



**PORTFOLIO REVIEW**

**CAPE FLORISTIC REGION  
BIODIVERSITY HOTSPOT**

**September 2004**

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# INTRODUCTION

## Background

The Critical Ecosystem Partnership Fund (CEPF) is a joint initiative of Conservation International, the Global Environment Facility, the Government of Japan, the MacArthur Foundation and the World Bank. It is designed to help safeguard the world's biologically richest and most threatened areas. Known as biodiversity hotspots, these areas are classified by their concentration of unique species and the degree of threat.

A fundamental purpose of CEPF is to engage civil society, such as community groups, nongovernmental organizations (NGOs) and private enterprises, in biodiversity conservation. CEPF focuses on building this civil society constituency alongside national and local governments in ways that complement existing strategies and ultimately benefit nature and people alike. CEPF aims to promote working alliances among diverse groups, combining unique capacities and eliminating duplication of effort for a comprehensive approach to conservation.

CEPF focuses on biological areas rather than political boundaries and often addresses threats to biodiversity at the scale of landscapes known as biodiversity conservation corridors. Corridors are determined as part of a process to identify globally threatened and geographically concentrated species, the sites most critical for their survival and the matrix of biodiversity-friendly land use around these sites necessary to allow the maintenance of natural ecological processes. This integrated design, anchored by key biodiversity areas but enabling multiple compatible land uses, enables a proactive response to existing and emerging threats to biodiversity while generating socioeconomic benefits and limiting opportunity costs. The species, site and corridor outcomes are meant to guide overall effort by the wider conservation and donor communities.

As part of the preparation prior to investment in each hotspot, CEPF also determines its unique niche to ensure maximum conservation outcomes per dollar spent. The CEPF niche is the result of a stakeholder-driven prioritization process that factors in socioeconomic features, threats and current investments alongside the biodiversity science used to determine the outcomes. This niche and specific strategic directions are articulated in an ecosystem profile for each region. The profile, approved by the CEPF Donor Council, is intended to guide both civil society partners in applying to CEPF for grants and CEPF decisionmaking that takes place in concert with a range of coordination partners and expert reviewers.

The Cape Floristic Region is one of 13 hotspots where CEPF provides grants to civil society partners to date. Home to the highest density of plant species in the world, the hotspot harbors more than 9,000 plant species, 70 percent of which are found nowhere else. Plant species that demonstrate the diversity of plants found here include South Africa's national flower, the king protea; the marsh rose; and the silver tree. CEPF investments support civil-society led efforts in the three reserve areas of Cederberg, Gouritz and Baviaanskloof and the last remaining areas of natural vegetation in the lowlands beyond the Agulhas Plain.

## **CEPF Monitoring Approach**

During its initial operations, CEPF focused its monitoring on project development and implementation, and on tracking progress at the initiative level. However, as the first CEPF ecosystem profiles approved for 5 years of investment have reached a midpoint in their funding lifespan, enhancement and expansion of monitoring to the ecosystem portfolio level is critical. This portfolio review for the Cape Floristic Region—one of the six hotspots authorized for CEPF investment in December 2001—is one of the first results of that strategic expansion.

At the project level, CEPF grantees are required to regularly assess and track technical progress against specific project outputs agreed in their approved proposals. Grantees are also required to submit regular financial reports. Grantees and CEPF grant directors alike use these tools to monitor project-level progress and to identify and address any potential issues that may signal the need for project modification or trigger discussions about additional opportunities.

Initiative-level monitoring has evolved largely to meet the needs of the CEPF management team and donor partners. It results in regular detailed and summary financial reports; quarterly reports to the donor partners that include those financial details alongside program highlights, a graphic illustration of progress to date and a list of approved grants; and a dynamic Web site ([www.cepf.net](http://www.cepf.net)). Monitoring at this level enables CEPF to gauge and illustrate overall progress, evaluate trends across hotspots, ensure effective financial planning and assess information needs for the initiative as a whole.

The portfolio reviews complement and expand these efforts. The reviews include an assessment of each regional grant portfolio under development around the midpoint of its 5-year funding cycle. The midpoint of the planned investment period is an opportune time to review performance and assess progress toward objectives, allowing CEPF to address gaps and respond to changing circumstances within a given region as well as to share lessons learned with partners in the region, other regions and the broader conservation community.

The portfolio review includes all approved projects in the portfolio. These projects are reviewed first as a desk study, including an examination of original approved project designs, technical and financial reports received and any other deliverables submitted to date. A questionnaire is also sent to grantees to inform them about the review and to solicit their assistance on questions related to program implementation, their relationship with CEPF, and awareness and understanding of the CEPF strategy.

The monitoring and evaluation team, which includes CEPF staff and an independent evaluator to enrich the review and resulting analysis, also meets with the relevant CEPF grant director and other key people. The team then travels to the region to interview project staff and visit select sites. For an overview of the CEPF monitoring approach see Appendix A. The questionnaire sent to grantees can be found in Appendix B.

The preparation phase for the Cape Floristic Region portfolio review took place in February 2004. The review team included CEPF staff members and Alberto Yanosky, a World Bank consultant specialist in biodiversity conservation who conducted an independent review of CEPF operations in the hotspot.

The review team traveled to South Africa March 13-31, 2004, meeting grantees and visiting select project sites. It met with 18 of the 29 project teams receiving CEPF support at the time of the visit (see Appendix C for the list of persons contacted and Appendix D for the complete list of approved grants through May 2004.)

Specific objectives of the portfolio review include:

- Understand any change in on-the-ground conservation dynamics and the role CEPF plays in them;
- Assess the contribution of CEPF-supported projects toward expected impacts and corridor conservation goals as articulated in the ecosystem profile;
- Assess the efficiency and effectiveness of CEPF in processing and monitoring grants;
- Identify gaps and critical needs for achieving strategic objectives;
- Derive key lessons learned and determine recommendations for improvements; and
- Refine the portfolio review methodology.

## **CAPE FLORISTIC REGION CONSERVATION CONTEXT**

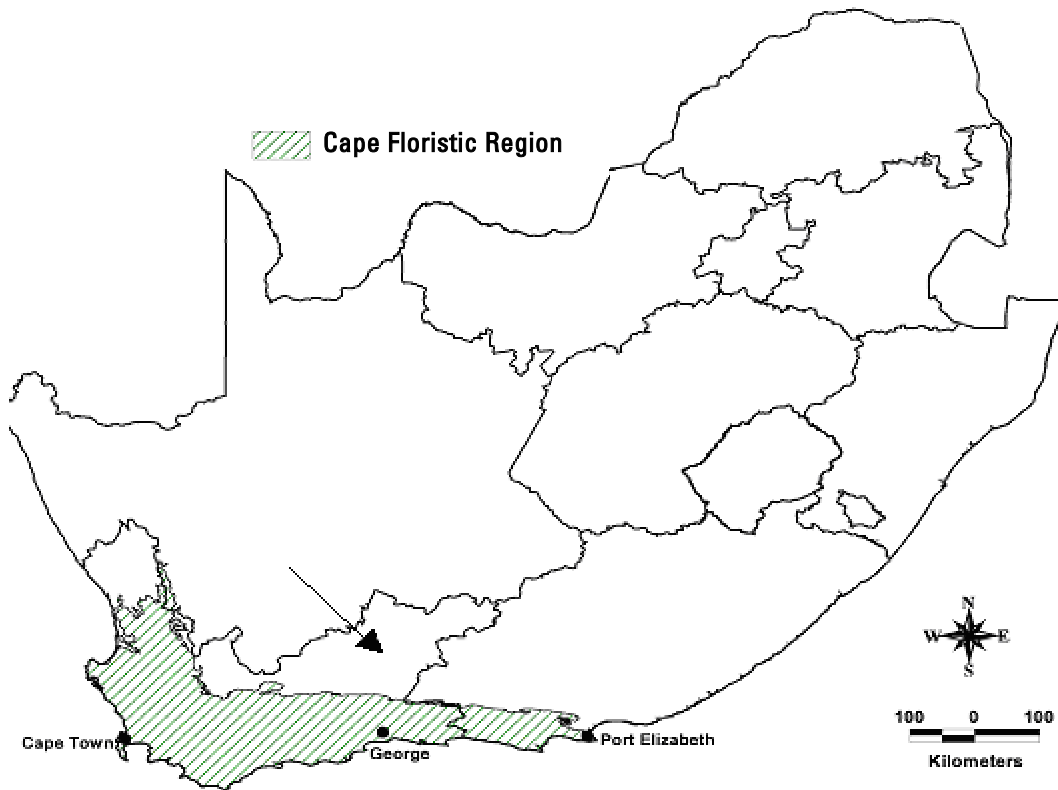
The Cape Floristic Region is located at the southwestern tip of Africa and lies entirely within the borders of South Africa (Figure 1). Due to its high concentration of endemic plant taxa, its large number of species and its vulnerability to processes that threaten its unique biodiversity, the Cape Floristic Region is recognized as a global biodiversity hotspot. It is one of five Mediterranean-type systems included in nearly all assessments of global conservation priorities, and is the only hotspot that encompasses an entire floral kingdom. As the smallest floral kingdom—one of six botanically recognized regions of the world characterized by distinct groups of plants not found in the other kingdoms—it occupies only 90,000 square kilometers, yet its plant species richness is far greater than that of the Boreal Kingdom, which covers 40 percent of the Earth’s surface. In fact, this small area contains nearly 3 percent of the world’s plant species on 0.05 percent of the land area. A botanical wonder, the region also possesses high faunal diversity and endemism in both its terrestrial and aquatic communities.

The rich biodiversity of the Cape Floristic Region is due to an extensive and complex array of habitat types derived from topographical and climatic diversity in the region’s rugged mountains, fertile lowlands, semi-arid shrublands and coastal dunes. The dominant vegetation of the Cape Floristic Region is *fynbos* (Afrikaans for “fine bush”). This fire-prone, sclerophyllous shrubland covers just over 80 percent of the land area and accounts for more than 7,000 of the plant species identified in the Cape Floristic Region. In the lowlands, *fynbos* is replaced by *renosterveld* (Afrikaans for “rhinoceros scrub”), an

ericoid shrubland, and coastal dunes and thickets that sustain an extremely high density of plants and animals threatened with extinction. Trees are very rare in pristine Cape Floristic Region habitats, and true forests occupy less than 4,000 square kilometers.

The distribution of the Cape Floristic Region's biodiversity is also unusual in that many of the processes that sustain rare and endemic flora can occur in very small patches of remnant vegetation. It has been determined that many localized *fynbos* endemics persist in patches of 4-15 hectares. It is therefore important to recognize that each fragment of natural habitat in the Cape Floristic Region can be worthy of conservation action.

**Figure 1. Map of the Cape Floristic Region Biodiversity Hotspot**



In 1997, the government of South Africa approved a White Paper entitled “Conservation and Sustainable Use of South Africa’s Biodiversity” as government policy. This White Paper laid the foundation for biome-based conservation planning on a national level.<sup>1</sup> The Cape Floristic Region is one of three biome-based, ecosystem-planning domains within South Africa, and one of two where CEPF is supporting civil society. Although the other two planning domains, the Succulent Karoo Ecosystem and Subtropical Thicket Ecosystem, are not the focus of this review, the strategies resulting from their respective planning processes are being implemented simultaneously and in complementary ways. The Bioregional Planning and Implementation Programme of the National Botanical Institute (NBI) coordinates all of them.

In 1998, the Global Environment Facility (GEF) signaled its commitment to conservation in the Cape Floristic Region by approving financial support through the World Bank to the National Parks Board and the Table Mountain Fund<sup>2</sup> for the creation of the Table Mountain National Park, the expansion of the Table Mountain Fund and the initiation of a Cape Floristic Region conservation planning effort. This initial investment of \$12.38 million for the Cape Peninsula Biodiversity Conservation Project included \$1 million for the development of the Cape Action Plan for People and the Environment (C.A.P.E.), which was then called the Cape Action Plan for the Environment, and funding to part capitalize the Table Mountain Fund. The creation in 1998 of the Table Mountain National Park, now encompassing 22,100 hectares, was the first attempt at implementing the concept of mega-reserves in the Cape Floristic Region.

### **Cape Action Plan for People and the Environment**

The development of C.A.P.E. from 1998 to 2000, funded by GEF and the World Bank and coordinated by WWF-South Africa, brought together NGOs, communities, and government and private sector representatives to develop an action plan for the long-term preservation of biodiversity in the Cape. The goal of creating such an alliance of participants was to create a sense of joint ownership of the resulting strategy.

The 2-year participatory process included an analysis of threats and opportunities for terrestrial biodiversity as well as marine, estuarine and freshwater biodiversity and the legal, socioeconomic and institutional environment. The terrestrial and marine biodiversity research included a scientific analysis of data on patterns of biodiversity and ecosystem processes that ultimately led to the development of spatial outcomes and priorities – with areas that are irreplaceable and extremely vulnerable (threat) being the highest priority for conservation. The resulting 20-year action plan, publicly launched in September 2000, has the following goal:

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<sup>1</sup> Biomes are the major regional groupings of plants and animals discernible at a global scale. Their distribution patterns are strongly correlated with regional climate patterns and identified according to the climax vegetation type. The biome concept embraces the idea of community, interaction among vegetation, animal populations and soil. A biome (also called a biotic area) may be defined as a major region of distinctive plant and animal groups well adapted to the physical environment of its distribution area. (<http://www.runet.edu/~swoodwar/CLASSES/GEOG235/biomes/intro.html>)

<sup>2</sup> The Table Mountain Fund was founded by WWF-South Africa and currently operates with a board comprised of representatives from WWF-South Africa, South African National Parks and the Cape Peninsula National Park.

“By the year 2020, the natural environment and biodiversity of the Cape Floral Kingdom will be effectively conserved, restored wherever appropriate, and will deliver significant benefits to the people of the region in a way that is embraced by local communities, endorsed by government and recognized internationally.”

C.A.P.E. prioritized the creation and effective management of protected areas and mega-reserves large enough to support a full range of biological, ecological and evolutionary processes. It identified three overarching themes, a set of objectives for each theme, called strategic components, and priority activities under each component (Table 1).

**Table 1. C.A.P.E. Themes, Objectives and Strategic Components**

<b>Conserving Biodiversity in priority areas</b>
<p><b>Strengthening on- and off-reserve conservation</b></p> <ul style="list-style-type: none"> <li>• Establishing an effective reserve network</li> <li>• Targeting threatened species (plant)</li> <li>• Enhancing off-reserve conservation</li> </ul>
<p><b>Supporting bioregional planning</b></p> <ul style="list-style-type: none"> <li>• Identifying priority areas</li> <li>• Protecting these priorities through supportive planning</li> </ul>
<b>Sustainable use of resources</b>
<p>Conserving biodiversity and natural resources in catchments</p> <ul style="list-style-type: none"> <li>• Ensuring biodiversity is addressed in cooperative management structures</li> <li>• Developing capacity to manage alien plants, alien fish and fires</li> <li>• Water demand management</li> </ul>
<b>Improving the sustainability of harvesting</b>
<p>Promoting sustainable nature-based tourism</p> <ul style="list-style-type: none"> <li>• Developing a coordinated strategy</li> <li>• Testing the strategy in pilot projects</li> </ul>
<b>Strengthening institutions and governance</b>
Strengthening institutions
Developing a coordinated strategy
Promoting community involvement

To ground the implementation of C.A.P.E. a suite of 37 core projects was identified to address the key obstacles to achieving conservation and sustainable utilization of the biodiversity of the Cape Floristic Region. The process included linking each priority activity of C.A.P.E. with one or more core projects with a specifically identified description, lead implementing agency, total budget, local counterpart funding, external funding and level of priority.

