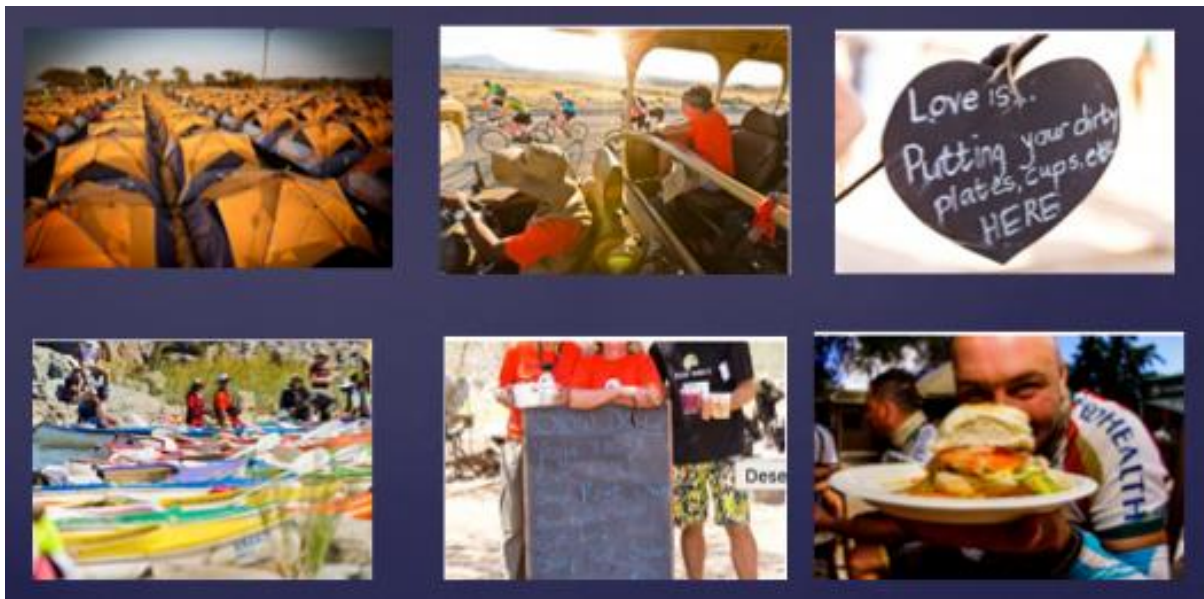


# Development of a SADC Guideline on cross border tourism products in TFCAs

## SADC Guideline for cross-border tourism products

Submitted to GIZ

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**In memoriam**

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## Acronyms

CITW	Children in the Wilderness
DEA	Department of Environmental Affairs, South Africa
EMP	Environmental Management Plan
FANR	Food, Agriculture and Natural Resources
FTT	Fair Trade Tourism
GBP	British Pound
GIZ	German International Cooperation
GLTP	Great Limpopo Transfrontier Park
JMB	Joint Management Board
KAZA	Kavango Zambezi Transfrontier Conservation Area
M&E	Monitoring and Evaluation
MoU	Memorandum of Understanding
MTB	Mountain bike
NGO	Non Governmental Organisation
NWR	Namibia Wildlife Resorts
PPF	Peace Parks Foundation
RETOSA	Regional Tourism Organization of Southern Africa
SADC	Southern Africa Development Community
SANParks	South African National Parks
SAR	Situational Analysis Report
TFCA	Transfrontier Conservation Area
TP	Transfrontier Park
TUPNR	Transboundary Use and Protection of Natural Resources Programme
USD	United States Dollar
VAT	Value Added Tax
ZimParks	Zimbabwe Parks and Wildlife Management Authority

## Acknowledgements

These guidelines were formulated through an inclusive consultative process. The contributions by stakeholders within SADC working on cross-border tourism in TFCAs, and notably from GIZ, Boundless Southern Africa, the TFCA Network Tourism Community of Practice, cross-border tourism product operators, and practitioners were greatly appreciated. Special thanks to those who reviewed and commented on previous drafts of this guideline, including Lisa Blanken, Loraine Bewsher, Paul Bewsher, Johan Kriek, Sue Snyman, Piet Theron, Shareen Thude, and Roland Vorwerk. Also thanks to participants of the SADC validation meeting who provided final comments on the Guideline.

## 1 EXECUTIVE SUMMARY

### 1.1 BACKGROUND

The German International Cooperation (GIZ) supports the Food, Agriculture and Natural Resources (FANR) Directorate of the Southern African Development Community (SADC) in the implementation of SADC protocols and strategies for natural resource management, including the development of Transfrontier Conservation Areas, through the SADC/GIZ Project “Transboundary Use and Protection of Natural Resources Programme (TUPNR)”.

In order to operationalise the implementation of the Protocol on Wildlife Conservation and Law Enforcement with regard to Transfrontier Conservation Areas (TFCAs), SADC developed the SADC Programme for TFCAs in 2013. The overall programme goal is to promote SADC as a model of community centred, regionally integrated and sustainably managed network of world-class transfrontier conservation areas. In the SADC Regional Indicative Strategic Development Plan and Component 7 of the SADC TFCA Programme, TFCAs have been identified as potential instruments for promoting regional integration, collaborative tourism and rural development.

In 2016 the SADC TFCA Network identified the need for guidelines on cross-border tourism products in TFCAs.

### 1.2 PROCESS OF DEVELOPMENT

The guideline was developed through an iterative process of literature review and a multi-faceted stakeholder consultation and review approach. The stakeholder consultation included the participation of 61 stakeholders at a 2-day consultative workshop, questionnaires sent directly to 304 policy makers, cross-border tourism product owners and developers, and international and regional tour operators, and 41 stakeholders at a 1-day validation workshop. A Situational Analysis Report (SAR) was prepared to support the development of the guideline, which provided a review of existing cross border tourism products, processes, and options for the future. Based on the literature review, consultation process and SAR, a draft of the guideline was developed. A review draft was shared with the TFCA Network Tourism Community of Practice and all participants of the consultative workshop. Feedback was reviewed during two conference calls to establish consensus on key issues, and the validation draft was created. Finally, the guideline was reviewed by SADC representatives at a validation workshop, and their feedback was incorporated to finalize the guideline. More information on this process is presented in Annex 1.

### 1.3 SCOPE AND STRUCTURE OF THE GUIDELINE

The **aim** of this ‘SADC Guideline on cross-border tourism products in TFCAs’ is to provide guidance for the development of cross-border tourism products in TFCAs within the Southern African Development Community (SADC), and to support implementation of SADC protocols, programmes and strategies relating to TFCAs, including their conservation and development objectives.

The **objectives** of the guidelines include to:

- Provide practical evidence-based guidance on a step-by-step process to develop cross-border tourism products with associated templates.
- Ensure that guidance aligns the goals and objectives of TFCA agreements, conservation agencies and the private sector, and with the principles of sustainable tourism;
- Reduce risks to the private sector, TFCAs, host communities and the environment.
- Provide case study examples of good practices, highlight potential challenges, and provide suggestions on how to address the challenges; and
- Create guidance that is simple, clear, reliable, applicable, flexible, and concise.

The **geographical scope** of the guidelines relates to Southern African Development Community (SADC) countries. The type of TFCAs covered is predominately terrestrial, but includes information that could be relevant to marine TFCAs too.

The **types of cross-border tourism products** addressed are those that are made possible by TFCA structures, including:

- **annual or bi-annual events** (e.g. trail running, mountain-bike or canoe events); and
- **cross-border tourism products with more regular departure dates that are made possible by existing TFCA structures** (e.g. cross-border 4x4 trails and hiking trails).

Therefore, the guidelines do not focus on cross-border tours that use existing formal immigration facilities between countries.

The **target audience for the guideline** includes cross-border tourism product proponents and TFCA practitioners. This includes representatives of protected area authorities, managers and TFCA structures; government officials responsible for cross-border movement (e.g. immigration, customs, police); donors; private sector operators and their associations; and non-governmental organizations (NGOs) and institutions working with local communities. The **main benefit** of reading this guideline is to obtain basic information on how to initiate, develop and operate cross-border tourism products within SADC TFCAs.

The guidelines are structured around a **step-by-step process** relating to the development and operation of cross-border tourism products, including scoping, design and feasibility, development and operation.

Note that these guidelines are not legally binding and enforceable documents, rather they provide an indication on how cross-border tourism can be implemented in a sustainable way for all parties involved, be they private sector, governments and/or communities. Furthermore, this document is not a technical manual, nor is it an exhaustive toolkit. Reading it will not make readers experts in cross-border product developments, but it will provide basic guidance, templates, and links to additional resources.

## 2 INTRODUCTION

### 2.1 AIM AND OBJECTIVES OF THE GUIDELINES

The **aim** of this 'SADC Guideline on cross-border tourism products in TFCAs' is to provide guidance for the development of cross-border tourism products in TFCAs within the Southern African Development Community (SADC), and to support implementation of SADC protocols, programmes and strategies relating to TFCAs, including their conservation and development objectives.

The **objectives** of the guidelines include to:

- Provide practical evidence-based guidance on a step-by-step process to develop cross-border tourism products with associated templates.
- Ensure that guidance aligns the goals and objectives of TFCA agreements, conservation agencies and the private sector, and with the principles of sustainable tourism;
- Reduce risks to the private sector, TFCAs, host communities and the environment.
- Provide case study examples of good practices, highlight potential challenges, and provide suggestions on how to address the challenges; and
- Create guidance that is simple, clear, reliable, applicable, flexible, and concise.

#### Box 1: Key definitions for these guidelines

**Cross-border tourism products:** Tourism products that are made possible by existing TFCA structures. These include annual or bi-annual events (e.g. trail running, mountain-bike or canoe events) and cross-border tourism products with more regular departure dates (e.g. cross-border 4x4 trails and hiking trails).

**Proponent:** An individual, group or organization that submits or proposes a cross-border tourism product for review and acceptance by the TFCA structure, and mobilises resources to plan and develop it.

#### **Product authorization options:**

- **Concession:** The right to use land or other property for a specified purpose, granted by a government, company, or other controlling body. It can include a commercial operation and/or a piece of land<sup>1</sup>. A tourism concession could provide accommodation, food and beverage, recreation, education, retail, and interpretive services<sup>2</sup>.
- **Partnership:** An arrangement in which two or more individuals share the profits and liabilities of a business venture. Various arrangements are possible: all partners might share liabilities and profits equally, or some partners may have limited liability.<sup>3</sup>
- **Permit:** A temporary form of permission giving the recipient approval to do a lawful activity within the protected area.

**Stakeholders:** Stakeholders are persons or groups who are directly or indirectly affected by a product, as well as those who have the ability to influence its outcome, either positively benefitting or negatively impacted.<sup>4</sup>

#### **Transfrontier Conservation Area terminology:**

- **Transfrontier Conservation Area (TFCA):** A clearly defined geographical space that consists of protected areas that are ecologically connected across one or more international boundaries and involves some form of

<sup>1</sup> Pocket Oxford English Dictionary, 2006

<sup>2</sup> Eagles, P. F. J., Baycetch, C. M., Chen, X., Dong, L., Halpenny, E., Kwan, P. B., Lenuzzi, J. J., Wang, X., Xiao, Hl, and Zhang, Y. (2009) Guidelines for planning and management of concessions, licenses and permits for tourism in protected areas, Tourism planning and management program, University of Waterloo, Ontario, Canada, 23 April 2009.

<sup>3</sup> Investopedia (2017) Partnership, accessed on 12 June from [www.investopedia.com/terms/p/partnership.asp](http://www.investopedia.com/terms/p/partnership.asp)

<sup>4</sup> IFC (2007) Stakeholder Engagement: A Good Practice Handbook for Companies Doing Business in Emerging Markets, pp10 & Walton A. Gomei M. and Di Carlo G. (2013) Stakeholder engagement: Participatory Approaches for the Planning and Development of Marine Protected Areas. World Wide Fund for Nature and NOAA— National Marine Sanctuary Program, accessible from [http://awsassets.panda.org/downloads/stakeholder\\_engagement.pdf](http://awsassets.panda.org/downloads/stakeholder_engagement.pdf)



cooperation.<sup>5</sup>

- **Transfrontier Conservation Area Structure:** A combination of forums that have responsibility to manage aspects of the TFCA. They vary from TFCA to TFCA, but may include a Multi-lateral Ministerial Committee (with rotational chairmanship), a Joint Management Board (JMB), a TFCA Secretariat, International and National Coordinators, and other committees and task teams (See Organogram in Figure 2).
- **International Coordinator:** The International Coordinator is the focal point that cross-border tourism product proponents liaise with. They are responsible for coordinating activities associated with planning and implementing the TFCA, liaising with all parties on joint-activities, and promoting suitable processes and procedures in accordance with TFCA agreements and international protocols. In TFCAs where there is no International Coordinator present, the Coordinating Country's National Coordinator, TFCA Focal Point or a TFCA Secretariat may undertake this role.
- **Joint Management Board (JMB):** Translates political and policy directives from the Multi-lateral Ministerial Committee into operational guidelines, programmes and action plans, and supervises their implementation through management committees. The JMB may provide approval for cross-border tourism products in TFCAs<sup>6</sup>.

#### Tourism terminology:

- **Tourists & Visitors:** A visitor is a traveller taking a trip to a main destination outside his/her usual environment, for less than a year, for any main purpose (business, leisure or other personal purpose) other than to be employed by a resident entity in the country or place visited. Visitors can then be subdivided into tourists (or overnight visitors) if their trip includes an overnight stay, and excursionists (same-day visitors).<sup>7</sup> For protected areas (PAs), a visitor is a person who visits the PA for purposes mandated for the area. A visitor is not paid to be in the PA and does not live permanently in the PA. The purposes mandated for the area typically are recreational, educational or cultural.
- **Sustainable tourism:** Tourism that takes full account of its current and future economic, social and environmental impacts, addressing the needs of visitors, the industry, the environment and host communities.<sup>8</sup>

## 2.2 SCOPE, STRUCTURE AND CONTENT

The **main benefit** of reading this guideline is to obtain basic information on how to initiate, develop and operate cross-border tourism products within SADC TFCAs.

The **geographical scope** of the guidelines relates to SADC countries. The type of TFCAs covered is predominately terrestrial, but includes information that could be relevant to marine TFCAs too.

The **types of cross-border tourism products** addressed are those that are made possible by TFCA structures, including:

- **annual or bi-annual events** (e.g. trail running, mountain-bike or canoe events); and
- **cross-border tourism products with more regular departure dates that are made possible by existing TFCA structures** (e.g. cross-border 4x4 trails and hiking trails).

Therefore, the guidelines do not focus on cross-border tours that use existing formal immigration facilities between countries.

The guidelines are structured around a **step-by-step process** relating to the development and operation of cross-border tourism products, including scoping, design and feasibility, development and operation.

<sup>5</sup> Vasiljević, M., Zunckel, K., McKinney, M., Erg, B., Schoon, M., Rosen Michel, T. (2015). Transboundary Conservation: A systematic and integrated approach. Best Practice Protected Area Guidelines Series No. 23, Gland, Switzerland: IUCN

<sup>6</sup> Adapted from Great Limpopo Transfrontier Park Joint Management Board (2013) Integrated Development Plan, Draft, April 2013.

<sup>7</sup> Statistics and Tourism Satellite Account [http://statistics.unwto.org/content/faqs\\_and](http://statistics.unwto.org/content/faqs_and) Hornback, K.E. and Eagles, P.F.J. (1999) Guidelines for Public Use Measurement and Reporting at Parks and Protected Areas. First Edition. IUCN, Gland, Switzerland. Available at: <http://www.ahs.uwaterloo.ca/~eagles/parks>.

<sup>8</sup> UNEP and UNWTO (2005) Making Tourism More Sustainable, A Guide for Policy Makers, Madrid, Spain

These guidelines are not legally binding and enforceable documents, rather they provide an indication on how cross-border tourism can be implemented in a sustainable way for all parties involved, be they private sector, governments and/or communities. Furthermore, this document is not a technical manual, nor is it an exhaustive toolkit. Reading it will not make readers experts in cross-border product developments, but it will provide basic guidance, templates, and links to additional resources.

Also see other SADC guidelines in this series on the SADC-TFCA Portal ([www.tfcaportal.org](http://www.tfcaportal.org)).

- Tourism Concession Guidelines for Transfrontier Conservation Areas in SADC.
- Guideline on Community Engagement in TFCAs.

### 2.3 TARGET AUDIENCE

The guideline is targeted to cross-border tourism product proponents and TFCA practitioners. This includes representatives of protected area authorities, managers and TFCA structures; government officials responsible for cross-border movement (e.g. immigration, customs, police); donors; private sector operators and their associations; and non-governmental organizations (NGOs) and institutions working with local communities.

