
</tr>
</tbody>
</table>
The technician has received some training as a mechanic and seems to manage CASS' quite extensive fleet of vehicles reasonably well. However, what is done could be done by almost any junior administrator without specialist qualifications in motor maintenance. The evaluators believe that CASS is not getting the service it needs either because the technician is constrained by CASS' operational policies (e.g. allocation of vehicles on semi-permanent basis to members of staff) or because he has an inadequate appreciation of what should or could be done. The incumbent's abilities to manage the servicing and repair of computers and office equipment are limited. Arguably one of the other administrative staff could ensure that servicing and repairs are carried out when due, properly and timeously but, given their feeling of overload, a technician is needed.

The secretarial staff in CASS are funded through the UZ core budget to CASS, and appear to be adequate though slow, somewhat disorganized and lacking an appreciation of the "bigger picture", how their work relates to the that of others and the achievement of the Centre's objectives. (In passing, it is worth noting that they are not assisted by the slow, dated working methods of some of their academic colleagues - most word processing work is submitted in hand written drafts!). Both the secretaries have undergone short computer training courses in the word processing and spreadsheet applications used by CASS.

It was evident from interviews with administrative staff that morale was low. In part this was due to perceptions of poor salaries (see next paragraph, however), but mainly due to the lack of security inherent in their temporary, fixed-term appointments (as the source of funding for their posts is "soft"), and a perceived lack of management/supervision and access to training. Some short term training was provided for all staff, but to have improved its staffing capacity for the long term CASS should have used the Phase II local training funding to ensure that the various administrative staff obtained long term professional qualifications (by part time study in the evenings or by correspondence).

A study undertaken for the University by one of the evaluators (Blair, May 1994) indicated that UZ salary scales for posts such as assistant registrar (Programme Administrator) were above the market average in Harare for similarly graded posts (Patterson C Lower/C Upper); that junior technicians, accounts clerks and senior library assistants were roughly correctly remunerated in comparison to the market rates for similarly graded posts (Patterson B Upper and C Lower); but that Chief Secretaries and Secretaries were under the market range for equivalent grades (Patterson C Lower). The stability of administrative staffing in CASS is therefore perhaps not too surprising.

As regards the two research fellow posts included in Phase II funding, it appears that the posts have not been continuously occupied during the project. Two Research Fellows (Nhira and Munkuli) were carried over to Phase II
funding from Phase I until February and April 1993 respectively. A third fellow, Hasler, was funded from Phase II until February 1993 simultaneously with Munkuli and Nhira's appointments. From commencement of Phase II through to February 1993 therefore, more staff than had been approved were being funded from the Research Fellow budget provision of Phase II. Subsequently, however, only one post has been occupied (by Nabane since August 1993). CASS indicated that it has not experienced difficulties in recruiting research fellows, particularly since UZ equated research fellow and lecturer salary scales (which at the lower levels are extremely well paid in relation to equivalent "young graduate" level posts elsewhere in the Zimbabwean economy). The evaluators were therefore unable to clearly understand why the second post had not been filled since March 1993. A total of 8 research assistant posts and 9 junior/student research assistant posts were included in the Phase II project proposal budget, but as far as the evaluators could ascertain, only two long term appointments were made, both a carry over from Phase I: Makina and Zhuwao. Apparently a number of other assistants were employed during Phase II on a very short term, casual basis.

Staffing as regards the Phase II FF/IDRC project activities was therefore effectively achieved without major problems. However, the calibre, qualifications and experience of certain of the administrative staff would pose difficulties for any major expansion of CASS activities. The lack of a career structure in the UZ academic salary scales is the major constraint in any attempt to fill the gap between the professor in CASS (Murphree) and the other academic staff. Current UZ salary scales provide for a ratio between the first notch of the Lecturer/Research Fellow scale and the top notch of the professorial scale of only 1.28. The cash differential between the same points in the scale is Z$21 996 - for a lifetime's work and experience! It is not surprising, therefore, that UZ and CASS find it relatively easy to recruit at the junior level but effectively impossible to retain staff once they have several years experience, or to recruit middle/ senior level academic staff. Although the Vice Chancellor was optimistic that recommendations to resolve this position would be approved and funded by Government, it is not certain when reforms will be implemented. In the meantime the recruitment difficulties for middle and senior level appointments will remain. The problems caused by the absence of "middle management" appear likely to continue and the chances of recruiting a successor to Professor Murphree virtually non-existent.