The public launch of the action plan aimed to inform and engage an even wider audience, as well as to secure funds to implement the strategy. To reinforce the continued importance of collaboration and the strong relationship of people to the environment



intrinsic to C.A.P.E., the name of the plan was also changed from the Cape Action Plan for the Environment to Cape Action for People and the Environment.

A Memorandum of Understanding, signed in September 2001 by the Ministry of Environmental Affairs and Tourism, the Ministry of Water Affairs and Forestry and the Eastern Cape and Western Cape provincial governments, created the Cape Coordinating Committee (CCC) and a Cape Implementation Committee (CIC) to provide coordination and collaboration among government and agencies implementing the strategy.

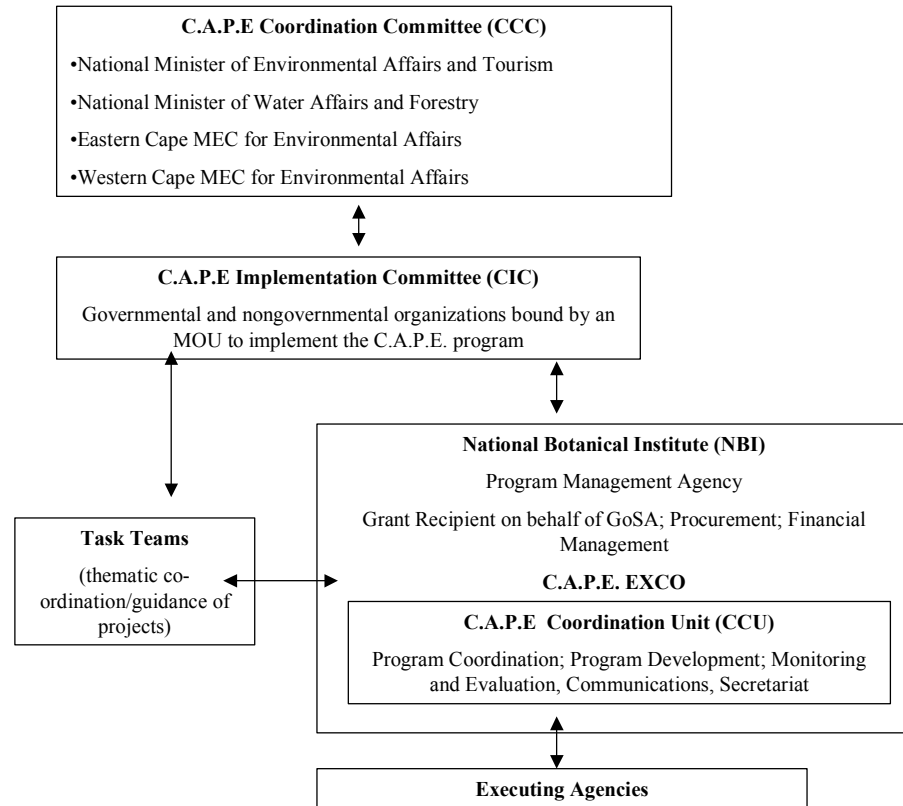
The CCC is comprised of representatives of the national minister of environmental affairs and tourism, the national minister of water affairs and forestry, the member of the Executive Council of the Eastern Cape for environmental affairs and the member of the Executive Council of the Western Cape for environmental affairs. It is responsible for overall oversight of C.A.P.E. implementation and ensuring that the goal of the 20-year vision is met. The CCC also promotes and represents the interests of the action plan within the context of the overall management of the Cape Floristic Region environment.

The Western Cape Nature Conservation Board acts as the lead implementing agency, with its members including representatives from other implementing agencies. Its CEO acts as the chairman of the CIC, which meets on a quarterly basis to discuss and provide input on issues related to the coordination and implementation of C.A.P.E. The quarterly meetings also provide an opportunity for the committee members to highlight opportunities for their collaborative work. Membership in the CIC continues to grow, a sign of increasing support for C.A.P.E. and new audiences being reached through its activities. With members from government ministries, departments, agencies and municipalities sitting alongside civil society representatives, these committees illustrate the unique partnership that is at the core of the strategy.

The need for significant programmatic coordination of the partnership to ensure strategic, cost-effective and efficient collaboration as well as neutral brokering between the numerous agencies involved in implementation led to the establishment of the C.A.P.E. Coordination Unit. Initially funded by WWF-South Africa, the unit has continued with support from CEPF, GEF, the Mazda Wildlife Fund and the National Botanical Institute. Through a memorandum of understanding with the CCC, NBI is the managing agency.

The Coordination Unit supports both the CCC and the CIC, providing technical and administrative support as well as regular reports at meetings (Figure 2). The unit is responsible for coordination of C.A.P.E., including coordinating management of all funding for the strategy. It also coordinates CEPF investment in the region as part of a strategic decision by CEPF to support the unit and ensure synergies with C.A.P.E. The unit plays a vital role in responding to both needs and opportunities within the conservation community.

**Figure 2. C.A.P.E. Coordination and Management Structure**



The implementation of C.A.P.E. is planned in three distinct phases over 20 years. The first two phases will include support from GEF and other donors, while the third phase will be financed domestically through investments from the public and private sectors and payments for environmental services. The first phase includes support from GEF to the Cape Agulhas Biodiversity Initiative (approved May 2004) and the Cape Biodiversity Conservation and Sustainable Development Project as well as the CEPF investment targeted at engaging civil society in conserving the unique biodiversity of the Cape Floristic Region. The CEPF allocation for priority areas of the Cape Floristic Region, beginning in December 2001, tested the C.A.P.E. strategy and built a practical foundation from which to base GEF-funded implementation projects. The Cape Biodiversity Conservation and Sustainable Development Project (2004-2009) was formally approved through a grant between the World Bank and the National Botanical Institute in May 2004 for a total of \$11.32 million.

To support the Coordination Unit in managing the overall implementation of C.A.P.E., a series of task teams are being formalized as part of the preparation for the second phase of the GEF project. Several of these task teams will evolve from existing working groups, forums or steering committees, while others will be new. A number of the steering committees or forums evolving into task teams have been active in support of CEPF-funded C.A.P.E. priorities. The task teams, comprised of a group of institutions, will

collectively provide implementation oversight for a cluster of thematically related projects and will provide increased opportunities to share lessons learned. Nine task teams are currently active and another seven are in various stages of planning. A list of the task teams and implementing agencies are included as Appendix E.

### **National Biodiversity Strategy and Action Plan**

As a contracting party to the Convention on Biological Diversity, South Africa is required to develop a national biodiversity strategy. The National Biodiversity Strategy and Action Plan is expected to build on the 1997 White Paper by translating policy goals into an implementation plan, with firm targets, clear roles and responsibilities, realistic timeframes and measurable indicators. The action plan is being developed with stakeholder participation to help establish partnerships, mobilize resources and inform capacity development needs. In line with the C.A.P.E. goal, the plan is expected to identify priorities to help ensure biological diversity is conserved for future generations, biological resources are used wisely and all South Africans appreciate, care for and benefit from biodiversity. Priorities, strategies and actions will be further developed in consultations with provinces, local authorities and sectors in the months that follow. A preliminary draft action plan was debated in early 2004 at a national workshop.

Another major step taken by the South African government to set the proper political and legislative context for conservation is the promulgation of the National Biodiversity Act, which was recently signed by President Thabo Mbeki. The act significantly strengthens the government's commitment to the effective and sustainable management of natural resources, the strict protection of species and ecosystems and ways to help ensure that benefits from these resources are spread widely and fairly among the population. Among the highlights is the transformation of NBI from the National Botanical Institute to the National Biodiversity Institute with an expanded mandate to coordinate South African bioregional efforts.

In addition to the enthusiasm for C.A.P.E. and the development of the National Biodiversity Act signaling support for the importance of addressing issues facing biodiversity, there is also a strong emphasis throughout the government on the national social agenda. C.A.P.E. has been challenged to incorporate the issues of reducing poverty, unemployment, and redressing apartheid-supported discriminations into a biodiversity-driven agenda. In support of this, the World Bank and other institutions are championing the concept of biodiversity economics, with the end goal of inserting biodiversity into South Africa's productive sector, and demonstrating the benefits of biodiversity as an instrument for economic development.

### **Framework for Conservation in the Cape Floristic Region**

In addition to the strong and growing political commitment to conservation, there are a number of ways in which the implementation of the CEPF strategy has benefited from the existing culture of conservation in the Cape Floristic Region. One of these is certainly the framework for conservation partnerships that has existed in the region for some time and provided fertile ground for the implementation of CEPF. The Fynbos Forum is an example of the dynamism in the local conservation community. It provides an annual

forum for a wide range of conservation stakeholders to discuss current trends, present research and set priorities. It began in the 1970s to research fire and alien invasive species management in the region and has grown into a valuable community and resource for conservation. In addition to the annual meeting, it conducts workshops and working groups on specific topics and has adopted resolutions on issues that have been determined to be of particular importance to the conservation community. These resolutions have been pivotal in the creation of several prominent regional programs including the Working for Water Program and, most importantly to this review, C.A.P.E.

On a smaller scale, dozens of community-based organizations have formed in support of specific issues or geographic areas, such as the Friends of Tokai Forest, Friends of Blaauwberg and Friends of Baviaanskloof. These organizations, many of which have existed for years, demonstrate the extent of community understanding of the importance of preserving the local biological heritage. The extent to which conservation had already been recognized at several levels as a priority for action and the existence of community groups already engaged in this issue provided a uniquely fertile opportunity for the implementation of the CEPF strategy.

The need to increase the capacity of previously disadvantaged South African citizens to engage in conservation, a field still largely dominated by white South Africans, remains an immense challenge in South Africa. It is a national priority to change both the perception and the reality that conservation is for and by only a certain segment of the South African population. CEPF is addressing this challenge by prioritizing training and education of conservation professionals as well as by working with disadvantaged communities to engage in preserving their local biodiversity. Regional disparities in professional and institutional capacities for conservation, such as exist between the Eastern and Western Cape, are being systematically targeted in an effort to increase broad commitment to bioregional planning.

One need look no further than Kirstenbosch National Botanical Garden in Cape Town to see evidence of the extraordinary resources available for conservation in the Western Cape. Kirstenbosch is the home of a number of the prominent organizations engaged in conservation in the region, including the Botanical Society of South Africa, the C.A.P.E. Coordination Unit, Conservation International and The Table Mountain Fund. The geographic proximity of these organizations and staff provides a rich environment for collaboration and networking, one that is clearly a huge benefit to the biodiversity of the Cape Floristic Region – but is unmatched in the Eastern Cape Province. It is highly strategic to have this number of organizations working so closely, and Kirstenbosch serves as the *de facto* hub for conservation in the region.

## **CAPE FLORISTIC REGION – THE CEPF ECOSYSTEM PROFILE**

CEPF develops a profile that identifies and articulates the investment strategy for each region authorized for CEPF funding. The ecosystem profile reflects an assessment of socioeconomic features and the underlying causes of biodiversity loss within the

particular ecosystem and couples this with an inventory of current investments in the region to identify where CEPF funding would provide the greatest incremental value.

Each region’s planning, preparation and profiling phase is distinct depending on any previous priority setting or planning process that has already taken place. CEPF strives to build on existing foundations, where applicable, and to design a process that will fill in any gaps. The resulting investment strategy includes specific strategic directions to guide both civil society groups in applying for CEPF grants and CEPF decisionmaking.

In the case of the Cape Floristic Region, the CEPF Donor Council approved the ecosystem profile and \$6 million investment strategy in December 2001 after review by the CEPF Working Group, which is comprised of technical staff from each of the donor institutions. This region presented an exciting and unique opportunity for CEPF to capitalize on an existing framework of participatory planning, supported by a scientific prioritization of needs. Investments were designed to support a locally developed conservation strategy with endorsement from the scientific and conservation communities as well as the government and legislative bodies.

The CEPF ecosystem profile fed directly from the strategy developed under C.A.P.E. – picking up specific priorities that CEPF would support for civil society engagement and complementing additional funding sources for the plan. CEPF used the suite of projects to identify immediate actions needed and to shape the strategic directions, but also recognized the need to remain open to new priorities and unmet needs during the 5-year funding period. As a result CEPF did not restrict itself to funding the key activities that had been identified as part of C.A.P.E. and indicated its intent to fund projects that are solidly aligned with its core mission of engaging civil society in conservation.

In each ecosystem profile developed for CEPF funding, the strategic directions are identified as means to achieve targeted biodiversity conservation. CEPF’s experience with earlier profiles indicated that more specificity was needed to focus the CEPF investment, which led to the inclusion of specific priorities under each strategic direction as part of the Cape Floristic Region and subsequent ecosystem profiles (Table 2).

**Table 2. CEPF Strategic Directions and Investment Priorities for the Cape Floristic Region**

<b>Strategic Directions</b>	<b>Investment Priorities</b>
1. Support civil society involvement in the establishment of protected areas and management plans in Cape Floristic Region biodiversity hotspot corridors	1.1 Through civil society efforts identify and design innovative mechanisms and strategies for conservation of private, corporate or communal landholdings within biodiversity corridors. 1.2 Support private sector and local community participation in the development and implementation of management plans for biodiversity corridors. 1.3 Especially within the Gouritz and Cederberg corridors, identify priority landholdings requiring immediate

	conservation action.
2. Promote innovative private sector and community involvement in conservation in landscapes surrounding Cape Floristic Region biodiversity corridors.	<p>2.1 Promote civil society efforts to establish and support biodiversity-based businesses among disadvantaged groups, in particular in areas surrounding the Gouritz and Baviaanskloof corridors.</p> <p>2.2 Implement best practices within industries affecting biodiversity in the Cape Floristic Region, e.g. the wine and flower industries.</p>
3. Support civil society efforts to create an institutional environment that enables effective conservation action	<p>3.1 Support civil society efforts to consolidate data to support appropriate land use and policy decisions.</p> <p>3.2 Support civil society initiatives to integrate biodiversity concerns into policy and local government procedures in priority municipalities.</p> <p>3.3 Improve coordination among institutions involved in conservation of Cape Floristic Region biodiversity corridors through targeted civil society interventions.</p>
4. Establish a small grants fund to build capacity among institutions and individuals working on conservation in the Cape Floristic Region	<p>4.1 Support internships and training programs to raise capacity for conservation, particularly targeting previously disadvantaged groups.</p> <p>4.2 Support initiatives to increase technical capacity of organizations involved in Cape Floristic Region conservation, particularly in relation to the priority geographic areas.</p>

The strategic directions are targeted actions where CEPF could achieve maximum impact through engaging civil society groups. In the broad-scale spatial plan for C.A.P.E., more than 60 percent of the remaining natural vegetation was identified for conservation action. CEPF selected five geographic areas of high priority. These are the lowland fynbos remnants identified as irreplaceable and four sites with sufficient remaining natural vegetation to be potential biodiversity corridors or mega-reserves: the lowland habitat remnants beyond the Agulhas Plain and the Baviaanskloof, Cederberg and Gouritz corridors. Conservation of the Agulhas Plain is supported through the GEF-funded Agulhas Biodiversity Initiative, a joint partnership between South African National Parks, Fauna and Flora International and the United Nations Development Programme/GEF.