### 2.4 BACKGROUND TO THE GUIDELINES

The German International Cooperation (GIZ) supports the Food, Agriculture and Natural Resources (FANR) Directorate of the Southern African Development Community (SADC) in the implementation of SADC protocols and strategies for natural resource management, including the development of Transfrontier Conservation Areas, through the SADC/GIZ Project “Transboundary Use and Protection of Natural Resources Programme (TUPNR)”. In order to operationalise the implementation of the Protocol on Wildlife Conservation and Law Enforcement with regard to Transfrontier Conservation Areas (TFCAs), SADC developed the SADC Programme for TFCAs in 2013. The overall programme goal is to promote SADC as a model of community centred, regionally integrated and sustainably managed network of world-class transfrontier conservation areas. In the SADC Regional Indicative Strategic Development Plan and Component 7 of the SADC TFCA Programme, TFCAs have been identified as potential instruments for promoting regional integration, collaborative tourism and rural development.

Governments within SADC have undertaken a series of initiatives to facilitate the movement of tourists within TFCAs and to increase the options for establishment of cross-border tourism products. These include opening border posts within Kgalagadi Transfrontier Park, Great Limpopo Transfrontier Park and /Ai/Ais-Richtersveld Transfrontier Park. Furthermore, a UNIVISA system between Zambia and Zimbabwe facilitates easier access for visitors to the popular Victoria Falls and Livingstone area that falls within the Kavango Zambezi TFCA. Boundless Southern Africa is an umbrella marketing initiative that aims to promote tourism and related investment into SADC TFCAs. A key strategy of Boundless Southern Africa is to facilitate the development and hosting of an increasing number of cross-border tourism products and events with key partners and stakeholder agencies (e.g. Nedbank Tour de Tuli, Desert Knights, Richtersveld and Mapungubwe Transfrontier Wildruns, KAZA Golf Classic). These have fostered an increasing awareness of cross-border tourism products within the market.

In 2016 the SADC TFCA Network identified the need for guidelines on cross border tourism products in TFCAs. These guidelines were developed through a consultative process of interviews, online surveys, and a technical workshop of practitioners. This was supported by a broad literature review of the policy and planning framework and lessons learned from existing cross-border products. A Situational Analysis Report (SAR) on cross-border tourism products was compiled, and was used to inform the content and direction of these guidelines (available at [www.tfcaportal.org](http://www.tfcaportal.org)).

## 3 GUIDELINE STRUCTURE AND APPLICATION

### 3.1 GUIDELINE STRUCTURE

This Guideline is structured in two broad phases: **Phase 1: Development** and **Phase 2: Operation** of the cross-border product. An overview of these phases is outlined below, and illustrated in Figure 1.

#### Phase 1: Development

Phase 1 consists of three steps: (1) Scoping and (2) Feasibility and Design and (3) Development, which are described as follows:

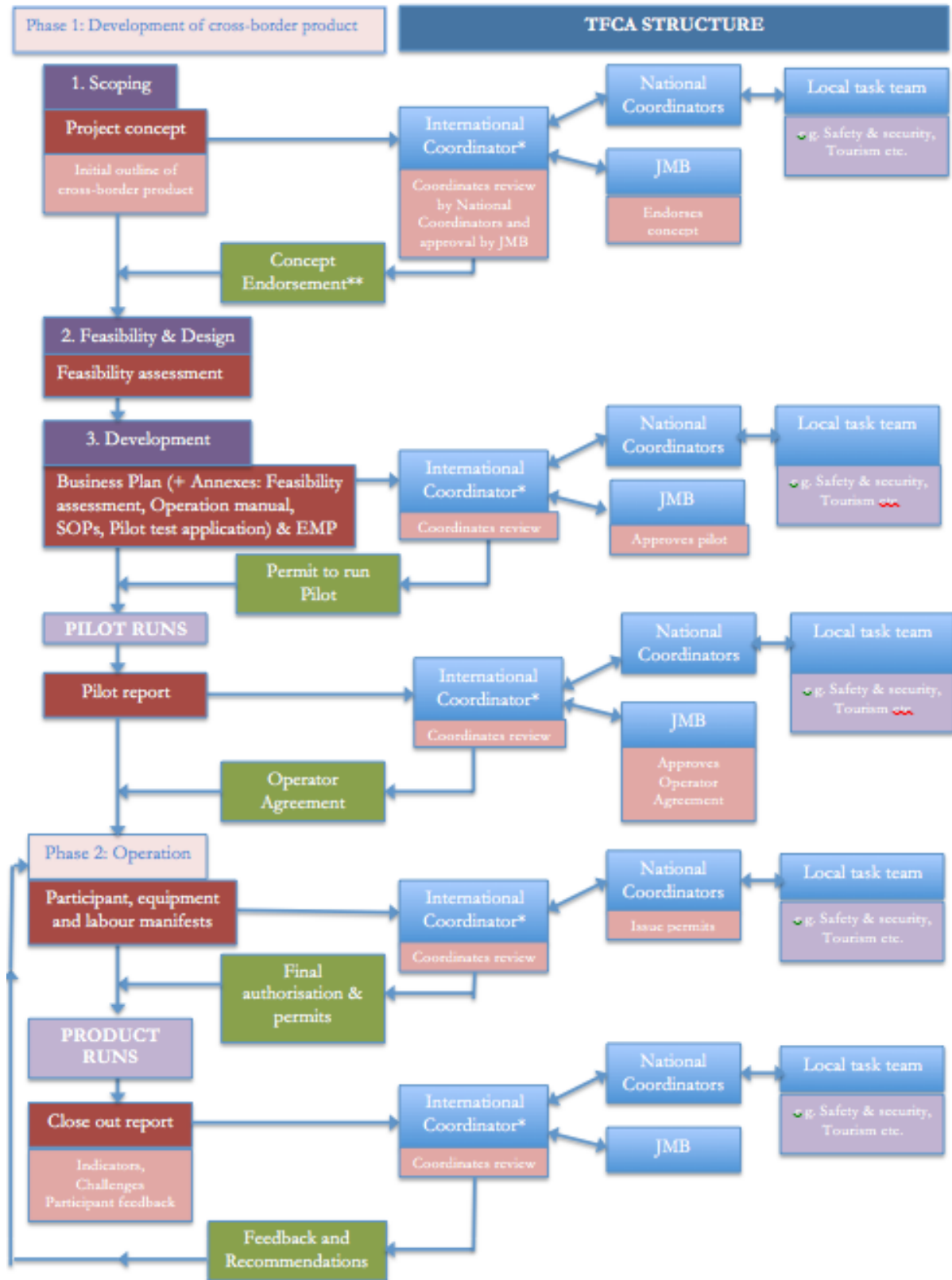
- **Step 1: Scoping:** Information is gathered by the proponent to establish whether developing a cross-border tourism product is a viable option, and therefore whether to proceed or not. If viable, the proponent submits a Project Concept to the International Coordinator of the TFCA (or the TFCA Secretariat, TFCA Focal Point or Coordinating Country's National Coordinator, as relevant). Following a review by National Coordinators and Local task teams, the Joint Management Board (JMB) provides a Concept Endorsement. This gives approval of the concept in principle, outlines notable milestones and timeframes, and allows the proponent to proceed with detailed planning.
- **Step 2: Feasibility and Design:** The proponent details what the cross-border tourism product will look like, accounts for specific regulations, and plans stakeholder engagement processes and consultation. They evaluate the product's commercial viability; design the product and select the appropriate business model. Financial options and risks are reviewed in detail, and sustainability issues are considered. A Feasibility assessment report is developed, and is used by the proponent to decide whether to move forward to the development of the product.
- **Step 3: Development:** The proponent establishes the cross-border product design, formalises the business model and governance systems and continues stakeholder engagement. A Business plan is written, and can be used to raise finance. Marketing activities are undertaken, and staff are recruited and trained. The proponent prepares and submits the Business plan (including annexes of the Feasibility assessment, an Operational manual, and Standard Operating Procedures) and Environmental Management Plan to the International Coordinator, in conjunction with a Pilot test application. Following a review within the TFCA structure, the JMB issues a Permit to run a Pilot. Following the pilot test, the proponent submits a Pilot report. Based on this, the JMB issues an Operator Agreement (which may, or may not be, multi-year).

#### Phase 2: Operation

During Phase 2, the cross-border product is run in line with the Operational Agreement, and using the Operating Manual and Standard Operating Procedures. Detailed information about the participants, equipment and labour to cross borders is submitted to the International Coordinator. Following a review, National Coordinators issue final authorisations and permits, and the product runs. Subsequently, the proponent submits a Close out report to the International Coordinator detailing achievements and any challenges. Feedback and recommendations are given to the proponent, and the JMB may issue a multi-year license at this time.

Note that the flow diagram does not incorporate timing for each phase or step. This is because different cross-border products may vary in their complexity, and also TFCAs across SADC will have their own schedules for processes to review them.

Figure 1: Flow diagram for cross-border product development and operation



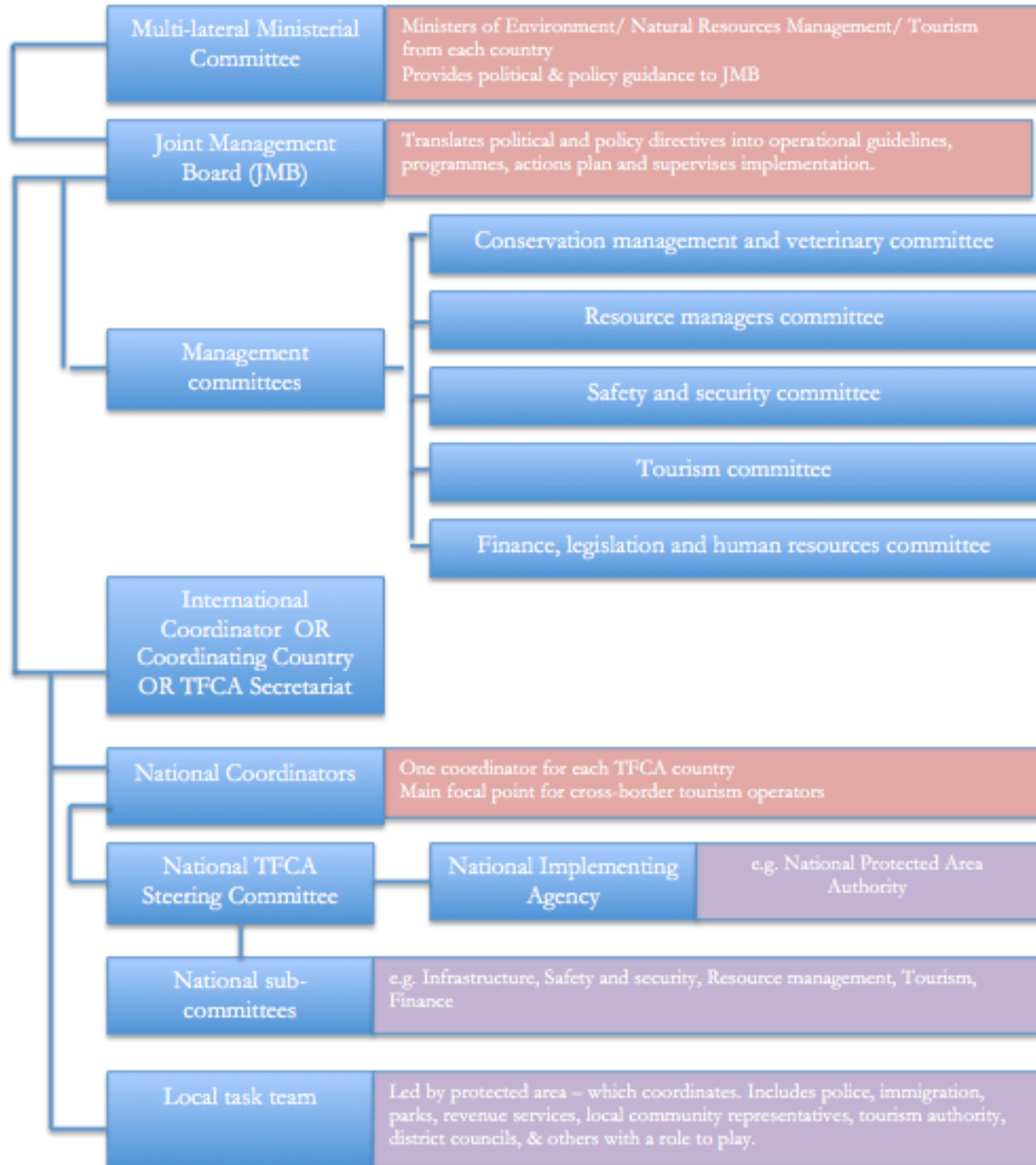
Notes:

\* This may be an International Coordinator or Coordinating Country’s National Coordinator, TFCA Focal Point, or TFCA Secretariat as relevant.

\*\* For small, simple products, the TFCA may allow the proponent to proceed from Project concept to piloting.

For context, a generic organogram of the TFCA Structure, including roles and responsibilities is described in Figure 2, which will have variations for specific TFCAs. In general, TFCA structures have a hierarchy that includes international and national committees and role-players that play a role in cross-border product development. Product proponents need to be aware of this, and be able to navigate its structure.

**Figure 2: Generic TFCA Structure organogram**



### 3.2 APPLICATION OF THE GUIDELINE

The Guideline may be applied through three generic options. Each option provides a different process that cross-border tourism product proponents can use to establish new products in TFCAs. These are summarized as follows:

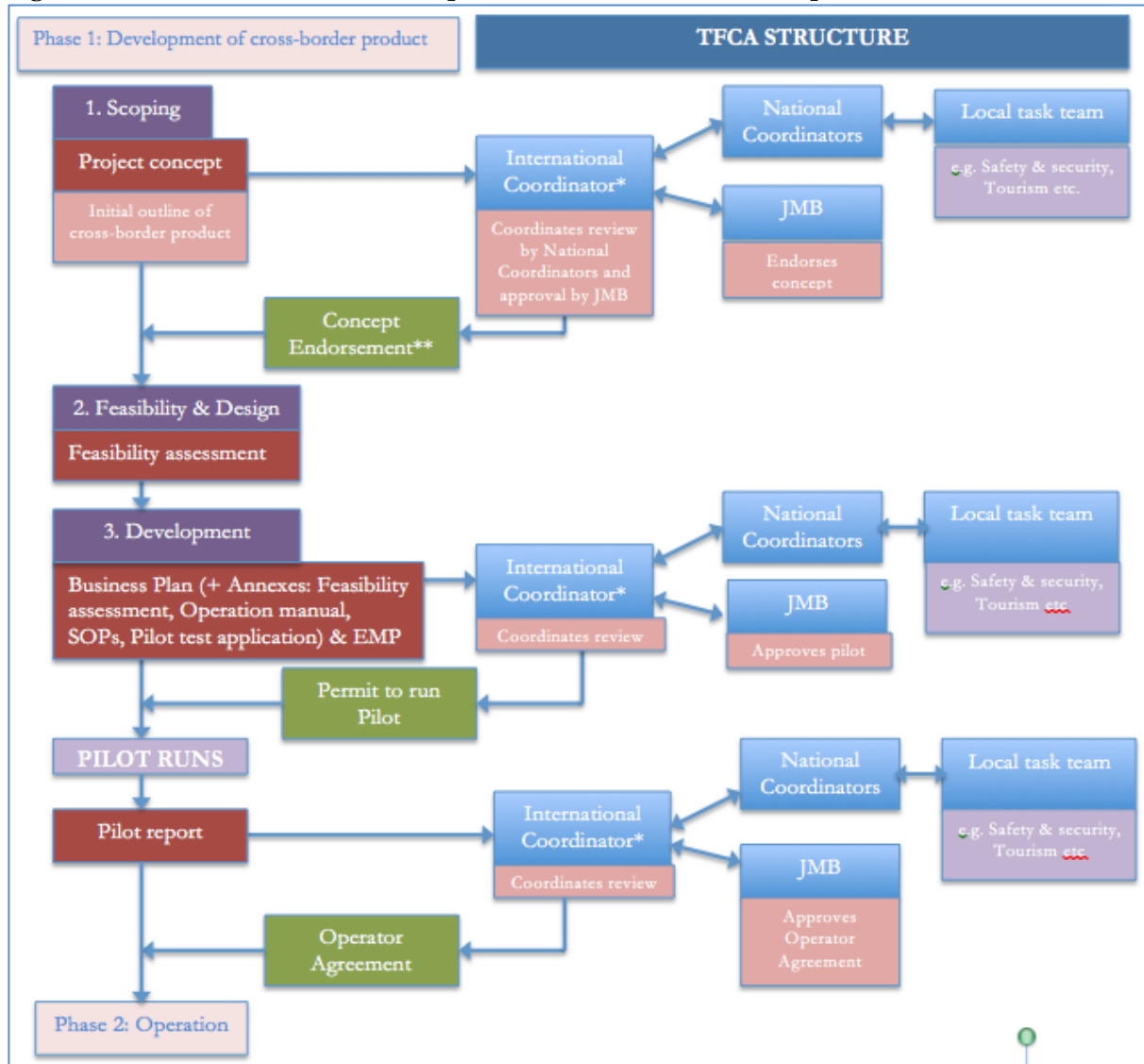
- **Option 1: Proponent generates a new cross-border product idea and approaches TFCA Structure to develop it (Unsolicited bid).** The proponent develops an idea, and meets with TFCA structure representatives to explore and discuss project concepts. The idea would be held in confidence to protect the proponent's intellectual property. TFCA representatives would review the concept with pre-established criteria and establish if the product is in line with the management plan and overarching policies. The proponent is generally a private sector entity (either for-profit or non-profit). This option may run for several years to test the product, before potentially being put out to tender with acknowledgement of their intellectual property (see Option 3).
- **Option 2: Proponent within the TFCA Structure identifies, plans and develops cross-border product opportunities, and then identifies implementation partners (Negotiated bid).** The partners may include tourism operators or other entities that already have use-rights in the vicinity, and are likely to be private sector entities (either for-profit or non-profit).
- **Option 3: Proponent responds to tender from the TFCA Structure requesting proposals to establish new cross-border products in a TFCA (Competitive bidding).** The bid documents may specify the type of products that are envisaged, and their location, or may be more open to new cross-border product ideas. A proponent would submit a bid outlining the product, in line with the financial, environmental and development criteria provided by the authority.