The academic staff also expressed discontent. This is partly due to a general feeling that they are grossly overstretched, but largely due to perceptions about poor salaries and career prospects. (One staff member is reaching the point at which, on present UZ scales, it is not worth staying at the university). However, all staff have benefitted from significant non-cash "perks" such as research travel, funded study leave, and personal use of CASS vehicles. There is a very strong commitment to CASS and academia by all academic staff, which bodes well for the future.
4.2.11 Conclusions

Overall CASS has met the objectives of Phase II. They have performed extremely well under difficult circumstances. There are areas of concern, particularly in respect of administration and management. These are considered further in Section 4.3.

4.3 Structure, Operations and Management

4.3.1 Introduction

The assessment of the extent to which CASS has achieved the objectives set for Phase II has identified a number of problems and constraints which need to be addressed to secure the sustainability of CASS in the future. These may be categorised as involving definition of the role for CASS and involving organisation and management.

4.3.2 Problems and Constraints

Role for CASS

The desired role for CASS can be inferred from the statement of proposed future objectives derived during the Diagnostic Strategy Workshop of May 1994 (Annexure 1). Broadly interpreted these involve training, teaching, research and regionalisation. A clear distinction between training and teaching has not been drawn in the workshop report. A much more structured approach is required if CASS is to strengthen its position and achieve its objectives.

CASS' ability to significantly impact teaching programmes within the University is constrained by having to be responsive to the needs of other departments and by not being enabled to register its own students for higher degrees (masters) by coursework and minor dissertation. This also significantly detracts from its ability to attract students from the region and abroad. In addition, courses and modules developed and delivered for other departments and organisations cannot be integrated into an holistic programme: they are essentially delivered in isolation. This reduces their cost-effectiveness and makes them difficult to market profitably. A more precisely defined role in which CASS has greater control over its operation and a business-like approach are considered necessary.

The evaluators recommend that CASS should promote an interdisciplinary masters programme over which it is able to exercise control. The programme should be structured so that individual components (modules) can be marketed separately both within the University (eg. MSc in Tropical Resource Ecology) and regionally (eg. Human and Social Perspectives in Natural Resource Management. Such an approach would require dedication of one of the lecturer establishment posts as programme coordinator.
The programme would address the following problems identified by the evaluators:

- It would define a teaching role for CASS within the University.

- It would programme teaching activities and encourage more formal commitment from CASS staff to teaching.

- It would provide a strong base for the D.Phil programme.

- It would provide opportunities for short-term applied research.

- Existing courses (eg. MSc in Tropical Resource Ecology) could be integrated and delivered more cost effectively.

- New modules would become available for other programmes within the University.

- New marketable modules would become available for regional training initiatives.

- CASS' profile in the University and in the region would be strengthened.

The major limitation to development of CASS' research programme has been capacity. Only the director, Professor Murphree has been sufficiently qualified and experienced to supervise research. A strengthening of the research endeavour is required. Whilst the proposed masters degree will make an important contribution it will not be sufficient, and Drs Murombedzi and Nhira who have recently graduated will have important roles to play.

With the emphasis on regionalisation it is worth noting that CASS' research programme has had a predominantly Zimbabwean focus. Participation in supervision of research projects of foreign students registered in biological sciences has broadened the base and the fisheries project is broadening it further. However, CASS could strengthen its regional role by developing research collaboration further, particularly with South African institutions who could benefit from the experience of CASS and the Campfire programme and who currently have good research infrastructure. One member of staff should be given responsibility for developing collaborative research on a regional scale.

A very significant factor in the current success of CASS and in its potential to remain successful in the future is the 'bottom heavy' staff profile and the consequent high level of dependence on Professor Murphree. Allocation of responsibility and promotion of accountability will help to develop and strengthen middle management. The organisational structure and management system needs to acknowledge the necessity for a more structured and committed approach to teaching and research if CASS is to decrease its dependence on Professor Murphree and to increase its sustainability.
**Organisation and Management**

As indicated in the above discussion, the evaluators believe there are a number of pre-requisites in order for CASS to secure a sustainable future. From an organizational and management perspective these are:

- Improved business and financial management
- A more structured programme or project approach to strategy planning and the implementation of projects
- Middle management personnel
- The flexibility to respond to market conditions in respect of salaries and conditions of service.

In many respects CASS' position as a Department within the university is a major constraint to the achievement of these pre-requisites.