### **Logical Framework**

To complement the ecosystem profile, a logical framework (LogFrame) was elaborated for CEPF investments in the Cape Floristic Region. The LogFrame articulates impact indicators and targeted conservation outcomes, which are concrete measures of impact of implementation of the CEPF portfolio. Performance indicators in the CEPF Cape

Floristic Region LogFrame (Appendix F) are also consistent with the goals of C.A.P.E. Specifically, the achievement of the CEPF impact indicators within the initiative's 5-year timeframe should be interpreted as a successful advance of the C.A.P.E. strategy.

Scientifically based priority areas and species for conservation in the Cape Floristic Region, which CEPF calls outcomes, were based on data and analyses conducted as part of the C.A.P.E. process and not as a separate initiative tied to the CEPF strategy. In the Cape Floristic Region, the scientific rigor used to define the priorities under C.A.P.E. in addition to the broad understanding and collaboration in addressing those priorities, made it advantageous to adopt those targets for measuring impact. A comparable methodology for defining priorities was also used for the Succulent Karoo Ecosystem Plan (SKEP) and the Subtropical Thicket Ecosystem Plan (STEP), and those processes are currently being integrated at a national level, which reinforces the desirability of CEPF working with the same targets to meet conservation goals.

The LogFrame provides a mechanism for linking results obtained through CEPF-funded activities with broader conservation outcomes. In the Cape Floristic Region, the C.A.P.E. Coordination Unit makes use of data and analyses available through the State of Cape Floristic Region Biodiversity reports, provincial State of the Environment reports, annual reports from the national and provincial conservation agencies and species-specific status reports, among others, in providing guidance to the CEPF portfolio of projects. In addition, the South African scientific community's participation in the IUCN Red List process has resulted in a core body of knowledge on the threat and status of many of the region's species. CEPF partners are leading this effort in the SKEP and Cape bioregions.

### **C.A.P.E. and CEPF Implementation**

The C.A.P.E. Coordination Unit was specifically identified in the ecosystem profile as a mechanism for "ensuring interagency cooperation" and for "building capacities for project development and ensuring sustainable funding for C.A.P.E." under the investment priority to "improve coordination among institutions involved in conservation of Cape Floristic Region biodiversity corridors through targeted civil society interventions." It acts as a steward of the CEPF strategy and implementation in the region and plays an instrumental role in CEPF grant making, from the identification of potential partners and projects to decisionmaking to monitoring implementation. The coordination unit provides support to CEPF in building awareness of the CEPF strategy and results within the conservation, governmental and donor communities, creating synergies and linkages with other initiatives and ensuring complementary efforts.

Once a Letter of Inquiry (LOI) is submitted to CEPF, the Coordination Unit identifies appropriate stakeholders to serve as reviewers. The Coordination Unit then gathers and consolidates the review comments and recommends approval, rejection or modification of the proposal to the grant director for the region. If an LOI is approved and the applicant is asked to submit a full application, the CEPF grant director, with support from coordination team members when requested, works with the applicant to provide technical support and guidance where necessary. The Coordination Unit also reports to the CCC and CIC about the status of the CEPF portfolio on a regular basis.

The Unit provides another layer of coordination to the CEPF portfolio through its participation in the review of the small grant proposals to the Table Mountain Fund, which manages a special small grants fund supported by CEPF to build capacity of institutions and individuals working on conservation in the region (Strategic Direction 4). The Table Mountain Fund's Capacity Building Program complements specific objectives of certain CEPF projects by ensuring that qualified and motivated local individuals staff these projects. In addition, the Coordination Unit's communications manager is well placed to link the capacity needs of CEPF grantees with the pool of applicants for the Capacity Building Programme.

## CEPF GRANTMAKING IN THE CAPE FLORISTIC REGION

### Portfolio Overview

The CEPF Donor Council approved the Cape Floristic Region ecosystem profile in December 2001. The C.A.P.E. Coordination Unit was approved in June 2002 as the first project approved under the portfolio. Through May 2004, CEPF had received 77 requests for funding, 31 of which won approval for the implementation of 29 projects (Figure 3). Out of the available \$6 million in funds, \$4.64 million or 77.3 percent has been committed (Figure 4). This leaves a total of \$1.36 million in uncommitted funds. In addition, the CEPF investment has leveraged approximately \$3.8 million in additional funding or in-kind contributions and the full GEF C.A.P.E. initiative. This includes a recent agreement by the UK-based Rufford Maurice Laing Foundation to provide approximately \$1.83 million to establish a Center for Biodiversity Conservation at Kirstenbosch. Table 3 shows the distribution of approved grants by strategic direction, remaining grant funds and cash disbursed.

Figure 3. Cape Floristic Region Grant Portfolio, through May 2004

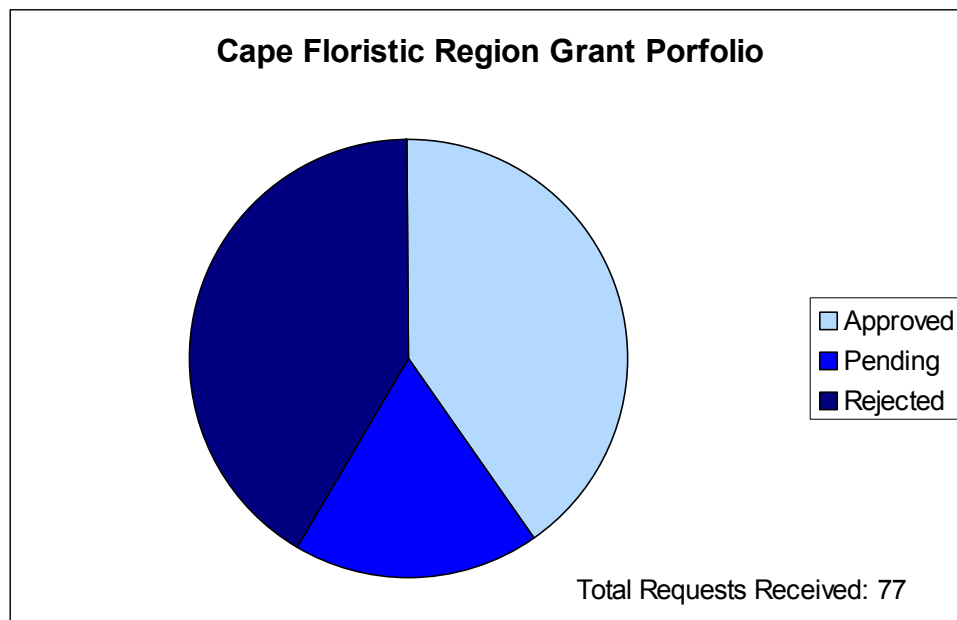




Figure 4. Combined Value of Grants Awarded, through May 2004

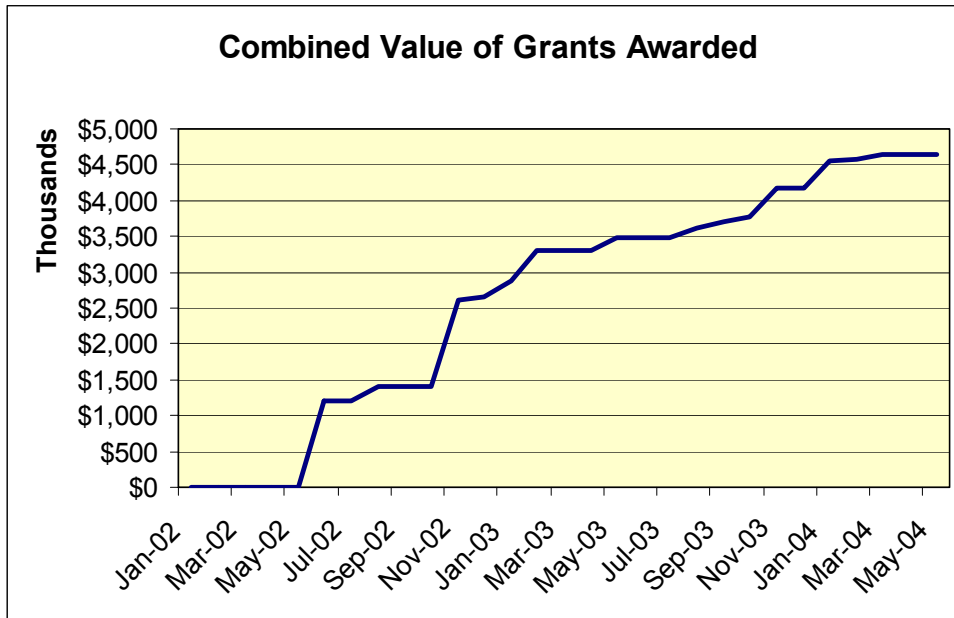


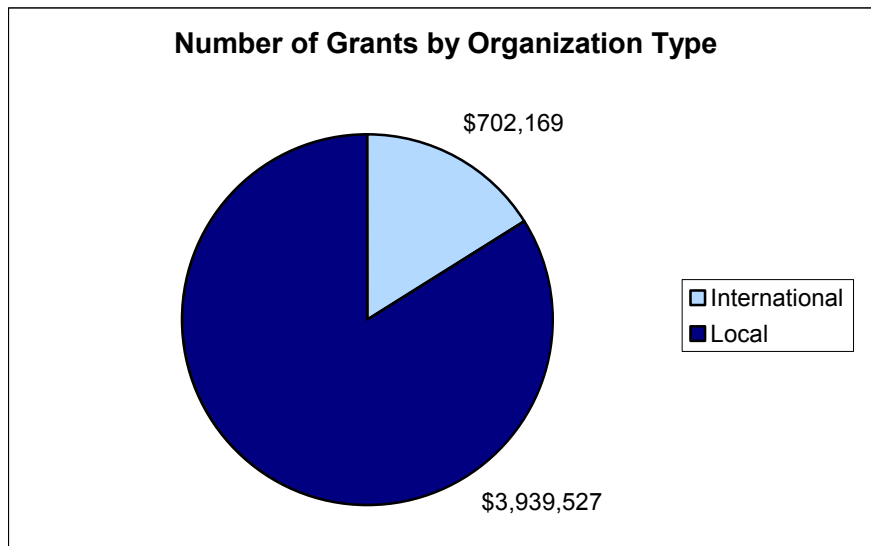
Table 3. Distribution of Approved Grants, through May 2004

Strategic Direction	Amount Awarded	# of Grants
1. Support civil society involvement in the establishment of protected areas and management plans in Cape Floristic Region biodiversity hotspot corridors	1,338,260	13
2. Promote innovative private sector and community involvement in conservation in landscapes surrounding Cape Floristic Region biodiversity corridors	1,293,122	8
3. Support civil society efforts to create an institutional environment that enables effective conservation action	1,110,571	9
4. Establish a small grants fund to build capacity among institutions and individuals working on conservation in the Cape Floristic Region	898,744	1
<b>Total Grants</b>	<b>4,640,697</b>	<b>31</b>
<i>Remaining Funding</i>	1,359,303	
<b>Total Allocation</b>	<b>\$6,000,000</b>	

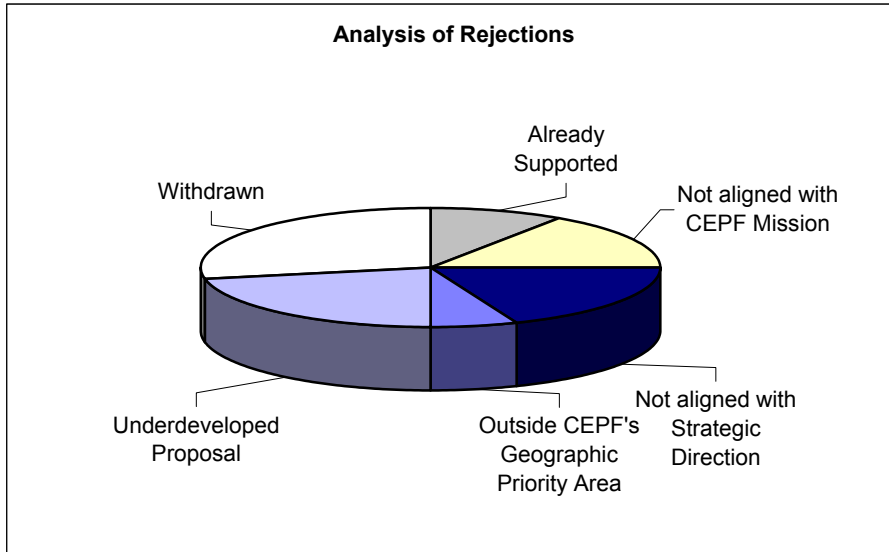
Grant amounts ranged in size from \$7,844 to \$898,744 with an average grant size of \$149,700. Grants were largely awarded to local NGOs, with only three international grantees applying for and receiving grants (Figure 5). An organization is defined as local when it is legally registered in the hotspot/country, in this case South Africa, with an independent board. A review of rejected and pending grants demonstrates the same trend, with all of those proposals rejected or pending being from local organizations.

CEPF rejected proposals for a variety of reasons, with proposals most commonly rejected for not aligning with any strategic direction from the profile or proposing work in a geographic or thematic area already receiving significant attention by CEPF or other donors (Figure 6). A number of applications were also withdrawn by the applicant or otherwise not followed up on as necessary for approval. The low number of grants submitted by international organizations is evidence of the high local capacity and the extent of the local conservation community.

**Figure 5. Approved Grants by Organization Type, through May 2004**

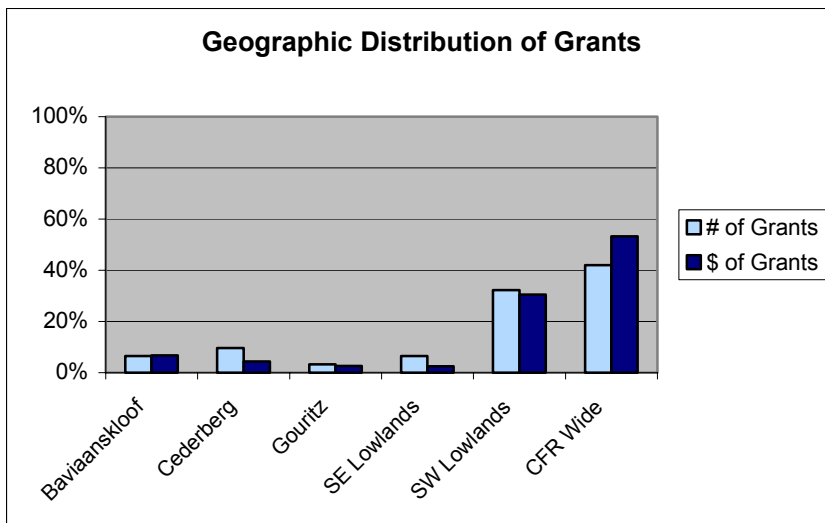


**Figure 6. Analysis of Rejections, through May 2004**



CEPF has supported civil society projects in all of the identified priority areas, with an emphasis on hotspot-wide projects and projects in the Southwest lowlands. While the CEPF strategy does not differentiate between the Southeast and Southwest Lowlands, the C.A.P.E. Coordination Unit and CI recently began doing so as part of an effort to further prioritize how remaining grant monies should be spent in this region (Figure 7).

**Figure 7. Geographic Distribution of CEPF Grants, through May 2004**



## **Coordination and Communication of CEPF Strategy**

Through the C.A.P.E. Coordination Unit, the objective of the CEPF strategy has been clearly communicated and coordinated. The links between the CEPF strategy and C.A.P.E. are evident, and CEPF benefits from the broad support for and understanding of C.A.P.E. The Coordination Unit has provided ongoing support to CEPF in managing implementation of the strategy. The goals of each project are recognized as relating to a larger strategy – both the CEPF strategy and C.A.P.E.