The procurement process for dealing with each option would be outlined by the respective TFCA structure in line with country-specific legislation and policies (see Annex 4). Each approach has implications for the scoping of the cross-border product, in terms of their associated processes, flexibility, transparency, and transaction costs. This guideline mainly focuses on a product development approach relating to Option 1, but many elements are also compatible with Options 2 and 3. More information on tourism concessions and types of procurement processes can be found in the "Tourism Concession Guidelines for Transfrontier Conservation Areas in SADC" (see [www.tfcaportal.org](http://www.tfcaportal.org)).

## 4 PHASE 1: DEVELOPMENT OF CROSS-BORDER TOURISM PRODUCTS

The three steps of Phase 1 are described in this section, relating to (1) Scoping and (2) Feasibility and Design and (3) Development (see Figure 3).

**Figure 3: Overview of Phase 1: Development of cross-border tourism products**



\* This may be an International Coordinator or Coordinating Country’s National Coordinator, TFCA Focal Point or TFCA Secretariat

\*\* For small, simple products, the TFCA may decide to allow the proponent to proceed to piloting.

### 4.1 STEP 1: SCOPING

Information gathered during the Scoping step is used by the proponent to establish whether developing a cross-border tourism product is a viable option, and helps them to decide whether to proceed or not. The proponent uses information collected during this step to write a **Project Concept** (see Annex 3.1). Subsequently, the **Project Concept** is submitted to the TFCA’s International Coordinator<sup>9</sup>. This reviewed and then endorsed by the TFCA’s Joint Management Board (JMB) in line with the area’s objectives, as outlined in the TFCA treaty or MoU, and management plan.

<sup>9</sup> Or the coordinating country’s National Coordinator, TFCA Focal Point or the TFCA Secretariat as relevant

This section of the guideline describes the activities undertaken by the proponent during the scoping step.

#### 4.1.1 ESTABLISHING GOALS, MOTIVATIONS AND OBJECTIVES

Establishing the goals, motivations and objectives for a cross-border tourism product helps to define the framework and parameters of the initiative and establish what it aims to achieve. This awareness helps to shape the overall design of the product, and the process that is used to develop it. This information can be included in the Project Concept. The proponent reviews their overarching motivation and objectives, and reflects on how important these are for themselves, the TFCA structure and communities (see **Table 1**).

**Table 1: Scoping motivation and objectives<sup>10</sup>**

Motivation and objectives	Stakeholder relevance		
	TFCA Structure	Proponent (for-profit or non-profit)	Communities
Unlock tourism potential in part of a TFCA			
Create a unique cross-border tourism product			
Generate commercial profit or to cover operational costs			
Provide high-quality experiences for tourists			
Promote sustainable tourism and responsible practices			
Create jobs and small business opportunities for local people, women and youth			
Enhance community development, skills development and beneficiation			
Conserve natural and cultural resources			
Improve security in the area			
Promote transboundary cooperation and collaboration between countries and communities			
Raise awareness of a TFCA destination and its attractions			
Raise awareness and the profile of the proponent			

The proponent should also consider the goals and objectives that the cross-border tourism product would need to achieve in order to be considered a success. This may include the value of revenue generated; the number of jobs created; improved linkages between protected area authorities and the private sector; and/or benefits distributed between participating countries.

Proponents should discuss their cross-border product idea with people they trust, including (where possible) government officials and private sector representatives who can act as a sounding board for ideas, while protecting their intellectual property. These discussions can be used to shape the Project Concept.

#### 4.1.2 IDENTIFICATION OF PRODUCT TYPES AND OPPORTUNITIES

There are many types of cross-border tourism product that can be developed in TFCAs, and it is useful for product proponents to consider the range options, and reflect on how realistic the opportunities are by asking a series of scoping questions (see table below).

<sup>10</sup> Adapted from PPF (2017) Strategy – Transfrontier Conservation Area Tourism Products, Peace Parks Foundation.



**Table 2: Scoping questions to review product types and opportunities**

Issue	Scoping question
Frequency	Will it be an annual / bi-annual event, or a cross-border product with more regular departures?
Product characteristics	What kind of experiences will it include? e.g. trail running, canoeing, mountain biking, hiking, 4x4 drives, horse-riding, sport (e.g. football, golf, tennis), balloon safaris, wildlife trekking or viewing, birding, community interactions, festivals etc.
Location	Which SADC TFCA is proposed to develop the product within? Which country's international borders would it cross, and where is the proposed undesignated border crossing (if any)?
Timing	Will the product be possible to implement year-round, or dependent on the time of year? (e.g. seasonality of rains, temperature, timing of other products etc.)
Assets and attractions	Does the location have the attractions and resources required for the type of product proposed? (e.g. wildlife, landscape, culture, rivers etc.)
Access	The location already accessible, or will new access facilities be required for the product? (e.g. roads, trails, undesignated border crossings, bridges, airstrips etc.)
Infrastructure	Is there existing infrastructure that could be used, or will new permanent or temporary infrastructure need to be established (e.g. accommodation, communications)? If additional infrastructure is needed, indicate costs, time-frames for development, and a high-level outline of environmental impacts and funding sources.
Uniqueness	Will this be an original new product? Or are there already similar products available in this TFCA (or in other TFCAs) that this will scale up?
Partners	Would partners and agreements with others be needed to establish the product? Who might these be? (e.g. government, private sector or community partners, event management companies, donors)
Market demand	Are there indications of market demand for the type of product? (e.g. international, regional, domestic). What kind of market would be interested in the product? (e.g. adventure tourists, families, sports people etc.)
Logistics	What logistics will be required to establish and operate the product? (e.g. events and year-round products have different requirements)
Financial potential	What are the likely revenues and associated costs (including transaction and start-up costs)? How long will it take to reach break-even level and profitability?
Resources	Does the proponent have the resources required for the product already (i.e. financial resources, human resources, equipment, established market linkages) or are these still needed? What support services will be needed, and what is available in each country? (e.g. medical services, transport, security, catering etc.)

#### 4.1.3 LEGISLATIVE ISSUES

At this stage, a simple review of key legislative issues related to the practicalities of cross-border movement is important (and a more detailed analysis is done later during the Design and Feasibility stage). Issues to consider are outlined in the table below.

**Table 3: Scoping activities questions on legislative issues**

Issue	Scoping question
Cross-border movement	What will be moved across international borders? (e.g. staff, tourists, vehicles, equipment, consumables (e.g. food and drink)
Border facilities	Are there existing border facilities where they will be needed? Will one or more undesignated border-crossing points be needed? If so, where would these be, and how often will they be needed? What are the implications of this?

#### 4.1.4 BUSINESS MODELS AND GOVERNANCE

There are different business model options for cross-border tourism products. These have implications for the governance of a cross-border product (i.e. the process of decision making, and by which decisions are implemented), and how retained income / profits are distributed:

- For **partnerships models**, revenues and profits can be allocated in relation to the business plan, coupled with agreements made between partners. Partners may include combinations of government departments, parastatals, private sector and community entities. For example, Desert Knights has partners including the Namibia Wildlife Resorts; South African National Parks, and the Department of Environmental Affairs in South Africa. Profits are allocated to joint park management costs in the /Ai /Ais-Richtersveld Transfrontier Park. This is used to purchase equipment (i.e. capital investments) for future cross-border events, and surplus funds are allocated to joint operations in Namibia and South Africa as identified by the Park Management Committee.<sup>11</sup>
- For **private sector models**, revenues accrue to the operator, and profits are realized once the product's costs have been paid for. For example, income retained from the Tour de Tuli, are used by the NGO Children in the Wilderness to finance for environmental education activities for youths living in local communities.<sup>12</sup> Private sector models also generate local financial benefits through their expenditure on salaries and procurement of goods and services in host countries and communities.

Table 4 provides an overview of the relative benefits and costs of partnership and private sector models, compared with a TFCA operating a product itself. The models are compared in terms of financial issues, tourism operations, socio-economic impact, governance, risk, human resources, and conservation. This table can be used by a cross-border product proponent to explore the implications of different partnership options, and to establish which is the most applicable and practical to pursue.

**Table 4: Relative benefits of different partnership types<sup>13</sup>**

Theme	Criteria for choosing partnership type	Outsource			Insource
		Private sector model		Partnership	PA Authority
		For-Profit	Non-profit	For-profit or non-profit	
Financial issues	Protected area (PA) and government costs	Moderate cost to PA	Moderate cost to PA	Moderate cost to PA	High cost to PA
	Expense of contract management, monitoring	High	Moderate	High	Low
	Expense of tendering procedures	High	High	High	None
	Difficulty and expense of monitoring finance	High	Low	High	Low
Tourism operations	Quality of visitor services	High	Moderate, variable	High	Moderate, depends on capacity
	Specialised tourism expertise	High	High or Moderate	High or Moderate	Hired by PA
	PA seen as competing with private enterprise	No	Low	No	High
	Access to new tourist markets	More access	More access	More access	Depends on PA capacity
	Tourism workable with low visitor numbers	No	Yes	No	Yes
Socio-economic impact	Opportunity for community equity	Depends on contracts	High	Depends on contracts	High
	Business and job creation for local population	Moderate	High	Moderate	High
	Flexibility in purchasing	High	High	High	Low

<sup>11</sup> Pers Com. P. Bewsher, PPF, 2014; Pers Com. R. Vorwerk, Boundless Southern Africa, 2014

<sup>12</sup> Pers Com. N. Harris, CITW, February 2018; Janet Wilkinson, CITW, March 2018

<sup>13</sup> Adapted from Spenceley, A., Snyman, S., and Eagles, P. (2017) Guidelines for tourism partnerships and concessions for protected areas: Generating sustainable revenues for conservation and development. Report to the Secretariat of the Convention on Biological Diversity and IUCN.

Theme	Criteria for choosing partnership type	Outsource			Insource
		Private sector model		Partnership	PA Authority
		For-Profit	Non-profit	For-profit or non-profit	
Governance	Selection process open and transparent	High	Low	High	n/a
	Control of services by PA	Moderate	Low	Moderate	High
	Potential source of corruption during procurement	Moderate	Moderate	Moderate	Moderate
	Partner/private sector influence PA authority policy	Moderate	Low	High	n/a
	Partner/private sector gains political power	Moderate	Moderate	Moderate	n/a
	Power of public sector unions	Low	Low	High, variable	High
Risk	Political influences on PA management by partner/private sector	High potential	Moderate potential	High potential	n/a
	Liability exposure	For-profit	Non-profit	Joint-venture	Protected Area
	Conflict over PA objectives	Moderate	Moderate	Moderate	None
	Reversibility of decisions	Low	High	Low	High
	Transaction costs to establish partnership	Moderate	Moderate	High	None
	Difficulty of removing a bad operator	Moderate	Moderate	Moderate	n/a
Human resources	Public sector union contracts	None	None	None	Full
	Employment rules and regulations	Company rules	Company rules	Company rules	Government rules
	Staff working on all PA needs	Sometimes	Sometimes	Sometimes	Not a problem
	Contract management expertise needed in protected area	Yes	Yes	Yes	Somewhat true
	Ability to use volunteers	Moderate	High	Moderate	Moderate
	Ability to obtain donations of money and time	Moderate	High	Moderate	High
Conservation	Likelihood of contributing to biodiversity conservation	Moderate	High	Moderate	High
	Likelihood of applying an environmental management system (e.g. renewable energy, water conservation, recycling)	Moderate	High	High	Low

**Table 5** below provides some examples of the types of partnership and private models that are used for cross-border products.

As illustrated earlier in Figure 2, TFCA structures include a number of international and national committees that play a role in cross-border product development. A process of relationship building, and establishing buy-in among policymakers and TFCA stakeholders begins during the Scoping step, and continues throughout the development and operation process. The TFCA's International Coordinator should act as the focal point for any product proponent. Where there is no International Coordinator, this role may be adopted by the coordinating country's National Coordinator, or the TFCA Secretariat. However, some meetings and consultations will also be needed with other stakeholders, including the Joint Management Board, the security cluster (i.e. immigration, police and customs and border management committees), and community representatives.

**Table 5: Governance structures for cross-border products**

Business model	Types of partners	Examples	Private partners	TFCA partner
Partnership	Government and private sector	Kavango Zambezi Golf Classic	ZimParks, and golf clubs with contracted operator.	KAZA TFCA
	Government and parastatal	Desert Knights	NWR, SANParks, DEA, supported by PPF & Boundless Southern Africa	Ai /Ais-Richtersveld Transfrontier Park.
		Desert Kayak Trail	NWR, PPF, African Paddling Association	Ai /Ais-Richtersveld TP
	Government, private sector and community	Pafuri Cross Border Trail and Shangaan Festival	Return Africa, Shangaan community	GLTFCA
Private sector	Non-profit	Nedbank Tour de Tuli	CITW supported by Nedbank, Wilderness Safaris, PPF, Boundless SA and others	Mapungubwe TFCA
	For-profit	The Namibia Crossing <sup>14</sup>	Wildrun Africa	Ai /Ais-Richtersveld TP
		Safari on the run <sup>15</sup>	Wildrun Africa	Mapungubwe TFCA

**Key:** NWR = Namibia Wildlife Resorts; SANParks = South African National Parks; DEA = Department of Environmental Affairs, South Africa; CITW = Children in the Wilderness; PPF = Peace Parks Foundation; ZimParks = Zimbabwe Parks and Wildlife Management Authority

During the scoping step:

- Decide what type of business model would be most suitable for the cross-border product.
- Establish who will be the operator of the cross-border product (e.g. whether PA authority, private entity, partnership or other).
- If a partnership is most appropriate, discuss with the proposed partners to see if they are interested.
- Review the likely operational and capital costs, and also the market potential.
- Decide how benefits will flow from the product, including to the operator, the TFCA, each host country, and communities, to ensure transparency from the start (e.g. number of jobs, training, small business opportunities, profit distribution).
- Decide whether a new business entity is required (e.g. a joint-venture company or NGO), or whether the cross-border product will use existing structures (e.g. within an existing institution).
- Consider the TFCA structure (in Figure 2) and through consultation identify the role-players and decision makers.
- Review the types of information, reports, and permits required during the process (see **Error! Reference source not found.**).
- Consider how decisions will be made within the business entity (e.g. through committee discussions) and who is accountable for them.
- Establish what type of agreement is needed with the TFCA, whether a Memorandum of Understanding, Service Level Agreement, permit, public-private partnership agreement, or a concession.
- Consider whether some services will need to be sub-contracted (e.g. catering, supplies).
- Identify champions, both from the cross-border product operator and within the TFCA structure. Champions are ideally inspirational people who can motivate others, who can achieve results, while being well versed in relevant technical issues.

<sup>14</sup> Formerly run as the Richtersveld Transfrontier Wildrun

<sup>15</sup> Formerly run as the Mapungubwe Transfrontier Wildrun

#### 4.1.5 POTENTIAL CHALLENGES, RISKS AND BARRIERS

Cross-border products have a number of challenges associated with their development and operation. A cross-border product proponent should identify these from the outset, understand how likely they are, and suggest practical options for avoiding them. The risks will vary between tourism product types, and between TFCAs and countries. Some of the types of challenges, risks and barriers that could be faced are outlined in the table below.