The university's internal structures and system of government are not at present able to deal effectively with major, diverse external sources of funding for contract research and consultancy. Its response to a Department such as CASS, which has been successful in securing such funding, seems somewhat ambivalent: on the one hand UZ strongly endorses CASS' role and argues that it is a vital, integral part of UZ activities, but on the other it provides CASS with relatively few resources (an annual budget of only $500,000 and a mere 270 sq metres of space). This is almost certainly due to the fact that CASS has no central teaching role, and therefore tends to be marginalised and viewed differently from other departments in the process of allocating resources. CASS could be expendable from UZ's point of view, particularly if funding became even more difficult than it is. To some extent the evaluators' perception of activities in the Institute of Environmental Studies are that they are not distinct from those in CASS and this could encourage conflation of CASS and the Institute.

CASS is dependent on other university departments and services for its effective operation:

- The Bursar's Department for its financial management and reporting, for making payments and paying salaries;
- The Appointments and Personnel Department for recruitment of staff, appointment contracts, conditions of service, staff discipline;
- The University committee structure for resource allocation, decisions, interaction with other departments;
- The Services Department for mail services, telephones, cleaning, maintenance, space.
All of these services are currently being provided with less than desirable efficiency or effectiveness. Excessive bureaucracy, slowness and a lack of a competitive, service oriented environment/attitude have been characteristic features.

In addition, CASS' internal management is now not able to cope effectively with the significant contract research and consultancy income it is generating - partly due to the constraints of UZ procedures, but also to the lack of middle management and a business management culture. Its project management, financial management and accounting and reporting responsibilities and accountability all require major improvements for CASS to manage effectively the considerable funding which is and will be available.

If CASS could avoid or overcome these organisational and managerial constraints, it clearly has the potential to earn significant income and, by charging an overhead recovery or management fee, to reduce its direct dependence on donors (at present FF and IDRC) for much of its management costs. In addition, it could earn significant investment income and develop its consultancy activities.

The evaluators believe that many of the constraints to CASS' operational effectiveness could be resolved by excising CASS from UZ and allowing it to operate as an independent, non-profit, environmental research, training and consultancy organization (along the lines of the Institute of Water and Sanitation Development which is registered as a welfare organization, but which currently operates from space in the Department of Civil Engineering). However, the political and practical difficulties to achieving a similar status for CASS are overwhelming, and there are strong counter arguments in favour of CASS remaining in the university. For instance:

- The staff in CASS are positive in their commitment to academia and to remaining an integral part of the university.
- An academic base in the university is probably essential for the maintenance of CASS' academic credibility and relevance.
- CASS has to retain and hopefully enhance its teaching function and to do this it needs a university base.
- CASS' location at the University of Zimbabwe will assist in the development of a stronger regional and international profile.

In an ideal situation, the university would reform its operating practices and efficiency, providing an effective managerial, business like and cost effective approach which would enable it to effectively manage large external (i.e. non-Government) sources of funding and recruit and retain high calibre senior staff. The evaluators concluded that such changes are regretfully unlikely to occur at UZ in the medium term.
The evaluators saw three options as being available:

Option 1: leave CASS as it is - a normal UZ department except in relation to its teaching role - and attempting to operate its donor funding from within the UZ system.

Option 2: excise CASS from the university completely so that it operates as an independent organization.

Option 3: develop an organizational and operational model which retains CASS as a fully functioning UZ department but which secures the capacity for CASS to manage its income generation potential.

In the light of the factors discussed above, Options 1 and 2 are untenable: the constraints involved in CASS remaining unchanged within UZ are severe and will seriously compromise its potential and development, while excising it from the university completely is not a practical proposition at present and is perhaps undesirable. Therefore, the evaluators consider Option 3 to be the best way forward, and have attempted to outline a suitable model for CASS.

4.3.3 A Model for CASS

The evaluator's proposed model for CASS is set out in Figure 4.1. The model develops concepts which were examined by CASS in its strategic planning (Diagnostic Strategy Workshop in May 1994). Essentially it is proposed that an independent Trust or Foundation be established to support and serve CASS. The Trust would be a body corporate operating on a non-profit basis outside the university with the sole purpose of assisting CASS to meet its mission and objectives. CASS would remain as it is now, a normal department within the university, subject to the university Senate and Council and all UZ statutes, ordinances and regulations.