A successful vehicle for communicating with stakeholders about C.A.P.E. and CEPF has been a bi-monthly electronic newsletter produced by the Coordination Unit. The newsletter includes articles on ongoing C.A.P.E. initiatives and results, highlights new CEPF projects and provides information on the development of the GEF-funded project under C.A.P.E. The e-newsletter also profiles opportunities to share lessons learned, such as upcoming workshops. The newsletter, which is distributed to more than 560 people, is a significant resource for further informing and engaging people in both C.A.P.E. and CEPF implementation at a variety of levels.

To provide fluid and accessible communications about C.A.P.E., the Coordination Unit also launched a C.A.P.E. Web site ([www.capeaction.org.za](http://www.capeaction.org.za)) in 2002 with information about the initiative and region, details of C.A.P.E. partners and links to the Conservation Planning Unit Web site as a resource for biodiversity data information. Unfortunately, however, the site has not been updated or maintained as a resource for C.A.P.E. and thus its uses have been significantly limited. While plans have been in the works to develop a new and expanded Web site for some time, the full potential of this communications medium continues to be unrealized and represents a missed opportunity.

The Coordination Unit has also played a pivotal role in working with the CEPF grant director to make appropriate and well-placed grant decisions. This has involved an ongoing analysis by the unit of the geographic and thematic balance of the portfolio in relationship to the ecosystem profile, with related recommendations to the grant director on portfolio development. Conservation International (CI), which coordinates implementation of SKEP and the CEPF strategy and ensuring linkages between them in the Succulent Karoo hotspot, has supported the C.A.P.E. Coordination Unit, serving as a proposal reviewer when requested, sitting as a member on the CIC and providing both formal and *ad hoc* technical assistance to CEPF grantees and partners in the Cape Floristic Region. This dynamic relationship has been advantageous for both C.A.P.E. and SKEP in generating cross-fertilization and building partnerships.

Placing the responsibility of coordinating CEPF within the team that coordinates the entire C.A.P.E. implementation has had direct, tangible benefits to CEPF in the Cape Floristic Region. This integrated implementation and coordination recognizes CEPF's role as not simply a donor in the region but as a partner in the implementation of C.A.P.E. and solidifies the links between the CEPF strategy and C.A.P.E. priorities. The C.A.P.E. Coordination Unit has helped CEPF efficiently manage its resources by guiding proposal development and matching appropriate proposals with the specific objectives of

each donor and/or program, thus reducing programmatic overlap and maximizing the use of available funds.

The review team noted a relative imbalance between communication and coordination of CEPF in the Eastern Cape and Western Cape provinces, though this is lessening significantly with the Coordination Unit's appointment of an Eastern Cape coordinator in Port Elizabeth and an increased level of communication between grantees in Eastern Cape and the Coordination Unit. The imbalance is largely a result of geography, differing institutional and political frameworks for conservation and the smaller number of NGOs engaged in conservation in Eastern Cape. A large number of CEPF grantees in Western Cape are based near the Coordination Unit and have frequent *ad hoc* contact with its staff, members of the conservation community and other CEPF grantees, whereas implementers in Eastern Cape do not benefit from the same level of interaction.

The Unit's role in coordinating CEPF investments in the Cape Floristic Region and in guiding the overall implementation of C.A.P.E. ensures that these functions are integrally linked and mutually reinforcing.

Concurrent to coordinating early implementation of CEPF in the region and performing its wider coordination responsibilities, the Coordination Unit led an extensive process to develop a proposal and win approval for the second phase of GEF funding. The proposal for the Cape Biodiversity Conservation and Sustainable Development Project to support further implementation of C.A.P.E. priorities and actions won approval in mid-2004. GEF approved two new grants, bringing a further \$11.3 million to the next 5-year implementation phase, to be administered through the World Bank and the United Nations Development Programme. While the synergy gained from these complementary processes proved invaluable, the sheer volume of the Coordination Unit's work combined with the length of time it took to bring needed staff on board, meant that the Unit was sometimes less available for dialogue or assistance than some CEPF grantees would have liked. With the appointment of the Eastern Cape coordinator, a program developer and other staff in recent months, however, CEPF grantees seem to feel that the Unit has become more accessible.

A key element in the strength of the coordination and communication of CEPF in the Cape Floristic Region is the strong relationship and communication between the CEPF grant director and the coordination team. In addition to regular contact with grantees throughout the proposal development stage, and responding to concerns or questions during project implementation, the grant director has almost daily communications with various staff within the unit. This has provided a consistency in vision and a cohesion in the review and decision-making process at all levels. Where miscommunications have occurred, they have been quickly and openly resolved so that the grant director and the unit are widely recognized as representing the same objectives.

The CEPF ecosystem profile is widely used to communicate the funding niche of CEPF in the Cape Floristic Region to potential grantees. It is seen as a useful tool to share the CEPF strategy, but is limited in use as a tool that reflects changes in the region that might

impact the direction of CEPF funds. In this sense, the role of the Coordination Unit is very important in the day-to-day guidance and implementation of the CEPF investment as it provides a connection to any evolutions in the conservation community or in scientific analysis that might influence implementation. Thus any limitations of the document as a reflection of current dynamics are mitigated through the active management and execution of the portfolio with input from local actors who are well connected to the changing context.

#### **Lessons Learned**

- CEPF has played a key role in supporting C.A.P.E pilot projects that will be further supported under GEF funding, as well as in funding priorities not supported by GEF.
- A clear articulation of CEPF's complementary and unique role within related initiatives helped maintain and galvanize momentum and partnerships developed through C.A.P.E.
- Communication of the CEPF strategy has benefited greatly from the extensive coordination that exists as a result of C.A.P.E. CEPF has successfully fed into and capitalized on existing partnerships by stressing the role of partnerships at all levels and by both testing and strengthening these relationships on the ground.
- Consistent and open communication between the coordination team and the grant director is a key element in creating and effectively managing a strong and well-balanced portfolio.
- The ecosystem profile serves as an important guide for funding decisions but a strategic portfolio depends on ongoing and dynamic interpretation and implementation of the strategy to accurately reflect any change in conservation agendas and priorities in a given region.

## **PROGRAM IMPACT**

To date, the portfolio is a strategically constructed group of civil society projects that together have demonstrably advanced toward achieving the targets identified in the CEPF ecosystem profile and C.A.P.E.

### **Strategic Direction 1: Civil Society Involved in Protected Areas and Management Plans**

Through projects under this strategic direction, CEPF supports civil society activities related to conservation management and planning. Activities such as developing management plans, increasing local capacity to mitigate threats and workshops to work with communities and local government around proposed protected areas were identified as potential key elements of this strategic direction. Through May 2004, CEPF had provided support to 10 civil society groups to implement 13 projects, totaling \$1,338,260, under this strategic direction.

CI has successfully coordinated implementation of a cornerstone under this strategic direction, management plans for mega-reserves, through its project “Facilitating Implementation in the Priority Mega-Reserves and Lowland Corridors in the Cape Floristic Region” (7/02 – 6/04). A mega-reserve forum launched as part of this grant has created an important venue for the implementing agencies of the three mega-reserve projects supported by CEPF—“Baviaanskloof Mega-Reserve Project: Mega-Reserve Vision and 5-Year Development and Management Plan” (11/02 – 1/04), “The Cederberg Mega-Reserve Project Management Unit: Setting the Stage for Conservation in the Cederberg Mega-Reserve, South Africa” (8/03 – 3/04) and “Development of a Strategic Management and Business Plan to Ratify the Objectives of the Gouritz Mega-Park Conservation Corridor” (4/03 – 4/04)—to benefit from targeted sessions relevant to their projects and to capture and share lessons learned.

The role of CI in South Africa has been facilitative and catalytic, with the organization focusing its efforts on leveraging the activities and expertise of local conservation experts as well as implementing pilots and models for replication. The implementation of this project has been a good example of how CI brings to the table a global approach and international technical resources, which are well received in the local context. In this region CI is perceived as a neutral broker between conservation organizations, with an interest in developing local partnerships and capacity. This is a recognized strength of its role in both the mega-reserve forum and the mega-reserve steering committees.

The context under which each of the mega-reserve projects has been implemented has vastly differed, with varying geographies, threats and stakeholders each presenting a unique set of challenges. In addition, two of the three mega-reserves will be funded as part of the newly agreed GEF support to C.A.P.E., providing guaranteed short-term sustainability. In each proposed mega-reserve, the implementing groups supported by CEPF designed their projects to lay the groundwork for implementation, creating a strategic business and management plan through stakeholder engagement to provide sustainable management of the mega-reserve with full community, government and partner participation. Through the coordination of the mega-reserves forum by CI, the groups have also benefited from the work done as part of SKEP with community engagement and stakeholder participation.

The Cederberg mega-reserve project, with 17,000 hectares under protection, has followed the intensive stakeholder participation model provided by SKEP with tremendous results, creating strong buy-in from partners and stakeholders for the resulting management and business plan launched in June 2004. A number of small project proposals have resulted from the planning process and have been submitted to CEPF for funding. The initiation of potentially successful projects has helped create a sense of how the mega-reserve will benefit stakeholders. As part of the GEF funding for implementation, there are plans to hire a project manager who will help manage and develop small projects in the mega-reserve, a good indication that the enthusiasm and investment created as part of the CEPF project will be continued under the GEF-supported project for Cederberg.

The Gouritz mega-reserve project covers a large planning area of more than 3.2 million hectares, only an estimated 1.2 million hectares of which is under protection. This large domain includes areas under C.A.P.E., SKEP, STEP and the Garden Route Initiative (GRI), which has provided some unique challenges for developing a comprehensive plan for the area. The planning area contains a range of climatic and social differences, as well as spread out and varied stakeholders. By establishing hubs throughout the region as well as producing a newsletter for distribution, the project has gradually established trust and interest in a broad cross-section of stakeholders and partners. Although initial collaboration between the C.A.P.E. and SKEP teams in Gouritz was limited, the two teams have recently come together to begin developing a joint business and management plan for Gouritz. The C.A.P.E. team has also benefited from technical assistance provided by the SKEP coordination team. This partnership is particularly important in Gouritz because this area is not slated to receive GEF funding and so, unlike the Cederberg and Baviaanskloof areas, is not assured follow-on funding to the planning process funded by CEPF. This has led the Gouritz teams to consider ways to maximize available CEPF funds for this initiative, as well as sustainable business models to capitalize on the economy of biodiversity available.

The targeted area for the Baviaanskloof mega-reserve is 400,000 hectares, 225,251 hectares of which are under protection by the provincial government of Eastern Cape as a protected area or a wilderness area. The planning process led by the Wilderness Foundation has inherited a legacy of mistrust from stakeholders as a result of an earlier attempt to consolidate land for protection in the area. This, combined with an approach to conservation that initially had limited local participation, resulted in some hurdles to full stakeholder support for the conservation strategy that has been developed for the area. The project management team has developed a plan, in collaboration with the C.A.P.E. Coordination Unit and CI, to move forward with the project and gain additional stakeholder support. The planning process has generated several small-scale proposals for work in the Baviaanskloof. An existing grant to conduct a feasibility study, initially granted to the Wilderness Foundation but implemented by the Baviaans Conservancy, had stalled due to management conflicts but is being re-initiated with interest by all involved. The CEPF objectives of mega-reserve conservation and consolidation are complemented by an allocation of \$396,000 from CI's Global Conservation Fund for the purchase of 13,000 hectares of privately owned land within the mega-reserve.

The Friends of Tokai Forest (FOTF) project "Promoting Public Participation in Caring for Tokai's Core Cape Flats Flora Conservation Site" (1/03 – 12/04) is a prime example of the effort being made by one local organization to protect a small, though critical remnant of sand plain fynbos. FOTF is working together with the local community to expand a 1-hectare plot, part of only 324 remaining hectares containing the threatened diastella plant in Greater Capetown, into a 3.5-hectare plot that will provide the plant with a greater chance of survival. The group has focused on reaching a compromise between the community that uses the Tokai Forest for recreation and would like to keep the trees standing and the forestry company that manages the land and has logging rights to it. With valuable technical advice from the scientific community, FOTF team has helped raise both parties' awareness about the value of the native diastella plant, and has



secured agreement for expansion of the site. FOTF also recently gained a commitment from the Working for Wetlands initiative to support further expansion of the site by removing invasive alien vegetation from the adjacent Sweet Valley wetlands and rehabilitating the area. This new and complementary project will ultimately result in linking of the core conservation site to a wetland ecosystem of approximately 22 hectares. The project is expected to begin in January 2005.

In the Slanghoek Valley of the Western Cape, some 327 farms have joined together to form the Rawsonville Wine and Tourism Cooperative (RWT) to promote the sustainable use of their natural environment and contribute to the social development of the entire community. As part of their project, “Botanical Assessment and Hotspot Identification for the Slanghoek Valley, Western Cape Province, South Africa” (10/03 – 12/03), RWT has teamed with the Western Cape Nature Conservation Board, the Department of Agriculture and a botanical specialist to craft a regional plan for the conservation of the endemic and highly irreplaceable plant species that are threatened by agricultural development. The team has been working with 13 key landowners in the valley, and at least five of these landowners have been linked with the Botanical Society’s incentives project (discussed below) to negotiate contractual conservation agreements.

## **Strategic Direction 2: Private Sector Involved in Corridor Landscapes**

With 80 percent of the Cape Floristic Region in private hands and an established tradition of private land stewardship, CEPF is supporting pilot projects to develop and use appropriate cooperative management models and incentive schemes to promote private conservation initiatives in select priority areas. Projects under this strategic direction are aimed at promoting the integration of conservation with private stewardship responsibilities, opportunities for public/private partnerships and industry best practices. Through May 2004 CEPF had provided support to seven civil society groups to implement eight projects, totaling \$1,293,122, under this strategic direction.

Funding to the Botanical Society of South Africa to implement the project “Partnerships, Cooperative Management and Incentives to Secure Biodiversity Conservation in Priority Areas in the Cape Floristic Region” (7/02 – 6/04) has helped bring 18 landowners in three pilot sites to the final steps for adopting contractual conservation agreements. Past experience has shown that successful contract negotiations can take several years to bring to fruition and that many obstacles, such as inadequate incentive schemes, lack of a full understanding of different options and inadequate conservation management skills, can inhibit private conservation initiatives. Over the course of implementation, project staff have strengthened strategic partnerships with key stakeholders and developed and tested new management models and incentive schemes to overcome these obstacles. In the process, they have also taken steps to generate and publicly share lessons learned to improve the process of implementation of conservation stewardships.

As efforts to increase and formalize the number of stewardships move forward, however, two additional obstacles are gaining attention. On the side of agencies responsible for processing contracts, the legal review process has been slowed by the lack of staff

capacity or availability. On the side of the landowners, the final steps to conclude a contract has also been slower than expected, in part due to their uncertainty of how the process works and a need for reassurance that the stewardship arrangement is beneficial and relevant to their situation.

Although the Botanical Society project targeted the lowlands corridor, the experiences gained from this project are being shared with landholders and project implementers in other regions, specifically the mega-reserves and SKEP. The commitments made by landholders may vary according to the management model, but the process for engaging landowners, informing them about the conservation value of their land, listening to their particular concerns and supporting them through the contracting process are key ingredients to successful private conservation. This project is an example of active cross-hotspot sharing, with the project implementer from the Botanical Society providing technical assistance to SKEP on the issue of stewardship both as a project reviewer and through general discussions on how to move this type of initiative forward in the Succulent Karoo hotspot.