**Table 6: Potential challenges, risks and barriers for cross-border tourism development<sup>16</sup>**

Issue	Specific challenges, risks and barriers
<b>Political and legal issues</b>	Variable commitment and enthusiasm at national and local levels of government. Variable levels of capacity and stretched resources at national and local levels of government. Incompatible legislation between countries, and changes in policies or regulations over time. Border crossing difficulties (e.g. poor infrastructure; visas and associated costs; international movement of labour, equipment and consumables). Access and infrastructure (e.g. poor roads in remote areas impact on travel time and vehicle maintenance costs). Obtaining timely permissions for borders (designated and undesignated). Uncertainty over whether a product will be given permission or not, or in time. Reputational risk to the proponent and TFCA if the cross-border product does not go to plan. Inability to transport meat across veterinary red lines. Firearms not allowed to cross borders (so guns on each side of border).
<b>Governance and institutional arrangements</b>	Weak coordination of partners and stakeholders. Weaknesses in decentralization and delegation among some TFCA managers. Poor communication and collaboration at local level in remote areas of the TFCA. Changes in personnel involved in applying for approvals.
<b>Stakeholder engagement</b>	Managing expectations of benefits of partners and beneficiaries. Ensuring beneficiaries receive planned benefits. Considerable time (and associated expenses) required to meet with officials and community members to discuss the product and revenue sharing.
<b>Safety risks</b>	Participant injuries (including heat exhaustion, dehydration, physical injuries) Emergency access for patient extraction cross-border. Liability and insurance in a cross-border multi-stakeholder environment. Participants/Support crews getting lost or stuck due to terrain. Opportunistic risks (e.g. community sabotage, criminal activities)
<b>Environmental risks</b>	Environmental impacts of the cross-border product in the short- and long-term. Wildlife encounters with participants and staff. Crossing rivers and other hazards. Early warning system (e.g. for natural disasters, extreme weather patterns)

If risks cannot be avoided or mitigated, consider:

- How they would be dealt with;
- Whether there would be financial or reputational repercussions; and
- Who would be responsible for associated costs.

#### 4.1.6 DECIDING WHETHER TO PROCEED OR NOT

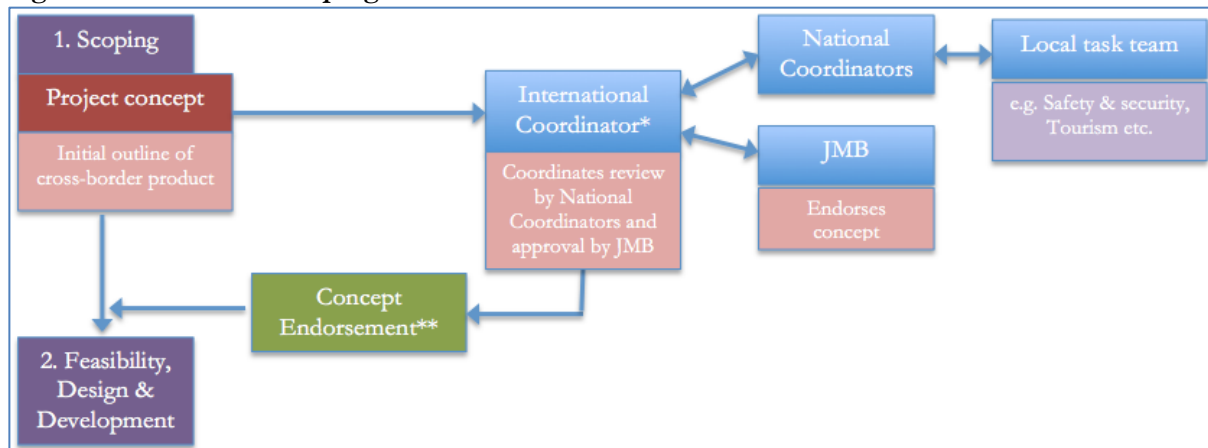
In deciding whether to proceed or not with a cross-border tourism product, carefully consider whether the objectives are realistic and that there are no 'deal breakers'. If 'no', then re-think the cross-border tourism product and consider alternative options (e.g. revise the product type, its location, or timing). From the perspective of a product proponent, deal breakers may relate to the level of difficulty or risk envisaged to develop and operate the product.

<sup>16</sup> Spenceley, A. (2018) SADC TFCA Cross-border tourism product situational analysis, Submitted to GIZ, Draft 1.0, 13 March 2018

If 'yes', then develop a **Product Concept** based on the scoping to provide a basic overview of the cross-border product that is proposed (see outline in Annex 3.1). This should be submitted to the relevant International Coordinator who facilitates a review process within the TFCA Structure, and seeks feedback from national coordinators, local task teams, and approval from the JMB (see process in Figure 4). The TFCA Structure reviews the concept to ensure that it is aligned with the area's objectives, as outlined in the TFCA treaty or MoU, and management plan. Ensuring good communication and coordination between the proponent, officials and other stakeholders is a key responsibility of the International Coordinator, to establish strong working relationships.

If approved a **Concept Endorsement** letter is provided by the JMB. This endorsement provides the proponent with the security to proceed to **Step 2: Design, Feasibility and Development**. The Concept Endorsement should clarify the process moving forward, and suggested timing for the submission and review of further supporting materials. Note that for some small and simple products, the TFCA may decide to allow the proponent to proceed to piloting, rather than undertaking full Feasibility and Design activities first.

**Figure 4: Overview of Scoping**



\* This may be an International Coordinator, Coordinating Country's National Coordinator, TFCA Focal Point or TFCA Secretariat

\*\* For small, simple products, the TFCA may decide to allow the proponent to proceed to piloting.

## 4.2 STEP 2: DESIGN AND FEASIBILITY

The Design and Feasibility activities establish what the cross-border tourism product will look like, accounts for specific regulations, plans stakeholder engagement processes and consultation; evaluates commercial viability; designs the product and selects the appropriate business model. Financial options and risks are reviewed in detail, and sustainability issues are fully considered.

Output is a **Feasibility assessment** (see Annex 3.2), which the proponent can use to establish whether the product is viable or not, and whether to continue the development process.

This section of the guideline describes the activities undertaken by the proponent during this step.

### 4.2.1 POLICY AND LEGISLATION ASSESSMENT

Building on the scoping step, undertake a detailed review of policy and legislative issues related to the cross-border product, as outlined in **Table 7** below. There is a list of relevant SADC protocols, and country policies can be found in Annex 4 to assist this process, and the TFCA's International Coordinator should be able to provide technical guidance.

**Table 7: Design and feasibility activities and questions for political and legislative issues**

Issue	Review activity	Design and feasibility questions
SADC and TFCA Policies	Review existing SADC policies and TFCA treaties (e.g. SADC Protocol on the Development of Tourism, 1998 <sup>17</sup> , SADC Protocol on Wildlife Conservation and Law Enforcement, 1999 <sup>18</sup> , SADC TFCA Programme, 2013 <sup>19</sup> : Protocol in Trade in Services, 2012 <sup>20</sup> , TFCA MoU, Protocol and/or Treaty).	Will the product support the implementation of SADC protocols and plans for TFCAs, and regional integration?
Plans	Review existing national masterplans, protected area management plans, and tourism plans for the TFCA.	Is the type of cross-border product being proposed compatible with the existing plans?
National legislation for cross-border movement	Review legislation and regulations of each country in relation to: <ul style="list-style-type: none"> <li>○ Immigration for tourists.</li> <li>○ Veterinary, food and agriculture controls.</li> <li>○ Movement of labour between countries (e.g. drivers, guides, volunteers, etc)..</li> <li>○ Importation of equipment and consumables.</li> <li>○ Security and firearms controls.</li> <li>○ Community participation.</li> <li>○ Fees for cross-border movement.</li> <li>○ Protocols for cross-border movement of media and medics.</li> </ul>	What and who needs to be moved across international borders? (e.g. numbers of staff and tourists, numbers and types of vehicles, type of equipment, type and quantity of consumables (e.g. food and drink) What are the implications for regulations in each country? (e.g. import duties, exemptions and waivers, veterinary controls, local procurement, labour laws, visas, firearms, and use of international medical services) What is the process for obtaining permissions from government authorities? How long may these take to process? What are the financial costs associated with the permits required? What processes are needed for emergency evacuations across borders?
Border facilities	Review existing border facilities, and whether there are permanent border posts or undesignated border crossings in the TFCA.	Are there existing border facilities where they will be needed? Will one or more undesignated border crossing points be needed? Where would these be? When would they be needed? How many people would use these? What type of equipment would pass through these?
Operating licenses	Review what business and operational licenses, permits or concessions that are needed in each country and each protected area. Include, for example licenses for guides, driver, medical staff, liquor, vehicles and special equipment (e.g. firearms).	Which operating license will be needed? What information or supporting documents are required for the applications? How long do they take to process? How much do they cost?

Numerous engagements should take place between the product proponent, the International Coordinator and security cluster (i.e. immigration, police, customs), and with community forums and representatives. While formal face-to-face meetings are most appropriate for decision making, and if authorisations are to be issued, it may not always be necessary to convene physical meetings (which are time consuming and expensive). To improve communication and coordination engagements may also be - for example - by

<sup>17</sup> Southern African Development Community (SADC) (2012) Protocol on the development of tourism (1998) Accessed from [http://www.sadc.int/files/2413/5292/8368/Protocol\\_on\\_the\\_Development\\_of\\_Tourism1998.pdf](http://www.sadc.int/files/2413/5292/8368/Protocol_on_the_Development_of_Tourism1998.pdf) on 18 September 2013

<sup>18</sup> Southern African Development Community (SADC) (1999) SADC Protocol on Wildlife Conservation and Law Enforcement, Accessed from <http://www.tbpa.net/docs/pdfs/SecMan/SecManSADCProtocol.pdf> on 28 February 2018

<sup>19</sup> Southern African Development Community (SADC) (2013) SADC Programme for Transfrontier Conservation Areas, SADC Secretariat, Gaborone, October 2013, accessed from [http://www.sadc.int/files/4614/2122/3338/SADC\\_TFCA\\_Programme\\_FINAL\\_doc\\_Oct\\_2013.pdf](http://www.sadc.int/files/4614/2122/3338/SADC_TFCA_Programme_FINAL_doc_Oct_2013.pdf) on 28 February 2018

<sup>20</sup> Southern African Development Community (SADC) (2012) [http://www.sadc.int/files/7313/6439/6118/Protocol\\_on\\_Trade\\_in\\_Services\\_-\\_2012\\_-\\_English.pdf](http://www.sadc.int/files/7313/6439/6118/Protocol_on_Trade_in_Services_-_2012_-_English.pdf)

email, phone and through WhatsApp groups. The engagements should be used to discuss logistics, permissions and waivers relating to:

- Relevant regulations relating to the cross-border product, where actions need to be taken, and any changes foreseen;
- Undesignated border crossings, and raising awareness of the product and authorisations to all relevant stakeholders and personnel (including at local level);
- Coordination and communication processes (including between the operator and multi-lateral committee) and schedules, that are effective and efficient;
- Documents required to process permits and waivers, the timing for processing them, and who is responsible; and
- Costs and timing associated with logistics, permissions and waivers.

These engagements are not only used to exchange information, but also to build trust and understanding between the operator, TFCA structure and security cluster. Records of these engagements should be maintained by the International Coordinator (or other stakeholder, as appropriate) and circulated to all parties.

#### 4.2.2 PRODUCT DESIGN

Describe the design of the cross-border product, building on the scoping done earlier (see section 4.1.2) and using the outline in the table below.

**Table 8: Product design elements**

Issue	Design question
Rationale	Describe the main objective, in relation to the goals (see section 4.1.1).
Frequency	Describe when and how often it will happen (e.g. number of times per year; which months/seasons; day and/or night).
Product characteristics	Describe the specific experiences it will include (e.g. trail running, canoeing, mountain biking, hiking, climbing, 4x4 drives, star-gazing, sport (e.g. football, golf, tennis, fishing), balloon safaris, wildlife trekking, birding, community interactions, festivals etc.) Describe any logistics characteristics (e.g. accommodation, transfers, catering, guided tours). Describe any cultural characteristics (e.g. local design and décor, use of local foods and drinks, traditional stories and craft). Describe a typical itinerary for participants (e.g. arrival and check-in, activities during product duration, departure). Describe the maximum number of participants at one time. Establish the price (e.g. launch price for first year; rack rate; agent commission rates).
Assets and attractions	Describe the product's main assets attractions (e.g. wildlife, landscape, culture, rivers etc.)
Preferred market, competitive advantage and market access	Describe the target market for the product (e.g. adventure tourists, families, sports people etc.) Describe the competitive advantages (e.g. uniqueness, attractiveness, range of activities, integration with other compatible products). Describe how sales and reservations will be made. Decide what combination of direct sales to tourists (e.g. through an online booking platform) or via intermediaries (e.g. protected area platforms, travel agents, other tour operators) will be most suitable.
Location and access	Indicate which TFCA, and which part of the TFCA (including which countries, and protected areas) it will take place within. Describe which international borders would it cross, and the location of crossing points. Provide a map indicating the location of the product, and the border crossing points, access routes and/or attractions to be used.
Infrastructure	Undertake an infrastructure audit, and describe infrastructure to be used, rehabilitated or built. Indicate whether it is permanent or temporary. Describe the layout of any camps and trail routes, with maps / schematics. Provide a design guide relative to the product and target market including: <ul style="list-style-type: none"> <li>• Number of guest tents/accommodation units and ablutions;</li> <li>• Communal areas such as dining area, lounge, bar, shop); and</li> </ul>



Issue	Design question
	<ul style="list-style-type: none"> <li>Back of house (e.g. ablutions, kitchen, staff accommodation, maintenance and parking)</li> </ul> Establish general design principles (e.g. light-footprint; local materials; visual impact; green technologies).
Furniture and equipment	Describe furniture and fittings, including the standard. Specify the numbers of tables, chairs, beds, lights, shelves etc. and different types that will be needed for guests and staff. Specify any design principles (e.g. local traditional styles, fabricated and procured locally, use of sustainable materials). Specify any equipment needs (e.g. number and types of vehicles; trailers and equipment racks; firearms etc.)
Services	Describe service provision, including sources of water and power, waste disposal, and sewage disposal (emphasizing best environmental practices). Describe any services for discretionary spend (e.g. spa, massage, bar, curio shop etc.)
Staff & volunteers	Specify the number of staff, volunteers and their job descriptions (e.g. director, catering, medical, maintenance etc.) Indicate any staffing principles (e.g. gender balance, fair remuneration, recruitment from local communities, youth etc.) Highlight any labour laws to be addressed within each country.

Describe how the cross-border product will be piloted and tested. Indicate when this would happen, and what kind of participants would be invited to participate. Clarify what characteristics of the product will be evaluated during the testing, and how this will be done and the process that will be used to modify the product afterwards.

#### 4.2.3 STAKEHOLDER ENGAGEMENT AND BUY-IN

Involving stakeholders ensures that their perspectives, knowledge, and support are incorporated<sup>21</sup>. They include people who are directly or indirectly affected, who are responsible, who can support or impede the process. All relevant stakeholders and beneficiaries relating to the cross-border product should be identified and mapped, including their expectations. They may include institutions and representatives from government, protected area authorities, the TFCA (see Figure 2), private sector, existing civil society groups, local communities, the academic community, and also the development community (see Table 9).

**Table 9: Stakeholders and their role in cross-border tourism products**

Type of Stakeholder	Interest or role in the cross-border product
National or local government authorities	Ensure that the proposed cross-border product satisfies local and national legislation and adheres to all specified regulations, or that new or adapted policy instruments are created. This relates to land issues, and transboundary elements relating to immigration, accessibility, importation of goods and services, labour, and community benefits. In TFCAs, they act through the Multi-lateral Ministerial Committee.
Protected area authorities	Ensure that the cross-border product does not undermine conservation of the natural and/or cultural asset, and that it contributes financially to the management costs, and reflects protected area management plans. This includes compatibility with existing concession agreements or rights, zoning and other restrictions. In TFCAs, protected area authorities are represented on the JMB and as National Implementing Agencies.
TFCA management unit	Ensure that cross-border products are aligned with TFCA development and tourism plans, and that participating countries contribute and benefit equitably. They are led by an International Coordinator (the focal point), and link with TFCA and national-level committees.

<sup>21</sup> Walton A. Gomei M. and Di Carlo G. (2013) Stakeholder engagement: Participatory Approaches for the Planning and Development of Marine Protected Areas. World Wide Fund for Nature and NOAA— National Marine Sanctuary Program, accessible from [http://awsassets.panda.org/downloads/stakeholder\\_engagement.pdf](http://awsassets.panda.org/downloads/stakeholder_engagement.pdf)

Type of Stakeholder	Interest or role in the cross-border product
Destination Management Organisations <sup>22</sup>	Implementation bodies for tourism strategies, offering apolitical continuity and integrity to destination development. Build on efforts to manage and market a destination. Ensure that the tourism destination has a coordinated approach to investment, promotion and also sustainable tourism development.
Private sector (including tourism and other sectors, and their associations)	Interest in benefiting from the cross-border product (directly or indirectly) or (with existing operators) to ensure that new products do not impede their current performance.
Local communities or individuals (including leaders, action groups, Trusts, legal entities, landowners, occupiers)	Interest in ensuring the cross-border product improves the livelihoods for present and future generations and does not negatively affect their environment or way of life. Local community members may also be partners, contractors and employees in cross-border products. Expectations need to be carefully managed and communicated.
Civil society organizations and groups with special interests	Represent the views of other groups that are less able to voice their concerns (i.e. economically and socially marginalised communities, indigenous peoples) or unable to do so (i.e. wildlife, natural resources, ecosystems).
Development community (including donor and development agencies, and non-governmental organisations)	Providing funding and technical support, which may have projects supporting protected areas, their authorities, and poverty reduction initiatives for communities. Sharing lessons learned during implementation of previous projects including mistakes and risks to be avoided.