The Trust's structure and functions would be in parallel to those of CASS. The Trust would be governed by a Trust Deed or other founding document (constitution) establishing its purposes and objectives, method of government and modes of operation. It would be managed by a Board of Trustees or Management, possibly comprising the officials shown under "membership" in Figure 4.1. There would have to be close liaison between the Board of Management and CASS to ensure that the Trust was aware of CASS' plans and objectives. The CASS chairman would serve on the Trust's Board of Management but would only have executive authority in CASS in terms of the UZ Departmental Government Ordinance. Executive authority in the Trust would be vested in an Executive Director or Programme Manager who would be responsible and report to the Board of Management.
The Trust would be an employer in its own right. In addition to the Executive Director/Programme Manager, it would employ a business manager and the other administrative and accounting staff required to manage its operations which, as will be described below, will be quite extensive and require high calibre management and financial personnel. The evaluators have not attempted to define the number or type of such staff as that will be a function for the Trust and the Executive Director, but we urge that such staff be kept to a minimum, especially in the early formative years of the Trust, in order to reduce the Trust’s operational overheads. The Trust would contract with private sector firms for its own auditing, legal and banking services. The Trust would also employ research staff to work on projects for which it secures funding. It is envisaged that these could be both full time, fixed period contract researchers and CASS staff contracted on a part time basis, particularly in project concept and design roles and as researchers. Table 4.8 sets out the evaluators’ preliminary concept of the “job descriptions” of the key Trust and CASS staff so as to demonstrate the roles of each. Close co-operation and understanding will be required to ensure a harmonious working relationship, but the benefits of a leadership “troika” should not be underestimated: academic leadership from the Professor; administrative leadership within the University structures from the Departmental Chairman, and project, programme, financial and management leadership from the Executive Director. The evaluators believe it could be an effective and powerful combination.

The evaluators envisage the Trust as having five major sources of finance or income:

- Project grants from donors and other organizations prepared to sponsor CASS research projects or requiring contract research to be undertaken. Implicit in this scenario is that the Trust replaces the University as the recipient of donor grants of the type currently used by CASS to fund most of its activities.

- Overhead recovery or a management fee from project grants at a rate sufficient to secure the Trust’s independence as an employer of its own management staff, and to enable it to fund schemes (to be developed by the Board of Management) to supplement the remuneration of and support CASS’ University employed academic and administrative staff, hopefully on a performance related basis.

- Net income from consulting projects carried out on business lines (i.e. for profit), using CASS staff and such other staff as may be required.

- Net income from full cost recovery (plus profit) training on various natural resource management issues where CASS has expertise and a strong competitive advantage - it is envisaged that such training will be in great demand.
- Investment income from the temporary investment of project 
grants and operational surpluses in an effective manner

CASS - the university department - would continue to be funded through the 
university budget for its core academic and research staff, and for its degree 
level teaching programmes. It is envisaged that CASS would continue with 
its current activities of post graduate supervision for MPhil. and DPhil 
degrees, service teaching to other departments and programmes and, as 
proposed elsewhere in this report, develop its own interdiscipliary MSc by 
coursework degree programme in natural resource management. CASS staff 
would of course continue to carry out research, but will be assisted in this 
through the effective support mechanism provided by the Trust for the 
administration of research funding.

As indicated in the concept diagram at Figure 4.1, the Trust will manage 
research funding of all types on behalf of CASS. Through its income 
generating activities (overhead recovery/ management fee, consulting, full cost 
training) it will earn funding to finance its activities and management staff, 
and develop schemes to supplement the remuneration packages of CASS staff, 
thereby hopefully making it feasible to recruit and retain such staff both at 
middle and senior levels. The evaluators hope that such a scheme could be 
in place by January 1997 to facilitate the recruitment of a successor to 
Professor Murphee as occupant of the established Professorial chair, as he 
has indicated that he would be unwilling to continue in the post on annual 
post-retirement appointments by UZ.

The advantages of this model are:

- The Trust will achieve a degree of independence in its funding 
with less direct reliance on donors

- The Trust will be able to recruit and retain management and 
research support staff of the right calibre by offering the 
necessary market-related remuneration packages, and 
recruitment procedures can be less drawn out and bureaucratic 
than those pertaining at UZ

- The Trust will have the capability to effectively manage and 
account for the significant levels of finance which it is believed 
this structure will attract for CASS, thus allowing the academic 
staff to do what they do best - carry out research and teach - 
while at the same time providing better accountability to donors 
and clients

- The Trust will be able to plan its activities strategically on a 
programme/project basis, and actively seek and negotiate 
funding and research/consultancy contracts

45
- It is a means of avoiding the aspects of the UZ/CASS culture which impact adversely on the research programmes and external funding.

Potential disadvantages of this model need to be recognized from the outset. These are:

- There is potential for conflict between CASS and the Trust, particularly once the Trust has established a track record of effective operation.

- CASS and the Trust may drift apart should the focus of CASS' activities change.

- The Trust may possibly become the dominant partner, resulting in a situation where "the tail wags the dog".