Updating the Red List for the Cape Floristic Region was identified as a priority for C.A.P.E. The NBI project “C.A.P.E. Threatened Plants Program” (3/03 - 2/06) addresses this need but integrates a community component in line with the CEPF focus on engaging civil society. This was a groundbreaking project concept for NBI, which had not previously undertaken community-based conservation, and one that illustrates the interconnectedness of conservation and community development. Through community involvement this project has become much bigger than updating the Red List and is building long-term local support for threatened plant species in the form of newly trained individuals and communities taking part in the project. In previously disadvantaged communities, this project is helping to engender a sense of pride and building a vital component of being able to target conservation in urban fragments. NBI collaborates with a number of other C.A.P.E. project implementers, including the Botanical Society, in two sites where community groups are collecting information that can be used to help educate landowners on the importance of conserving their land.

The project “Mainstreaming Biodiversity on the Cape Flats: Building Good Practice in Sustainable Management” (10/03 – 6/07) being implemented by NBI also promises to provide some valuable lessons on how to engage with urban, disadvantaged communities to preserve precious fragments of Cape biodiversity. It relies on a dynamic group of partners, including the Table Mountain Fund Capacity Building Program supported by CEPF under Strategic Direction 4 and the Threatened Plants Program discussed above to reach out and effectively communicate to its target audience. One of the project’s pilot sites, the Macassar Dunes, is benefiting from the placement of a ranger who is being supported by the Capacity Building Program and has been seconded to the municipality. Additionally, one of the key staff at the Edith Stephens Wetland Park pilot site received support to complete an Associate Management Course and is now working with Cape Flats Nature on community engagement. The Threatened Plants Program is working with community members at the Harmony Flats pilot site who asked to receive training to educate their fellow community members on the biodiversity surrounding them and how

to preserve it. This project has generated a great deal of enthusiasm among the communities it is working with, and the project goals and successes are being shared widely through the media and other forums. Replication of this program is planned throughout sites within the Cape Town Biodiversity Network.

### **Strategic Direction 3: Institutional Environment for Conservation Action**

This strategic direction is intended to contribute to the creation of an institutional environment supportive of conservation action. Civil society groups receiving support under this direction undertake a wide range of projects, such as consolidating data to enable appropriate land-use and policy decisions, integrating biodiversity issues into policy and government procedures at the municipal level and improving coordination between institutions involved in the conservation of the Cape Floristic Region. Through May 2004, CEPF had provided support to six civil society groups to implement nine projects, totaling \$1,110,571, under this strategic direction.

One of the central projects funded by CEPF in support of C.A.P.E. through NBI, “C.A.P.E. Coordination Unit” (5/02 – 4/07), has already been extensively discussed in previous sections. This project facilitates the overarching implementation of C.A.P.E., and ensures that CEPF projects are effectively and efficiently coordinated within that umbrella.

An important consolidation of data is being conducted by the Western Cape Nature Conservation Board as part of its project “Highlighting the Hotspots: Curating, Using and Sharing the C.A.P.E. Findings and Other Biodiversity Data in Support of Bioregional Planning and Land-Use Decision Making” (7/02 – 6/04). The Conservation Planning Unit (CPU) supported under this project provides access to a wealth of biodiversity data through its Web site including information on formally protected areas, areas under conservation agreement, areas highlighting conservation priorities (including SKEP and STEP), species-specific data and links to other Web sites with information on environmental policy and legislation. An estimated 10,000 people have accessed the data on the site since its inception. The CEPF investment in this project has already resulted in an invaluable resource for the Cape Floristic Region and will be continue with GEF support focused on developing an expanded business plan to help the CPU improve its financial sustainability. To date, the CPU has generated R290,000 in additional funding, but there is a much greater potential to harness the economic value of the information to those for-profit entities that are using it.

The CPU has put in place the infrastructure for collecting and disseminating data about C.A.P.E. initiatives and made this information available to a broader audience. Practical applications of project-specific data and larger-scale planning processes (Integrated Development Plans and Spatial Development Frameworks) are being tested and refined. While environmental impact assessments are required for major development activities, enforcement of these requirements has not always kept up with the legislation. As these assessments and other environmental planning tools become more integrated into decision-making process for land use, it will become ever more important for all

stakeholders, not just planning agencies and businesses, to understand how to make best use of existing data. However, neither the current project nor the project planned under follow-up funding by GEF emphasizes educating the population at large on how to use the data.

The Botanical Society project “Putting Conservation Plans to Work” (1/04 – 12/05) is directly addressing the need for guides on how to use the data tools available for land-use planners and decision-making bodies at the municipal level. This pilot project will work with the CPU to try to provide some context and tools for interpretation of the information that is already available. Although this project only began in January 2004, work is already underway to develop guidelines for the use of existing maps and data.

#### **Strategic Direction 4: Small Grants Program**

The small grants program was identified as a priority in response to the need for capacity building among previously disadvantaged groups as well as organizational capacity building, particularly in priority geographic areas. By design, this priority is addressed by a single grant to WWF-South Africa, totaling \$898,744, of which a large portion is regranted to program participants. The project “The Table Mountain Fund Capacity Building Program for the Cape Floristic Region” (9/02 – 12/06) provides funds for short-term and long-term courses to individuals and works closely with the C.A.P.E. Coordination Unit and other C.A.P.E. implementing agencies to place those candidates in positions that will benefit both the candidate and the organization.

One of the earlier grants approved by CEPF, the program has supported 23 people in 2003 and 2004 to complete degrees or a management program. In addition, 65 people have been selected to receive support for short courses in 2004. Of the 23 recipients of support for longer-term studies, 11 are in or on track for management positions within a conservation organization.

As both C.A.P.E. and CEPF identified this initiative as a high priority, there was great enthusiasm for moving it forward. Once the Table Mountain Fund was identified as the most appropriate agency for implementation, the proposal development process moved fairly quickly. Retrospectively, however, there is a feeling among those that helped develop the project and those implementing it that insufficient stakeholder consultation and needs analyses were conducted as part of the planning process. This work was then planned and continues to be undertaken as part of the implementation, which has slowed the project team’s ability to target and place candidates for the program. However, the Table Mountain Fund has demonstrated important adaptive management based on the results of needs analyses, lessons learned in implementation and coordination together with the C.A.P.E. Coordination Unit and other partners. This has included, for example, realigning the program in its first year to focus on working with conservation groups and agencies in identifying promising management candidates from the outset and, therefore, securing a vital placement commitment from those groups as well. Matching the needs of a given agency with the skills of a candidate has been an extensive and time-consuming process, but is essential to the success of the program.

Although not all participants have completed their degrees, about half are already in management positions in conservation organizations, including the two people mentioned previously under Strategic Direction 2 who now manage Macassar Dunes, a nature reserve on the False Bay Coast, and communications for Cape Flats Nature, respectively. The impact is clear, with each of the successful participants representing a significant step toward the diversification of the conservation community. Several of the individuals are working with other CEPF-supported organizations and projects, providing a partnership that has multiple benefits to conservation. To date, the small grants program has reached its target audience with the exception of Eastern Cape. While there are fewer organizations in the Eastern Cape within which to place participants, the project team acknowledges that the program's geographic focus needs to expand to address the need for capacity building in that region.

In November 2003, the Capacity Building Program held its first meeting with key stakeholders to review the program's progress. The Table Mountain Fund is also beginning an internal review of its 5-year program that should provide some interesting reflections on the program as a whole and the Capacity Building Program in particular.

## **PROJECT DEVELOPMENT, IMPLEMENTATION AND MANAGEMENT**

With the approval of the grant to support the C.A.P.E. Coordination Unit, CEPF could begin a strategic review of other grant applications. As a result of the strategy development under C.A.P.E., including the identification of core conservation projects and the link to the CEPF strategy, a number of strategic projects could be further developed and approved for CEPF funding. However, the resulting rapid allocation of a significant proportion of CEPF funds may require a thoughtful re-assessment of the CEPF 5-year strategy and careful attention to the sustainability of CEPF investments. Efforts to assess and share lessons learned from pilot projects and focused outreach to small, community-based stakeholders could help ensure that these experiences and constituents benefit from additional investments.

### **Project Submissions**

Applicants indicated that they most often heard about the availability of CEPF funding through the C.A.P.E. process and subsequent communications, or through the CI program in South Africa. Early submissions and approvals were largely of those projects that were identified through the C.A.P.E. planning process, and it has taken slightly longer to reach and engage those organizations that were not intimately involved from the start. Despite this, CEPF does not appear to have missed its target audience in the Cape Floristic Region.

There did not seem to be a concern with how long the application process took from the time applicants submitted an LOI to contract signature, a process that averaged five months for this region. There was an appreciation of the amount of project development that took place during this time period and the time period was most often seen as an opportunity to improve the project design. It was also mentioned that any delay usually

took place during the review phase, which was viewed as an important part of project development even if it added time to the overall approval process.

## **Project Design Phase**

During the first year of funding, CEPF staff provided training in project development and LogFrame creation in the hotspot. Subsequently, the C.A.P.E. Coordination Unit provided additional training as part of a larger workshop. This session was extremely well attended, indicating a great interest on the part of grantees in more information on project development and LogFrames in particular. While some grantees indicated that they had a great deal of help from the Coordination Unit during the project development stage, others indicated that it was sometimes difficult to reach coordination team members when they needed them. This is largely viewed as a staffing issue, as the perception is that this situation has improved greatly with the appointment of a program developer and other new staff in recent months.

Grantees in the Cape Floristic Region have often relied on each other to provide *ad hoc* training in LogFrame development and have also benefited from interactions with CI and SKEP colleagues. This is a case where the dynamic conservation community and its interactions are at play, with a great deal of support and technical assistance being provided between grantees and partners. By design, the grant director provides technical assistance and input on all LogFrames, which is perceived by grantees as beneficial to the development of the proposal. Comments were made that the grant director, though at times difficult to contact while travelling, was always responsive and helpful. It should also be noted that the grant director for this region manages a number of other regions and a high volume of communications from grantees, and that the issue here seems to be an expectation of a quicker response than is realistic given the circumstances.

## **Use of Project Design and Reporting Tools**

The submission of an LOI prior to a full application is intended to reduce the amount of effort required from an applicant before having some assurance that the project is of interest and relevance to CEPF. Although it is specified that there is no particular format required for the LOI, the suggested key points for the text are all narrative and do not include a suggested budget breakdown beyond the required total request amount. Consequently the information provided is largely narrative with just a total request amount. It was mentioned by several individuals involved in the review process that it would be helpful to encourage applicants to include a summary budget breakdown as part of the LOI as there is a financial element of the review that they are unable to contribute to that might benefit from local input. They suggested that a project budget is a significant element of determining whether or not a project could be strategic and even a simple line item budget would benefit the review process.

Project development and design in the portfolio for the Cape Floristic Region is supported by a comprehensive local review and recommendation process, which provides essential input into the process to help CEPF make good grant decisions. When an LOI is approved the grantee receives a comment sheet that incorporates detailed comments by reviewers. The process for reviewing project concepts locally and having those results

feed into the development process is valued as it supports the goal of an integrated and strong partnership of projects, if other project executants and partners play a role in collaboratively building a strategic portfolio of projects.

Development of a LogFrame was almost universally seen as being the most challenging part of the application process, with most grant recipients indicating that they had requested assistance either from the Coordination Unit, CEPF or their colleagues who had already completed the process. It was mentioned that the training conducted early on in the portfolio implementation was very helpful in deconstructing the LogFrame, as was the subsequent training held by the Coordination Unit. Despite the overall frustrations with preparing the LogFrame, it was also seen as being an extremely useful tool for project development, forcing the implementer to concretely think through the project design and desired outputs in a way that ultimately benefited the project. If anything the overall sense was not that there was a problem with the tool itself, but that additional and more frequent training would be required to ensure the tool's full potential is realized.

Overall the financial and programmatic reporting tools were seen as being useful, with the frequency (most grantees in the Cape Floristic Region are on a quarterly schedule for both), although administratively cumbersome, forcing the grantee to articulate details that might otherwise be lost. The one issue that was mentioned with the financial reports is that the cost categories in the budget do not reconcile with the accounting system of most grantees. Many grantees have developed conversion spreadsheets to overcome this problem. The format of the performance tracker is viewed as being unfriendly. The box format does not encourage extensive comment from the grantee. There was a consensus that the format and length of the report is not fully conveying the progress happening in a given project, and that grantees do not often take the time to fill out the more narrative questions at the end because the early part is so cumbersome.

Grantees mentioned that they would like consistent acknowledgement of the reports they submit. The grantees want timely confirmation that the reports are received, are being read and that information provided is what CEPF wants. While CEPF aims to be responsive, in a situation where most grant directors will receive hundreds of reports each quarter, there needs to be some thought given to how to effectively manage these reports. For example, the grant director for this region is scheduled to receive an average of 120 reports each quarter. With these reports scheduled to come in at the same time, responding to each report is extremely time consuming. The CEPF system has now been modified so that when a report is submitted through Grant Writer (CEPF's electronic grant management system) the grantee has the option to have an automatic confirmation of receipt sent to them. This should provide the minimum amount of feedback desired by grantees. It was also suggested several times that the Coordination Unit could play a more active role in reviewing reports to address some of the issues mentioned above.

## **Project Monitoring and Reporting**

The CEPF grant director and other staff, including the executive director, have visited the Cape Floristic Region several times during the course of portfolio implementation. Field contact with the Coordination Unit and project executants is important for building trust

and discussing mutual expectations, though it cannot be a substitute for on-the-ground involvement by the grant director.

Although the coordination unit is involved in project implementation at an advisory level if requested, it does not have a specifically mandated role to help CEPF monitor its portfolio at this time. Because of the existing network of communication there is some *ad hoc* monitoring that takes place, but the unit does not review reports, nor is it required to perform a certain number of site visits during the period of a project. However, the unit does communicate with grantees to compile the quarterly update for the CIC, providing a level of monitoring at the in-country level that would otherwise not exist.

As part of the development of the C.A.P.E. Coordination Unit, a program monitoring and evaluation system was to be designed and implemented in the first year of program activity. This system was intended to assist the Unit in managing the information generated by projects, tracking project implementation and establishing baselines for biodiversity, social and economic indicators. Several factors contributed to a decision by the Unit to delay the implementation of this system. Primarily, the strategic linkage of the CEPF investment program with the GEF project that was being negotiated would necessitate a more comprehensive framework for monitoring than was envisioned when the CEPF project was approved. Closely linked to this issue was the need to secure additional funds to design and implement a comprehensive monitoring system for the C.A.P.E. strategy. As a result, the unit decided to delay development of the system until the GEF program became effective in mid-2004.

An obvious consequence of this decision was the lack of systematic baseline data on social, biological and economic conditions, even though there is a considerable amount of data gathered by C.A.P.E. and CEPF partners. This was inevitable given that the framework for organizing and analyzing the data has not yet been put in place. Additionally, the

#### **Lessons Learned**

- Delayed implementation of a comprehensive monitoring and evaluation system could be countered by greater efforts to provide project-specific monitoring actions at an earlier stage of portfolio evolution.
- Slow staffing and heavy workloads within the Coordination Unit constrained its ability to perform its full scope of functions.
- Mostly as a result of the tight knit conservation community, there is a great deal of inter-grantee coordination and technical assistance.
- While challenging to complete, the LogFrame required for each project is a useful tool for project design.
- The performance tracker is unlikely to reflect the depth of activities that are taking place due to grantees' perception of its design as cumbersome.
- There is a discrepancy between grantees' expectations for feedback on reporting and what is realistic given the number of grants managed by each grant director.