Create a stakeholder engagement plan, and establish a communication strategy to support it<sup>23</sup>. For each stakeholder, decide what level of stakeholder engagement is appropriate (i.e. inform, consult, involve, collaborate, or empower) and mechanisms to engage and communicate effectively.<sup>24</sup> Stakeholders will need to understand what the cross-border product is, its location and frequency, and how they are affected or involved. They may have useful contributions to make, including knowledge about the area, experiences, ideas, needs and concerns that can test the product objectives and likelihood of success. They will also be able to identify common or competing interests, and possibilities for cooperation.

Good practices include ensuring that stakeholder expectations are managed throughout the development and operation process; notifying them of updates to the process; and responding to their comments.<sup>25</sup> Ensure that they understand their role (and responsibilities) in making the cross-border product successful, and the associated risks. Where community members are involved, determine whether they need technical or other assistance to participate (either to contribute towards consultation processes, or to engage with the cross-border product). A challenge can be to stay focused on issues relating to the specific cross-border product, rather than broader community challenges or creating unrealistic expectations. Good stakeholder management and clear communication can help to avoid conflict. If stakeholders understand the product, and are involved in its design, they are more likely to support its implementation, and make the permission and other processes easier to achieve. Transparency, trust and mutual respect are key principles to adopt.

Also see the SADC Guideline for community engagement ([www.tfcportal.org](http://www.tfcportal.org))

#### 4.2.4 GOVERNANCE AND BUSINESS MODEL SELECTION

During the scoping step, governance and business model options were reviewed, and prioritised. These ideas are formalised during the design and feasibility step by doing the following:

- **Establish clear ownership of cross-border products**, including the intellectual property, and also equipment and tenure. Ensure that the ownership rights are clear.

<sup>22</sup> Adapted from Stange, J. and Brown, D. (Undated) Tourism Destination Management: Achieving sustainable and competitive results, Sustainable Tourism : International Cooperation for Development, Online Tool Kit and Resource Series, USAID, [https://www.usaid.gov/sites/default/files/documents/2151/DMOworkbook\\_130318.pdf](https://www.usaid.gov/sites/default/files/documents/2151/DMOworkbook_130318.pdf)

<sup>23</sup> e.g. see tools for communication strategies and plans at <https://www.wikihow.com/wikiHowTo?search=communication+plan>

<sup>24</sup> Adapted from [http://tourisminvest.org/manual/manual\\_workstream\\_stakeholder-mgt.html](http://tourisminvest.org/manual/manual_workstream_stakeholder-mgt.html) and Spenceley, Snyman and Eagles (2017) Guidelines for tourism partnerships and concessions for protected areas: Generating sustainable revenues for conservation and development, Report to the CBD and IUCN.

<sup>25</sup> IFC. (2007). Op. cit.

- **Agree the roles and responsibilities of partners and stakeholders** (where relevant), and formalize these within MoUs. This includes agreeing who is responsible for decision-making.
- **Agree on accountability for communication and coordination processes**, including how decisions are taken (a) within the business (i.e. by whom, and within what timeframe), (b) with partners and (c) with the TFCA's International Coordinator (i.e. the TFCA focal point).
- Identify what **Standard Operating Procedures** need to be developed.
- **Create a list of the permits and permissions** that need to be applied for, including deadlines.
- **Decide what services will need to be sub-contracted** (e.g. catering, supplies, medical support, security, transport, etc.) and the process and criteria for identifying (e.g. advertisement) and selecting suppliers (e.g. which country, whether local or not, etc.)
- Decide on **the benefit sharing model** that will be used, and identify beneficiaries of operational expenses and profits (including by country, local communities, gender, and youth). Agree on how any costs (particularly unanticipated costs) will be allocated between partners.
- **Maintain a clear record** of decisions made, permission requests submitted and decisions made (i.e. a clear paper trail), with partners and the TFCA structure (e.g. the International Coordinator, security cluster, community representatives and others).

#### 4.2.5 COMMERCIAL VIABILITY AND MARKET ASSESSMENT

To understand whether the cross-border product is commercially viable, undertake an assessment to establish whether there is a market demand for the cross-border product proposed, and the current level of supply for similar products:

- **Demand:** Gather information on county and TFCA-level statistics on numbers of arrivals, the source markets, demographics, length of stay, and typical trip expenditure. Pay particular attention to activities undertaken and how these relate to the cross-border product proposed, and any trends in these kinds of products. Note that it can be difficult to test market demand for unique cross-border products, but indications can be drawn from similar products that occur in protected areas within countries (see Box 2). Highlight what the target markets would be for the cross-border product (e.g. adventure tourists, which country they come from, whether they are self-drive or package tourists, their special interests, age and income).
- **Supply:** Review information on existing and competing cross-border products (e.g. number, type, capacity, frequency, quality, rates and their occupancies), and also competing destinations (i.e. other protected areas and TFCAs) and products (i.e. both within and outside TFCAs). Simply put, if there are already many similar cross-border products with low occupancies and low prices, the product may not be competitive. If there are only a few, with high prices and high occupancies, there may be room for a new cross-border product. Identify what the Unique Selling Points (USPs) of the cross-border tourism product will be and how a competitive advantage will be maintained over time.

#### **Box 2: Market demand study for proposed Shingwedzi Cliffs walking trails, Great Limpopo TFCA<sup>26</sup>**

The feasibility study for the Shingwedzi Cliffs walking trails reviewed the market demand for a 3-night trail. Information on the annual performance of similar trails in Kruger National Park were collated (i.e. numbers and trends over time). Reviews of compatible markets were reviewed, regarding growth trends, value, expenditure, numbers of participants, and motivation (e.g. competitive and corporate events, recreation). Note that the concept for Shingwedzi Cliffs was later adjusted into a multi-activity trail between Machampane in Limpopo National Park and Makadzi Dam in Kruger National Park.

<sup>26</sup> Massyn, P. J. (2014) Shingwedzi Cliffs Adventure Trail, Feasibility Assessment, Version3, Sept 2014, Report to the Parque Nacional do Limpopo, Great Limpopo TFCA & Pers. Com. L. Bewsher, Peace Parks Foundation, March 2018

#### 4.2.6 FINANCIAL OPTIONS: CAPITAL AND OPERATIONAL

Decide who is responsible and accountable for the administration, management and disbursement of funds. Then undertake a financial analysis of the costs of establishing the product, and also the likely revenues and costs when it is operating. Collect the information outlined in Table 10 below to generate a 5-year financial model for the cross-border product.

**Table 10: Financial analysis factors for cross-border products<sup>27</sup>**

	Annual-biannual cross-border product	Regular departure cross-border product
Assumptions	<ul style="list-style-type: none"> <li>• Currency and conversion rates used</li> <li>• VAT values in each country</li> </ul>	
Revenue assumptions	<ul style="list-style-type: none"> <li>• Frequency of event</li> <li>• Realistic number of participants</li> <li>• Rack rate (with and without VAT)</li> </ul>	<ul style="list-style-type: none"> <li>• Beds per trip</li> <li>• Bed nights available per year</li> <li>• Assumed occupancy per trip</li> <li>• Number of trips per year</li> <li>• Rack rate per bed, per trip (with and without VAT)</li> </ul>
	<ul style="list-style-type: none"> <li>• Additional sales (e.g. drinks, craft)</li> <li>• Agent and credit card commissions</li> <li>• % of sales sold by agents &amp; paid by credit card</li> <li>• Food cost per participant</li> <li>• Corporate sponsorship to finance the event</li> <li>• Any incentives or subsidies</li> <li>• Describe in-kind contributions by partners including the TFCA and other stakeholders.</li> </ul>	
Cost assumptions	<ul style="list-style-type: none"> <li>• Buildings and refurbishment costs</li> <li>• Equipment costs (e.g. vehicles, bikes, kayaks, tents etc.)</li> <li>• Furnishings and fittings costs</li> <li>• Vehicle running costs</li> <li>• Marketing costs (e.g. exhibitions, advertising, website, video/photography)</li> <li>• Salary/wage costs (including for volunteers)</li> <li>• Training costs</li> <li>• Fees charged by each protected area in the TFCA (e.g. entry, vehicle, filming, etc.)</li> <li>• Border fees (e.g. import duties, visas, work permits etc.)</li> <li>• Communication costs</li> <li>• Office costs</li> <li>• Power and utilities</li> <li>• Repairs and maintenance</li> <li>• Security costs</li> <li>• Insurance – public indemnity and business interruption</li> <li>• Audit and other professional fees</li> <li>• Interest on loans</li> <li>• Bank charges</li> <li>• Other direct operating costs (e.g. stakeholder engagement meetings, camp set up costs)</li> </ul>	
Projected revenue	Cash flow forecast and financial model for years 1-5 Break-even analysis relative to occupancy levels	
Benefit distribution	Description of distribution of retained income / profit (e.g. to proponent, operator) and expenses (e.g. to host countries, local communities etc.)	

Determine where financing for capital and operational costs will be obtained from. Some of the funding options used previously by cross-border tourism products in TFCAs are outlined in the table below.

<sup>27</sup> Adapted from Prime Africa Consultants (2014) Development of a sustainable financing strategy for the /Ai-/Ais Richtersveld Transfrontier Park, Final Report, 18 December 2014, Report to GIZ

Recognize that donors may have highly bureaucratic processes, with lengthy delays between a proposal being submitted, awarded, and funds actually being released. Traditional banks can be used for asset finance (e.g. vehicle loans).<sup>28</sup>

**Table 11: Financing mechanisms for cross-border tourism products<sup>29</sup>**

Description	Examples
Extra-national funding from international donors and NGOs (e.g. EU, World Bank, environmental funds)	Desert Knights, Lubombo Ecotrails, KAZA Golf Classic
In-kind support (e.g. volunteer time, protected area contributions)	Desert Knights, Tour de Tuli
Direct central government support through central budgets.	Wildrun Africa, Desert Knights
Private sector funding, including for protected areas or public private partnership agreements	Wildrun Africa, Desert Knights
Commercial loans / soft loans	Transfrontier Park Destinations
Sponsorship	Tour de Tuli (Nedbank)
Taxi incentives	Tour de Tuli (S18 Tax certificate in South Africa)
Crowdsourcing	

#### 4.2.7 INTEGRATING SUSTAINABILITY, ENVIRONMENT AND DEVELOPMENT IMPACT

Decide how sustainability will be integrated into the cross-border product, including environmental, socio-cultural and economic issues, using the outline below in Table 12. Some elements of this will relate back to the goals and motivations for the cross-border product established earlier in the process (see section 4.1.1). Socio-cultural elements may be based on local benefits outlined in the **Project Concept**, the stakeholder engagement processes (see section 4.2.3), and business model (i.e. partnerships – see section 4.2.4). Some economic elements will already have been explored during the review of governance arrangements (see section 4.2.4). The environmental review will collate information that can be later used in the product’s Environmental Management Plan (see **Step 3**, and Annex 3.7).

**Table 12: Sustainability analysis for cross-border products<sup>30</sup>**

Aspect of sustainability	Decisions and description needed
Environmental	<p>Describe what type of environmental assessment has taken place, to predict negative environmental impacts on wildlife, habitats, soil and watercourses.</p> <p>Describe how potential negative impacts will be avoided or mitigated during development, operation and decommissioning (e.g. site planning, avoiding sensitive sites, water use, waste management, sewage, energy use).</p> <p>Describe how the product will contribute to conservation (e.g. awareness, funds for conservation etc.)</p> <p>Use of different routes/camp sites/river crossing points for each event/trip.</p> <p>Describe what environmental monitoring will take place.</p>
Socio-cultural	<p>Describe how culture will be incorporated in the product, conserved and promoted.</p> <p>Describe the number of staff that will be employed (both permanently and temporarily), including the number from local communities, the number of women and youth, and which country they will come from.</p> <p>Describe any training and skills development activities that will be done.</p> <p>Explain whether local people will participate as guests in the product, how they will be selected and how many there will be.</p>

<sup>28</sup> Adapted from O’Leary, G. (2014) Operating in the TFCA: The voice of experience, Presentation at the Conference on Guidelines on concessioning and sustainable tourism investment in TFCA in SADC, Garden Court OR Tambo, South Africa, 2-3 September 2014

<sup>29</sup> Adapted from Prime Africa Consultants (2014) Development of a sustainable financing strategy for the /Ai-/Ais Richtersveld Transfrontier Park, Final Report, 18 December 2014, Report to GIZ

<sup>30</sup> Adapted from Prime Africa Consultants (2014) Development of a sustainable financing strategy for the /Ai-/Ais Richtersveld Transfrontier Park, Final Report, 18 December 2014, Report to GIZ and Adapted from Whittington, B., Shetukana, R., and Bezuidenhout, H. (2017) Recreational mountain biking – Desert Knights Mountain Bik Tour: Environmental Management Plan, /Ai-/Ais-Richtersveld Transfrontier Park, November 2017, South African National Parks

Aspect of sustainability	Decisions and description needed
	Describe any cultural exchange that will take place between different communities. Describe what non-financial benefits local communities will get from the product.
Economic	Describe the small business opportunities what will be provided for local people, women and youth. Quantify the value of local procurement and wages, and indicate the anticipated value per country, for women and youth. Describe how profits will be distributed between partners and beneficiaries in different countries, and where possible, how they will be used. Ensure that the product will be commercially viable and profitable (see sections 4.2.5 and 4.2.6).

To establish what goods and services are available to buy in the local economy, a **supply-chain assessment** can be undertaken. This will help to understand the current availability of goods and services and skills in local areas, and to establish efficient and effective plans for sourcing (i.e. prioritizing local procurement where practical), and to plan interventions to improve local supply and quality (e.g. training for local artisans/farmers) (see link in Box 3).

#### Box 3: Tools to help review supply & value chains to maximize local benefits

- Responsible Tourism Supply chains: Available from [https://www.slideshare.net/duanesrt/rt-trainer-guide-unit-6en-160414?from\\_action=save](https://www.slideshare.net/duanesrt/rt-trainer-guide-unit-6en-160414?from_action=save)
- Operational guidelines for community-based tourism in South Africa.<sup>31</sup> Available from [https://tkp.tourism.gov.za/Documents/Community Based Tourism Operational Guidelines.pdf](https://tkp.tourism.gov.za/Documents/Community%20Based%20Tourism%20Operational%20Guidelines.pdf)
- Inclusive tourism: Opportunity study guidelines, Tourism-led poverty reduction program, Available from [http://www.intracen.org/uploadedFiles/intracenorg/Content/Publications/InclusiveTourism\\_opportunity study guidelines low res.pdf](http://www.intracen.org/uploadedFiles/intracenorg/Content/Publications/InclusiveTourism_opportunity_study_guidelines_low_res.pdf)<sup>32</sup>
- How to . . . ?” tools: Available from [www.odi.org.uk](http://www.odi.org.uk)
  - Brief 1: Boosting procurement from local businesses
  - Brief 2: Stimulating local cultural and heritage products

Good practice principles for benefit sharing in cross-border products include:

- **Strive for equitable distribution of expenditures between countries**, with a percentage split between the participating countries in relation to effort. This is the practice in the Kgalagadi TP and the /Ai /Ais-Richtersveld TP.
- **Aim to provide equal payments for similar services in each TFCA country, and for men and women.** This would mean that the same salaries or payments being made for the same service in each country (e.g. all drivers would be paid the same amount per day, regardless of the country of work, women and men paid equally for the same service).
- **Establish clear plans for benefit sharing**, including:
  - who benefits from revenues and profits;
  - who is responsible for payment of costs during planning and operation (e.g. human resources, equipment, stakeholder identification, consultation processes, coordination);
  - how operational expenditure is allocated between countries and service providers (e.g. in relation to local costs; level of effort);
  - how retained income/profits are distributed, and on what basis (e.g. equal share, or in relation level of effort);
  - how benefits are communicated with relevant stakeholders to ensure transparency; and
  - a clear and agreed monitoring and reporting framework.

<sup>31</sup> Spenceley, A., Rylance, A., Nanabhay, S. and van der Watt, H. (2016) Operational Guidelines for Community-based Tourism in South Africa, Department of Tourism: Republic of South Africa

<sup>32</sup> Ashley, C. Mitchell, J. and Spenceley, A. (2009) Inclusive tourism: Opportunity study guidelines, Tourism-led poverty reduction program, International Trade Centre

#### 4.2.8 RISK

Risks associated may be financial, political, environmental, social. These risks may be internal or external and, therefore, may be difficult to manage or plan for. They can lead to costly delays, stoppages, negative publicity, threats to the operation, and unforeseen expenditures. There can also be reputational damage to the product proponent or the TFCA, which may ultimately be more costly than the immediate financial cost impacts of a project.<sup>33</sup> A risk assessment should be undertaken for the cross-border product including:

<sup>34</sup>

- Identification of financial, political, environmental, social, health, reputational and market risks of the cross-border product, options for reducing and mitigating risk, and alternatives;
- Identify potential liabilities, and insurance options.
- Cumulative impacts, resulting from incremental impacts relating to other existing or planned developments (e.g. other tourism facilities and services in the TFCA).