- Donors may not accept the model and refuse to contract with the Trust for the management of CASS' research programmes (however the evaluators believe this is unlikely, particularly if UZ supports the establishment of the Trust).

Most of the potential downside of the Trust can be countered:

- Through a very carefully designed founding Trust document which categorically mandates the Trust to support CASS' activities and priorities as its sole raison d'etre

- By ensuring close liaison between the CASS Departmental Board and the Trust's Board of Management including strong representation of CASS on the Board of Management;

- By ensuring that the right person (with strong academic credibility and top class management and financial skills) is recruited as the Executive Director/Programme Manager of the Trust. The evaluators are convinced that Zimbabweans of the right calibre, skills and experience are available for this position.

The evaluators therefore strongly recommend to CASS that it proceeds to establish the Trust as outlined above and get it operating as quickly as possible. It is arguable whether the establishment of the Trust legally or politically requires UZ approval - the evaluators believe it does not - but the arguments in favour of securing UZ support and endorsement of the Trust and its operations from the outset are overwhelming, and CASS is urged to obtain such an endorsement. UZ support for the Trust will be crucial to its ability to negotiate with donors and to win the right to manage CASS' research funding. The evaluators are encouraged by the apparent new flexibility towards such proposals demonstrated by the University's relationship with the Institute of Water and Sanitation Development, and a partly analogous Trust arrangement to manage Reserve Bank of Zimbabwe funding for a new professorial chair in International Finance in the Department of Economics at UZ.
Figure 4.1. CASS FUTURE STRUCTURE: CONCEPT DIAGRAM
Table 4.8  
CASS FUTURE STRUCTURE: CONCEPT DIAGRAM

Addendum to Figure 4.1 Outline Job Descriptions

CASS Professor
Academic leadership
Supervision of post doctoral fellows, graduate students and young lecturers
Encouragement of research excellence
Promotion of publications
Service on UZ Senate and other bodies
Carrying out own research

Professor Emeritus: Prof. M. Murphree (wef 1.1.97):
Supervision of graduate students
Development of CASS international profile
Promotion of regional role/collaboration
Assist in strategic planning for CASS and Trust - supply the vision
Supply prestige, credibility, contacts
Employed by the Trust on a part-time basis to carry out consultancies

Departmental Chairperson
Run Department according to UZ Departmental Government Ordinance
Represent Department at UZ Committees
Personnel issues/promotion of UZ employed staff
Ensuring Departmental compliance with UZ policy, administrative requirements
Administration of teaching, higher degree registrations
Supervision of research students
Management of UZ core budget to CASS

Executive Director/Programmes Manager
Develop programmes strategy/research direction/teaching and training programmes
Strategic planning for Trust
Leadership of Trust
Initiate and manage programmes
Donor negotiations/contracts
Research project staff recruitment/allocation/management
Determination with Departmental Chairman and Professor of supplementation recommendations for Board of Management approval
Management of a "CASS Consultancy Unit"
Liaison with Departmental Chairman and Professor

Business Manager
Financial management of Trust or Foundation funds, including budget preparation, job costing, management and financial accounting, consulting projects, training courses
Liaison with Trust’s auditors
Production of audited financial statements for donors/clients
Administration of Trust’s affairs - legal, staff, administrative interface with UZ, premises, office services, vehicles, equipment.
The only alternative to the Trust concept is for CASS to continue as it currently operates, but a drastic reduction in its portfolio of activities and a much more selective acceptance of research contracts/projects would be required. The evaluators believe this would be a retrograde step, and a disservice to the University, Zimbabwe and the region. CASS needs to actively expand its activities and reach, and an organisational structure along the lines of the model proposed would be essential to such expansion. In essence, CASS and UZ have two choices: implement the model and have a chance for significant growth, development and further outreach; or retain the present structure, and face the real possibility of CASS withering away.

The evaluators acknowledge the founding role played by Professor Murphree and consider it most important for the future development of CASS that he should continue to be associated with CASS after his retirement (December 1996). The evaluators feel it would be entirely appropriate to acknowledge his academic standing and contribution to CASS to appoint him Professor Emeritus and to facilitate his ongoing contribution to the development of CASS.

5. THE CASE FOR A FORD FOUNDATION / IDRC PHASE III

The evaluators acknowledge the quality of work produced by CASS, its innovative approach, its committed staff and its deserved profile locally, nationally and internationally. However, they are strongly of the view that CASS needs to grow in order to be sustainable in the longer term. Its support for Phase III support is therefore linked to the need for change.