Coordination Unit had planned to undertake a review of the project portfolio and a series of meetings where experiences and lessons learned could be shared. Due to the level of effort necessary for the GEF preparation and appraisal, it was not possible to conduct this review as scheduled, and it was agreed that the first C.A.P.E. partners' conference would be held in June 2004, with opportunities for projects executants to present their work and contribute to synthesis of lessons learned. The first C.A.P.E. partners' conference, held in June 2004, attracted more than 250 participants.

## **CONCLUSIONS AND RECOMMENDATIONS**

### **How is CEPF meeting the conservation needs in Cape?**

The timing of the CEPF investment in the Cape Floristic Region proved fortuitous, significantly impacting and enabling the continuation of momentum that had been gained as part of the C.A.P.E. planning phase and serving as an important component of C.A.P.E. implementation. Given that the GEF follow-up funding only became available in June 2004, without other donor funding there was the potential for ground to be lost. Funding for CEPF priorities, drawn from the C.A.P.E. planning exercise, allowed for a seamless transition from planning to implementation. CEPF support to civil society has enabled important pieces of the C.A.P.E. strategy to be piloted and the development of business plans, lessons learned and best practices that should feed into further C.A.P.E. implementation supported by GEF and other donors in the years to come.

GEF and CEPF investments in the Cape Floristic Region are both based on a comprehensive set of priorities set out in C.A.P.E. The CEPF strategy emphasizes the strengthening of civil society to develop ownership for regional conservation and to build this vital constituency for conservation alongside governmental partners. This review highlights the impacts that CEPF funding is having, and indicates where continuity is being developed. For those areas that will not be funded by GEF, the CEPF funding has clearly met and will continue to meet an important gap in conservation funding in the region. The investment to date has not only enabled the development of business plans but also partnerships that will continue to share resources and efforts in a way that will benefit both the organizations and conservation.

Recommendation: This documents highlights the important contribution of civil society groups to biodiversity conservation in specific places and under specific CEPF-funded projects. Achieving the objective of mainstreaming biodiversity will be made possible less by the replication of these successful experiences elsewhere, but rather by thoughtful, locally led analysis of the conditions under which pilot projects do well and careful reflection on the process of successful adaptive management. CEPF and the C.A.P.E. Coordination Unit should actively assist grantee efforts to promote the range of lessons learned in their efforts to secure additional resources for expansion of successful activities.

**Has the CEPF portfolio to date been implemented as suggested by the ecosystem profile?**

Yes, projects funded to date have been advantageously designed to meet the needs identified under the strategic directions for CEPF. The individual projects link very well with each other and combine to clearly feed a strategy that is larger than any given project or even CEPF. The foundation of the priorities in the profile is strong as a result of its connection to C.A.P.E. and this link is well understood. The strong coordination of this portfolio throughout implementation has meant that the document itself serves as the basis for dynamic implementation and guidance – and that the full scope of the context for this implementation lives outside of the document in the hands of those involved in implementation.

Partly in response to well-formed priorities and project concepts through an overarching plan such as C.A.P.E. and an active conservation community, the demand for CEPF funds was strong and a significant portion of portfolio funds was committed rapidly. While the portfolio is well balanced and providing support to the outcomes intended, more than 77 percent of funds has been allocated at less than two years through the funding cycle.

Recommendation: Implementation of the CEPF strategy in the Cape Floristic Region has proceeded in a very rapid manner, a scenario that was not specifically addressed in the ecosystem profile. CEPF now faces difficult decisions about how to proceed with the remaining funds. The need for some of these decisions could have been anticipated in the ecosystem profile, and a strategy related to timing of grants could have been introduced. This lesson should be applied to regions where CEPF is planning to invest in civil society conservation efforts in the future.

**Is CEPF missing an important part of the potential grantee constituency?**

No. CEPF is not missing an important part of the potential grantee constituency. Although there is a concentration of CEPF grantees who are within the “inner circle” of conservation in the Cape Floristic Region, there are also a growing number of smaller grantees and applications have been received from a wide range of organizations. To date, there has been less support provided to civil society in the Eastern Cape, however increasing communication and support to relevant efforts in this region, in particular through the Capacity Building Program, has been identified as an important focus in the coming years. Grant applications are equally unsuccessful from the larger, more established grantees as those from smaller ones, and the number of civil society groups that CEPF is reaching will continue to grow as mega-reserves begin to work with their stakeholders to develop small grants for implementation under CEPF. The level of transparency in the CEPF decision-making process seems to have prevented a sense of exclusion by organizations that have not received CEPF grants.

Recommendation: As the mega-reserve projects mature and implementation of the business plans moves forward, emphasis should be placed on tapping local initiative and solidifying the C.A.P.E. goals at a grassroots level. The C.A.P.E. Coordination Unit should continue to monitor the geographic balance of the

portfolio to ensure that CEPF and C.A.P.E. are reaching their target audience in both the western and eastern provinces. Opportunities to learn from the SKEP stakeholder involvement process should continue to be taken into account.

### **Has the CEPF strategy and implementation been well coordinated?**

The coordination of the CEPF strategy in the Cape Floristic Region provides a number of important lessons for CEPF, some of which have been detailed in previous sections of this review. This is a case where the Coordination Unit, through its role in C.A.P.E. implementation and its connection to the preparation of the GEF strategy, clearly fulfills the role of ensuring that the CEPF approach is complementary to other donor and governmental strategies, is strategic and provides maximum impact for the money provided. The benefits of having a well-grounded, local coordination unit are amply illustrated in this region in terms of the local understanding of what CEPF is trying to accomplish, the partnerships that exist at all levels and the degree to which the portfolio has been closely guided by local knowledge.

The review team commends the Coordination Unit on its work with the CEPF grant director in implementing the CEPF strategy under C.A.P.E. The tremendous vitality of the conservation community in the Cape Floristic Region and the demands that it places on the Unit, including preparation of the GEF project proposal, serving as host to the many parties visiting the Cape Floristic Region (most recently a delegation from Vietnam) to learn from its experience and building bridges with SKEP and STEP, has at times strained the Unit's capacity to fulfill the ambitious task that has been set out for it.

Recommendations: The Coordination Unit is at the front line of a tremendously ambitious strategy in the Cape Floristic Region. The vitality of the conservation movement in the region, and the national and international visibility attached to its efforts, has placed a heavy burden on the initially small staff. To ensure that adequate focus and time is placed on CEPF implementation, CEPF should work together with its coordination teams so they are adequately equipped and focused to meet the needs of CEPF in a given region.

The Cape Coordination Unit should explore additional opportunities to inform implementing agencies and partners in C.A.P.E. on existing partnerships, planned partnerships and co-financing opportunities. This will strengthen the level of awareness and collaboration between C.A.P.E. participants and will promote investments in conservation in the region. The planned C.A.P.E. Website update provides a significant opportunity to support increased collaboration and coordination.

CEPF should provide more regular reporting acknowledgements to grantees and seek to provide prompt comments and recommendations for improvement.

### **Is the CEPF investment sustainable?**

CEPF is only two years into implementation of its 5-year strategy to address the highest priorities within the 20-year C.A.P.E. strategy. As such it is too early to judge the

sustainability of these initiatives, but both are on track to benefit nature and people alike far beyond their implementation periods. Sustainability is greatly enhanced by its integration with a broader, well-understood, well-facilitated and organized local strategy that has strong support. The existing partnerships, which have been capitalized and expanded upon by CEPF, as well as the new partnerships that have been developed through CEPF funding are key elements of sustainability, strengthened by approximately \$3.8 million in additional funding or in-kind contributions and the full GEF C.A.P.E. initiative. This leveraging includes a recent agreement by the UK-based Rufford Maurice Laing Foundation to provide approximately \$1.83 million to establish a Center for Biodiversity Conservation at Kirstenbosch. In addition, core projects, such as the Table Mountain Fund Capacity Building Program, have important leveraging goals to ensure their sustainability beyond CEPF support. The recent reconfirmation of priorities at a national level will reinforce the value of the CEPF investment to date through the implementation of priorities identified by C.A.P.E. and will increase the likelihood that lessons learned as part of CEPF will continue to be relevant. It is particularly encouraging to see members of disadvantaged groups being trained and successfully placed in management positions to influence conservation and resource management. These new managers also act as role models for others in their communities and will ultimately change the face of conservation in the Cape Floristic Region.

Recommendations: CEPF should continue to encourage the incorporation of leveraging objectives into projects it supports. Given the difficulty in accurately tracking and assessing leveraging of CEPF funding, CEPF should also consider introducing a consistent system to collect and maintain leveraging data, perhaps even beyond its 5-year investment as C.A.P.E. implementation continues and more results, both financial and in terms of conservation outcomes, become measurable.

As appropriate, CEPF, together with other international institutions and initiatives such as UNDP or the World Bank, should support investments in biodiversity economics and its impact on rural activities, particularly in relation to stewardship initiatives in mega-reserves. If it is determined through stakeholder consultation and analysis that lack of knowledge about economic benefits of biodiversity are hindering sustainability of the C.A.P.E. program, filling in these gaps could considerably enhance the long-term impact of the program.

### **Is the model of CEPF grant making in the Cape Floristic Region replicable?**

There are clear lessons to be learned – some of which are already being learned – between the Cape Floristic Region and Succulent Karoo hotspots given their political and geographic overlaps. In fact, the design of the Succulent Karoo stakeholder process was partially in response to lessons learned from the experience in the Cape Floristic Region. Whether this model is replicable in hotspots with different institutional arrangements and demographic characteristics is a difficult question. Strong institutions and a capable population do not guarantee long-term success. A clear and focused message that resonates with a broad segment of society and guides the establishment of effective, lasting partnerships is central to replication of a bioregional strategy. CEPF and its

partners have improved the quality and quantity of discussion around the issue of bioregional conservation in the Cape Floristic Region and the Succulent Karoo, while working under very different conditions. Broadly speaking the World Bank and other international organizations see the development and implementation of C.A.P.E. as a highly replicable initiative that should be shared.

Recommendations: There are important lessons related to transparency, longer-term vision, locally owned and coordinated strategy and on-the-ground implementers that can be shared with other hotspots and integrated to a locally appropriate degree. CEPF should consider creating opportunities for more sharing of lessons between hotspots to increase the likelihood that lessons learned in one hotspot could resonate with and benefit another.

In addition, the experience in the incorporation of biodiversity into the productive rural landscape should be shared beyond the hotspots where CEPF currently invests. Through its partners CEPF should seek to promote the Cape Floristic Region as a unique model for conservation that has much to teach others.

# APPENDICES

## Appendix A. Overview of the CEPF Monitoring Approach

<p>CEPF Monitoring System</p>	<p>In accordance with the Memorandum of Understanding between CEPF and its donor partners, CEPF has instituted a three-pronged monitoring approach that focuses on delivering impacts at the <b>(i) initiative-wide level, (ii) ecosystem or programmatic level and (iii) the individual project level</b>. These three levels are integrated to build linkages between projects, programs and the overall strategy.</p> <p><b>Initiative Wide (Fund Wide):</b> Each year, CEPF defines an agenda and work plan that will ensure that CEPF’s annual conservation investment authority in the number of approved hotspots (currently 13 hotspots) is contributing to delivering targeted conservation outcomes: extinctions avoided, areas protected and corridors consolidated. This work plan is designed to ensure that CEPF is equipped with the necessary inputs to carry out its mandate in a systematic and strategic manner, including financing, growth plan, implementation tools and monitoring protocols, and the requisite political and institutional support. The most recent annual work plan (FY03) includes the following general objectives:</p> <p><b>CEPF investments in existing hotspots expanded</b></p> <ol style="list-style-type: none"> <li>1. Close \$25 million commitment with one new partner.</li> <li>2. Finalize all donor commitments and reporting to ensure that all five partners contribute the required \$5 million annually.</li> </ol> <p><b>CEPF investments targeted in new hotspots</b></p> <ol style="list-style-type: none"> <li>1. Support and invest to develop conservation outcomes in the preparation hotspots authorized by the Council.</li> <li>2. Support and invest in partners to develop ecosystem profiles in the authorized hotspots.</li> <li>3. Create and operationalize coordination units, in new regions, as appropriate.</li> </ol> <p><b>Strategic implementation of CEPF regional portfolios</b></p> <ol style="list-style-type: none"> <li>1. Develop a set of standardized modules, tools and training systems.</li> <li>2. Evaluation, monitoring and compliance reports (midterm assessments) produced for a specific set of hotspots.</li> <li>3. Support CI’s outcome monitoring program, and integrate CEPF more closely into the process, as appropriate and feasible.</li> <li>4. Operationalize grantmaking in the relevant new hotspots/ecosystems.</li> <li>5. Continue and improve grantmaking and monitoring in all active hotspots.</li> </ol> <p><b>Effective financial and programmatic monitoring of CEPF grant portfolio supported</b></p> <ol style="list-style-type: none"> <li>1. Annual audit completed.</li> <li>2. Evaluation, monitoring and compliance reports (midterm assessments) produced for relevant hotspots.</li> <li>3. Grant Tracker captures monitoring and performance statistics.</li> <li>4. Performance measures refined, evaluated and utilized.</li> <li>5. Production of PMR and other donor reporting requirements completed quarterly and annually.</li> <li>6. Improved financial reporting provided to the CEPF Working Group.</li> <li>7. CEPF information system works effectively for both grantees and grantmakers and generates useful initiative wide tools.</li> </ol> <p><b>Awareness and participation in CEPF increased</b></p> <ol style="list-style-type: none"> <li>1. Host CEPF Working Group Meetings and Council Meetings, as appropriate.</li> <li>2. Web site sections and informational tools developed for relevant new regions.</li> <li>3. Global communications strategy developed and implemented.</li> </ol>
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**Ecosystem or Programmatic Level:** Ecosystem profiles for each grant funding region are developed based on participatory stakeholder consultation, literature review and assessment and definition of conservation outcomes in order to highlight key conservation priorities within an ecosystem and determine where CEPF efforts should be focused. Each ecosystem profile includes a discussion of the CEPF niche for investment, and a series of strategic directions and more specific investment priorities that guide CEPF in its decisions about funding project proposals. These strategic directions and investment priorities are based on a comprehensive analysis of the biological conditions in the region, the threats present, the current investments in conservation, and the institutional capacity to implement conservation activities, and which form part of the profile. Additionally, the ecosystem profile process defines a set of conservation outcomes to which the investments are oriented. Final results of these processes are represented in an ecosystem-level logical framework (LogFrame) in which outcomes are stated as goals to be achieved within the CEPF funding lifetime. A description of the institutional set of Conservation Outcomes is provided under Midterm Review below.

**Project Level:** CEPF builds strategic project portfolios around these strategic directions and investment priorities. Investment priorities were developed since Cycle 2. CEPF stipulates that each project eligible for funding articulate how it fits into the ecosystem-wide strategy in the ecosystem profile. This includes choosing a strategic direction under which the proposed project would be supported. These strategic directions are articulated in the ecosystem profile and represent the key criteria used to ensure a link to CEPF’s overall institutional strategy. Each project must use a project LogFrame to address how the goals and purpose of the project relates to aspects outlined within established ecosystem-level strategic directions, investment priorities and outcomes. This LogFrame is a performance-tracking tool that aids the grantee in setting quarterly targets for each indicator of project outputs. In this sense, synergy between the initiative, ecosystem and individual project is explicitly addressed.