#### Box 4: Risks associated with cross-border products

- Border delays for equipment, staff and participants.
- Lack of protection of intellectual property shared with stakeholders.
- Loss of momentum or trust.
- Changes in personnel that understand the product, coupled with a lack of institutional knowledge retained.
- Participant and staff injuries and emergencies (e.g. caused by wildlife, terrain, weather).
- Unexpected changes in cross-border regulations, or fees in TFCA countries.
- Conflict between or among partners (e.g. between TFCA countries, within communities).
- Permissions and permits do not arrive in time (and associated liability of operator to refund an entire trip cost, if it cannot take place).
- Incompatible land uses, and illegal activities (e.g. poaching, drug and vehicle trafficking).
- Different levels of security or health risks in one or more of delivery and product experience in the TFCA partner countries, impacting the entire product.

Establish a risk management framework, with a mitigation plan that lists risks, their likelihood, liabilities, and potential responses to them (see template in Annex 3.3). Ensure that proposed responses are simple, clearly communicated, and practical to achieve. Monitor changes in these risks throughout the development and operation of the cross-border product. In some instances, the risks may be too high, and the mitigation options too challenging or costly, in which case the cross-border product would not proceed to be developed. For example, (1) making first aid and medical evacuation services and trained personnel available to clients and staff; (2) ensuring that there are Standard Operating Procedures in relation to accidents, health and safety, and hygiene; and (3) checking that participants have their own medical insurance, can all help to mitigate health risks.

#### 4.2.9 INDICATORS OF PROGRESS AND SUCCESS

Establish the indicators that will be needed to monitor and report on to demonstrate the success (or not) of the cross-border product in meeting its obligations to partners and stakeholders and the cross-border products objectives. Suggestions for the types of indicators that could be incorporated into an **Operator Agreement** are outlined in Table 13 below. Document suggestions in a monitoring and evaluation plan with clear objectives and targets. Liaise with the TFCA International Coordinator to confirm that the plan

<sup>33</sup> Adapted from IFC (2014) Managing environmental and social risks, accessible from [http://www.ifc.org/wps/wcm/connect/Topics\\_Ext\\_Content/IFC\\_External\\_Corporate\\_Site/IFC+Sustainability/Risk+Management/](http://www.ifc.org/wps/wcm/connect/Topics_Ext_Content/IFC_External_Corporate_Site/IFC+Sustainability/Risk+Management/)

<sup>34</sup> Adapted from IFC (2012) op. cit

is aligned with the SADC TFCA Monitoring and Evaluation Framework<sup>35</sup>, and TFCA-specific monitoring and evaluation systems (e.g. KAZA and Great Limpopo TFCA have M&E frameworks<sup>36</sup>).

**Table 13: Indicator examples for monitoring and evaluating cross-border products<sup>37</sup>**

Product characteristic	Information to be collected
Commercial	Occupancies and numbers of participants, origin, length of stay, number of repeat visitors. Partners and equity arrangements. Changes in infrastructure and services. Profit and loss. Participant satisfaction feedback (e.g. value for money, quality of experience, safety, likelihood of referral etc.)
Governance	Number of meetings of partners and key stakeholder held. Indicators of collaboration and joint-management. Incidents of conflict and conflict resolution.
Environmental	Impacts that occurred, and how they were avoided or mitigated during development, operation and decommissioning (e.g. site planning, avoiding sensitive sites, wildlife conflict). Indicators of environmental management (e.g. volume of water and energy used, amount of solid and sewage waste produced). Contribution to conservation (e.g. awareness raising, funds for conservation etc.)
Socio-cultural	Number of staff that were employed (both permanently and temporarily), including the number from local communities, the number of women and youth, and which country they came from. Training and skills development activities, and number of recipients. Number of local people participants as guests, and selection process. Cultural exchange activities that took place, from which communities, and numbers of participants. Any non-financial benefits that local communities obtained. Partnerships formed. Communications and meetings held
Economic	Number of small business opportunities that were provided for local people, women and youth. Value of local procurement and wages, and expenditure per country, and for women and youth. Value of profits distributed between partners and beneficiaries in different countries, and where possible. Destination promotion value.
Risk management	Reflection on risks identified in relation to occurrence and actions taken.

Note that agreeing these indicators during the Design and Feasibility step ensures awareness of them during Development and Operation, and be able to gather information to report on them once the cross-border product has been run.

#### 4.2.10 DECIDING WHETHER TO PROCEED OR NOT

Compile a **Feasibility assessment** report, to provide a detailed review of this step (see outline in Annex 3.2). Use the assessment to decide whether to proceed or not with the cross-border tourism product, carefully consider whether design is realistic, and whether the studies undertaken have established that there are no 'deal breakers' (e.g. risks too high, etc.). If 'no', then re-think the cross-border tourism product and consider alternative options. If 'yes', and the commercial and financial viability, coupled with and political and stakeholder acceptability is established, then proceed to the Step 3: Development.

### 4.3 STEP 3: DEVELOPMENT

<sup>35</sup> SADC Secretariat (2017) Southern African Development Community Transfrontier Conservation Areas Monitoring and Evaluation Framework (SADC TFCA M&E Framework), Final Draft, September 2017

<sup>36</sup> Bocchino, C. (2017) Monitoring and evaluation of transfrontier conservation areas: A situational analysis report, Draft report, Version 0, February 2017, Report to the SADC Transfrontier Conservation Areas Programme

<sup>37</sup> Adapted from Prime Africa Consultants (2014) Development of a sustainable financing strategy for the /Ai-/Ais Richtersveld Transfrontier Park, Final Report, 18 December 2014, Report to GIZ



The Development step establishes the cross-border product design, formalises the business model and governance systems and continues stakeholder engagement. A business plan is written, and used to raise finance where needed, marketing activities are undertaken, and staff are recruited and trained.

Outputs include a cross-border tourism **Business plan** (see Box 5), with annexes including the **Feasibility Assessment** (see **Step 2**, and Annex 3.2) an **Operational Manual** (see Annex 3.4), and **Standard Operating Procedures** (see Annex 3.5) for the full product, and also a **Pilot test application**. The proponent also produces an **Environmental Management Plan** (see Annex 3.6).

These are submitted to the International Coordinator to facilitate a review within the TFCA Structure, and results in a **Permit to run a Pilot**. Following a pilot run of the cross-border tourism product, a Pilot Report is submitted to the International Coordinator to facilitate a review within the TFCA Structure. Subsequently, the JMB approves and **Operator Agreement**. This agreement may, or not be, a multi-year agreement.

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#### 4.3.1 FORMALISE THE BUSINESS MODEL AND GOVERNANCE FRAMEWORK

Finalise and formalise the entity that will own and operate the cross-border product. Depending on the governance structure:

- **Finalise all partnership agreements**, with documented agreements that are signed by all partners (e.g. relevant government entities, private sector, communities etc.). Ensure that the parties fully understand the implications of the partnerships including the costs and benefits. Ensure that agreements include details of:
  - roles and responsibilities of partners (including ownership of assets, land tenure, exclusivity, rights, and intellectual property), and relevant job descriptions;
  - agreed communication, coordination and decision-making processes;
  - how benefits will be allocated between countries, partners and other beneficiaries; and
  - how benefits will be verified and reported.
- **Sub-contract services** as needed, using the pre-agreed process and criteria (e.g. catering, transport, security, medical etc). Develop clear sub-contracting agreements with the preferred service providers, using local service providers where they are available.
- **Purchase all equipment needed, and plan procurement of consumables goods**. Develop clear agreements with delivery schedules. Procure local goods and services where they are available.
- **Apply for all permits and permissions** required, including cross-border movement of food, equipment, labour (e.g. guide and driver registrations, sub-contractors, work permits, business and equipment licenses – see section 4.3.4) and tourists. Follow up on these, to ensure that they are obtained in time to run the product.
- **Continue to maintain a clear record** of decisions made, permission requests submitted and decisions made, with partners and the TFCA structure.

Also, to support the smooth flow of the development phase, develop a detailed calendar to prepare for the event, including the timing of all preparatory activities, highlighting critical milestones and deliverables, and who is responsible for them (see example in Annex 3.7).

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#### 4.3.2 COORDINATE AND COMMUNICATE WITH STAKEHOLDERS

Implement the stakeholder engagement plan and communication strategy (see section 4.2.3).. Ensure that good communication and coordination is maintained with key stakeholders. These will include the TFCA International Coordinator, members of the security cluster, and partners. Ensure that the flow of key decisions is maintained to ensure coordination, maintain trust and transparency.

Face-to-face meetings are best for strategic discussions and decision making with authorities, or where there are particular challenges to overcome. They can also be most effective for members of rural communities,

coupled with role-plays to explain the product. For these meetings, ensure that logistics are not a barrier to participation (e.g. awareness of the meeting, transport etc.) Meetings can be boosted by engagement through email, phone calls, WhatsApp groups, video conferences, radio broadcasts and newsletters. Radio broadcasts, social media and public notices can be used to raise general awareness of the product in local communities.

### 4.3.3 MARKETING AND PROMOTION

Establish the marketing and promotion plan for the cross-border tourism product, and marketing materials<sup>38</sup>. Incorporate the following:

- **Liaise with destination promotion agencies for collaborative promotional campaigns.** Include Boundless Southern Africa, RETOSA, authorities for the protected areas that the product uses, and destination management organisations (i.e. at national, destination or local tourism authorities, agencies, and boards that are responsible for tourism promotion). Use these collaborations to make participation at **trade fairs** (e.g. Indaba, ITB), **product launches**, and linkages between their websites and the products', and the production of **brochures** more cost-effective.
- **Develop agreements with travel agencies and tour operators** to promote and sell the product to their clients, in return for commission (e.g. 25-30%) or in return for complementary slots. Consider offering them familiarisation trips during the pilot testing so they understand the product (see section 4.3.7).
- **Use the internet to promote and sell the product** directly to clients, using a website (and booking platform), web-based advertising and social media to promote and sell the product directly to clients. Social media platforms used by cross-border products such as Wildrunner include Facebook, Instagram, Twitter and blogs. Encourage previous clients to share information with their friends and family, and sharing social media platforms, for free word-of-mouth promotion. These options can be very cost effective for direct sales, and products like Tour de Tuli and Desert Knights have online promotion and booking systems.
- **Use direct email to contact previous clients**, or clients of partners or complementary products to promote forthcoming products.
- **Engage with the media**, and use press releases, radio and TV features, advertorials and magazine features to share news of forthcoming or recent products. Consider national and local media outlets, and focus on those that are designed for the target market. Wildrun Africa uses of a dedicated emailer to distribute messages to 1000s of digital magazine subscribers.<sup>39</sup> Consider reserving a few complementary places for media representatives.
- **Promote the product with enticing messages in relevant formats (e.g. print, online, radio, video)** about the unique experiences, iconic destinations, and celebrity champions and influencers (where relevant).
- **Use appropriate languages for promotional messages to the target market**, for international and local participants, and also for communication with local stakeholders and community members.
- **Be contactable.** Ensure that the email address and phone numbers provided in promotional materials are up to date, and that someone is responsible for responding to queries.

Have a well thought-out marketing plan, and have a person dedicated to working on promotion. The plan should focus on public relations, marketing specific products, and sales. Ensure that the brand is clear, and relevant to the product design and that sufficient funds have been allocated to marketing. Also include the roles and responsibilities for promotion in partnership agreements.

Ensure the sales and reservation process is in place, with well-trained, service-oriented sales staff. Ensure that sales staff fully understand the product (if possible, by participating in preparation trips). Establish an

<sup>38</sup> e.g. see tools for marketing strategies and plans at <https://www.wikihow.com/wikiHowTo?search=marketing+plan>

<sup>39</sup> Adapted from Pers. Com. O. Middleton, Wildrunner, Email February 2018

online registration and payment system, where participant details can be automatically transferred into Standard Operating Procedures (e.g. participant manifests). Provide options for electronic payment (e.g. ETF, credit card, etc.), for the product and any additional services they want to book (e.g. extra drinks, spa, massage, etc.).<sup>40</sup>

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#### 4.3.4 STAFF RECRUITMENT AND TRAINING

Recruit the staff required (e.g. director, guides, catering team, medical personnel, maintenance staff etc.), in line with staffing principles (e.g. gender balance, fair remuneration, recruitment from local communities, youth, etc.) and the product design requirements (section 4.2.2). Ensure adherence to local labour laws and employment standards in the countries of operation. Emphasise recruitment of local staff, in line with the benefit sharing and community engagement plans for the cross-border tourism product (e.g. 80% local; 20% non-local). For staff that will need to cross international borders, ensure that they have a passport and any permits required for them to work in each country have been obtained (see section 4.1.1). Provide any training that is required for each staff member to perform their roles and responsibilities adequately, whether they are permanent or temporary employees, and consider their career paths, personal development and progression over multiple-years. Some training may be provided when the product operates, such as guides. For volunteers and/or local community members, ensure that they have received appropriate training and understand their roles.

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#### 4.3.5 BUSINESS PLAN AND SUPPORTING DOCUMENTS

If it is necessary to raise finance from commercial lenders or donors for the cross-border product, develop a realistic business plan using the outline in Box 5. The business plan can be used to clarify the goals of the product, and to be persuasive in raising finance and other resources needed for the cross-border product (see section 4.2.6). Be cognizant of the following issues:

- Consider a mixture of funding sources for start-up capital costs (see **Table 11**).
- Mobilise partners to help secure funding and other resources.
- Review how profits will be re-invested into future operation of the cross-border product, to reduce the need for fundraising in the long-term.
- Use in-kind contributions from the protected area authority (including exemptions and incentives) and volunteers where possible to reduce financial costs.
- Cross-border tourism operates in very risky environments, in terms of security of land tenure, safety, jurisdiction, and wildlife. These risks can put off some investors.
- Emphasize the return on investment, including development impacts for local communities and non-financial benefits.

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<sup>40</sup> Pers. Com. N. Harris, email, 6 February 2018

**Box 5: Business plan outline for a cross-border tourism product<sup>41,42</sup>**

- Goals and objectives (section 4.1.1)
- Product design, (section 4.2.2) including permits and permissions.
- The business model, (section 4.2.4) including
  - roles, commitments and responsibilities of identified partners.
  - coordination, decision making and communication mechanisms.
- Market analysis (section 4.2.5).
- Project schedule, including the development process, operation of the product, reporting and exit (section **Error! Reference source not found.**).
- Marketing plan (section 4.3.3).
- Human resources plan, including recruitment and training (section 4.2.2).
- Financial plan and projections, including best, average and worst-case scenarios (section 4.2.6)
- Sustainability plan, including direct and indirect socio-economic and cultural linkages with local communities, biodiversity conservation and environmental management (section 4.2.7).
- Critical risks and assumptions (e.g. changes in legislation and personnel) (section 4.2.8); and
- Monitoring and evaluation (section 4.2.9).

Annexes to support the business plan should include the following components:

1. **Feasibility assessment**, developed in Step 3 (see Annex 3.2).
2. **Operational Manual (or implementation plan)**: This addresses operations, logistics, costings for the full product (see Annex 3.4 for a template).
3. **Standard Operating Procedures (SOPs)**: This is a detailed operational manual of do's, don'ts, standards, procedures, a risk matrix, safety and security protocols, equipment, and contact persons for the full product (see Annex 3.5 for outline). This is a living document, and will be revised each time the cross-border product is run.
4. **Pilot test application**: This describes a proposed pilot test of the product, and addresses border crossings, government clearances, and includes a pilot test participant manifest (e.g. see Annex 3.8 for a template participant, staff and vehicle manifest for undesignated border crossings).

At this state, also prepare an **Environmental Management Plan**. This provides a management framework for controlling environmental impacts of the cross-border product in the TFCA, with a management and implementation structure (see Annex 3.6 for template, and information collected during Step 2, section 4.2.7).

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#### 4.3.6 APPLY TO RUN A PILOT TEST

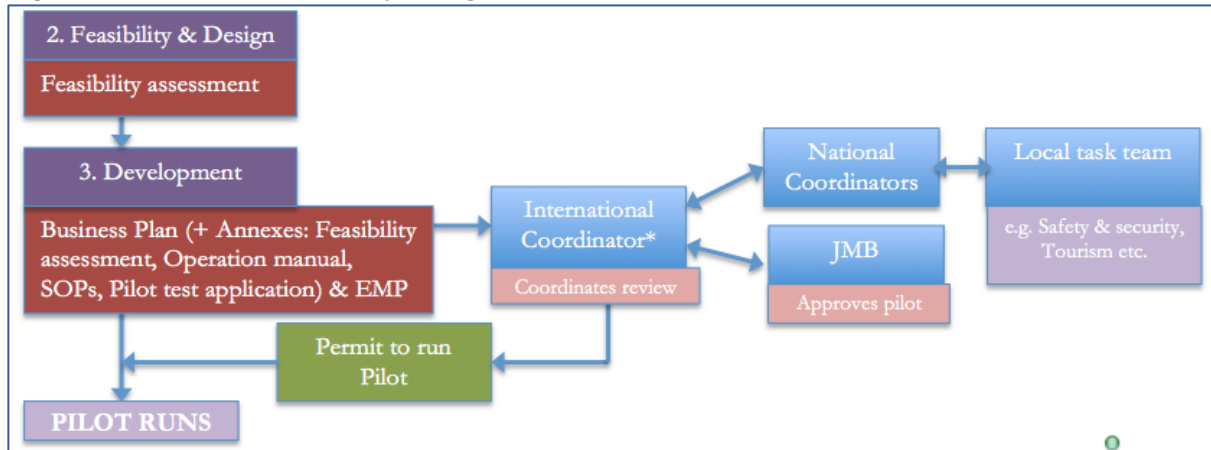
Submit the **Business plan** with its annexes (i.e. **Feasibility Assessment, Operational Manual, SOPs, and Pilot test application**) with the **Environmental Management Plan (EMP)**, to the International Coordinator. These documents should be prepared in line with the full and finalised product in mind.