In recommending that CASS opt for the model proposed above the evaluators perceived the FF/IDRC flexible funding arrangement of the past two phases as being the ideal vehicle to launch the Trust. Accordingly it is recommended that a proposal be submitted to FF and IDRC for a Phase III of project funding which would be used to:

- Establish the Trust through the employment of a consultant, legal or accounting firm to assist in the legal creation of the Trust and the drafting of its constitution (possibly the process can be commenced on the basis of balances available under Phase II);

- Fund the employment of the Trust's Executive Director/Programme Manager and such other administrative and accounting staff as are required for an initial period of three years, but on a declining basis from year two onwards, as the Trust secures its own income from which to meet these costs;
- Fund the rental of office space and the acquisition of any additional vehicles, computers and office equipment required;

- Develop the basic Trust structures to establish effective consulting and full cost recovery training units;

- Continue some of the research activities commenced under Phase II in the form envisaged by CASS as making sense for a further three years.

There appears to be adequate funding available in the "unfunded" one year extension of the Phase II grants which, provided CASS and UZ can make final decisions on the proposed model timeously, could perhaps be used to commence the process of establishing the Trust and attempting to recruit the Executive Director by 1 January 1996. It will determine its own policies from the outset, but a priority will be for the Executive Director/Programme Manager to develop the Trust's research management profile and strategy within one year of his/her appointment (i.e. by 31 December 1996) so that the Trust can be fully operational by 1 January 1997. The evaluators hope that the establishment of the Trust and the recruitment of the Executive Director can be carried out sufficiently quickly for the planned extensions of current USAID and NORAD grants to be renewed through the Trust with effect from 1 January 1996. This is viewed as essential, as these grants would hopefully be the first to be managed by the Trust on the basis of an overhead recovery/management fee, and will go a long way to securing the Trust's financial independence. It is envisaged that within three years the Trust should be self funding in terms of its management and CASS supplementation expenditure and therefore the future management of these major grants by the Trust will be crucial to its success.

Although required to do so by the terms of reference, the evaluators have not:

- Developed detailed proposals of staffing requirements, or solutions to existing staffing constraints for a Phase III (ToR (iv));

- Identified options for cash and non-cash incentives for academic and administrative staff (ToR (v));

- Identified mechanisms that would enable CASS to attract and retain high calibre academic and administrative staff (ToR (v)).

This apparent omission was because they believe that once the Trust structure is in place and a policy of supplementation operating, these issues will be resolved: the Trust should have the resources to effectively do whatever has to be done, though, as stated earlier, on a performance related basis: The precise mechanisms of such supplementation will be for the Trust and CASS to determine. A previous work by one of the evaluators (Blair: Staff Loss and Retention at Selected African Universities, report to the Donors to African Education, 1994) provides some pointers, but in essence the mechanisms will need to be developed in consultation with the staff involved so that customised packages of value to each staff member can be devised.
There are a number of transitional arrangements which will require attention on the formation of the Trust. The position of the existing FF/IDRC Phase II funded administrative staff will require sympathetic consideration. CASS and the Trust are advised to take the opportunity created by the establishment of the Trust, hopefully on the basis of renewed FF/IDRC Phase III funding, to review the staffing needs of the Trust very carefully before deciding to automatically renew the appointments of all existing administrative staff. Possibly some of the existing staff could be re-employed by the Trust after undergoing further training, but higher calibre staff will undoubtedly be required by the Trust. Several of the existing academic and research staff will require training in project management, budgets and consulting and some of this training could also take place in 1995 from Phase II carry-over funding.

It is evident that UZ cannot supply sufficient office space to house the Trust on the campus. The proposed MSc in Tropical Resource Ecology building to be constructed on the basis of European Union funding may provide some space in the future but it seems inevitable that the Trust will have to be housed off-campus and it is recommended that the possibility of purchasing or renting a suitable house close to the campus for use as office space is pursued. The purchase price of such a house would be approximately Z$1.5 to 2 million, whilst to rent premises of around 300 to 450 sq metres would be in the region of Z$9 000 to Z$18 000 per month (i.e. Z$30 to Z$40 per square metre). Clearly purchase could only be considered in the medium term through a capital grant from a donor, as current and foreseeable interest rates make borrowing for such a purpose unwise as the Trust would almost certainly be unable to service the bond. Similarly rental would severely stretch the Trust’s initial income earning capacity. It is recommended, therefore, that to accommodate the Trust and CASS research staff:

- The Trust should attempt to share rented space with another organization for the middle term whilst developing its capacity to meet market rentals; and

- A Phase III of FF/IDRC funding should provide for initial support to meet rent and support services and utility costs, with the support being phased out towards the end of Phase III, by which time the Trust should be able to meet its rent and other payments.