**Midterm Portfolio Review:** As each funding region approaches the midpoint in its funding life, CEPF has instituted a midterm portfolio review process to gauge portfolio-level progress and impacts, and to synthesize experiences and derive lessons learned to more effectively direct resources throughout the grant portfolio. This midterm reviews seek to:

- Understand any change in on-the-ground conservation dynamics and the role CEPF plays in them;
- Assess the contribution of CEPF-supported projects toward expected impacts and corridor conservation goals as articulated in the ecosystem profile;
- Assess the efficiency and effectiveness of CEPF in processing and monitoring grants;
- Identify gaps and critical needs for achieving strategic objectives;
- Derive key lessons learned and determine recommendations for improvements; and
- Refine the portfolio review methodology.

Conservation outcomes or targets represent the quantifiable set of conservation goals that list species and land areas that are indispensable for the ultimate goal of biodiversity conservation. CI’s Outcome Monitoring Taskforce is currently refining the conservation outcomes, along with their measurement protocols and frameworks for interpretation. For each funding region, CEPF does not take responsibility for the full set of conservation outcomes, but for a subset that becomes articulated as CEPF’s niche for the region. These outcomes are broken down into three primary categories:

- 1. Species Protected (Extinctions Avoided)**  
Number of threatened species reduced  
Intact biotic assemblages maintained
- 2. Area Protected**  
Improved management of key protected areas  
Maintenance of original habitat cover in key areas
- 3. Corridors Created**  
Reduction in fragmentation  
Habitat maintained for corridor level species

\* The outcome monitoring process is ongoing, and the indicators under each Outcome are currently considered draft indicators subject to review.

CEPF plans to conduct three to four midterm reviews each year.

\* This document, like the CEPF monitoring and evaluation approach itself, is subject to change as opportunities arise that may require modifications or enhancements.

**Appendix B. Portfolio Review Questionnaire Sent to Grant Recipients in the Region**

CEPF Mid-Term Evaluation Survey

*In an effort to place CEPF funded projects within the broader Cape Floristic Region conservation context, we are asking all CEPF grantees to fill out this survey. Any explanatory text that you include will be very helpful in the final analysis and inclusion into the mid-term review, and we appreciate your candidness. Please note that you may find that not every question is relevant to you at this stage in your project – please feel free to skip any that do not apply and answer those that do.*

**Grantee:**  
**Project Title:**  
**Grant Amount:**

**Project Development:**

1. How did you become aware of the availability of CEPF funding?
2. How did you initiate the CEPF application process (Letter of Inquiry, Proposal, other) and with whom (CEPF Grant Director, C.A.P.E. Coordination Unit, Other- please specify)?
3. Were the guidelines of the application process clear?

Very clear	1	2	3	4	5	Not at all clear

Comments:

4. Did you consult the ecosystem profile for your region while preparing your proposal?  
Please describe:
5. Was there interaction between your organization and CEPF in the development of all of the elements of the project proposal?

Extensive interaction	1	2	3	4	5	Little or no interaction

Comments on specific elements of the interaction:

6. Did the length of the contracting process (from proposal submission to contract signature) take the amount of time that you had anticipated?

More Time	1	2	3	4	5	Less Time
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Please comment on any specific problems encountered:

**Project Implementation:**

7. Were the guidelines for financial and programmatic reporting clear?

Very clear	1	2	3	4	5	Not at all clear

Comments:

8. Have the financial and programmatic reports been helpful in the management of your project?

Extremely helpful	1	2	3	4	5	Not at all helpful

Comments:

9. Describe any impacts achieved to date that have not been adequately captured in your reports to CEPF.

10. Have you made any adjustments to your original project design? If so, how were these adjustments perceived by CEPF?

11. Has the feedback you have received from CEPF on the reports met your expectations?

Exceeded	1	2	3	4	5	Not met

Comments:

12. Has the feedback you have received from CEPF on the reports been beneficial to the management of the project?

Very beneficial	1	2	3	4	5	Not beneficial

Comments:

13. Have you accessed any of the following CEPF communications tools?

- CEPF Annual Report: yes/no. If yes, please indicate how the annual report raised your awareness of CEPF progress and results on a scale of 1-5.

Extremely	1	2	3	4	5	Not at all

- CEPF Web site: yes/no. If yes, please indicate how the Web site has enabled you to keep informed of CEPF goals, activities and opportunities on a scale of 1-5.

Extremely	1	2	3	4	5	Not at all

- CEPF monthly electronic newsletter: yes/no. If yes, please indicate how the newsletter has raised your awareness of CEPF-related goals, activities and opportunities on a scale of 1-5.

Extremely	1	2	3	4	5	Not at all

Please comment on any modifications or additional tools that would be useful to you:

14. Has the overall level of interaction with CEPF during the life of your project met your expectations?

Exceeded	1	2	3	4	5	Not met

Comments:

15. Describe any external factors that have impacted your project either positively or negatively?

16. Were the additional funds anticipated in the project proposal obtained? If no, why not?

17. As a result of your CEPF funded project have you been able to leverage additional funds? If so please describe.

*Project co-financing (Other donors contribute to the direct costs of a CEPF project.):*

yes Describe: \_\_\_\_\_  
 no

*Complementary funding (Other donors contribute to partner organizations that are working on a project linked with a CEPF project.):*

yes Describe: \_\_\_\_\_  
 no

*Grantee and Partner leveraging (Other donors contribute to your organization or a partner organization as a direct result of successes with a CEPF project.):*

yes Describe: \_\_\_\_\_  
 no

*Regional/Portfolio leveraging (Other donors make large investments in a region because of CEPF investment or successes.):*

yes Describe: \_\_\_\_\_  
 no

**Regional Strategy:**

18. Was the link between your project and the Strategic Direction under which it was approved clear to you when your project was approved?
19. Has your understanding of how your project relates with CEPF strategic directions changed during the course of implementation?
20. Was the ecosystem profile useful during implementation of your project?
21. Have you partnered and/or collaborated with other organizations on your project? Please describe.
22. Are you aware of other CEPF funded projects? Has your project benefited from interaction with other CEPF grantees and/or projects?
23. Do you feel there is a coordination of CEPF funded activities to achieve the strategic directions?

24. Do you feel CEPF's funding approach in the Cape Floristic Region is an innovative way of achieving conservation objectives?
  
25. Do you think that the CEPF conservation strategy in the Cape Floristic Region is sustainable beyond the CEPF investments?

Thank you very much for your assistance with this survey. Please feel free to contact Sarah Douglass at [s.douglass@conservation.org](mailto:s.douglass@conservation.org) if you have any questions.

Sincerely,

CEPF Monitoring and Evaluation Team

## **Appendix C. List of Institutions Contacted During the Portfolio Review**

### **Washington D.C**

CEPF Grant Director

### **South Africa**

Botanical Society of South Africa

Conservation International

Friends of Tokai Forest

The Global Environment Facility

National Botanical Institute

National Botanical Institute – Cape Flats Nature, Biodiversity for the People

Percy FitzPatrick Institute of African Ornithology, University of Cape Town\*

Rawsonville Wine & Tourism

University of Stellenbosch\*

Western Cape Nature Conservation Board

Wilderness Action Group\*

Wilderness Foundation

Wildlife and Environment Society of South Africa: Eastern Province

Wildlife and Environment Society of South Africa: Western Cape Region

The World Bank

WWF-South Africa – The Table Mountain Fund

\*Survey Only

## **Appendix D. Approved Grants in the Cape Floristic Region (through May 2004)**

### **Strategic Direction 1: Support civil society involvement in the establishment of protected areas and management plans in Cape Floristic Region biodiversity corridors**

#### **Effective Conservation Of Amphibians And Reptiles in the Greater Cederberg Biodiversity Corridor**

Collate, analyze, interpret and disseminate data on the amphibians and reptiles of the proposed Cederberg Mega-reserve and western corridor in order to provide strategic input into design and management plans for the reserve, as well as build capacity within civil society in the region to enhance visitor experience.

Funding: \$69,435

Grant Term: 1/04 – 12/06

Grantee: University of Stellenbosch

#### **Blaauwberg Conservation Area**

Promote civil society involvement in the management, development and conservation of the Blaauwberg Conservation Area, a key area of biodiversity importance in the vicinity of Cape Town.

Funding: \$182,536

Grant Term: 11/03 – 1/05

Grantee: Wildlife and Environment Society of South Africa: Western Cape Region

#### **Botanical Assessment and Hotspot Identification for the Slanghoek Valley, Western Cape Province, South Africa**

Conduct a botanical survey and GIS-based mapping, and produce a regional conservation plan of private landholdings in the Slanghoek Valley in the Upper Breede Valley in Western Cape, South Africa.

Information will be collected on a farm-by-farm basis to determine which areas are suitable for wine expansion and which are identified as irreplaceable and should be formally conserved.

Funding: \$7,844

Grant Term: 10/03 – 12/03

Grantee: Rawsonville Wine & Tourism

#### **The St. Francis Conservancy Project**

Establish and develop a pilot private conservancy in the St. Francis area of the southeastern lowlands of the Eastern Cape Province, South Africa

Funding: \$99,300

Grant Term: 8/03 - 7/05

Grantee: Wildlife and Environment Society of South Africa, Eastern Province Region

#### **The Cederberg Mega-Reserve Project Management Unit: Setting the Stage for Conservation in the Cederberg Mega-Reserve, South Africa**

Establish the Cederberg Mega-Reserve Project Management Unit to further collaboration and partnerships with stakeholders, increase awareness of the proposed Cederberg Mega-Reserve, coordinate strategic input into the development of the mega-reserve and ensure effective implementation of the Cederberg Mega-Reserve plans by Western Cape Nature Conservation Board and the Cederberg Mega-Reserve Steering Committee. Develop a strategic management and business plan for the Cederberg Mega-Reserve biodiversity corridor.

Funding: \$129,179

Grant Term: 8/03 - 3/04

Grantee: Western Cape Nature Conservation Board

#### **Market Research Support to the Africa Environmental News Service: Phase Two – E-Commerce Development and Market Research**

Support the Africa Environmental News Service by advising on planning of market research and development of marketing research tools in the Cape Floristic Region, Guinean Forests of West Africa and Succulent Karoo hotspots, conducting the market research exercise and assisting with the development of a business plan.

Funding: \$3,333

Grant Term: 5/03 – 3/04

Grantee: Equals Three Communications

*\*This is a multiregional project covering three hotspots; the total grant amount is \$10,000.*

**Development of a Strategic Management and Business Plan to Ratify the Objectives of the Gouritz Megapark Conservation Corridor**

Deliver an agreed upon strategic management and business plan for the Gouritz Megapark conservation corridor that will enable all the major stakeholders active within the region and all the potential partners of the project, local and national political entities, government institutions, parastatal bodies, funding institutions and civil society to support this project throughout its development and implementation phases.

Funding: \$119,255

Grant Term: 4/03 – 4/04

Grantee: Western Cape Nature Conservation Board

**Taking C.A.P.E. to a Finer Scale: Catalyzing Conservation Action in the Cederberg Conservation Corridor and the “Cederberg Mega-Reserve Area” in the Cape Floristic Region**

Conduct a stakeholder consultation workshop to develop a 3-year action plan for biodiversity conservation in the Cederberg mega-reserve, South Africa.

Funding: \$3,842

Grant Term: 4/03 – 5/03

Grantee: Conservation International

**Conservation Biology of the Black Harrier in South Africa**

Investigate the breeding biology and resource requirements of the black harrier, with a view to improving management strategies to meet its conservation needs. Changes in the distribution of breeding pairs of harriers could be an indicator of habitat degradation. The project will involve landowners and include post-graduate students.

Funding: \$49,220

Grant Term: 1/03 – 12/05

Grantee: Percy FitzPatrick Institute of African Ornithology, University of Cape Town

**Promoting Public Participation in Caring for Tokai’s Core Cape Flats Flora Conservation Site**

Develop a management plan for a site that was formerly a pine plantation managed by the Department of Forestry. The site was destroyed by fire in 1998 but endemic plants persist and there is potential for restoration. Develop partnerships with the neighboring urban community, especially youth; rehabilitate the area to a natural ecosystem; and conduct public awareness activities.

Funding: \$10,000

Grant Term: 1/03 – 12/04

Grantee: Friends of Tokai Forest

**Baviaanskloof Mega-Reserve Project: Mega-Reserve Vision and 5-Year Development and Management Plan**

Develop and gain stakeholder acceptance for the Baviaanskloof Mega-reserve Vision and a 5-year Development Plan through the establishment and operations of the Project Management Unit (PMU). The Wilderness Foundation and the PMU will bring much needed capacity to the process in developing the vision and development plan. After this initial period, the PMU will commence implementation of the development plan as part of the Baviaanskloof Mega-reserve Project.

Funding: \$301,421

Grant Term: 11/02 – 1/04

Grantee: Wilderness Foundation

**Mainstreaming Biodiversity on the Cape Flats: Project Design Phase**

Undertake the initial design phase for the Mainstreaming Biodiversity on the Cape Flats project, which will focus on conservation of the unique biodiversity of the Cape Flats in a people-centered way that benefits

the surrounding communities through best practice in sustainable management and coordinated stakeholder involvement.

Funding: \$4,000

Grant Term: 10/02 – 1/03

Grantee: National Botanical Institute

### **Facilitating Implementation in the Priority Mega-Reserves and Lowland Corridors in the Cape Floristic Region**

Coordinate and facilitate the development of implementation strategies for the mega-reserves, develop a strategy for engaging the private sector in developing best practices to support the Lowland Corridor and investigate a mechanism to secure priority lands in the Cape Floristic Region.

Funding: \$358,895

Grant Term: 7/02 – 6/04

Grantee: Conservation International

### **Strategic Direction 2: Promote innovative private sector and community involvement in conservation in landscapes surrounding Cape Floristic Region biodiversity corridors**

#### **Baviaans Conservancy: Feasibility Study for the Conversion of Land Use from Small Stock Farming to Sustainable Biodiversity-based Ventures in the Baviaanskloof Area**

Evaluate the Baviaans Conservancy area to determine current and future land use potential in the area, conduct a financial feasibility study for the area and prepare a business plan that will focus on the transition from small stock farming to game and tourism-based ventures. The project will address landowners of this 52,000-hectare conservancy, which adjoins the Baviaanskloof Wilderness Area.

Funding: \$10,000

Grant Term: 11/03 – 5/04

Grantee: Wilderness Foundation

#### **Mainstreaming Biodiversity on the Cape Flats: Building Good Practice in Sustainable Management**

Achieve good practice in sustainable management of sites in the City of Cape Town. It will first achieve this at four pilot sites - the Edith Stephens Wetland Park, Harmony Flats Nature Reserve, Macassar Dunes and Wolfgat Nature Reserve - selected for their diversity of vegetation type as well as their location in the midst of poor black townships. Lessons learned at these pilot sites will be shared broadly, and the project seeks to develop and initiate the implementation of a strategy to roll out good practice to the rest of the City's biodiversity network that ensures connectivity between sites and links them within catchments and along coastlines.

Funding: \$375,000

Grant Term: 10/03 – 6/07

Grantee: National Botanical Institute

#### **Promoting and Marketing Flower Valley Conservation Trust – Biodiversity-Based Small Business Development Initiative**

Promote a sustainable and best practice approach to harvesting indigenous flowers for local and international markets as an economically viable and competitive alternative to intensive agriculture. The Flower Valley Conservation Trust, an alliance of an historically disadvantaged local community and the private sector, will also work to empower previously disadvantaged people through adopting a partnership approach to business co-management. Francois Odendaal Productions will create promotional and marketing awareness materials as part of the project.