The International Coordinator facilitates a review process within the TFCA Structure, and seeks feedback from national coordinators, local task teams, and approval from the JMB (see process in Figure 5). The TFCA Structure reviews the Business plan and EMP to ensure that they are aligned with the area's objectives, as outlined **Concept Endorsement**, and that it is still aligned with the TFCA treaty or MoU, and management plan. The TFCA Structure also reviews the Pilot test application. If approved the proponent is provided with a **Permit to run a Pilot** by the JMB. This allows the operator to run a pilot test of the product.

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<sup>41</sup> Adapted from Alberta Tourism, Parks and Recreation (1991) Tourism business planning guide: a guide to assist with the preparation of a business plan, accessible at [https://www.albertacanada.com/files/albertacanada/2-Business\\_Planning\\_Guide.pdf](https://www.albertacanada.com/files/albertacanada/2-Business_Planning_Guide.pdf)

<sup>42</sup> For business planning tools and guidance, see <https://www.wikihow.com/wikiHowTo?search=business+plan>

**Figure 5: Overview of feasibility, design and development steps**

\* This may be an International Coordinator, Coordinating Country's National Coordinator, TFCA Focal Point or TFCA Secretariat

#### 4.3.7 RUN PILOT TEST

Once all the elements are in place, the operator pilot tests the cross-border product. The operator should ensure that participants include members of the media (i.e. for promotion of the event), protected area officials who need to understand how the product works in order to make it work (e.g. security cluster representatives), test participants from target markets, and other target stakeholders (e.g. community representatives, champions).

Monitor the performance of the pilot. Obtain detailed feedback from the participants, including the quality of the experience, potential challenges or risks, and options for improvement. For products with many participants (e.g. adventure events), review the flow and movement of participants through the camp and along routes used. Review the 'back of house' areas, particularly for kitchen, maintenance and waste disposal areas. Also consider transport and logistics, access and parking space.

Ensure that a dedicated person from the Protected Area Authority is present throughout to monitor implementation of the **Environmental Management Plan**.

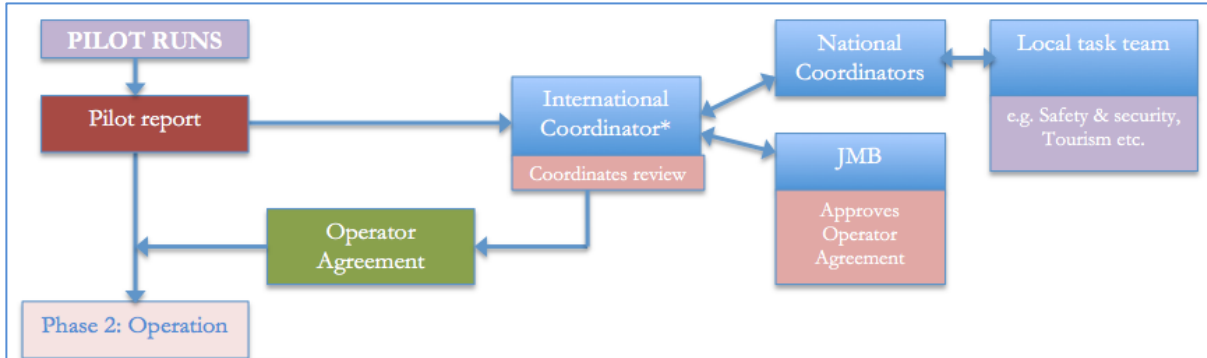
#### 4.3.8 APPLICATION FOR OPERATOR AGREEMENT

Based on the monitoring reports, create a **Pilot Report** that compiles the lessons learned from the pilot test, and indicates any areas for adjustment to enhance the product, and deal with any challenges identified.

Submit the **Pilot Report** to the International Coordinator, along with any adjustments made to the Business plan and EMP as a result of the Pilot test. The International Coordinator facilitates a review process within the TFCA Structure, and seeks feedback for an **Operator Agreement** from national coordinators, local task teams, and approval from the JMB (see process in Figure 6). The TFCA Structure reviews the report to ensure that it is aligned with the area's objectives, as outlined in the **Permit to run the Pilot**, and that it is still aligned with the TFCA treaty or MoU, and management plan.

If approved the proponent receives an Operator Agreement from by the JMB. This allows the operator operate the product fully, and may be valid for multiple-years or events.

Figure 6: Overview of pilot test process

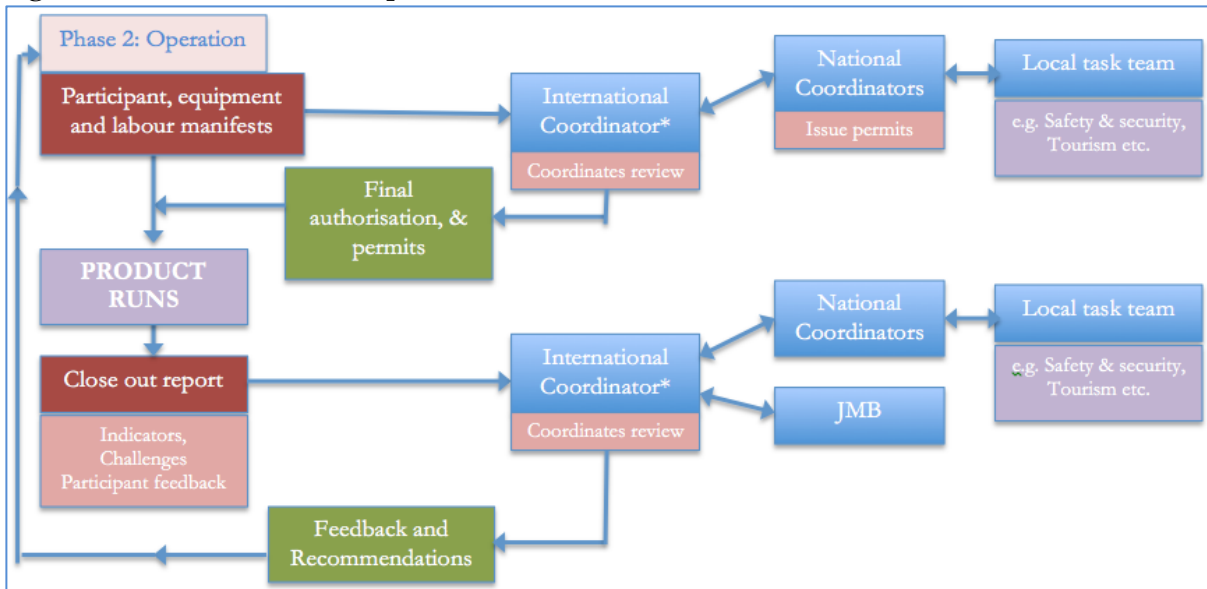


\* This may be an International Coordinator, Coordinating Country’s National Coordinator, TFCA Focal Point or TFCA Secretariat

## 5 PHASE 2: OPERATION OF CROSS-BORDER TOURISM PRODUCTS

Phase 2 is the operation of the cross-border tourism product. The product is run with its participants in line with the **Operational Plan**, and using the **Standard Operating Procedures**. With the comprehensive planning undertaken in Phase 1 (including lessons learned from the pilot test of the product, and any adjustments made as a consequence) this should be relatively straightforward. The output of this step should be satisfied clients and partners, and a financially, environmentally, and socially sustainable product. A **close out report** should be submitted to the TFCA that details achievements on the product’s objectives, agreed indicators, and benefits shared (see Annex 3.9 for template).

Figure 7: Overview of Part 2: Operation

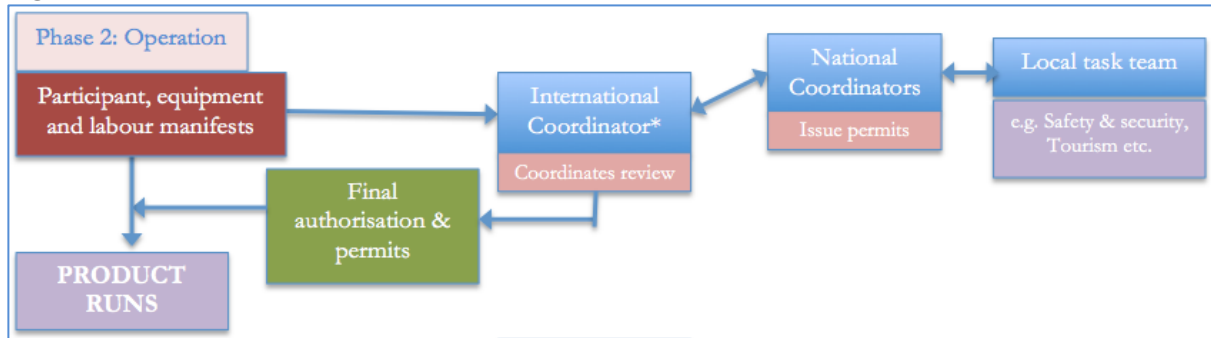


\* This may be an International Coordinator, Coordinating Country’s National Coordinator, TFCA Focal Point or TFCA Secretariat

### 5.1 APPLICATION FOR FINAL APPROVALS AND EXEMPTIONS

Prepare the applications for final approvals to run the cross-border product. This will incorporate final details of border crossings (e.g. dates, location), government clearances and exemptions (e.g. for labour, services and equipment, as applicable), and includes a participant, vehicle and staff manifest (e.g. see Annex 3.8 for a template).

These should be submitted to the relevant TFCA International Coordinator for review and approval by National Coordinators (see process in Figure 8). If approved, the proponent is given their final authorisations and permits.

**Figure 8: Process for final approvals and exemptions**

\* This may be an International Coordinator, Coordinating Country's National Coordinator, TFCA Focal Point or TFCA Secretariat

## 5.2 RUNNING THE CROSS-BORDER PRODUCT

In final preparations before the cross-border product begins, ensure that:

- **Coordination of the product is finalized**, using final pre-product meetings and engagements to iron out any final logistical issues, and ensure everyone is familiar with the SOPs and authorizations. These should include all parties with a role to play in successfully delivering the product (e.g. product proponent, International Coordinator, TFCA Task Team, community entities etc.)
- **The event schedule in the Operational Manual is up to date**, and all responsible personnel have a copy.
- **The Protocols and Authorizations are up to date**, including for cross-border movement of staff, participants, equipment, consumables and service providers. Indemnity forms have been signed by all participants and staff and are filed for quick access, as well as copies of passports.
- **All payments are processed**, for staff, service providers, permits, food and drink, insurance etc.
- **The operational communications structure is established and understood**, with focal points and lead contact people for particular issues. This includes ensuring that all necessary communication equipment is in place, such as radios and satellite phones where there is no cellphone reception. These elements are detailed in the Operational Manual.
- **Everyone is ready**, this includes:
  - **Government officials**, who know what their roles and responsibilities are, and their logistics are organized (e.g. transport and accommodation for border officials to reach undesignated border crossings).
  - **Product staff**, who know what they are supposed to do, when, where, how, and have the equipment and paperwork that they need ready (including passports).
  - **Camps and routes are ready** for staff and participants to arrive, with adequate accommodation, food, ablutions, water, and power.
  - **Service-providers** are in place, and have their permissions and/or exemptions, transport, equipment and materials needed, and are ready with trained staff to provide good hospitality to participants. Caterers are aware of any nutritional requirements of staff and participants.
  - **Participants**, who know where they are arriving, what to bring with them (including their passports), what not to bring (e.g. fruits, meats), and what to expect.
  - **All stakeholders, including landowners and local community members, who are aware** that the product is taking place, when, where, and what will take happen, and how they are supporting it.
  - **The media**, who are prepared for participation on the product and/or to create timely press releases (also see section 5.5).
- **Safety and security issues, and other potential difficulties are prepared for**. Everyone is familiar with the Operational Manual, and familiar with the safety and security plan. They are aware of who they need to contact in case of difficulty or emergency (e.g. first aid, medical evacuation), and what other actions to take if safety or medical challenges arise in each country. Ensure that all staff and participants are covered with insurance for medical emergencies, and that

the Emergency Response Team is ready (also see sections **Error! Reference source not found.** and 5.7)

Run the cross-border product in line with the Operational Plan and using the Standard Operating Procedures. The Protocols and Authorizations are used during implementation to provide protected area officials and the security cluster (e.g. police, immigration, customs) with evidence of the permissions needed for cross-border movement.

### 5.3 ENSURING PRODUCT AND SERVICE QUALITY

A major part of ensuring product and service quality is ensuring that the cross-border product is run to plan, and that everyone is working towards providing an excellent experience for participants. During operation of the cross-border tourism product, the following activities can help to enhance product and service quality:

- **Deliver on promises:** Ensure the product is consistently run all across the event according to the **Operational Manual** and **Standard Operating Procedures**, and that relevant coordinators have copies. Stick to the schedules and routes that have been planned and agreed – particularly for border crossings. Ensure that it is implemented as advertised to participants, and aim to exceed their expectations.
- **Orientation:** Staff and participants receive orientation and safety briefings on arrival, and as needed during operation of the product. This includes briefings on local cultures and norms and enhancing the sustainability of the product.
- **Communication:** Ensure that communications are adequate between all key people (e.g. government representatives, coordinators, staff, participants, communities, suppliers, etc.) before, during and after the product is run. They know who to contact with problems, and how (e.g. phone, meetings, etc.).
- **Feedback:** Provide avenues for participants, staff, partners and stakeholders to give feedback and make adjustments to make quick improvements where possible. Keep a record of this feedback, and any notable actions that need to be adjusted when the product is re-run. Encourage participants to rate the experience on online platforms, such as TripAdvisor or through feedback surveys.
- **Coaching and skills development:** Ongoing coaching is provided to staff, community members, and service providers as needed, particularly if volunteers or trainees are in place.
- **Facilities and services:** Ensure that the flow of the camp works for the number of participants, and that the quality of accommodation, furnishings, food and drink, and ablution is high, with regular inspections and cleaning. For kitchens, ensure good health and safety practices for food storage and preparation.
- **Medical and safety services:** There are certified medical staff in place, guides and staff with first-aid and other medical equipment and training. Information related to staff and participant travel and medical insurance are accessible. Signage and information on an evacuation plan is visible. Possible medical emergencies have been anticipated in product location (including along trails, routes and exit points, and for environmental hazards such as rivers and wildlife).
- **Environmental management:** Make sure that the product adheres to the Environmental Management Plan (EMP), and that a TFCA representative is present to ensure compliance. Check that waste disposal, health and sanitation are regularly inspected and well managed. Ensure that any effluent or accidental spills are cleaned up quickly and properly (also see section 4.3.5).

### 5.4 STAKEHOLDER ENGAGEMENT AND COMMUNICATION

Continue to implement the cross-border product stakeholder engagement plan and communication strategy (see section 4.3.2), this includes.

- Promote an ethos of open communication, information sharing, briefing meetings and open dialogue.



- Practical communication approaches are used during operation for quick responses, including radio and cellphone, satellite phones (for emergencies), and portable wi-fi in remote areas for emails.
- Ensure that the agreed protocols for communications is understood and maintained (i.e. approach, and focal contact points)
- Contact lists are up-to-date, shared and available (including within the Operational Manual).

## 5.5 MANAGEMENT OF THE MEDIA

Optimize use of the media to maximize the coverage that the cross-border product obtains. This is particularly important for high-profile events that have considerable sponsorship. Aim to do the following:

- **Brief the media** prior to start, and check accuracy of their understanding of the product design. Provide notes, brochures, photos, and other relevant materials in press packs for media.
- **Host media representatives** to participate in the cross-border product. Assist in covering their costs to participate.
- Ensure **agreements are in place** for the product owner to have rights to use images and stories produced by the media.
- **Post updates**, images, stories, and videos on social media during operation of the product (e.g. on Facebook, Instagram, Twitter, etc.).
- **Manage any 'crisis'** that takes place from the media to avoid negative publicity. Deal swiftly and decisively with any negative publicity that arises, to limit reputational damage and resolve concerns.
- **Follow up afterwards**, to check that agreed articles and press releases were published as agreed. Check the reach and value of promotional activities.
- **Share marketing achievements** and outreach with local stakeholders (e.g. community, staff, etc.)

Also encourage participants to share their experiences, images and stories on social media, and ensure that they link to the product's platforms (e.g. dedicated product Twitter hashtag).