A further matter which will require delicate negotiation is the future ownership of the office equipment and vehicles acquired by CASS under Phases I and II. According to university policy they belong to UZ, but are made exclusively available to CASS for the duration of the projects. It is recommended that some of this equipment and vehicles be transferred to the Trust to reduce its start-up costs, but additional equipment, software (an accounting package) and vehicles may be required, the funding for which could hopefully be included in a Phase III grant as development capital for the Trust.

The deeds of the Trust could make provision for the assets of the Trust to be transferred to the University or some other institution promoting the ideals of CASS should the Trust be dissolved.
6. CONCLUSIONS AND RECOMMENDATIONS

6.1 Conclusions

The evaluators conclude that

- CASS has met most of the objectives set for Phase II
- CASS has an excellent reputation in Zimbabwe, in the region and internationally
- CASS has established itself as an intellectual leader in community-based natural resource management
- CASS is playing a very important and valuable role in the southern African region
- CASS is still too dependent on the director Professor Murphree. It still has a ‘bottom heavy’ staff complement
- CASS has not been able to effectively strengthen middle management
- CASS has not been able to achieve an efficient administrative system
- CASS’ role in teaching has decreased and this has adversely affected its profile in the University
- CASS has not been as effective in research training as it could be because of the ‘bottom heavy’ staff profile
- CASS should be supported for a third phase
- Phase III should include restructuring to promote greater effectiveness, efficiency and accountability and to enable appointment of senior staff.

6.2 Recommendations

The evaluators recommend that

- The Ford Foundation and IDRC should consider favourably a proposal from CASS for further support
- CASS should be restructured to incorporate a Trust which holds the assets and is able to employ the staff required to decrease vulnerability and to increase effectiveness, efficiency and accountability. It should also be able to provide for a staff incentive scheme.
- CASS should introduce a masters degree programme under its own banner

- Special attention should be given to retaining the involvement of Professor Murphree after his retirement at the end of 1996

- Administrative staff should be reviewed and reappointment should be subject to performance assessment.

7. ACKNOWLEDGEMENTS

Evaluation can be an unpleasant task. In this case it was not. We were received cordially by everyone and our work was facilitated by the willing collaboration of all with whom we had contact. This undoubtedly reflects the culture and profile of CASS and particularly the director Professor Murphree.

It is our pleasure to acknowledge the assistance and open and frank discussions which made our task so much easier. We hope that this report will help to nurture CASS so that it can continue to provide the leadership it has in the past.
APPENDIX 1: LIST OF PERSONS INTERVIEWED

Chavunduka, Prof G  Vice Chancellor, UZ
Child, Dr B Dept of National Parks and Wildlife Management, P O Box CY 140, CAUSEWAY.
Christofferson, Mr N Acting Regional Director, IUCN Regional Office for Southern Africa, 6 Lanark road, Harare
Cumming, Dr D World Wildlife Fund, 10 Lanark Road, Harare
Dambanemuya, Mr J Librarian, CASS
Dube, Dr B N Chairman, Dept of Biological Sciences, UZ
du Toit, Dr J Professor, Department of Biological Sciences
Frost, Dr P Associate Professor, Department of Biological Sciences
Hachongela, Ms P Research Fellow, CASS NORAD Lake Kariba project
Jackson, Mr J Lecturer, CASS
Kasere, Mr S Chief Information Officer, Campfire Association, P.O. Box 661, Harare
Kawadza, Mrs W Programme Administrator, CASS
Lopez, Mr G FF Foundation, Harare Office
Malasha, Mr I Research Fellow, CASS NORAD Lake Kariba project
Mkanda, Mr J Accounts Clerk, CASS
Monro, Mr R Zimbabwe Trust, 4 Lanark Road, Harare
Mukonoweshuro, Prof E G Dean, Faculty of Social Studies, UZ
Mumbengegwi, Dr C Chairman, Dept of Economics, UZ
Muriritirwa, Mr W Research Fellow, CASS NORAD Lake Kariba project