Funding: \$10,000

Grant Term: 4/03 – 3/04

Grantee: Flower Valley Conservation Trust

#### **Sustainable Utilization: A Tool for Managers and Workers in the Cape Floristic Region**

Promote innovative private sector and community involvement in landscapes in the Cape Floristic Region via an easy to understand handbook on sustainable harvesting of fynbos plants, and a series of workshops designed to raise awareness about sustainable harvesting practices among target audiences in the region.



Funding: \$18,855  
Grant Term: 4/03 – 12/04  
Grantee: South African Protea Producers and Exporters Association

#### **C.A.P.E. Threatened Plants Program**

Promote conservation awareness and engender stewardship of threatened plant species through the involvement of civil society in data collection, information sharing and the management of key conservation sites identified by the C.A.P.E. Lowlands Project. Use the information collected on distribution and population to guide conservation actions. Build capacity among at least six civil society groups to work with decisionmakers, landowners and local government to ensure the continued survival of threatened species within their regions.

Funding: \$312,359  
Grant Term: 3/03 – 2/06  
Grantee: National Botanical Institute

#### **Building a Global Constituency for Biodiversity Conservation**

Implement a series of targeted public awareness and education campaigns in nine hotspots in Africa, Asia and Latin America including the Atlantic Forest, Cape Floristic Region, Chocó-Darién-Western Ecuador, Guinean Forests of West Africa, Mesoamerica, Mountains of Southwest China, Philippines, Succulent Karoo and Sundaland hotspots. Campaign leaders participate in an intensive training course at the UK's Kent University or Mexico's Guadalajara University, prepare detailed plans to implement campaigns, link with a local organization in their region and commit to a minimum two years with that organization.

Funding: \$306,748  
Grant Term: 1/03 - 6/06  
Grantee: Rare (\$218,312.97) and Conservation International (\$88,435)

*\*This is a multiregional project covering nine hotspots; the total grant amount is \$1,993,855 (Rare \$1,419,030 and Conservation International \$574,825)*

#### **Partnerships, Cooperative Management and Incentives to Secure Biodiversity Conservation in Priority Areas in the Cape Floristic Region**

Use cooperative management models and incentive schemes to promote private conservation initiative and empower civil society and develop an Incentives Action Team and a cooperative management and incentives database.

Funding: \$260,160  
Grant Term: 7/02 – 6/04  
Grantee: Botanical Society of South Africa

#### **Strategic Direction 3: Support civil society efforts to create an institutional environment that enables effective conservation action**

##### **Ensuring an Effective Role for the Southern Cape Herbarium and Garden Route Botanical Garden in Conservation in the Southern Cape, South Africa**

Develop a long-term business plan for the Southern Cape Herbarium and Botanical Garden, ensuring that the center is sustainable, appropriately resourced and relevant to users and able to provide services, support, information and data, as well as taxonomic expertise for conservation and biodiversity initiatives and projects in the Southern Cape.

Funding: \$18,334  
Grant Term: 3/04 - 8/0  
Grantee: Garden Route Botanical Garden Trust

##### **Putting Conservation Plans to Work**

Mainstream the use of systematic conservation plans in the land-use planning and decision-making system in the Western Cape Province to curtail habitat loss in priority areas for biodiversity conservation. Develop suitable materials and methodologies that interpret the outputs of fine-scale systematic conservation plans and test and apply these in pilot municipal areas. The project aims to lay the basis for the uptake of

systematic conservation planning outputs in land-use planning and decisionmaking throughout the Western Cape.

Funding: \$206,342

Grant Term: 1/04 – 12/05

Grantee: Botanical Society of South Africa

#### **Investing In Technology To Build Communication And Financial Management Capacity For Civil Society Biodiversity Conservation NGOs In African Hotspots**

Upgrade the Internet and video-conferencing facilities at the Kirstenbosch Research Centre (KRC), National Botanical Institute. Through this strategic investment, the KRC will improve its financial management ability in the Cape Floristic Region and the Succulent Karoo hotspots and catalyze a larger Internet technology development strategy to develop the KRC into a Center for Biodiversity Conservation that can serve as a communication hub for nongovernmental organizations (NGOs) working on biodiversity conservation issues in African hotspots with a particular focus on the Southern African hotspots in the initial phase.

Funding: \$60,214

Grant Term: 10/03-10/04

Grantee: National Botanical Institute (\$27,020) and Conservation International (\$33,194)

*\*This is a multiregional project covering two hotspots; the total grant amount is \$120,428 (National Botanical Institute \$54,040 and Conservation International \$66,388).*

#### **Creating Electronic Access to Information on the Red Data List Species and Endemic Plant Families of the Cape Floristic Region**

Produce a complete geo-referenced electronic database of all relevant plant collections in the Bolus, Compton and National herbariums, as well as GIS maps that indicate the number of rare and threatened species per cadastral unit for placing in the C.A.P.E. Conservation Planning Unit's Web site. This can be used for conservation planning and management in the three regions covered: Northern Cape, Western Cape and Eastern Cape.

Funding: \$28,928

Grant Term: 4/03 – 3/04

Grantee: National Botanical Institute

#### **First African Botanic Gardens Congress**

Support participation of African delegates from the Cape Floristic Region, Guinean Forests of West Africa and Madagascar hotspots at the first African Botanic Gardens Conference in November 2002 in Durban, South Africa

Funding: \$2,250

Grant Term: 11/02 – 3/03

Grantee: Durban Botanic Gardens

*\*This is a multiregional project covering three hotspots; the total grant amount is \$11,250.*

#### **Wilderness Concepts and Practice Training Courses for Western & Eastern Cape**

Expand Wilderness Concepts and Practice Training courses to the Western Cape in 2002 and the Eastern Cape in 2003. These courses are held for wilderness area managers and supervisors, wilderness users, conservation-orientated organizations and interested person in wilderness conservation practice to raise awareness of the importance of wilderness areas, their special uses and necessary management.

Funding: \$8,550

Grant Term: 9/02 – 8/03

Grantee: Wilderness Action Group

#### **Highlighting the Hotspots: Curating, Using and Sharing the C.A.P.E. Findings and Other Biodiversity Data in Support of Bioregional Planning and Land-Use Decisionmaking**

Build on the foundation of a data resource center to ensure easy accessibility of biodiversity data and tools fundamental for prevention of ongoing encroachment into conservation-worthy areas and to facilitate land use decision-making. Provide data through a Web portal with online, e-mail help facilities and CD-ROMs and develop a business plan for sustainability of the C.A.P.E. Coordination Unit.

Funding: \$203,070  
Grant Term: 7/02 – 6/04  
Grantee: Western Cape Nature Conservation Board

**C.A.P.E. Coordination Unit**

Ensure maximum complementary effort, technical support, effectiveness and efficiency of CEPF implementation among partner organizations.

Funding: \$582,883  
Grant Term: 5/02 – 4/07  
Grantee: National Botanical Institute

**Strategic Direction 4: Establish a small grants fund to build capacity among institutions and individuals working on conservation in the Cape Floristic Region**

**The Table Mountain Fund Capacity Building Program for the Cape Floristic Region**

Establish an efficient and effective program to enable previously disadvantaged persons, such as women and particularly black South Africans, to become conservation project managers and leaders. This small grants program will include academic bursaries and two-year placements in the workplace.

Funding: \$898,744  
Grant Term: 9/02-12/06  
Grantee: WWF-South Africa

## Appendix E. Task Teams for GEF Project Implementation (through April 2004)

PAD ref.	Task Team	Tasks	Recipient of grant	Leadership	STATUS	PROGRESS
1.4.2, 3, 5.4	1. C.A.P.E., CCC and CIC	Program Coordination, Management and Monitoring, Skills and Knowledge Transfer, Economic Incentives Study	NBI	CCU Trevor Sandwith	ACTIVE	Draft work plan in progress
1.1.1, 1.1.2, 1.3	2. Institutional strengthening task team	Financial sustainability, Legal mandates, institutional roles, performance management systems	NBI	CCU Trevor Sandwith	NOT ACTIVE	
1.2	3. Skills development task team	Capacity building and training	NBI - CCU	CCU/ WCNCB Glenda Kayster	ACTIVE	Task team meetings held, work plan in process of being formulated
1.4.1	4. CPU management committee	Information Management: supporting the CPU	WCNCB	CPU Selwyn Willoughby	ACTIVE	Draft work plan complete, to be finalised at Critical Lowlands Integration Meeting
2	5. C.A.P.E. environmental education task team	Conservation education	NBI	CCU/ GFEESC Trevor Sandwith/ Heila Lotz	NOT ACTIVE	Meeting held with task team leaders (GFEESC)
1.1.3, 4, 6.1.1	6. Catchment management task team	CMA strategies and workplans, Freshwater Protected Areas, "Ecological Reserve" measures in water resource management	WCNCB, FRU UCT	DWAF Wille Enright	ACTIVE	
4	7. Cederberg Biodiversity Corridor Steering Committee	Cederberg	WCNCB	WCNCB Jaco Venter	ACTIVE	Draft work plan complete
4	8. Baviaanskloof Steering Committee	Baviaanskloof	WF	WF Andrew Muir	ACTIVE	PMU in process of developing work plan
4	9. GRI task team	Garden Route	SANParks	SANParks Sarel Yssel	NOT ACTIVE	Initial meeting of proposed task team held
4	10. Kogelberg Task Team	Kogelberg	WCNCB	WCNCB Gonald Present	NOT ACTIVE	Meeting held with task team leader
4, 6.3	11. Estuary Management task team	Protected Estuaries, Estuarine Management Protocol	WCNCB, WC DOA,	WCNCB/ NBI Kas Hamman	NOT ACTIVE	Meeting held with task team leader

PAD ref.	Task Team	Tasks	Recipient of grant	Leadership	STATUS	PROGRESS
5.1	12. Conservation Planning Steering Committee	Fine scale conservation planning	WCNCB	NBI - BIODIVERSITY Kristal Maze	ACTIVE	Draft work plan complete, to be finalised at Critical Lowlands Integration Meeting
5.2	13. Land Use Planning Task Team	Integrating biodiversity in land-use decisionmaking	NBI	DEA&DP Dawie Kruger/ Denis Laidler	ACTIVE	Draft work plan complete, to be finalised at Critical Lowlands Integration Meeting
5.3	14. Conservation stewardship task team	Increasing landowners commitment to conservation	WCNCB, WC DOA,	BOTSOC Mark Botha	ACTIVE	Draft work plan complete, to be finalised at Critical Lowlands Integration Meeting
6.1.2	15. Fire Management task team	Incorporate biodiversity concerns into the new fire management system	WCNCB	WCNCB Zane Erasmus	NOT ACTIVE	Meeting held with task team leader
6.2	16. Invasive Alien Management task team	Improving Management of Invasive Alien Species	NBI, IPC UCT, SAIAB Rhodes, ARC PPRI	WCNCB Fanie Bekker	NOT ACTIVE	Meeting held with task team leader
	17. Marine Task Team			To be confirmed		

Task team clusters to date:

1. Conservation Education and Capacity Building
2. Critical Lowlands, including Conservation Planning, CPU, Stewardship and Land Use Planning
3. Protected areas, including Cederberg, Baviaanskloof, Garden Route, Kogelberg, Estuaries, Catchment Management, Fire, Aliens, and supported by Marine, CPU and Stewardship

## Appendix F. CEPF Logical Framework for the Cape Floristic Region

Narrative Summary	Performance Indicators
<p><b>Long-Term Goal Statement</b></p> <p>1 Critical habitats of the Cape Floristic Province are effectively protected and managed and targeted flora and fauna species extinctions are avoided.</p>	<p><b>Targeted Conservation Outcomes</b></p> <ul style="list-style-type: none"> <li>-Secure new protected areas</li> <li>-Expand and improve management of existing protected areas</li> <li>-Ensure no or minimal habitat transformation in the larger landscape matrix</li> </ul> <p style="text-align: center;"><b>Area Protected</b></p> <p><b>1.1 Immediate Priorities (5 years)</b></p> <ul style="list-style-type: none"> <li>- Lowland Fynbos remnants (700,000 ha) corridor created</li> <li>- Cederberg (400,000 ha) protected area expanded</li> <li>- Gouritz (800,000 ha) under effective management</li> <li>- Baviaanskloof (600,000 ha) under effective management</li> </ul> <p style="text-align: center;"><b>Extinctions Avoided</b></p> <p>1.2 The 1,406 plant species listed on the IUCN RED List, including the Clanwilliam cedar (<i>Widdringtonia edarbburgensis</i>), <i>Protea odorata</i>, the Marsh rose (<i>Orothamnus aeyhery</i>), <i>Moraea insulens</i>, <i>Saphesia flaccida</i>, <i>Erepsia brevipetala</i>, <i>Erepsia polita</i> and <i>Haworphia truncata</i> successfully protected.</p> <p>1.3 Maintenance of genetically viable populations of key and endangered species such as: the geometric tortoise and the Table Mountain ghost frog.</p>
<p><b>CEPF Purpose</b></p> <p>Civil society actively participating in the development of core conservation areas and sustainable land use in the three corridors (Cederberg, Gouritz, and Baviaanskloof) and the last remaining areas of natural vegetation in the Cape Floristic Region lowlands.</p>	<p><b>Impact Indicators</b></p> <p>1.1 Corridor-level planning and management of biodiversity conservation within the corridors is continued with active civil society participation. This includes continued and effective management of protected areas begun during CEPF implementation and following the CAPE 20-year strategy.</p> <p>1.2 Increased number of NGOs and civil society, including the private sector, participating in implementation efforts of the CAPE 20-year strategy using various co-management and partnership arrangements.</p> <p>1.3 Conservation alliances supported and/or established during CEPF continue beyond the implementation years of CEPF.</p> <p>1.4 New funding toward corridor conservation efforts leveraged to reach a target of at least 100% of the total CEPF funding within the first 3 years, and 200% by the end of the 5-year CEPF funding cycle.</p> <p>1.5 Model mechanisms involving local communities and the private sector are replicated as innovative implementation mechanisms for the CAPE 20-year strategy.</p>

<b>CEPF Strategic Directions</b>	<b>CEPF Investment Priorities</b>
1 Civil society involvement in the establishment of protected areas and management plans in Cape Floristic Region biodiversity corridors supported.	<p>1.1 Identify and design innovative mechanisms and strategies for conservation of private, corporate or communal landholdings within biodiversity corridors.</p> <p>1.2 Support private sector and local community participation in the development and implementation of management plans for biodiversity corridors.</p> <p>1.3 Especially within the Gouritz and Cederberg corridors, identify priority landholdings requiring immediate conservation action.</p>
2 Innovative private sector and community involvement in conservation in landscapes surrounding Cape Floristic Region biodiversity corridors promoted.	<p>2.1 Promote biodiversity-based businesses among disadvantaged groups, in particular in areas surrounding the Gouritz and Baviaanskloof corridors.</p> <p>2.2 Implement best practices within industries affecting biodiversity in the Cape Floristic Region, e.g. the wine and flower industries.</p>
3 Institutional environment that enables effective conservation action fostered.	<p>3.1 Consolidate data to support appropriate land use and policy decisions.</p> <p>3.2 Integrate biodiversity concerns into policy and local government procedures in priority municipalities.</p> <p>3.3 Improve coordination among institutions involved in conservation of Cape Floristic Region biodiversity corridors.</p>
4 Small grants fund to build capacity among institutions and individuals working on conservation in the Cape Floristic Region established.	<p>4.1 Support internships and training programs to raise capacity for conservation, particularly targeting previously disadvantaged groups.</p> <p>4.2 Support initiatives to increase technical capacity of organizations involved in Cape Floristic Region conservation, particularly in relation to the priority geographic areas.</p>