## 5.6 FINANCIAL MANAGEMENT

Manage the finances during operations, by sticking to the procurement plan where possible, to avoid going over-budget. Ensure that there are adequate financial procedures to pay for, and collect payment for, activities, consumables, emergencies, that may be needed during operation (including petty cash). Consider the practical implications of transferring funds across international borders, and currency issues. Follow agreed procurement procedures. Maintain a clear record of all expenditures with receipts, including where the expenditure was made (e.g. for reporting on local procurement in each country).

## 5.7 TROUBLESHOOTING AND RISK MITIGATION

No matter how comprehensively the cross-border product has been planned, and human resources prepared, there will be unanticipated challenges that will arise during operation.

- Use the risk-management matrix to plan responses to problems and crises as they arise.
- Ensure that everyone knows the focal point-of-contact and how to reach them when challenges arise, or if things go wrong.
- Ensure that there are simple and clear systems in place, and understood, to address problems.
- Have access to cash for last minute purchases required.
- Maintain communications and coordination protocols, including with key focal points.
- Ensure the emergency contact list is up-to-date and accessible.
- Triple-check that relevant people, equipment and documentation is in place for border crossings.
- Have the option to adapt or terminate the cross-border product if it becomes untenable, due to political, health or environmental crises, or extreme failure of processes and personnel.

- Promptly address any unethical, inappropriate or illegal conduct that takes place, by participants, staff or partners (e.g. alcohol abuse, bribes)

## 5.8 AFTER THE PRODUCT HAS BEEN RUN

Once the cross-border product is completed, and participants have left, undertake the following:

- **Clear up.** This may mean de-commissioning any temporary structures, removing all waste and cleaning up in line with the EMP.
- **Hold staff and partner de-briefings,** to share any lessons learned, and areas for improvement in the future. Take notes from these to include in the close out report.
- **Fix any equipment that has been damaged,** and note any replacements required for the future.
- **Claim on any insurance policies** as needed.
- **Update the equipment / asset register.**
- **Ensure safe and secure storage of any equipment or assets,** or return of equipment that was contributed in good condition (e.g. loans of vehicles by protected area authorities).
- **Update and amend the Operational Manual and SOPs,** in light of lessons learned. Ensure these are living documents.
- **Thank everyone,** including all staff, partners, suppliers, and sponsors for their support.

## 5.9 MONITORING, EVALUATION AND REPORTING

Follow the monitoring and evaluation plan to document key elements of the cross-border product, in line with the indicators and development impacts planned (see section 4.2.9). Use simple and standardized methodologies, and the following sources of information:

- **Satisfaction surveys:** Use a feedback questionnaire to get insight into the experience, and how to improve next time. Get feedback from participants, staff and stakeholders (e.g. TFCA structure, security cluster, service providers, community members).
- **Social media analytics:** Use online systems (e.g. GoogleAnalytics) to track online coverage of the cross-border product.
- **Financial records and procurement contracts:** Use these to quantify the value of expenditure, in line with the objectives and indicators (e.g. local expenditure, jobs in each country and for women and youth, etc.) and establish the local economic impact. Clarify how the actual expenditure related to the budget (e.g. on target, under- or over-budget).
- **Asset register:** Use this to review infrastructure and equipment, including its condition and any repairs or replacements required.

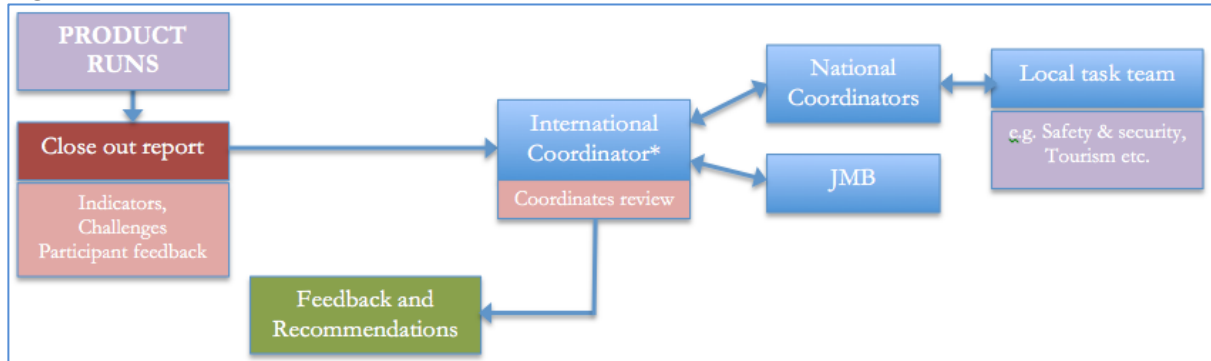
Document the baseline (i.e. starting condition), achievement towards targets, highlight targets that were met or exceeded, and explain any targets that were not achieved. Review the risk management matrix, and document risks that arose, what responses were made, and how effective they were. Consider independent evaluation of particular areas, particularly for financial reporting.

Produce a comprehensive **Close-out report** for the TFCA, partners and other relevant stakeholders that documents all required reporting elements, in line with contractual obligations regarding content and timing (see outline in Annex 3.9). Ensure the report is succinct, practical and clear. Highlight successes, and be honest about operational shortcomings and how these would need to be addressed in future. Emphasize any outcomes, particularly if they relate to achieving TFCA management objectives or SADC protocols (see section 4.2.1) and the SADC TFCA Monitoring and Evaluation Framework<sup>43</sup>. Include recommendations for future events.

<sup>43</sup> SADC Secretariat (2017) Southern African Development Community Transfrontier Conservation Areas Monitoring and Evaluation Framework (SADC TFCAs M&E Framework), Final Draft, September 2017

Share elements of the report with participants and key stakeholders. In particular, share information on development and benefit sharing with local communities and local authorities, using the communication systems that worked well during the development phase (see section 4.3.2). This will help to maintain transparency, trust and good relationships between partners and stakeholders for future events and tours.

**Figure 9: Overview of close out process**



\* This may be an International Coordinator, Coordinating Country's National Coordinator, TFCA Focal Point or TFCA Secretariat

## 5.10 REPLICATION AND SCALING UP

There may be a number of different reasons for repeating the cross-border product, or scaling up. These may include:

- **The cross-border product was successful.** It may have been commercially successful (i.e. profitable), with satisfied participants and stakeholders.
- **To strengthen the range and size of benefits,** whether improving infrastructure, making border crossings easier, raising more funds, or raising more awareness of the TFCA.
- **To meet demand.** There may be requests from new or repeat participants, project beneficiaries, sponsors and stakeholders in participating countries to repeat or upscale the product.
- **To improve the enabling environment.** By demonstrating that cross-border tourism products are commercially viable and practical to operate.

When thinking about up-scaling, consider the questions asked during Phase 1. In particular, consider the following:

- What would be up-scaled? Would it be frequency, the number of participants, or would it take place in the same or different locations in the same TFCA, or in a new TFCA?
- Is up-scaling part of the original objectives, or is it a response to its operation? How would up-scaling affect the product brand?
- What is the political climate for up-scaling cross-border events?
- Are previous partners, sponsors and stakeholders interested in up-scaling? Are there new champions for the product?
- Is there market demand? Is this from the same (or repeat) participants, or new originating markets or market segments? Are there other new competing products? Is there room for growth in the marketplace? Would the USP and quality be maintained if it was up-scaled?
- How would it be improved, or modified, in response to feedback and experiences? (e.g. changing location, routes, activities, communication, media outreach, etc.)
- How would the business model change? Would the same institution operate it, or would it be franchised out to another institution? How would link with other tourism or support services or products to do so?
- Would an up-scaled version be commercially viable, and profitable?
- How could the risks, and challenges, change with up-scaling? (e.g. reduced, increased, introduction of new risks?)

- How would equipment and human resources need to be adapted?
- What might be the implications for sustainability, in terms of environmental, socio-cultural and economic impacts of scaling up? How can the benefits be improved?
- How will the monitoring and evaluation processes, and reporting frequency be adjusted?

If the cross-border product was successful, then replication should be easier than the first time, because many of the processes and relationships would be in place. From a TFCA perspective, the protected area can provide concessions or multi-year permits for cross-border products and operation. The duration of these would relate to the time required for the proponent to make a return on their investment, and establish the product in the market place. Performance reviews would take place during the course of the permit period, to ensure that all partners were fulfilling their responsibilities adequately.

In the long-term, options for further implementation of the cross-border product would depend upon how it was initiated (as described earlier in section 3.2.) Some options for the way forward are suggested below in Table 14.

**Table 14: Options for the way forward**

Option	Description	Way forward after product is run
<b>Option 1</b>	Proponent generates a new cross-border product idea and approaches TFCA Structure to develop it ( <b>Unsolicited bid</b> ).	This option may run for several years under a multi-year permit to test the product. Subsequently it may be put out to tender, with acknowledgement of their intellectual property (see Option 3).
<b>Option 2</b>	Proponent within the TFCA Structure identifies, plans and develops cross-border product opportunities, and then identifies implementation partners ( <b>Negotiated bid</b> ).	After being run for several years, the TFCA Structure may decide to put the option out to tender (see Option 3).
<b>Option 3</b>	Proponent responds to tender from the TFCA Structure requesting proposals to establish new cross-border products in a TFCA ( <b>Competitive bidding</b> ).	This option would run according to the conditions of the contract. Once the contract period is concluded, the tender may be re-issued to seek a new operator. The incumbent operator may receive some preferential advantage if their performance was good.

The procurement process for dealing with each option would be outlined by the respective TFCA structure in line with country-specific legislation and policies. More information on tourism concessions and types of procurement processes can be found in the “Tourism Concession Guidelines for Transfrontier Conservation Areas in SADC” (see [www.tfcportal.org](http://www.tfcportal.org)).

## 6 ANNEX 1 : SUPPORT INFORMATION

### 6.1 ANNEX 1: APPROACH TO GUIDELINE DEVELOPMENT

The methods used in developing the guideline included a literature review and a multi-faceted stakeholder consultation and review approach.

#### 6.1.1 LITERATURE REVIEW

Existing guidelines and case studies in transfrontier and sustainable tourism were reviewed to ensure that the report incorporated international best practices. Policy and planning documents that provide the regional context of tourism development in TFCAs were also reviewed (e.g. SADC Regional Indicative Strategic Development Plan, SADC TFCA Guidelines, product and attraction inventories for TFCAs, tourism plans for TFCAs). Furthermore, an online review was made of existing cross-border tourism products in SADC TFCAs, including TFCA events and products with more regular departures.

## 6.1.2 STAKEHOLDER CONSULTATION

The consultation stage incorporated a combination of interviews (face-to-face and by telephone), email consultation, online surveys, a 2-day expert workshop, and a validation workshop. This section describes the process of stakeholder identification, consultation tool development and use, and the workshops.

### 6.1.2.1 STAKEHOLDER IDENTIFICATION

In collaboration with members of the SADC TFCA Network and its Tourism Community of Practice, a stakeholder consultation database was developed relating to TFCA tourism products and key stakeholders including institutional and contact details. To identify international tour operators, an online search was conducted for operators promoting ‘transfrontier’ or ‘transboundary’ tours, and members of the Adventure Travel Trade Association. An overview of the key stakeholders, (and the method of consultation selected for each) is outlined in the table below, and a detailed breakdown of individual participation in the consultation processes is in Annex 2.

**Table 15: Stakeholders proposed for interview and/or consultation workshop participation**

Stakeholder	Expertise, specific TFCA or event	Form of consultation			
		Interview	Workshop	Online survey	Validation workshop
<b>SADC Secretariat</b>	Understanding of relevant regional legislation & of cross-border tourism products in SADC TFCAs				
<b>Specific members of the SADC TFCA Network</b>	Understanding of relevant legislation and cross-border tourism products in SADC TFCA				
<b>Members of the TFCA Network Tourism Community of Practice from the project backstopping team</b>	Understanding of cross-border tourism products and issues in SADC TFCAs				
<b>Regional Tourism Organization of Southern Africa (RETOSA), Boundless Southern Africa and national tourism boards in SADC</b>	Marketing, promotion and source markets for TFCAs and cross-border tourism products in SADC TFCAs				
<b>IUCN WCPA Tourism and Protected Areas Specialist Group (TAPAS) and Transboundary Group members</b>	International best practice knowledge on sustainable tourism and transboundary conservation issues				
<b>Private sector, NGOs and protected area authorities operating TFCA products, including cross-border events</b>	Specific cross-border tourism knowledge and experience				
<b>Regional and international tour operators with cross-border itineraries and tours in SADC TFCAs</b>	Specific cross-border tourism knowledge and experience				

### 6.1.2.2 CONSULTATION TOOL DEVELOPMENT AND USE

Three types of questionnaire were developed for use in online surveys and interviews (i.e. face to face, and telephone). These were based on the target information specified in the Terms of Reference, and as refined during the inception phase. Draft questionnaires were reviewed by the TFCA Network Tourism Community of Practice, finalized, and then distributed to their target stakeholder group (see Table 16).

**Table 16: Survey consultation**

Target stakeholder (consultation type)	Distribution	Sample size	No. responses
1. Policy makers and planners working on TFCAs and tourism in SADC (strategic questionnaire)	Circulated by GIZ to stakeholder database of 39 members of the SADC TFCA network, members of the TFCA Network Tourism Community of Practice, national tourism boards and tourism associations; by SADC Secretariat to 22 SADC TFCA national contact points; and by RETOSA to its 32 board members. The questionnaire was also distributed to members of the IUCN World Commission on Protected Areas Tourism and Protected Areas Specialist Group (TAPAS Group) with 500 members and Transboundary Group with (250 members).  Survey open from 20 December 2017 to 28 February 2018 (i.e. 2 months) and again following the validation meeting from 6 July – 20 July 2018.	93 direct invitations  750 indirect invitations	26
2. Cross-border tourism product owners and developers (detailed questionnaire)	Circulated by GIZ to stakeholder database of 25 cross-border tourism product operators. Used as a basis for face-to-face and telephone interviews, and as an online questionnaire.  Survey open from 1 December 2017 to 28 February 2018 (i.e. 3 months)	25 direct invitations	19
3. International and regional tour operators with existing or potential cross-border tourism tours (tour operator questionnaire)	Circulated by GIZ to international and regional tour operator database of 200 companies. The survey was also circulated by secretariats of the Association of Eastern and Southern Africa (ASA) (160 members) and Advancing Tourism to Africa (ATTA) (450 members) <sup>44</sup>  Survey open from 12 to 27 April 2018 (i.e. 2 weeks)	186 direct invitations  610 indirect invitations	39

For clarity and easy comparison, all prices are presented in USD, and have been converted from their original currency using the exchange rate of USD1 = ZAR12.5 = N\$12.5 GBP 0.702.<sup>45</sup>

#### 6.1.2.3 CONSULTATION WORKSHOP

A 2-day consultation workshop was held in Johannesburg on 30 and 31 January 2018. The two-day program incorporated a series of presentations from SADC and the consultant to provide context for the meeting, combined with presentations and videos from product developers and operators. Five working-group sessions were organized, in addition to plenary discussion sessions relating to the working groups and key topics. Due to the large number of workshop participants, the participants were pre-allocated to specific working groups where it was felt their expertise would be most applicable. Participants were also given freedom to change their group, if they wished to do so. Details of the workshop participants can also be found in Annex 2.

#### 6.1.2.4 VALIDATION WORKSHOP

A 1-day validation workshop was held in Johannesburg on 4 July 2018. The program included a presentation summarizing this report, and discussion on its content and recommendations. A presentation was also made on the guideline, followed by a series of working groups to validate the guideline text. Following this event, a further two-week period was provided to the participants for additional comments and contributions to the strategic survey, during which no more feedback or survey entries were received. The presentations made can be found in Annex 2.

<sup>44</sup> <http://www.south-african-hotels.com/page/accreditations/>

<sup>45</sup> Oanda.com, 16 April 2018.

### 6.1.3 GUIDELINE DRAFT AND PEER REVIEW

A draft guideline was developed using materials from the literature review, workshop and survey responses. This was sent to the TFCA Network Tourism Community of Practice and all participants of the consultative workshop for review. Two conference calls were also held with the TFCA Network Tourism Community of Practice in May 2018 to discuss feedback on the draft, and establish consensus on key issues. Based on feedback received from this group, and also comments received during the validation workshop, this Guideline was compiled.

## 6.2 ANNEX 2: CONSULTEES

Stakeholders consulted

## 6.3 ANNEX 3: TEMPLATES

- 3.1 Outline for a Product Concept
- 3.2 Outline for a cross-border tourism feasibility assessment
- 3.3 Outline for a risk matrix
- 3.4 Outline for cross-border tourism operation manual
- 3.5 Operational Manual template for cross-border tourism product Standard Operating Procedure
- 3.6 Operational Manual template for cross-border product tourism Environmental Management Plan
- 3.7 Template for a cross-border tourism product timeline
- 3.8 Template for cross-border tourism participant, vehicle and staff manifest
- 4.9 Outline for a cross-border tourism close-out report

## 6.4 ANNEX 4: COUNTRY POLICY INFORMATION

Country tables on processes for legislation, policies and cross – border regulations