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<table>
<thead>
<tr>
<th>Name</th>
<th>Title/Position</th>
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<tbody>
<tr>
<td>Murombedzi, Dr J</td>
<td>Lecturer, CASS</td>
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<tr>
<td>Murphree, Prof M</td>
<td>Director (Chairman) of CASS and occupant of the established professorial Chair</td>
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<tr>
<td>Musuwo, Mr O</td>
<td>Assistant Bursar, Specific Funds, Bursar's Dept, UZ</td>
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<tr>
<td>Matose, Mr F</td>
<td>Social Scientist, Forestry Commission, P O Box HG 139, HIGHLANDS, Harare</td>
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<tr>
<td>Nabane, Ms N</td>
<td>Research Fellow, CASS</td>
</tr>
<tr>
<td>Nherere, Mr P</td>
<td>Chairman, Dept of Public Law, UZ</td>
</tr>
<tr>
<td>Nhira, Dr C</td>
<td>Research Fellow, CASS</td>
</tr>
<tr>
<td>Rihoj, Ms E</td>
<td>Zimbabwe Trust, 4 Lanark Road, Harare</td>
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<tr>
<td>Sinoia, Mr D</td>
<td>Technician, CASS</td>
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<tr>
<td>Taylor, Dr P</td>
<td>Executive Director, Institute of Water and Sanitation Development, UZ</td>
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<tr>
<td>Tevera, Dr D</td>
<td>Chairman, Department of Geography, UZ</td>
</tr>
</tbody>
</table>
APPENDIX 2: LIST OF DOCUMENTS RECEIVED

CENTRE FOR APPLIED SOCIAL SCIENCES


Departmental correspondence requesting an unfunded extension of the FF and IDRC grants, September 12, 1994.


Equipment purchased under the FF Foundation and IDRC project grants. Various departmental lists.


Inventories of CASS camping equipment. Departmental document.


Major CASS grants for natural resource management research. Departmental document.


Preliminary estimates for CASS, 1990 to 1994/95.

Proposal for the transformation of the Training Centre for Water and Sanitation (TCWS) into a Non-Governmental Organisation... Extract from Senate Minutes, 29/3/95. In combination with Appendix D to SEN/38/93.

Project review: Research Project on Natural Resource Management in Communal Lands, Phase I. Prepared by Dr L.E. Munjanganja and Dr R.H.V. Bell, 1991.


Seminars... for the year 1995.

Social science research programme on natural resource management in Zimbabwe's communal lands: funding proposal for Phase II submitted to IDRC and the FF Foundation. Prepared by Professor M.W. Murphree, 15 April 1991.

Staff salaried under FF Foundation NRM Project, Phase 2 ... 1st October 1992 to 30 September 1993. Departmental document.


INSTITUTE OF WATER AND SANITATION DEVELOPMENT


The Institute's publicity brochure, undated.

UNIVERSITY OF ZIMBABWE

Extracts from the Salary Scales, 16/08/94.

Future programme and structure. UZ Senate Paper prepared by M.W.Murphree, 20/9/84 (rev. 19/10/84 and 16/1/85.


Bursar's Department. FF Foundation grant approved budget, together with Financial Statements for the periods 1/10/91 to 30/9/92, 1/10/92 to 30/9/93 and 1/10/93 to 30/9/94.

Bursar's Department. Financial Statements for IDRC grant for the periods 31/12/91 to 30/9/92, 1/10/92 to 30/9/93 and 1/10/93 to 9/12/94.

Centre for Applied Social Sciences. Response by the Director to questions raised by evaluators - 14 pages.
APPENDIX 3: REVIEW PANEL

BLAIR, C.

Rob Blair was a university administrator at UZ for 18 years, 10 as the Registrar during the 1980’s. He is currently the managing director of Speciss College, Zimbabwe’s largest, most diverse and comprehensive for-profit training organization. Since leaving the University he has undertaken several consultancies on university management, governance and financing issues (including a major study of Financial Diversification) for clients such as the World Bank, the Commonwealth Secretariat, the British Council, the Commonwealth Higher Education Management Services, and the Association of African Universities.

BREEN, C.M.

Charles Breen is an ecologist with 25 years experience of natural resource management. He is currently director of the Institute of Natural Resources at the University of Natal in Pietermaritzburg, South Africa. The purpose of the Institute is to promote socio-economic advancement of rural people through the integration of development and conservation initiatives. The Institute provides research, training and consultancy services in rural development and natural resource management.

CHITSIKE, L.T.

Langford Chitsike served on the academic staff of the Department of Geography at the University of Cape Coast, Ghana. He returned to Zimbabwe and served as permanent secretary to various ministries and after serving as senior permanent secretary he took early retirement. He also served as a member of the University of Zimbabwe Council for two years. He is currently a senior member of staff with the Africa Resources Trust, an organisation which plays a leading role in natural resources conservation and development through the Campfire programme in Zimbabwe.